The City of Oklahoma City
Purchasing Policies and Procedures Manual
Last Revised September 2020

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SECTION 1 - GENERAL POLICIES AND PROCEDURES

1.1 – AUTHORITY

The Mayor and City Council have final authority over City purchases. The City Manager is the City's chief administrative officer to whom all City employees, except the Municipal Counselor's Office, the City Auditor's Office, and the Municipal Judges, are responsible.

The Oklahoma City Council is the only body that can award and approve formal contracts exceeding the amount of $25,000. The Mayor and City Clerk are the only individuals that can execute formal contracts exceeding $25,000.

The Purchasing Agent is the primary procurement officer for The City of Oklahoma City. Purchasing Buyers work under the supervision of the Purchasing Agent and perform many of the procurement tasks. The Purchasing Agent is authorized and may execute purchasing agreements and contracts with a value of $25,000 or less, with the forms for such purchasing agreements and contracts to be approved by the City Manager and Municipal Counselor; provided, the Purchasing Agent shall have the approval of the Finance Director prior to signing any such purchasing agreements or contracts. The Purchasing Agent shall also have the authority to sign renewal documents for these agreements and contracts as deemed appropriate.

The Municipal Counselor's Office provides legal advice to the Procurement Services Division. The City Auditor's Office audits certain purchases and payments. Both of these offices review for compliance with policies and procedures or laws and ordinances.

1.2 – CITY MANAGER

The City Manager appoints the Director of Finance, Purchasing Agent, and other Procurement Services Division employees who administer, enforce and carry out the purchasing policies and procedures as established. The City Manager also designates a construction purchasing agent which is currently the Public Works Director. Construction related purchasing is under the direction of the construction purchasing agent. The Procurement Services Division approves construction purchase orders and payments, but is not involved in the approval of formal or informal construction contracts.

1.3 – FINANCE DIRECTOR

The Finance Director is the chief financial officer for the City, responsible for the Procurement Services Division. The Finance Director is also the encumbering officer for the City and has the authority to delegate this responsibility to other Finance Department employees.

As Department Head of the Procurement Services Division, the Finance Director is in charge of directing, implementing and maintaining the purchasing policies and procedures as established by the City Charter and City Council.

1.4 – PURCHASING AGENT

The Purchasing Agent is under the direction of the Finance Director and is responsible for the daily operations of the Procurement Services Division. The authority and responsibilities of the Purchasing Agent are:

1. To act as the purchasing officer for the City.
2. To prepare all forms and papers for the purchasing and contracting of all supplies and contractual services needed by any using department in accordance with established purchasing policies and procedures.
3. To recommend ordinances, amendments, rules and regulations which govern the purchasing procedures for the benefit of The City of Oklahoma City.

4. To procure the highest quality in supplies and contractual services at the least expense for user departments.
5. To endeavor to obtain full and open competition on all purchases and sales.
6. To make source selection consistent with City policy.
7. To establish and maintain programs for the development and use of standardized specifications for purchases of commodities, services and equipment to be provided.
8. To represent the City on disputed purchases, invoices, contract terms and other related matters.
9. To manage a surplus property program for the City which provides guidance to departments on the final disposition of surplus, obsolete, or exhausted materials, equipment, and property following established policies and procedures.
10. To provide training to departments on purchasing policies and procedures, including the use of purchasing systems for entering requisitions/purchase orders and purchasing card transactions.
11. To supervise, train, prepare work plans, and administer all employees within the Procurement Services Division.

PURCHASING MISSION STATEMENT - To manage and provide responsive and efficient purchasing, contracting, and surplus services to City departments and public trusts so they can receive timely approvals to efficiently purchase the goods and services they need in compliance with applicable laws and regulations.

PURCHASING VALUES STATEMENT - To professionally represent The City of Oklahoma City by providing unbiased purchasing representation and guidance that adhere to the City's purchasing policies and procedures, the City Charter, ordinances and state laws and statutes.

The Procurement Services Division has adopted the Values and Guiding Principles of Public Procurement issued by NIGP: The Institute for Public Procurement. This document is included as an attachment to this manual. The following webpage provides detailed information on these values and guiding principles: http://www.nigp.org/home/find-procurement-resources/guidance/values-and-guiding-principles.

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PURCHASING VISION STATEMENT - To be recognized as a valued partner to City departments and public trusts in the Procurement Services Division's efforts to provide unbiased purchasing representation and to fairly and economically use public funds in the fulfillment of various goals.

1.5 – DEPARTMENT HEADS

The purchasing responsibilities of department heads are:

1. To inform departmental personnel of the requirements and ensure adherence to established purchasing policies and procedures.
2. Provide required departmental approval signatures and financial system approval authorities.
3. Cooperatively work with the Procurement Services Division to allow sufficient time to obtain proposals, quotations, or bids; determine best source; issue orders or contracts with reasonable lead time for delivery; and eliminate rush purchases.
4. Provide accurate and complete information on items requested and timely preparation of requisitions.
5. Prepare item descriptions and assist the Procurement Services Division in negotiation for commodities, services or equipment of a technical or unusual nature when requested and suggest possible sources of supply.
6. Designate specific employees with authority to prepare and approve requisitions.
7. Designate specific employees with authority to verify receipt of goods and services and approve invoices for payment.
8. Inspect or supervise the inspection of commodities, services and equipment delivered to the department and determine acceptability of their quality, quantity and conformance with specifications.
9. Ensure all invoices/purchases are signed and/or electronically approved by two staff members who have reasonable knowledge of the purchase transaction. The staff members must either be involved in approving the purchase or verifying receipt of the purchase to ensure reasonably adequate controls over payment approvals.

SECTION 2 - LEGAL REQUIREMENTS

2.1 – SCOPE
Several major legal documents and authorities govern the City of Oklahoma City's purchasing process.

2.2 – CITY CHARTER
The primary document governing the purchasing process is the Oklahoma City Charter. Article IX. General Provisions, Section 4. Contracts - How Let - Advertisements - Bids, Plans, Specifications, Profiles and Estimates, provide the foundation for the Municipal Code.

2.3 – MUNICIPAL CODE
The Oklahoma City Municipal Code is another document governing the purchasing process. The Oklahoma City Municipal Code, Administration, Chapter Two, Article V. Purchasing Procedures; Article IX. Payment of Municipal Funds; Article X. Public Construction Contracts and Projects; and Article XI. Professional Services Contracts are the ordinances that have been put in place to ensure The City of Oklahoma City complies with the City Charter, the Public Competitive Bidding Act of 1974 and the Constitution of the State of Oklahoma.

2.4 – STATE STATUTES
The State of Oklahoma has a variety of statutes based on the Constitution of the State of Oklahoma that govern purchasing by municipalities within the state. In instances where the City Charter and The Oklahoma City Municipal Code are silent, the State Statutes prevail.

2.5 – CITY COUNCIL POLICIES
On occasion, the City Council adopts a formal policy, which affects certain segments of the purchasing process. Some examples are The Contract Renewal Policy and the Professional Consultant Services Selection Policy. Once adopted by Council, these policies are incorporated into this document which is considered to be the City's official Purchasing Policies and Procedures Manual. The City's Purchasing Policy is approved by the City Council. The Purchasing Policy directs the City Manager to establish a Purchasing Policies and Procedures Manual. Updates to the Purchasing Policies and Procedures Manual are made administratively.

2.6 – CITY MANAGER'S MANAGEMENT BULLETINS
The City Manager issues management bulletins as deemed necessary that affect certain segments of the purchasing process. Management bulletins may be revised or rescinded by the City Manager. Once approved by the City Manager, these policies shall be incorporated into this document which is considered to be the City's official Purchasing Policies and Procedures Manual.

2.7 – MUNICIPAL COUNSELOR'S LEGAL OPINIONS
The Municipal Counselor issues written legal opinions, as deemed necessary, which affect certain segments of the purchasing process. A legal opinion is issued in written form and tends to be permanent unless superseded by a change in the law. An example of a legal opinion is: RE: Pricing agreement with a third-party supplier that is staggered across fiscal years, dated December 14, 2007.

2.8 – FINANCE DEPARTMENT MEMOS
The Finance Department will initiate instructional memos under the signature of the Finance Director or the Purchasing Agent, which outline procedures or deadlines, to ensure compliance with legal requirements or purchasing and payment procedures.

SECTION 3 - INTERNAL CONTROL STANDARDS

3.1 – INTERNAL CONTROL STANDARDS

The Procurement Services Division is responsible for providing departments with internal control standards that require the proper segregation of duties concerning purchasing transactions. Internal control depends on the assignment of duties in such a manner that no one individual controls all phases of an activity or transaction; thereby creating a situation that permits errors or irregularities to go undetected.

Each department head is responsible for maintaining internal control standards for the purchasing function within their department. The following elements are required for each department's internal control standards:

1. The purchasing transactions being addressed in this policy are requisitions, electronic receivers, purchasing card transactions and payment of invoices.
2. Qualified and continuous supervision shall be provided to assure that approved procedures are followed.
3. Purchasing and payment transactions are to be authorized and executed only by persons acting within the scope of their authority.
4. Updated forms documenting a department's authorized approval signatures and financial system approval authorities in the format required by the Procurement Services Division and the City's Information Technology Department Security Administrator.
5. A department's internal control standard documents shall be readily available for inspection upon request.
6. Specific employees with authority to prepare and approve requisitions shall be designated by the department head.
7. Specific employees with authority to verify receipt of goods and services and approve invoices for payment shall be designated by the department head.
8. Access to purchasing transactions shall be limited to those individuals that are authorized by the department head.
9. Periodic comparison shall be made of the transaction processing and the written documentation to determine whether the two agree.
10. Ensure all invoices/purchases are signed and/or electronically approved by two staff members who have reasonable knowledge of the purchase transaction. The staff members must either be involved in approving the purchase or verifying receipt of the purchase to ensure reasonably adequate controls over payment approvals.
11. Upon request, provide documentation that both staff members had sufficient knowledge required to perform the corroborating invoice review, were in agreement that the services were provided and the invoice(s) should be paid.
12. Establish controls ensuring rebates or rewards on City purchases are pursued through credit memos or checks. Rebates or rewards in the form of prepaid credit or gift cards should only be accepted when it is the only option offered by the vendor/manufacturer. A departmental policy must be established to appropriately secure any prepaid credit or gift cards when offered by the vendor/manufacturer as the only option. The cards can only be used for valid City purchases. The policy must be approved by the Finance Director and Purchasing Agent.

3.2 – PROCUREMENT GOALS

1. To buy the right items, of the right quality, in the right quantity, at the right time, at the best price.
2. To provide a fair and equal opportunity to all suppliers by discouraging uniform bidding and endeavoring to obtain full and open competition on all purchases and sales.
3. To take full advantage of volume discounts by purchasing items in large quantities, when reasonable.
4. To encourage all suppliers to bid on City contracts for goods and services.
5. To maintain accountability through a system of checks and balances, stringent accounting and budget controls.
6. To provide periodic reports to supervising officials and the public.
7. To establish and amend, when necessary, procedures to operate the Procurement Services Division in accordance with The City of Oklahoma City's Charter, state statutes and municipal codes.
8. To keep abreast of current product research developments, pricing and market conditions in the field of purchasing.
9. To obtain all Federal and State tax exemptions to which the City is entitled.
10. To provide purchasing, contracting and payment services to City departments and suppliers so they can receive goods, services and payments in a timely manner and in compliance with laws and regulations.

3.3 – PURCHASING ETHICS STATEMENT

General Ethics Standard for Employees "Any attempt to realize personal gain through public employment, inconsistent with the responsible discharge of that public employment, is a breach of public trust." (Regulation 12-202 Model Procurement Code)

The Procurement Services Division will strive to professionally represent The City of Oklahoma City by providing purchasing representation and guidance that adhere to the City's purchasing policies and procedures, the City Charter, ordinances and state laws and statutes. City purchasing staff will provide unbiased representation in our efforts to fairly and economically use City funds in the fulfillment of various City goals.

3.4 – ACCEPTANCE OF GIFTS OR FAVORS

An employee shall not accept or solicit any gift or favor where the receipt would either compromise impartial performance or would be viewed by the public as compromising impartial performance. An employee shall document any gifts received and immediately notify their supervisor of same. Violation shall be grounds for disciplinary action up to and including termination. (Refer to Personnel Policy Sections 303, 1203.22 and 1203.23; Article IV, Section 12 of the City Charter, and Ethics Policy).

In the event employees receive a gift of any kind, employees must notify their supervisor. Additionally, the employee(s) must document the type of gift received and how the gift will be disposed of, i.e., a tin of popcorn to be shared with the office staff. Department Directors and Division Managers are responsible for determining the appropriateness of the gift and its proper disposition. Examples of gifts that would be appropriate, provided the receipt would not compromise or be viewed as compromising the employees' impartial performance, are items with a nominal value ($50 or less) that can be consumed, such as a meat/cheese or deli tray, a meal, a box of candy, a tin of popcorn, a fruit basket, etc. The proper disposition of these types of gifts would be the sharing of these items within the office. Examples of gifts that would be inappropriate to accept are gift certificates for merchandise from a City vendor or other retailer, vacation/travel packages, etc. (Refer to Personnel Policy Sections 303)

3.5 – INTEREST IN CITY CONTRACTS
An employee shall not:

(a) directly enter into any contract with the City; or
(b) directly sell goods to the City; or
(c) have a "proprietary interest" in any company having a contract or subcontract for doing business with the City. Mutual funds or retirement funds invested in corporations but managed by a third party do not apply here; or
(d) participate in any contract recommendations, decisions or administration relating to companies in which the spouse of an employee has a "proprietary interest"; or
(e) be eligible to purchase directly, indirectly, or through public auction, any item placed on sale by the City unless the property is offered for sale to the public after notice of the sale has been published.

Violation of this section shall be grounds for disciplinary action up to and including termination. (Refer to Personnel Policy Section 304, Article IV, Section 11 of the City Charter).

3.6 – CONFLICT OF INTEREST
A conflict of interest is a real or perceived conflict between an employee's professional or official duties and an employee's other interests, or is a situation where one duty conflicts with another. Conflicts of interest may create an impairment of judgment or potential perception of the impairment of judgment.

All City employees are subject to conflict of interest policies establishing minimum standards for conduct of City employees who, in their official capacity, are or may become involved with contract, grants, purchase, sale, service or decisions that might affect their personal financial or otherwise private interests, whether direct or indirect, or those of their immediate family members, as defined in Personnel Policy Section 210.

Any employee who has, or whose immediate family member has, a direct or indirect substantial financial or otherwise private interest in any contract, grant, purchase, sale, or service to the City or in any decision of the City, must make that interest known to their Department Director, or City Manager. Employees are prohibited from disclosing or using, without appropriate authorization, information designated as confidential by statute, rule or City practice that they obtained from the City as a result of their employment with the City.

Generally, employees shall not solicit or accept money, gratuities, favors, or goods of any modest monetary value from any current or potential vendor. However, in the event employees receive a gift of any kind, the employees' supervisor must be notified, and the value and type of gift must be documented. Department Directors and Division Heads are responsible for determining the appropriateness of the gift and its proper disposition. Examples of gifts that would be appropriate, provided the receipt would not compromise or be viewed as compromising the employees' impartial performance, are items with a nominal value ($50 or less) that can be consumed, such as a meat/cheese or deli tray, a meal, a box of candy, a tin of popcorn, or a fruit basket. The proper disposition of these types of gifts would be the sharing of these items within the office.

Employees of the City must be aware of, and identify on an ongoing basis, any circumstances in which the City's actions might affect their interests or the interests of their close relatives, and avoid situations in which a conflict of interest may arise. If an employee believes that she or he has or soon may have a conflict of interest in a specific matter that was not yet disclosed, or there could be a perception of a conflict of interest on the part of an employee, the employee must immediately withdraw from participation in all related activities and decisions related to that matter. The employee must notify the department of said conflict, explaining in detail the potential or existing conflict of interest and affirming that the employee has withdrawn from

participation in the matter. Failure to appropriately disclose a conflict of interest situation may result in corrective and/or disciplinary action, up to and including termination. (Refer to Personnel Policy Section 305)

3.7 – UNACCEPTABLE CONDUCT

1. Acceptance of gratuities, including gifts and cash.
2. Acceptance of something of value in return for services that are outside what is appropriate for your position (kickback).
3. Breach of confidentiality by providing information to a supplier that creates an unfair advantage over another, such as "auctioneering".
4. Participating in an action that can clearly be demonstrated to be a conflict of interest on the employee's part.
5. Any activity that is in conflict with the general ethical standard.
6. Any activity that is in conflict with the City's Purchasing Policies and Procedures, Personnel Policies or the City's Ethics Policy.
7. Bypassing internal controls put into place through system security, such as sharing a user name and password.

The City of Oklahoma City Charter, Article IV., provides for the termination of employment for any individual that participates in unethical conduct.

3.8 – ELECTRONIC APPROVALS

On most transactions, purchasing uses electronic approvals in lieu of signatures. The department head is responsible for determining the positions/individuals to exercise an approval on purchasing and receiving transactions. An electronic approval is a signature. The electronic approval is part of each individual's security profile that is established by the department head. Each department head shall maintain a source document file that verifies the signature profiles of employees that have access to the purchasing system. The documentation shall be accurately reflected in the security profiles established by the financial system manager currently located in the Information Technology Department.

SECTION 4 - TYPES OF PURCHASES

4.1 – SOLE SOURCE PURCHASES

An exemption to competitive bidding may be made when a City department or Procurement Services has prepared a sole source resolution and it is approved by the City Council. The Purchasing Agent may also approve sole source items if the cost is not greater than $25,000 for a single purchase or in aggregate for a one-year period. There are a few common circumstances for approval of sole source purchases and/or resolutions:

1. Replacement or repair parts which necessitate the same brand and there is only one supplier for this brand.
2. Compatibility of equipment is an essential factor for effective utilization of the product and there is only one supplier for the equipment.
3. The item requested is the only kind that will fulfill the need of the department.
4. Situation requiring single source if unique and justifiable.

The department should obtain a sole source letter from the manufacturer of the product or service to be purchased. A sole source justification memo must also be signed by the Department Head, or designee, for sole source purchases in excess of $10,000. Sole source documentation should be attached to the purchasing transaction prior to routing to Procurement Services for approval.

4.2 – MOBILE AND RELATED HEAVY EQUIPMENT

The General Services Department/Fleet Services Division should be informed of all purchases of mobile and related equipment with the exception of enterprise departments or trusts. The Procurement Services Division or department will forward a copy of all related specifications to the Fleet Services Division.

4.3 – COMPUTERS, PRINTERS AND RELATED EQUIPMENT

To ensure system compatibility, the Information Technology Department (IT) has administrative responsibilities for all pricing agreements and State contracts on personal computers, data processing equipment and related supplies. Purchases against these agreements must be approved by the IT Director, or designee, as stated in IT's most recent technology purchasing policy located on the City's internal website. Open market purchases for this equipment, regardless of price, must be approved by the IT Director, or designee.

4.4 – PRINTERS AND PRINTER POLICY

On August 7, 2013, the City Manager issued Departmental Memo No. 13-15 – Printers and Printing Policy. This policy was written following the departmental memo. Due to the significant costs of individual printers (i.e. desktop printers), the policy of the City is to no longer purchase these printers or the toner/ink cartridges to supply them. Existing printers may continue to be used until previously purchased ink/toner cartridges run out or until repair or maintenance is required. Exceptions may be granted, by the department's assistant city manager, when employees are assigned to remote locations or require ADA accommodation.

Without restricting the ability of employees to perform City business, this policy also establishes a goal of reducing paper consumption. The City provides several resources to support employees in using less paper. Software such as Outlook, Microsoft Office (Word, Excel, PowerPoint, etc.), and Adobe Reader is provided to employees to view and edit documents on computer monitors without printing. To the extent possible, employees should read and edit documents received electronically on their computers. Where technology allows, printers will be set to default to double-sided printing. Tasks requiring single-sided printing, such as printing on letterhead should be the exception and can be addressed by overriding the default settings. Shared network drives are provided by the Information Technology (IT) Department for electronic document storage. These files are backed up daily and provide more security than paper copies. The IT Service Desk can assist computer users unsure of the best methods for storing and backing up computer files. Departments may also want to review their policies

and legal requirements, and, if necessary, consult the Municipal Counselor's Office concerning the storage of records.

The IT Department can assist departments with the creation of collaborative online workspaces on SharePoint where participants may post and share documents electronically. Benefits include reduction in paper distribution, versioning control, and centralized storage of documents.

4.5 – MOBILE COMMUNICATIONS EQUIPMENT

Purchases of two-way radios and mobile communications equipment for voice and data must be approved by the Information Technology Department and forwarded to the Procurement Services Division.

4.6 – MATERIAL PURCHASES REQUIRING INSTALLATION

The purchase of material items requiring installation with an estimated cost exceeding $50,000 and requiring substantial installation by the contractor is reviewed by the Public Works Department, Engineering Division.

4.7 – CONSTRUCTION CONTRACTS

Public Works has a Construction Purchasing Policy for open market purchasing under $50,000. Construction purchases exceeding $50,000 must follow construction bidding procedures and the Oklahoma Competitive Bidding Act of 1974, Title 61, Oklahoma State Statutes. All individuals or companies interested in bidding on construction or engineering projects advertised by The City of Oklahoma City must be pre-qualified. A pre-qualification application packet can be obtained from the City Clerk's Office. Sometimes pre-qualification is waived, depending on the project.

All public construction contracts exceeding $50,000 shall be let and awarded to the lowest responsible bidder, by open competitive bidding after solicitation for sealed bids. Contracts shall be awarded by City Council action.

Single bids over $50,000 will be received and opened by the Bid Committee. Single bids that have an estimated cost of $50,000 or more may be recommended to be rejected in an effort to increase competition through the revision of specifications or expansion of the potential bidder listing. A single bid may be accepted if it is determined that the bid received is competitive compared to previous projects of similar scope and size, if re-advertisement of the specifications will result in a higher cost or there is no additional competition to be gained.

The City reserves the right to accept any, all, none or any combination of add alternates of the total bid, whichever is deemed to be in the best interest of the City. The City reserves the right to reject any bid in part or the whole of any bid. Minor deficiencies of specifications, technicalities or informalities in a bid may be waived with the City Engineers approval, provided that the best interest of the City would be served without prejudice to the rights of other bidders. However, any of the following defects in a bid will invalidate the bid and are not correctable: The Bid Form is not signed; the Anti/Non-collusion Affidavit is not submitted or is not properly signed and/or notarized; the Business Relationship Affidavit is not submitted or is not properly completed, signed and/or notarized; the Bid Bond or Bid Security is not submitted with the bid; or the bid fails to comply with other requirements of City, State or Federal Law.

Bids which are not submitted on time or which are from contractors not meeting the pre-qualification requirements for that project shall not be accepted.

Upon declaration of an emergency by the City Manager, the City Engineer may approve bidding documents, approve contracts and issue work orders for the emergency work or repairs. These actions will be submitted to City Council for ratification at the first available City Council meeting. Normal bidding procedures shall be followed with the exception of the requirement for projects to be advertised for 22 days, which may be waived.

4.8 – OPEN MARKET PURCHASES

Open market purchases are categorized as material items and services that do not exceed $25,000 per category code or commodity. Formal contract items are more than $25,000 per category code or commodity. The $25,000 amount is based on an accumulation of all purchases made Citywide over a one-year period per category code or commodity.

Open market purchases are viewed in two separate categories. These categories are purchases for less than $2,500 and purchases that are for $2,500 to $25,000 per category code, commodity or in aggregate for a one-year period.

Public Works has a Construction Purchasing Policy for open market purchasing under $50,000 (See Section 8.5).

4.9 – REQUESTS FOR GOODS AND SERVICES

Departments initiate requests for goods or services through various electronic transactions or requests for bids (RFB), requests for proposals (RFP) or resolutions. Requisitions and purchase orders are electronic transactions that result in an encumbrance. RFB's, RFP's and resolutions are manual or electronic processes that eventually become contracts or authorities that result in electronic purchasing transactions that become encumbrances or purchasing card transactions.

Contracts generally fall into two categories. They are one-time contractual purchases and yearly contracts (pricing agreements). Formal contracts are required for all purchases that exceed $25,000 per unit or in aggregate Citywide for a one-year period.

4.10 – SUPPLIER AND CATEGORY CODES

The purchasing system requires that all City purchases have a valid supplier/vendor identification code and appropriate category code. Requesting departments should review the appropriate tables prior to issuing a request for goods or services in order to ensure that suggested suppliers are registered and category codes have been generated for the requirement. Purchasing card transactions do not require a category code.

4.11 – VENDOR REGISTRATION

All suppliers must complete a Vendor Registration Form and submit a W-9 to be eligible to receive a supplier/vendor identification code to transact business with The City of Oklahoma City. The Federal Employer Identification Number (FEIN) or an individual's social security number are obtained from the W-9 maintained by the Procurement Services Division.

The Supplier/Vendor Performance Table is a system-wide control, which requires that a supplier code be used on all purchase orders, payment vouchers, contracts, purchasing card transactions and manual payments. An electronic master table of current suppliers is provided to departments for placing orders, and to ensure that payments are issued to the correct supplier at the correct address.

The Supplier/Vendor Performance Table maintains information on all suppliers referenced by purchase orders, purchasing card transactions, pricing agreement documents, receiving documents and supplier invoices. This provides each supplier's transaction the immediate capability to track information. This table is the first key field for researching problems with supplier payments, analyzing purchasing trends, delivery, shipping and invoicing conditions, and compliance with governmental reporting (1099-1096) requirements.

4.12 – FEDERAL REGULATIONS

The Internal Revenue Code, Section 6109, requires The City of Oklahoma City to obtain the Supplier's taxpayer identification number. The Supplier (as payee) is required to provide the City (as payer) with its correct taxpayer identification number. In accordance with the Federal income tax law, the Supplier is subject to a fine imposed by the Internal Revenue Service if the City has not been provided with the correct identification number. If the

supplier is a firm or business, the taxpayer identification number is the employer identification number. If the supplier is an individual, the taxpayer ID number is the social security number.

The City is responsible to ensure that all payments, credits, and debits are applied to the correct supplier identification number.

4.13 – REMOVAL OR SUSPENSION OF SUPPLIERS

The Purchasing Agent may remove or suspend a supplier from the Supplier Table for such period of time as is deemed necessary. The following shall be deemed sufficient grounds or cause for removal or suspension:

1. Failure to post a satisfactory performance bond when so required.
2. Consistent failure to conform to contract specifications.
3. Consistent failure to make timely deliveries.
4. Failure to keep bid firm for the time specified on the invitation to bid.
5. Collusion with other bidders or prospective bidders to restrain competitive bidding.
6. Bankruptcy or other evidence of insolvency of the bidder.
7. Giving false or misleading information on an application in an attempt to gain entry on the authorized Vendor Table.
8. Any violation of these rules, regulations and procedures, as set forth in the City's Purchasing Policies and Procedures Manual.
9. Determination that the bidder is no longer qualified to do business with the City.
10. Failure to obtain required insurance certification.
11. Failure to honor warranties and guarantees on products delivered.
12. Any violation of the laws of the State of Oklahoma or the Federal Government.

NOTICE OF REMOVAL OR SUSPENSION

The Purchasing Agent will send written notice of removal or suspension from the Supplier Table to suppliers. This action may be appealed in writing to the Purchasing Agent within ten (10) working days of the date of notice from the City.

APPLICATION FOR REINSTATEMENT

A supplier who has been removed or suspended may state in person, or in writing, to the Purchasing Agent the reasons they should not be removed or suspended, or, must show that any conditions leading to removal or suspension have been remedied.

REINSTATEMENT TO SUPPLIER TABLE

The Purchasing Agent may reinstate a Supplier to the Authorized Supplier Table when a Supplier demonstrates its ability to responsibly do business with the City. Reinstatement will be at the discretion of the Purchasing Agent and the Supplier may be requested to resubmit a new Vendor Registration Form.

4.14 – CATEGORY CODES

The category code, in conjunction with the supplier code, identifies each supplier who provides a specific material or service. A category code, supplier code and account code are required for each transaction in the purchasing system. The transaction is generated by the department and routed to the Purchasing Buyer who is responsible for that department or commodity.

The Buyer reviews and confirms that the purchase is being made in accordance with open market requirements or pricing agreements, and that expenditures are being made from appropriate account codes. The Buyer then approves and updates the purchase. The funds are encumbered and a purchase order is printed.

Queries or tables in the purchasing system may be used to determine year-to-date total of money spent on each category or pricing agreement/contract, including purchasing card transactions. Reports are generated for category and pricing agreement/contract reporting purposes.

4.15 – HAZARD COMMUNICATION REQUIREMENTS

The Federal Government has identified a number of commodity items as being hazardous or potentially hazardous. In such cases, the manufacturer of those commodities must provide a Safety Data Sheet (SDS) to the purchaser. The Oklahoma Occupational Health and Safety Standards Act, 40 Okla. Stat. 1991, Sections 401-424 requires the City to obtain safety data auxiliary information on those specific materials and services. The supplier is responsible for providing the Safety Data Sheet to the department when the goods are delivered.

SECTION 5 - SUSTAINABLE PURCHASING POLICY

5.1 – PURPOSE

On August 7, 2014, the City Manager issued Management Bulletin 14-3 – Sustainable Purchasing Policy. This policy was written following the management bulletin. The purpose of this policy is to communicate the City's commitment, when cost-effective, to purchase products that are less toxic, wasteful, and costly to dispose of; products that conserve energy, water, and other natural resources; and products that last longer.

Nothing in this policy shall require a department, employee, or vendor under contract with the City, to exclude competition or to purchase products or services that do not perform adequately or are not available at a reasonable price in a reasonable period of time.

5.2 – SUSTAINABILITY GOALS

In its purchasing of products and services, the City of Oklahoma City has the opportunity to address sustainability goals. Therefore, it is the policy of the City to incorporate sustainability considerations into purchasing decisions, when cost effective, in order to:

(a) Promote practices that improve human and environmental health;
(b) Protect and conserve natural resources and energy;
(c) Minimize the City's contribution to pollution and solid waste; and
(d) Support the City's sustainability goals and initiatives.

5.3 – PURCHASING SUSTAINABLE PRODUCTS AND SERVICES

In order to achieve these goals, City departments, employees, and contractors, when doing business with or on behalf of the City, where cost effective, shall take into account the following when identifying, soliciting, and evaluating products or services procured with City funds:

- To the extent feasible, reduce the amount of materials purchased that must be accounted for, managed, reused, recycled, or sent to landfills. By reducing the amount of materials purchased, the City will prioritize waste and cost reduction. Examples include:
    - Renting or leasing equipment not needed on a regular basis;
    - Utilizing centralized printers, instead of desktop printers;
    - Purchasing recycled copier paper; and
    - Changing copier and printer defaults to print double-sided.
- Purchase recycled and recyclable products when practical.
- When a product has operating and maintenance costs, these costs should be taken into account in addition to the up-front purchase cost. This total "lifecycle cost" should be used to determine the most cost-effective purchase for the City. Examples include items such as HVAC systems, vehicles, and IT equipment.
- Take consideration of the environmental impacts of the item purchased. Examples of factors to consider include:
    1. Conserving natural resources and minimizing the use of electricity and fuel;
    2. Reducing the generation and emissions of pollutants;
    3. Reducing waste in the manufacturing, use, and packaging of products;
    4. Considering at the time of purchase how the product will be disposed;
    5. Minimizing transportation impacts of products; and
    6. Considering factors that provide other environmental and health benefits.

- Give consideration to products with independent third-party labels that verify minimum health and environmental standards. Examples include Energy Star, Forestry Stewardship Council (FSC-US), Green Seal, and EcoLogo.

5.4 – SUSTAINABILITY PURCHASING TRAINING AND INFORMATION

The Procurement Services Division, in partnership with the Office of Sustainability, will keep City employees informed on the latest purchasing information related to this policy. This will be done through training, newsletters and the internal website.

5.5 – APPENDIX – FREQUENTYLY ASKED QUESTIONS (FAQS)

The attached list of FAQs has been provided to provide guidance with this policy.

Appendix: FAQs

1. Why use a sustainable purchasing policy?

Many products and services required for City operations are evaluated first by cost alone. This can result in owning products that cost more to maintain than other options, or cause unnecessary damage to the environment and/or public health. By purchasing environmentally preferable products, it is possible to make the most cost-effective decisions and reduce these impacts.

A sustainable purchasing policy allows the City to incorporate important considerations into purchasing decisions, when cost-effective, in order to:

- Promote practices that improve human and environmental health;
- Protect and conserve natural resources and energy;
- Minimize the City's contribution to pollution and solid waste; and
- Support the City's sustainability goals and initiatives.

2. What are the benefits of purchasing products that meet the City's sustainability goals?

The sustainability element adds opportunities for the following:
Lower purchase price for things such as remanufactured products;
Reduced operational costs due to increased energy efficiency;
Reduced disposal costs via the purchasing of more durable products;
Reduced hazardous management costs by utilizing less toxic products;
Improved employee and public health; and
Greater social responsibility of vendors and contractors.

3. Can sustainable purchasing actually save money?

Yes. A number of environmentally preferable products available today are less expensive than their conventional counterparts that serve the same purpose, including energy efficient equipment and appliances, remanufactured toner cartridges and office panels, and retread tires.

A wide range of other products are equal or comparable in cost, including carpet, cleaning products, janitorial paper products, remanufactured antifreeze and traffic cones.

Other products may cost more at the time of purchase, but often have a shorter "payback period" after which time they represent a significant ongoing cost savings in the maintenance, operation and/or disposal of the product. (e.g. compact fluorescent light bulbs and plastic lumber.)

4. Are there key words I should look for when purchasing products?

The new language in the purchasing policy contains some suggestions. You might also ask your vendors or contractors specific questions about products, including the following:

- Does this product contain less hazardous components/ingredients than its traditional counterpart?
- Is it reusable or more durable than its traditional counterpart?
- Is it made from recycled materials?
- What happens to the product at the end of its life? Is it recyclable? Will the manufacturer take the product back? Does it require special disposal?
- Does it conserve energy or water?
- Is it made from plant-based raw materials?
- Is it produced locally?

5. What about sustainable product certifications?

There are a number of nationally-recognized certifications that you can look for to ensure that the products you purchase have been endorsed by a non-biased, third-party source. Some of the most common include:

- **Energy Star:** (buildings and appliances) verified by the U.S. Environmental Protection Agency (EPA) and the U.S. Department of Energy (DOE). In addition to products, the ENERGY STAR program produces information for purchasers including: how to develop a life cycle cost analysis; preparing your bid; specifying a particular brand; educating employees about new policies; gaining recognition for commitment to the environment and savings; overcoming barriers; and discovering benefits. ENERGY STAR also has a "Savings Calculators," which can be used to compare ENERGY STAR products with non-ENERGY STAR products.
- **Forest Stewardship Certification (FSC-US):** (paper products) sets standards for "forest friendly" practices and, through independent verifiers, certifies forests that are managed consistent with its standards. Forest-based products that originate from FSC-certified forests are also eligible for FSC-certification.
- **Green Seal:** (chemicals and cleaning products) establishes environmental standards and awards its "green seal of approval" to products meeting its standards. Green Seal has created environmental standards for more than 30 product categories and regularly publishes its Choose Green Reports, which evaluate the environmental impact of products and recommend products that appear to meet its standards.

However, you should be cautious of "greenwashing", or false environmental advertising. The rapid growth of interest for environmentally preferable products has led to a dramatic increase in the number of organizations and manufacturers creating and marketing environmentally preferable goods and services. This has led to an inundation of "green" merchandise onto the retail market, which in turn has led to an increase in the number of claims that products are "green", even when the product would not meet traditional environmentally preferable standards. If you find a questionable label or environmental claim, contact the Sustainability Office at sustainability@okc.gov.

6. What do you mean by "life cycle costs"?

Environmentally preferable products should be priced comparably to their traditional counterparts if they are to be a viable option. However, you should consider the life cycle costs of the product, a process in which you evaluate a good or service's environmental impacts throughout its entire lifespan rather than just its "sticker price".

Consider the following:

- **Product/Project design;**
  Project managers can include life-cycle cost analysis as a requirement for the architectural and engineering phase of construction projects. This will allow a comparison of total costs, including projected energy consumption, over the expected life of different systems.
- **Raw material extraction and processing;**
  All industrial systems require a supply of raw materials, ultimately extracted from the earth. Examples include petroleum drilling, growing and harvesting of trees, mining of minerals, and livestock production.
- **Manufacturing, processing, formulation, distribution, and transportation;**
  These are the processes and sub-processes required to transform a raw material into a usable consumer product and to get it to the consumer. Often times a substantial amount of energy and emissions are generated during this process.
- **Product use and maintenance;**
  Use of the product may result in energy consumption and/or waste discharge. For example, a reusable glass bottle needs to be cleaned before it can be refilled. The cleaning process requires energy and results in detergents disposed down the drain to sewage treatment facilities.
- **End-of-life management: reuse, recycling and disposal.**
  At the end of its useful life, the product will be disposed of by the consumer. Materials entering the solid waste stream will be recycled, incinerated, or land-filled.

7. How do I address this new requirement with vendors or contractors?

Some suggestions to get you started:

- Ask questions, using the guidelines and keywords above.
- Consider adding language to your RFPs alerting vendors and contractors to the new requirements. A start might look something like this:
  "Proposals should ensure that wherever possible specifications are amended to provide for the expanded use of sustainability-preferred products such as: durable products, reusable products, energy efficient products, low pollution products, products (including those used in services) that contain the maximum level of post-consumer waste and/or recyclable content, and products that provide minimal impact to the environment."
- Similarly, the Product/Project Design section of Question #70 recommends including life-cycle cost analyses requirements for construction projects.

8. Where can I find more resources?

You can contact the Planning Department (T.O. Bowman, 297-3168, thomas.bowman@okc.gov or sustainability@okc.gov) or the Procurement Services Division of the Finance Department (Tiffany Lawson, 297-3027, tiffany.lawson@okc.gov) with any questions regarding the sustainable purchasing policy.

These organizations also have excellent resources for you to consider:

- Energy Star (appliances & buildings): www.energystar.gov
  - The EPA-backed Energy Star Label is designated for products that use energy efficiently and thus reduce utilities costs while maintaining the performance and features demanded by consumers.
  - Energy Star Certified Products: http://www.energystar.gov/about/
    - Get estimates on energy savings
    - Receive general buying guidance for appliances and equipment.

- Green Seal (chemicals & cleaning supplies): www.greenseal.org
  - Green Seal is a non-profit environmental certification program with a 25-year history of employing scientific research and a number of standards to provide purchasing guides and sustainability-minded publications.
    - Use Green Seal's product directory to browse products and services by category and/or manufacturer: http://www.greenseal.org/FindGreenSealProductsAndServices.aspx
    - Green Seal also provides resources for government agencies seeking to integrate sustainable purchasing into office operations (see http://www.greenseal.org/GreenGovernmentsAndNonProfits.aspx) including a green office checklist: http://www.greenseal.org/Portals/0/Documents/IG/Green%20Office%20Partnership/Green%20Seal%20Green%20Office%20Checklist.pdf
- Clean Cities (vehicle fleet): www1.eere.energy.gov/cleancities/
  - The U.S. Department of Energy promotes the Clean Cities program is intended to reduce transportation petroleum use by promoting alternative and renewable fuels, idle-reduction measures, fuel economy improvements, and new transportation technologies. Clean Cities also provides financial incentive opportunities, information resources, and a calendar of educational events concerning transportation efficiency.
    - Assists in purchasing of alternative fuel and fuel-efficient vehicles.: http://www1.eere.energy.gov/cleancities/publications.html
    - Includes this 2014 Vehicle Buyer's Guide: http://www.afdc.energy.gov/uploads/publication/60448.pdf
    - The Department of Energy has a collection of tools for buyers and transportation decision-makers: http://www.afdc.energy.gov/tools
- EPA Environmentally Preferable Purchasing Program: http://www.epa.gov/epp/pubs/about/about.htm
  - Using the EPP database (http://yosemite1.epa.gov/oppt/eppstand2.nsf), purchasers can find the following information by searching specific products:
    - Model contract language, specifications and policies used by governments to buy sustainable products and services;
    - Standards and guidelines for products;
    - Additional resources and contacts; and
    - Lists of vendors.
  - Green Purchasing Guides assist purchasers identify "greenwashing" or false environmentally preferable advertising claims (http://www.ftc.gov/bcp/edu/pubs/consumer/general/gen02.shtm), provide tips for sustainable purchasing using government credit cards such as purchasing cards (http://www.epa.gov/oppt/epp/tools/creditcard.htm) and also product-specific guides: (http://www.epa.gov/oppt/epp/pubs/pfs.htm).
- Responsible Purchasing Network: www.responsiblepurchasing.org
  - This organization "is a national network of procurement-related professionals dedicated to socially responsible and environmentally sustainable purchasing." The RPN provides multiple resources and purchasing guides for a wide range of products and services, including many used by City departments:
  - http://www.responsiblepurchasing.org/purchasing_guides/all/
- Biodegradable Products Institute: http://www.bpiworld.org/
  - BPI is a non-profit organization that promotes the use and recovery of compostable materials through municipal composting and providing information and resources such as how to find a composter.

- Through their innovative compostable label program, BPI educates manufacturers, legislators and consumers about the importance of scientifically based standards for compostable materials which biodegrade in large composting facilities.
  - List of Certified (BPI-approved) Products: http://www.bpiworld.org/BPI-Public/Approved/1.html

SECTION 6 - PROCUREMENT BIDS, CONTRACTS AND RESOLUTIONS

6.1 – SCOPE

Formal contracts/pricing agreements are required for materials and services, which exceed $25,000 per unit or in the aggregate made by The City of Oklahoma City in a one-year period.

There are two basic types of contracts that The City of Oklahoma City enters into concerning materials and services. They are one-time contracts and pricing agreements. One-time contracts are used when the City has a specific need. An example of a one-time contract is the purchase of individual fire apparatus units. Pricing agreements are used when the City has a continuing need for quantities that can only be estimated. An example of a pricing agreement is for the purchase of office supplies.

Contracts/pricing agreements are based on specifications that are advertised for competitive bids. Bids are opened electronically by the Bid Committee and referred to staff for evaluation. For amounts over $25,000, purchasing staff must forward their recommendation to the City Council for award and approval.

Professional services contracts are approved by adhering to the Guidelines and Procedures for Professional Consultant Selection presented later in this document.

Sole source authorization/contracts/agreements exceeding $25,000 can be entered into through a contract or resolution approved by the City Council. Purchases with a purchase price of less than $25,000 can be approved by the Purchasing Agent without Council action.

Under certain conditions, the City Council can waive formal competitive bidding and authorize open market purchases exceeding $25,000 by adopting a resolution. Purchases with a purchase price of less than $25,000 can be approved by the Purchasing Agent without Council action.

The Oklahoma City Council is the only body that can award and approve formal contracts exceeding the amount of $25,000. The Mayor and City Clerk are the only individuals that can execute formal contracts exceeding $25,000.

The Purchasing Agent is authorized and may execute purchasing agreements and contracts with a value of $25,000 or less, with the forms for such purchasing agreements and contracts to be approved by the City Manager and Municipal Counselor; provided , the Purchasing Agent shall have the approval of the Finance Director prior to signing any such purchasing agreements or contracts. The Purchasing Agent shall also have the authority to sign renewal documents for these agreements and contracts as deemed appropriate.

The City of Oklahoma City provides fair and impartial consideration to all bidders, and seeks to obtain the highest practical degree of full and free competition.

6.2 – AWARDING OF CONTRACTS

The City will not make the award at the time of bid opening or receipt of proposals. All formal bids or proposals will remain on file for a minimum of 48 hours before a contract will be awarded. After formal bids or proposals are received, the department which requested the purchase will review the bid tabulation and the recommendation provided by the Procurement Services Division. The concurrence of the requesting department will generally be obtained before placing an award recommendation before the City Council for their approval. If approved by the City Council, the contract document will be executed by the Mayor and the City Clerk and will be a legal and binding document. Administrative staff in the Procurement Services Division will download executed copies of Procurement contracts from www.okc.gov and publish the documents on the City's internal website for use by department purchasers.

6.3 – FORMAL BIDS

Departments submit technical specifications to the Purchasing Agent or Buyer in the Procurement Services Division. The specification serves as a basis for obtaining supplies or services that are adequate and suitable to meet the needs of the department. The total cost of ownership and operation, as well as the initial acquisition cost, should always be considered when purchasing goods and services. It is the policy of the City that specifications permit maximum, practicable competition consistent with this purpose. Specifications shall not be unduly restrictive and should be drafted with the objective of clearly describing the City's requirements.

If the bid documents require additional language to change, clarify or improve requirements after the specifications have been advertised in a newspaper of general circulation and posted in the electronic bidding system, this language shall be prepared as an addendum. The addendum shall be considered a change or addition to the original specifications, to clarify or make specific the actual requirements of the original specifications.

The electronic bidding system will not allow bids to be submitted after the time and date shown on the Notice to Bidders. Public opening of electronic bids will be conducted by the Bid Committee. Following the formal bid opening, a Bid Committee bid tabulation created through the electronic bidding system will be posted in the electronic bidding system. All bidders will be notified of the bid results through an e-mail from the electronic bidding system. The bids are then reviewed and analyzed by the Purchasing Agent or appropriate Buyer and a department representative, if applicable.

Specifications will contain the following provisions as a minimum requirement for pricing agreements/contracts:

1. Paragraph containing scope of contract or intent;
2. Definition of contracting entity (City or specific trust);
3. Contract period;
4. Contract renewal option;
5. Delivery schedule;
6. Right of inspection and acceptance at destination;
7. F.O.B. destination;
8. Commercial packaging;
9. Estimated annual requirements (No Guarantee);
10. Order of precedence;
11. Tax exemptions;
12. Right to audit;
13. Open Records Act and confidential information;
14. Invoicing instructions and explanation of payment process;
15. Warranty requirements;
16. General provisions;
17. Safety Data Sheet provision;
18. Invoicing instructions and explanation of payment process; and
19. Detailed technical specifications.

If appropriate, the specifications may contain the following additional provisions:

1. Price lists/illustrated catalogs;
2. Escalation/de-escalation provisions;
3. Insurance requirements; and
4. Performance bond/irrevocable letter of credit.

Procurement Services is responsible for preparing the electronic bid packet, submitting the bid packet for approval and release in the electronic bidding system, finalizing the list of potential bidders and ensuring they are notified of a bid and review of the specifications in order to ensure that they are:

1. Non-restrictive;
2. Clear and concise;
3. Formatted correctly;
4. Free of errors in spelling or punctuation; and
5. Contain all necessary provisions.

6.4 – ACCEPTING OR REJECTING SINGLE BIDS

Single bids over $25,000 will be received and opened by the Bid Committee. Single bids that have an estimated cost of $25,000 or more may be recommended to be rejected in an effort to increase competition through the revision of specifications or expansion of the potential bidder listing. A single bid may be accepted if it is determined that readvertisement of the specifications will result in a higher cost or there is no additional competition to be gained.

6.5 – DETERMINATION OF FORMAL BID AWARDS

The City retains the right to waive minor deficiencies of specifications, technicalities or informalities in a bid, provided that the best interest of the City would be served without prejudice to the rights of other bidders.

Tie bids may occur between two or more bidders. If the bids are equal in price and all specifications, the award will be determined as follows:

(a) Local vendors - If all bids received are for the same total amount or unit price, quality and service being equal, the contract shall be awarded to a local vendor. (Code 1993. §2-419)

(b) Outside vendors - When subsection (a) is inapplicable, the City Council shall award the contract by drawing lots in public (Code 1993 §2-419).

Contracts shall be awarded to the lowest and best bidder. When determining the lower and better bid, the following factors may be considered:

1. The ability, capacity and skill to perform under the contract and provide the service required.
2. Whether the bidder can perform the contract or provide the service promptly, and within the time specified, without delay or interference.
3. Character, integrity, reputation, judgment, experience and efficiency of the bidder.
4. Quality of performance on previous contracts or services.
5. The previous and existing compliance by the bidder with laws and ordinances relating to the contract or services.
6. Sufficiency of the financial resources and ability to perform under the contract.
7. The quality, availability and adaptability of the supplies, or contractual services to the particular use required.
8. The ability to provide future maintenance and service.
9. The number and scope of conditions and/or exceptions attached to the bid.
10. Consideration of whether the bidder has pending litigation.
11. Total cost of ownership of the product or service.
12. When cost-effective, to purchase products that are less toxic, wasteful, and costly to dispose of; products that conserve energy, water, and other natural resources; and products that last longer.

The City reserves the right to accept by item, group of items or by the total bid, whichever is deemed to be in the best interest of the City. If an award is made to multiple suppliers for the same item, it is the responsibility of the using department to determine the lowest and best supplier based on the circumstances of each purchase such as delivery time, availability and any quantity discount.

The City reserves the right to reject any bid in part or the whole of any bid.

No award will be made if it is determined that the lowest bid totals more than the money available for the purchase or it exceeds the reasonable market price.

Split awards will normally only be made if a savings to the City can be made.

The Procurement Services Division will send an electronic copy of the contract to the supplier to signify acceptance and notification of a valid and binding contract.

Note: When the award is not given to the lowest bidder, a full and complete statement shall be included in the Council award memo and entered into the records of the City Clerk.

6.6 – HANDLING OF FORMAL BIDS

Electronic Receipt - Formal bids shall be received electronically by the City Clerk's Office.

Bid Opening - The Bid Committee, comprised of the Purchasing Agent, City Clerk, and City Auditor or their representatives, shall electronically open formal bids. Such opening shall be open to the public. Bidders or their representatives are invited to be present.

Bid Committee Bid Tabulation **-** A tabulation generated by the Bid Committee during the bid opening process and shall be made available for public viewing through the electronic bidding system and become a part of the public record.

Anti-Non-Collusion Affidavit **-** Each contract award must be accompanied by a properly signed and notarized anti-non-collusion affidavit. An affidavit is required at bid opening for construction projects.

Contract Form **-** An electronically signed contract form must accompany each bid.

Records to be Public **-** All procurement records, which are subject to the Open Records Act, shall be open to public inspection at all regular office hours of the City Clerk's Office, except those records containing confidential and/or proprietary trade secrets.

Review of Public Records **-** In order to review a procurement record, it is necessary to submit an Open Records Request through the Office of the City Clerk. The City Clerk's Office will contact the Procurement Services Division to provide the requested information. The Municipal Counselor's Office will review records prior to release by the City Clerk's Office.

6.7 – GROUNDS FOR REJECTION

Whenever a supplier believes that The City has treated them unfairly, it is recommended that the supplier contact the Buyer involved in the transaction or the Purchasing Agent immediately. If the supplier is not satisfied with the Procurement Services Division's response, the supplier may file a formal appeal. Bids may be rejected for any of the following reasons or for other sufficient reasons:

1. Not responsive to the specifications.
2. The bid price exceeded the budget authority available for the purchase.
3. The specifications were determined to be unclear preventing responsive bids.
4. Addenda were not accepted in the electronic bidding system.
5. Failure to execute the anti-non-collusion affidavit properly prior to contract award.
6. Giving or offering of gratuities to a City employee or official.
7. Supplier has a relationship with a City employee or officer that suggests a conflict of interest with the contract.
8. Not in the best interest of the City.

6.8 – VENDOR'S RIGHT TO APPEAL

It is the policy of The City of Oklahoma City to deal fairly with all suppliers in the competitive bidding process for buying and selling items to and from the City. This policy and procedure is intended to facilitate the resolution of any disputes that may develop as a result of the City's competitive bidding procedures.

If a supplier believes they were treated unfairly before, during or after, the competitive bidding process, it is recommended that the supplier first contact the Buyer involved in the transaction, or the City Purchasing Agent immediately. If the supplier is not satisfied with the response, the supplier may file a formal appeal. A formal appeal must take the following form:

Step 1. The supplier may submit any complaint in writing specifically identifying the area of complaint and containing any supporting data or other pertinent information substantiating the complaint within five (5) working days of the occurrence. The complaint shall be e-mailed to cityclerk@okc.gov. The City Clerk will forward the appeal to the City Purchasing Agent. The Purchasing Agent, or designee, will investigate the appeal and review findings with the necessary staff representatives. The Purchasing Agent will then reply in writing within five (5) working days of the date the appeal is received.

Step 2. If the supplier is not satisfied with the Purchasing Agent's written reply, an appeal may be made in writing within five (5) working days to the Finance Director. The Finance Director, or designee, will ascertain all facts within twenty (20) working days after receiving the notice of appeal. The Finance Director, or designee, may hold a hearing and invite witnesses if deemed necessary. The Finance Director, or designee, will provide findings and a decision within ten (10) working days following the date of the hearing.

Step 3. If the supplier is not satisfied with the Finance Director's findings, the supplier can appeal to the City Manager within five (5) working days following receipt of the Finance Director's response. There are no further steps in the appeals process.

6.9 – MATERIAL ITEM CONTRACTS

Commodities are considered to be material items. Construction items, intergovernmental payments and professional services are generally not considered material items and may not follow the same purchasing procedures. Examples of material items:

1. Fuel
2. Office Supplies
3. Janitorial Supplies
4. Plumbing Supplies
5. Electrical Supplies
6. Vehicles
7. Grounds Maintenance Equipment
8. Computers
9. Furniture

6.10 – SERVICE CONTRACTS

Service contracts are generally limited to meeting the needs of a particular department/division and may also be used on a citywide basis. Examples of service contracts:

1. Custodial Services
2. Pest Control Services
3. Plumbing Services
4. Vehicle Maintenance and Repair
5. Equipment Repair
6. Air Conditioning Repair/Maintenance
7. Copier Maintenance
8. Electrical Services

Service contracts are different from other contracts, in that the City purchases a service or performance from the supplier. Some of these contracts have repair parts incorporated into the contract.

Service contracts have several unique characteristics, which include an insurance liability provision (to protect the City from negligent acts of the supplier), references as to past performance, and sometimes a performance bond or an irrevocable letter of credit (a guarantee that the vendor will do what the City is asking him/her to do). Some of the service contracts include a penalty clause and/or termination clause, which allows the City to ensure standard performance from a supplier whose performance level may become unsatisfactory.

6.11 – PRICING AGREEMENTS

The Procurement Services Division and/or Procurement Buyers process a number of yearly contracts/agreements. These contracts are often referred to as pricing agreements. These agreements may be issued, as "City-wide" or they may be department specific. The agreements will have an estimated yearly spend amount. Ordering departments are allowed to issue requisitions/purchase orders/purchasing card transactions against the agreements for a period that is usually designated from date of award through a one-year period with options to renew. The formal Council Memo will contain the estimated yearly spend amount of the agreement, as well as the term of the agreement.

6.12 – STATE CONTRACTS

Council may authorize the use of a State contract for a period of one year, regardless of upcoming renewals/extensions of the contract. During the one-year authorization period approved by the City Council, the City's Procurement Purchasing Agent will verify and download contract updates from the State's website and make date extensions in the City's financial system without bringing a resolution back to Council for action each time. If the State adds or removes vendors from a State contract, the Agent will update the City's contract listing to reflect accurate information for these changes. If the State discontinues a contract, Procurement will remove the contract from the approved contract listing and provide a new purchasing solution to the department. If Council authorization is needed while a bid or request for proposal process is completed, staff will bring a resolution before Council for approval.

The City Council may adopt State contracts through a Resolution submitted for approval by the Procurement Services Division. The State of Oklahoma has approximately 100 contracts that are available to state agencies, counties, school districts and municipalities. Copies of the contracts are available on the Internet at the Department of Central Service's web site: https://www.ok.gov/dcs/solicit/app/contractSearch.php. The Oklahoma City Charter requires that all state contracts be authorized by the City Council in amounts set by the Council (currently $25,000). Procurement Services determines the appropriateness and dockets State contracts for Council approval. Procurement Buyers and the Purchasing Agent monitor the use of State contracts to ensure the City is receiving the best products and services at the lowest cost to the City. The Purchasing Agent can authorize use of State contracts when expenditures are estimated to be less than $25,000 within a one-year period without the approval of the City Council.

Ordinance - § 2-383. - Purchases under State Contracts: cooperative purchasing with other governmental units.
(a) The agent shall have the authority to purchase under any State contract whenever advantageous for the City; provided, prior to a purchase under a State contract for any sum in excess of $25,000.00, the agent shall present the State contract to Council for its approval.

(b) The agent shall have the authority to join with other units of government in cooperative purchasing plans whenever advantageous for the City; provided, such purchases shall be made pursuant to bid procedures which substantially comply with those of the City, and the bid procedures and purchases shall be approved by the Council prior to any purchase in excess of $25,000.00.
(Code 1970, § 14-29; Code 1980, § 2-238; Ord. No. 20270, § 1, 1-4-95; Ord. No. 21624, § 1, 12-19-00)

6.13 – TRUST CONTRACTS

The City may make purchases from competitively bid contracts approved by a public trust of which the City is a beneficiary, provided that the procedure followed by the trust for establishing the purchase price complied with the same, or substantially similar, competitive bidding advertisement procedures as set forth in this section. The City may use trust contracts/agreements for which the City is the beneficiary. Examples of contracts/agreements that may be used by the City include the Oklahoma City Municipal Facilities Authority (OCMFA), the Oklahoma City Public Property Authority (OCPPA), the Oklahoma City Water Utilities Trust (OCWUT) and the Oklahoma City Environmental Assistance Trust (OCEAT). A listing and copies of these contracts/agreements are listed on the City's internal website.

6.14 – CONTRACT RENEWAL POLICY

On March 27, 1990, the Oklahoma City Council adopted a resolution establishing a policy on renewal of City contracts for goods and services. This policy provides guidelines by which staff can request that Council renew fiscal year contracts for up to two years.

To qualify for renewal under the City's contract renewal policy, the supplier must be responsive in providing goods and services and the market for goods and services has to have remained constant or increased and there is no market advantage to the City to be gained in re-bidding. The supplier and the City must mutually agree to renew under the same terms and conditions as the original award.

6.15 – SMALL, MINORITY AND WOMEN OWNED BUSINESSES

Departments are encouraged to seek competition from small and minority firms and women's business enterprise firms when possible. The City shall notify small and minority businesses and women's business enterprises of solicitations to bid with the assistance of the Small Business Administration, the Minority Business Development Agency of the Department of Commerce and others as available. Purchases over $2,500 not covered under a contract/pricing agreement must be quoted competitively following the City's open market purchasing procedures and the purchase must be made with the supplier/contractor submitting the lowest and best quote. Materials and supply contracts over $25,000 must be competitively bid and approved by the City Council and awarded to the lowest and best bidder. Construction contracts over $50,000 must be competitively bid and approved by the City Council and awarded to the lowest responsible bidder.

SECTION 7 - ELECTRONIC BIDS AND PROPOSALS

7.1 – BACKGROUND

The City Charter was amended by a vote of the people on October 14, 2003. One of the amendments to Article IX, Section 4 allowed the Council to determine the method in which competitive bids for goods and services could be accepted: "competitive bids shall be submitted in the manner to be established by the Council . . ." And, the "opening" of bids described in Article IX, Section 4 was redefined as follows: "As used in this section, {opened} shall mean publicly revealed on the date and at the time and place provided in the bid specifications." On August 27, 2013, Chapter 2 of the Oklahoma City Municipal Code was amended to provide for electronic bidding and electronic signatures by the supplier, contractor and notary. These changes allow suppliers and contractors to complete the bid forms and affidavits on-line. The following policy and procedure is written to fulfill the intent of the Charter and Ordinance Change to allow the City to accept electronically signed competitive bids and proposals, on-line, via the Internet.

7.2 – POLICY

Electronic bids will be solicited for goods and services and construction projects as needed. Electronic proposals for professional services will also be solicited. Formal competitive bids and requests for proposals over $25,000 will continue to be advertised in a newspaper of general circulation. Instructions and training on how to register to bid and receive notifications through the City's electronic bidding system are posted on the City's web site at https://www.okc.gov/departments/city-clerk/current-bids.

The electronic bidding system will not allow a bid or proposal to be opened until the date and time stated on the Notice to Bidder/Proposer in the specifications of each electronic bid invitation. The electronic bidding system will not allow electronic bids to be submitted after the stated deadline.

7.3 – PROCEDURE

Public opening of electronic bids will be conducted by the Bid Committee. The Bid Committee consists of the Purchasing Agent, the City Clerk, and the City Auditor, or their designees. In the event of a City computer system failure, the bid opening may be delayed or cancelled; however, this will not change the requirement for all bids to be submitted on time. Late bids and/or proposals will not be considered. The City reserves the right to reject all bids.

Following the formal bid opening, a Bid Committee bid tabulation created through the electronic bidding system will be posted in the electronic bidding system. All bidders will be notified of the bid results through an e-mail from the electronic bidding system. Procurement Services Buyers, or the appropriate department, will evaluate the bids/proposals received. All formal bids or proposals will remain on file for a minimum of 48 hours before a contract will be awarded. Contract/pricing agreement award recommendations exceeding $25,000 will be routed to the City Council for approval.

7.4 –LISTING OF CURRENT BIDS

A list of currently advertised bids and proposals are posted on the City's web site each week as bids are released into the electronic bidding system by the City Clerk's Office. Potential bidders must log into the electronic bidding system to download a copy of a bid. City staff provides training and information to interested suppliers and contractors on how to register to bid on City contracts. There is no fee to register as a prospective bidder in the electronic bidding system.

SECTION 8 - OPEN MARKET PURCHASES

8.1 – DEFINITIONS

Departmental purchaser - An individual appointed by a department and confirmed by the Procurement Purchasing Agent through required training classes and approval of security as a delegated purchaser for that department only.

Lowest and best bid - The lowest dollar bid in response to a request for bid that conforms to the specifications and best meets the City's needs.

Open market construction purchase - Any purchase of construction that is made without formal competitive bidding (less than $50,000).

Open market purchase - Any purchase of supplies and/or contractual services that is made without formal competitive bidding.

Open market purchase authority - Supplies and/or contractual services that do not exceed $25,000 in City funds may be purchased on the open market without a formal bid and without Council action. Items that cost in excess of $25,000 in City funds can only be purchased on the open market by City Council action. This action is in the form of a resolution that waives competitive bidding and authorizes the open market purchase.

Open market resolution - A resolution approved by the City Council for open market authority, for supplies and/or services not available on a pricing agreement. The estimated cost is based on immediate need or historical usage that is made with or without formal competitive bidding.

Split purchases - An unauthorized purchase that is divided into orders involving sums lower than $25,000.01 for the purpose of avoiding the requirements of formal competitive bidding when the total amount is in excess of $25,000. Or, purchases divided into sums lower than $2,500 to avoid informal quotes/bidding.

8.2 - PROCEDURE

It is the policy of The City of Oklahoma City to ensure all open market purchases shall, wherever possible, be based on at least three informal competitive price quotes/bids, and shall be awarded to the lowest and best bid in accordance with the standards set forth in Article V, Division 3 of the Municipal Code, and Section 4 of Article IX of the Oklahoma City Charter.

The first priority for all purchases, regardless of dollar amount, is to use suppliers available through existing contracts, pricing agreements and resolutions authorized by the Oklahoma City Council and signed by the Mayor. If the needed supplies and services are not available under existing contracts or pricing agreements, contracted suppliers should be contacted for quotes prior to contacting suppliers who do not have an existing agreement with the City.

Single item purchases less than $2,500 that are not available under a contract, will be made at the discretion of departments based on reasonable and informed price comparisons and following the department's purchasing policy.

Single item purchases of $2,500 to $25,000 that are not under contract, will be made at the discretion of departments based on the documentation of at least three informal competitive price quotations. The documentation of the informal quotations must include the name and location of the City department, name and title of departmental purchaser, description of the item, and supplier name, phone number, date of quote and price,

including set up fees and delivery charges. The price quotation and related documentation must be attached to the purchasing transaction in the financial system and must follow the records retention policy for purchasing documents.

Departments may solicit informal price quotations for open market purchases by any one of the following methods:

1. Letter;
2. Telephone;
3. Public notice;
4. E-mail;
5. Facsimile;
6. Electronic bidding system; and
7. Other means authorized by the Procurement Purchasing Agent.

The purchase will be made from the lowest and best quote/bid in accordance with the Municipal Code. When the lowest bidder is not selected, a full and complete statement of the reasons shall be entered in the records of the purchasing transaction and the department's purchasing files. When determining the lowest and best bid, in addition to price, the following factors may be considered:

1. The ability, capacity and skill to perform under the contract and provide the service required.
2. Whether the bidder can perform the contract or provide the service promptly, and within the time specified, without delay or interference.
3. Character, integrity, reputation, judgment, experience and efficiency of the bidder.
4. Quality of performance on previous contracts or services.
5. The previous and existing compliance by the bidder with laws and ordinances relating to the contract or services.
6. Sufficiency of the financial resources and ability to perform under the contract.
7. The quality, availability and adaptability of the supplies, or contractual services to the particular use required.
8. The ability to provide future maintenance and service.
9. The number and scope of conditions and/or exceptions attached to the bid.
10. Consideration of whether the bidder has pending litigation.
11. Total cost of ownership of the product or service.
12. When cost-effective, to purchase products that are less toxic, wasteful, and costly to dispose of; products that conserve energy, water, and other natural resources; and products that last longer.

8.3 – PROCEDURE FOR PURCHASES LESS THAN $2,500

Purchases of non-contract items less than $2,500 will be the delegated authority of each department subject to The City of Oklahoma City's Purchasing Policies and Procedures Manual. When possible, it is required that a purchasing card be used for purchasing items less than $2,500.

When making open market purchases of non-contract items for less than $2,500, the department must first select a supplier and use a purchasing card, or if the purchase does not qualify for the purchasing card, enter a requisition in the financial system for payment to the chosen supplier.

If a requisition is entered, the electronic approval of the requisition signifies the following:

1. Authorizes the Buyer to encumber funds.
2. The funds are available (funds have been appropriated).

3. A correct account class code is being used.
4. The correct accounting distribution is being used.
5. The correct supplier id is being used.
6. Appropriate category code(s) are being used.
7. Informal quotes were obtained and attached to the transaction when required by the department's policy.
8. All data entry is correct, including necessary text, and the document has passed all electronic edits.

The transaction is electronically routed to the appropriate Procurement Buyer as a requisition based on the category code. The Buyer reviews and applies the approval to the requisition which allows the transaction to create a purchases order and be encumbered. A hard copy purchase order is printed and mailed to the supplier and an electronic copy is posted on the City's internal website for the originating department.

8.4 – PROCEDURE FOR PURCHASES FROM $2,500 TO $25,000

Informal price quotations between $2,500 and $25,000 will be audited by the Procurement Services Division and/or Procurement Buyers to ensure completion of the standard quotation form and accuracy of the information prior to issuance of a purchase order. The price quotation form and supporting documentation must be attached electronically to the requisition or purchasing card transaction in the financial system. Departments shall retain a copy of the quotation form and any supporting documentation in their purchasing files in compliance with the City's records retention policy for purchasing records.

The Procurement Services Division and/or Procurement Buyer will review the electronic quote submitted by the department/division and audit the record to confirm the following information before approval of the purchasing transaction:

1. Department/division name;
2. Department purchaser phone number;
3. Item descriptions;
4. Company name and address;
5. Contact name and phone number;
6. Confirmation of quoted prices;
7. Confirmation of the time period for which the price quote is valid;
8. Total quoted price;
9. Documentation of three price quotes;
10. Choice of lowest quote;
11. Documentation for recommendation of other than lowest quote; and
12. Justification for single or sole source.

8.5 – OPEN MARKET PROCEDURES FOR CONSTRUCTION

Construction contracts less than $50,000 shall be let and awarded to the lowest responsible bidder by receipt of written bids or awarded on the basis of competitive quotes to the lowest responsible qualified contractor. Work may commence upon proper execution of an informal contract and issuance of a work order by the Construction Purchasing Agent/Public Works Director. Informal bids may be requested by e-mail, paper copy, fax, BidSync, etc. Specifications must have a clear, defined scope of work so that all bidders have a fair opportunity. Bonds are not required under $50,000, but sometimes the department may include, depending upon the type of project. Liability insurance is required. Informal bidding documents are available by contacting the Public Works Department.

Construction contracts for less than $5,000 may be negotiated with a qualified contractor without price quotes. Work may commence upon issuance of a work order by the Construction Purchasing Agent/Public Works Director. Liability insurance is required.

8.6 – AUDIT OF OPEN MARKET PURCHASES

There will be a 100% audit/review of all price quotes between $2,500 and $25,000. Procurement Buyers may audit/review some quotes more thoroughly than others. Procurement Buyers may contact suppliers or departments for clarification of items and services being purchased to ensure policies and procedures were followed and that the best selection was made. Repeated errors or infractions may result in administrative disciplinary actions.

The Oklahoma City Charter and the City's Procurement Ordinance require the awarding of contracts, agreements and purchases to the lowest and best bidder. Many contracts and pricing agreements are established each year for use by all City departments. These contracts, approved by the City Council, are the first priority for all purchases, regardless of dollar amount.

Purchases of $2,500 to $25,000 for items not available through City contracts/agreements require informal competitive quotes be obtained by City departments through various methods, and recorded by City staff on a standardized price quotation form.

Purchases of non-contract items of less than $2,500 are delegated areas of authority subject to the rules of each department. All departments are to prepare written procedures for staff to use when making these purchases. Departments are responsible for obtaining competitive prices for all open market purchases, including purchasing card transactions.

8.7 – POLICY ON AUDITS

Informal price quotations under $25,000 for non-contract items may be processed as decentralized purchasing transactions. The previous section describes the procedure by which informal price quotations under $25,000 will be audited by the Procurement Services Division and/or Procurement Buyers. These procedures also apply to purchasing card transactions.

8.8 – DEPARTMENTAL PURCHASERS

Departmental purchasers will be appointed by their respective department head and will be confirmed by the Procurement Purchasing Agent through required training classes, review of work by Procurement Buyers and Accounts Payable staff according to the criteria outlined below. Designated employees in any department may be authorized to act on behalf of the City Procurement Purchasing Agent in the purchase of goods/services for their respective department following the Purchasing Policies and Procedures for Open Market Purchases of $25,000 or less. A commitment must be made by the department and the designated departmental purchaser to comply with purchasing laws, rules and regulations. The departmental purchaser must receive training as required and cooperate with purchasing and accounts payable staff. The Procurement Purchasing Agent will assess the performance of the departmental purchaser. Problems arising out of poor performance will be communicated to the department head and/or respective supervisor. Performance appraisals for those designated, as departmental purchasers will include the supervisor's evaluation of purchasing performance. Performance evaluations below fully competent may be cause for the departmental purchaser's designation to be rescinded and system security removed.

8.9 – CRITERIA TO BE A DEPARTMENTAL PURCHASER

1. Fully competent or above performance evaluation.
2. Attend all required training courses in purchasing/accounts payable offered by the City's Procurement Services Division.
3. Basic literacy skills and commitment to organized, legible and accurate work.
4. Demonstrate knowledge of purchasing terms, accounts payable processing, claims and payroll listing and partial payment function.
5. Skill in reading and interpreting financial system reports.

8.10 – TRAINING

Departmental purchasers will be required to participate in various training classes to develop their skills, resolve problems, and convey information regarding the City's Purchasing Policies and Procedures, including updates.

Departmental purchasers must attend required training provided by the Procurement Services Division before they are officially designated as such. Training sessions will be scheduled as needed at the mutual convenience of Procurement staff and the departmental purchasing candidate. Refusal to attend required training may be cause for the departmental purchaser designation to be rescinded and system security removed. Individual coaching sessions will be available when Procurement staff time allows.

8.11 – REPORTING

Departmental purchasers will be required to comply with any reporting requirements that may be established by the Procurement Purchasing Agent.

8.12 – LOSS OF DESIGNATION

Departmental purchaser designation is made based on the qualifications and performance of the individual employee and is not permanently assigned to a particular position. If performance is satisfactory, the departmental purchaser will function as such until the department head replaces the designee. Unsatisfactory performance or failure to comply with meeting or reporting requirements may result in removal of designation and loss of system security. In this case, the department head may select a replacement, or lose the ability to use the services of a departmental purchaser.

SECTION 9 - PURCHASE ORDER REQUIREMENT

9.1 – POLICY

On January 25, 2017, the City Manager issued an update to Management Bulletin 17-1 – Policy for Purchase Order Requirement and Procedures for After Hours and Emergency Purchases as a reminder of the requirement for departments to obtain a valid purchase order prior to the time an order is placed to purchase any goods or services. This policy was written following the management bulletin.

Employees who obtain goods and services from suppliers/contractors/vendors of The City of Oklahoma City should be aware of the following:

Oklahoma State law and the policies of The City of Oklahoma City require the issuance of a valid purchase order, prior to the time the order is placed, to purchase any goods or services (*See* 62 Okla. Stat. 2010 §310.1). This is necessary to confirm that sufficient funds are encumbered to pay for the purchase.

In the event of an emergency, departments may use the City issued purchasing card, or a verbal purchase order number may be issued by the Procurement Services Division. Issuance of the emergency purchase order number is required, prior to the time the order is placed, to purchase any goods or services. It is also the City's policy to use existing purchasing agreements when possible. Exceptions to this requirement must be approved by the Purchasing Agent or appropriate Procurement Buyer in advance of a purchase being made. Procurement Services maintains a list of contracted suppliers/contractors/vendors that may be needed during emergency situations. This list is published on the internal website and provided to departments upon request.

Employees who obtain any items or services on behalf of The City of Oklahoma City without a valid purchase order number could be held personally liable for payment. In addition, the employee will be subject to disciplinary action up to and including termination as set forth in the Personnel Policies of the City.

The Oklahoma City Municipal Code, 2010, Chapter 2, Article V, Division 1, Section 2-351 defines an emergency purchase as a situation in which "the immediate procurement of needed supplies and/or services is essential to prevent delays in the work of the ordering department, which may vitally affect the life, health or convenience of the citizens." Additionally, if a disaster or emergency situation has been declared by a proclamation issued by the Mayor of The City of Oklahoma City, the emergency purchasing procedure will be in effect.

Please provide this policy to all supervisors and employees involved in the purchasing process, whether ordering or receiving goods and/or services.

SECTION 10 - EMERGENCY PURCHASES

10.1 – PROCEDURES

The following procedures should be followed when making purchases after hours or during an emergency event.

A. Purchasing Card

If a disaster has been declared, the City Purchasing Agent or Purchasing Card Coordinator are authorized to temporarily increase the per transaction and monthly purchasing limit of designated Purchasing Cardholders if requested by the City Manager, Assistant City Manager, or Department Director. The request will be issued by telephone, e-mail or in person. An official written request must be completed within ten working days after the emergency event has ended.

B. Emergency Purchase Order

The City's emergency purchase order phone number is (405) 316-3637. This phone number will transfer to the on-call Purchasing Agent or Buyer after hours, on the weekend or during an emergency event. There is also an emergency purchase order e-mail address emergencypo@okc.gov which can be used to request an emergency purchase order number during an emergency, after hours or on the weekends. If the e-mail is not promptly responded to, please call the above listed emergency phone number.

1. The Purchasing Agent or Buyer will assign an emergency purchase order number in the event of an emergency.
2. Any emergency purchase order number issued will be entered into the City's financial system by the requesting department on the next working day following the emergency.
3. The on-call Buyer will make a report of the emergency to the City Purchasing Agent on the following business day.

C. Record Keeping

Record keeping for all purchases following the Policy for Purchase Order Requirement and Procedures for After Hours and Emergency Purchases will be the responsibility of the originating department. The following minimum information should be retained, for audit purposes, for two fiscal years:

1. Description of item and estimated or actual acquisition date and price.
2. Emergency purchase order number(s) and dates issued.
3. The purchase order number later issued from the financial system.
4. Copy of original communication/letter, or e-mail, requesting an increase in a Purchasing Card transaction limit.
5. Other documents relating to the emergency purchase; vendor name, address and phone number.
6. Itemized receipts and funding sources.

Please provide this policy to all supervisors and employees involved in the purchasing process, whether ordering or receiving goods and/or services.

SECTION 11 - PAYMENT PROCESSING

11.1 - BUYER REVIEW AND ENCUMBRANCES

On May 7, 2012, the City Manager issued Departmental Memo No. 12-9 – Purchasing Policies and Procedures – Payment Processing. This policy has been updated to reflect current payment processing procedures and should replace the information contained in the previous memo. All City purchases, regardless of type or category, must route through a Procurement Services Buyer. All City purchases must be encumbered (monies set aside for a specific purpose) and a purchase order (PO) issued. The Buyer ensures departmental requests meet all legal and procedural requirements prior to being encumbered and a purchase order issued. The encumbering officer for The City of Oklahoma City is the Finance Director. The Buyers act on behalf of the encumbering officer and the Purchasing Agent regarding approval of City purchases.

11.2 – PURCHASE ORDERS, INVOICES AND RECEIVERS

Departments and suppliers receive copies of POs issued. The supplier delivers the goods or services to the department and issues an invoice to The City of Oklahoma City. Original supplier invoices are submitted to the Accounts Payable Section of the Procurement Services Division. The department acknowledges receipt of goods or services from the supplier by generating an electronic receiver. The electronic receiver acknowledges the goods or services were received and authorizes payment to the supplier. Packing slip information or invoice numbers should be entered in the appropriate field on the electronic receiver as required by Procurement Services.

Supplier invoices are used to record the cost and terms of goods ordered and delivered. The invoice should include the supplier name and address, ship to address (department name and location), PO number, itemization of each item purchased, description, stock number, unit cost and quantity, unit of issue (each, box, case etc.) and total amount of the invoice.

Accounts Payable matches the PO, original invoices, any required claim forms i.e. construction, and other supporting documents, and notes the payment voucher number on the PO.

11.3 – THREE–WAY MATCH AND PAYMENT

The Accounts Payable Section of the Procurement Services Division is responsible for processing claims for payment. The final phase of the purchasing cycle is the three-way-match and the generation of a payment voucher, which results in a check or electronic payment being issued to the supplier.

The financial system compares the PO, electronic receiver and supplier invoice. These documents must "match" electronically before the claim can be processed. The three-way match considers the units ordered, received and invoiced, as well as the unit cost, on the purchase order, receiving document and invoice.

The Accounts Payable Section ensures the three-way match has been accomplished. Accounts Payable relies on system-maintained tables, as well as source documents, to verify the three-way match.

If the invoice is not part of a three-way match, it will be processed as follows:

1. If the receiver is missing, Accounts Payable will contact the originating department and document any problems, and if necessary, refer to the appropriate Buyer.
2. If the invoice does not reference a PO number, Accounts Payable may refer the invoice to the appropriate Buyer or department if the PO number cannot be determined.
3. If the invoice exceeds the encumbrance, Accounts Payable may contact the department or the appropriate Buyer to request a change order be processed.

There are system tables that provide query capability to the status of the order, receipt, and invoice information captured in the financial system.

Once the three-way match is verified, the voucher is approved and budget checked and the Claims and Payroll listing is created. The Claims and Payroll listing is a list of all payments made by the City and is approved by the City Council at the next available Council meeting.

11.4 – SUPPLIER DISCOUNTS

Many suppliers have discount policies that permit discounts to be taken in return for prompt payment. These discounts are located on the invoice or a pricing agreement/contract. The Accounts Payable Section enters prompt payment discount codes on the payment voucher when processing invoices. The system will then calculate whether the discount can be taken at time of payment.

11.5 – SUPPLIER PAYMENTS

It is imperative, goods or services are not released to employees of the City of Oklahoma City unless a PO document is in the supplier's possession, or unless a valid PO number is given at the time the order is requested. City employees who attempt to receive any item on behalf of the City of Oklahoma City, but who do not provide the supplier with a valid PO number, are themselves personally liable for the item(s) they receive. The City of Oklahoma City is not responsible for the payment of these items. It will be the responsibility of the supplier to collect from the employee directly. This is for the protection of the supplier, the employee, and The City of Oklahoma City.

Suppliers should submit invoices to the Procurement Services Division, Accounts Payable Section for payment processing. Invoices should not be submitted to the user department unless specifically instructed to do so by the Procurement Services Division. Invoices should not include any costs related to outstanding back orders. In cases of partial delivery, the department should make partial payment, after giving consideration to the dollar value of the delivered goods and the relative importance of the back-ordered items. Departments shall endeavor to authorize payment for goods or services received in a timely manner regardless of partial or final shipments. It is the City's goal to process payments to suppliers within 30 days of the invoice date.

Payments will be processed promptly after receipt of properly prepared invoice(s) and electronic receiver(s). The original invoice must be in the Accounts Payable Section.

Invoices must contain the following information:

1. Supplier's name and address.
2. Ship to address (Department Name and Location).
3. PO number.
4. Itemization of each item purchased.
5. Description, stock number, unit cost and quantity.
6. Unit of issue (each, box, dozen, pound, etc.).
7. Total amount of invoice.

The City of Oklahoma City notifies the supplier either on the PO, pricing agreement or Vendor Registration Form that in lieu of a sworn affidavit, any supplier who accepts payment confirms the following:

1. The invoice is true and correct.
2. The work, service or materials, as shown by the invoice or claim, have been completed or supplied in accordance with the plans, specifications, orders or requests furnished the supplier.

3. The supplier has made no offer of money, or anything of value, directly or indirectly, to any elected official, officer or employee of the City.

11.6 – PAYMENTS FROM GRANT FUNDS

All grant fund payments must be certified on the invoice or through an e-mail by the Grant Administrator and attached to the payment when processed, including purchasing card transactions. Purchasing cardholders must attach this documentation to each transaction being paid with grant funds prior to submitting to their department's purchasing card approver. The Grant Administrator is certifying the following "As Program Manager for the grant, I do hereby certify that the costs for this purchase/payment represent an allowable, reasonable, an allocable cost benefit to the objectives of the grant and that the vendor is not currently on The Office of Foreign Assets Control (OFAC) suspended and debarred list."

11.7 – SUPPLIER CREDIT MEMOS AND REFUNDS

Supplier credit memos are processed by the Accounts Payable Section of the Procurement Services Division. When credit memos are processed, the amount is deducted from the supplier's payment. The credit amount cannot be more than the total amount of the invoice being processed. The City's financial system will not process a payment with a negative or zero dollar amount. When necessary, the Accounts Payable Supervisor will request the supplier issue a check for a refund instead of a credit memo.

11.8 – CHANGE REQUESTS

Change requests are used to adjust any number of discrepancies that occur during the processing of purchasing and accounts payable documents. Change requests occur when the "three-way match" cannot be performed successfully. The documents that make up the three-way match are the PO, the receipt and the supplier invoice.

The electronic three-way match considers unit of measure, as well as unit cost by line item. The value of the total order is also considered. Change requests to a PO will result in a new purchase order being printed. The PO will state it is a modified printout. The number of change requests, as well as the last print date, are recorded in the change request history tables.

11.9 – VENDOR FILE MAINTENANCE

It is the policy of the City of Oklahoma City to retain all vendor registration records, in accordance with the City's Records Retention Policy, to allow for accurate and complete historical reporting. To effectively manage the size of the vendor file for daily access, the total electronic file will be sorted to identify suppliers by Active or Inactive status.

The total vendor file will be reviewed at least annually to identify active vendors/suppliers which may need to be inactivated. For this purpose "inactive" will mean no POs have been issued to the supplier, no purchasing card transactions have been made and no payments have been made for the prior three years. Also, no inquiries or updates have been entered in the individual supplier file for the same time period. The procedure will not delete the inactive supplier records. Instead, it will only change the status from Active to Inactive. Inactive suppliers will be marked as I (Inactive). The inactive suppliers will be purged from the active file, but not deleted from the historical record in the financial system. Temporary (one-time) vendors/suppliers will also be marked as I (Inactive) at least annually. Procurement Services will monitor vendor registration records to keep duplicate vendor/supplier identification codes to a minimum.

When necessary, a supplier may be reactivated by Procurement Services staff. If the paper record has been sent to shredding/recycling, or is out-of-date, the supplier will need to submit a new Vendor Registration Form and W-9 to reactivate the file. Supplier files will be held for at least one year after a supplier number becomes inactive prior to following the City's Records Retention Policy.

11.10 – YEAR-END PAYMENT PROCESSING PROCEDURES

The City and its related Trusts are required to pay for all goods and services received in a timely manner. Each employee, supervisor, and department is ultimately responsible for making certain these payments are completed as soon as possible after receipt of merchandise or services. It is especially critical that electronic receivers for goods or services received on or before June 30 are entered by June 30. Invoices for goods or services received on or before June 30 should also be paid as soon as possible following that date. This includes both fiscal year and multi-year operating units. Where partial goods and services are received, those items received prior to June 30 must be processed for payment prior to the Accounts Payable deadline discussed later in these procedures.

YEAR-END CLOSING MEMO

The Finance Director will issue a year-end memo prior to June 1st of each year. This memo will provide closing instructions and deadlines to ensure City departments and Trusts meet the necessary requirements for the Finance Department to close out the fiscal year.

ENCUMBRANCES

Particular attention should be given to invoices presented without prior encumbrances and the disciplinary measures in place for violation of this procedure. In addition, it is crucial these procedures be followed carefully in order to reduce errors as much as possible. All goods and services must be obtained using a valid PO, except for those goods and services secured with a purchasing card. In case of an emergency, a PO number must be issued by the Finance Department, Procurement Services Division. No goods or services can be obtained unless a purchase order document is in the supplier's possession or a PO number is given at the time the order is placed. The PO will need to be in Dispatched status before the requester can give the PO number to the supplier. This is for the protection of the supplier, the employee, and the City of Oklahoma City.

Employees who obtain any items or services on behalf of the City of Oklahoma City without a valid PO number will be held personally liable for payment and will be subject to disciplinary action, up to and including termination, as set forth in the Personnel Policies of the City.

Public Trusts that have adopted the City's purchasing policies and procedures should comply with all provisions of this policy. Public Trusts that have not adopted the City's purchasing policies and procedures should adopt policies and procedures that ensure the principles set forth in these procedures are followed and clearly outline any differences in policy requirements.

Purchases for a fiscal year must be encumbered in the same fiscal year. All requisitions must be entered into the system, pass all edits, be approved and budget checked, prior to the deadline set by the Finance Department. This will ensure anticipated purchases are encumbered prior to the end of the fiscal year.

ELECTRONIC RECEIVERS

Departments must apply electronic receivers and have all claims for fiscal and multi-year operating units to Accounts Payable by the year-end deadline. Unpaid balances for goods and services received after June 30 against fiscal year operating units must be re-encumbered to provide budget authority to pay the claim in the following fiscal year.

PETTY CASH REPLENISHMENTS

In accordance with State statutes, purchases cannot span fiscal years. Purchases should terminate on June 30 of the current fiscal year and reconciliation should be performed. Any person responsible for a petty cash account must encumber a PO and submit replenishment claims to the Accounts Payable Section no later than the year-end deadline. An estimated encumbrance for replenishments must be entered by the requisition entry deadline. The PO can be change ordered, if necessary, prior to the Accounts Payable deadline. Petty cash accounts remaining unreconciled when the books of a given fiscal year are closed, or upon termination of an officer or employee

making such draw or expenditures, become the personal responsibility of the person making such draw or expenditure. Petty cash claims not submitted to the Accounts Payable Section by the deadline will require a memo from the Department Head of the submitting department to the Finance Director through the Purchasing Agent, explaining in detail why the replenishment was not submitted by the deadline. These may become a personal responsibility of the petty cash custodian.

OUT-OF-POCKET EXPENSE REIMBURSEMENTS

Out-of-pocket expense reimbursements should be filed within 10 working days of the purchase. These claims must be submitted to the Accounts Payable Section no later than the year-end deadline. An estimated encumbrance for out-of-pocket expenses must be entered by the requisition entry deadline. The PO can be change ordered, if necessary, prior to the Accounts Payable deadline.

Departments submitting an Out-of-Pocket Expense Reimbursement after the Accounts Payable deadline will be required to submit a memo from the Department Head to the Finance Director, through the Purchasing Agent, explaining in detail why the claim was not submitted by the deadline.

COMPUTER PURCHASES

Computer purchases must be encumbered, along with all licensing information, no later than the deadline set forth in the year-end memo issued by the Finance Director. Any requests for exceptions must be approved by the Information Technology Department prior to approval by the Procurement Services Division.

PO CHANGE REQUESTS

PO change requests on encumbrances in fiscal year operating units will follow the same closing schedule as the original encumbrance.

INVOICES

Goods and services, including utility bills, received on or before June 30th must be processed for payment prior to the Accounts Payable deadline.

Invoices dated before July 1st or for goods and services received prior to June 30th not referencing a valid PO number from the prior fiscal year will not be processed for payment without proper documentation. The involved department will be required to submit a Prior Fiscal Year (PFY) memo approved by the Department Head to the Purchasing Agent by the deadline. PFY memos submitted after the deadline will be required to be submitted from the Department Head to the Finance Director, through the Purchasing Agent, explaining in detail the reason why the outstanding invoice does not show an encumbrance against it. This memo will be routed through all appropriate levels for determination of final disposition.

PO ROLLOVER

Purchase Orders for items encumbered prior to June 30th; which are encumbered using fiscal year operating units, whether for goods and services received before or after June 30, and cannot be fully processed for payment by the deadline are subject to PO rollover. Procurement Services will provide procedures and guidelines for PO rollover at the end of each fiscal year.

After PO rollover is completed by the Procurement Services Division, departments can process receipts, change requests, and payments. Procurement Services will deliver the list of POs that were rolled over to the Budget Office and a budget amendment will be prepared. Following adoption of the budget amendment, funding will be added to department budgets in an amount equal to the POs that were rolled over. Any POs, which are not included in the budget amendment, will have to be paid from the department's current year budget.

PURCHASING CARD PURCHASES

All purchasing card transactions must be made (supplier must swipe card) by the year-end deadline. This will ensure purchases are processed in time to post to the correct fiscal year. Cardholders should work with their suppliers to ensure all transactions are posted and available no later than the date set forth in the year-end memo.

Purchasing card transactions will be suspended for approximately the final two weeks of June each fiscal year to ensure transactions are posted in the correct fiscal year. Cardholders will be able to use purchasing cards again on July 1st, for the following fiscal year, provided the proper encumbrances are in place. The Purchasing Card Coordinator will notify departments of the amount of the necessary encumbrances derived from the average monthly spend of each specified fund based on expenditures from the previous fiscal year. Departments only spending general fund money are not required to enter an encumbrance. This encumbrance is completed by the Finance Department to cover all general fund purchasing card purchases.

SECTION 12 - GUIDELINES AND PROCEDURES FOR PROFESSIONAL CONSULTANT SELECTION (REQUEST FOR PROPOSALS)

All Professional Service Contracts as defined in these Guidelines and Procedures for Professional Consultant Selection shall be made and entered into pursuant to these procedures and approved or ratified by the City Council or respective Trust, as applicable.

12.1 – DEFINITIONS

For the purposes of these Guidelines and Procedures for Professional Consultant Selection, the following terms and phrases shall have the meaning set forth below.

A. "City" shall mean The City of Oklahoma City and/or any Trust that has adopted these procedures. As used in these procedures, an approval, ratification, waiver or rejection by the City or Trust shall mean an action of the governing body of such entity.

B. "City Clerk" shall mean the City Clerk of The City of Oklahoma City, or designee.

C. "Guidelines and Procedures" or "Procedures" shall mean these Guidelines and Procedures for Professional Consultant Selection.

D. "City Manager" shall mean the City Manager of The City of Oklahoma City, or designee.

E. "Consultant" shall mean a person or entity that provides or offers to provide Professional Consultant Services as defined in these Guidelines and Procedures for Professional Consultant Selection.

F. "Electronic Bidding System" shall mean the electronic bidding application used by the City and/or Trust to advertise and receive all bids, proposals, communications, and responses to solicitations.

G. "General Manager" shall mean the General Manager of a Trust adopting these procedures, or designee.

H. "Professional Consultant Services" or "Professional Services" or "Professional Services Contract" shall mean a contract or service that requires the contractor to perform services, or perform services in conjunction with providing associated supplies, parts, and/or equipment, that are technical or professional in nature, that require professional or scientific judgment or other special skills training, taste or discretion, or that are not subject to uniform specifications, either due to the nature of the expertise or the extraordinary need of the contracting entity. Professional Consultant Services are generally procured through a Request for Proposals. Requests for Proposals for these types of services are generally used to obtain the following:

1. an opinion, advice or skill which is not readily available within the department or from any other department;
2. use of specific professional disciplines in an advisory, planning or evaluative capacity;
3. expertise or objective opinion on critical or sensitive issues;
4. benefits of developments in industry, university or foundation research;
5. opinions and/or involvement of experts whose established knowledge and stature may contribute to the success of important projects, goals and objectives;
6. expertise which provides knowledge and skill for projects involving the use of computer technology or other types of technology;
7. performance of tasks or activities of limited duration that do not warrant additional full-time staff;
8. performance of tasks or activities of limited duration that require augmentation of permanent staff;

9. advice or assistance resulting in a report or other deliverable service delineating the alternative courses of action and recommendations based upon the expertise possessed by the Consultant; and/or
10. such other professional or technical services as determined by the City Council to be necessary or beneficial to the City or its Trusts and authorities.

I. "Request for Proposals" or "RFP" shall mean an invitation requesting formal proposals for Professional Services for which detailed specifications are impractical and price is not the primary evaluation factor.

J. "Request for Qualifications" or "RFQ" shall mean an invitation requesting formal qualifications for Professional Services wherein the respondents are evaluated based primarily on skills and qualifications. An RFQ may be used to short-list firms to those most qualified for a subsequent competitive RFP solicitation or to select the most qualified firm for the work.

K. "Requesting Department" shall mean the Department, which initiates the request for Professional Consultant Services, develops the Request for Proposals, and is charged with the responsibility for monitoring the performance of the Consultant and reviews the payment of invoices under the resulting Professional Services Contract.

L. "Secretary" shall mean the Secretary of a Trust adopting these procedures, or designee.

M. "Trust" shall mean a public trust with The City of Oklahoma City as a beneficiary.

12.2 – ASSESSMENT OF NEED FOR CONSULTANTS

A. The City Council and/or Trust shall assess and determine the need for Consultants or other Professional Services through approval of the RFP/RFQ and/or authorization to solicit proposals and/or qualifications.

B. Professional Consultant Services shall not be used to perform any duties determined to be non-delegable.

C. These Procedures shall not apply to:

1. Professional Services that are obtained by award of a contract pursuant to competitive bidding;
2. architectural, engineering and planning services, including licensed architectural, landscape architectural, registered engineering, registered land surveying services, appraisers, and certified planners;
3. testing laboratory services;
4. any Professional Consultant Service that is a sole source; i.e., the only known person or entity with a particular skill, knowledge, license, trademark, copyright, or expertise;
5. City contracts in the amount of less than $25,000;
6. Trust contracts for dollar amounts as limited by the respective Trust Indentures or approved by the Trust;
7. attorneys, and
8. expert witnesses and consulting experts for litigation.

D. Except as limited in paragraph C above, these procedures shall apply, but not be limited, to the following Consultants or Professional Services:

1. accountants;
2. actuaries;
3. artists;

4. bond underwriters;
5. financial advisors;
6. healthcare benefits, workers' compensation services providers;
7. independent auditor;
8. information technology and software consultants;
9. insurance brokers and agents;
10. investment broker;
11. legislative consultants;
12. management consultants;
13. marketing services;
14. medical services providers;
15. psychological services providers; and
16. veterinarians.

12.3 – PROCEDURES FOR THE SELECTION OF PROFESSIONAL CONSULTANTS FOR PROFESSIONAL SERVICES CONTRACTS

The Procedures are as follows:

A. The Requesting Department shall develop the Request for Proposals. The RFP shall include, but is not limited to the following:

1. General Instructions and Requirements for Proposers document (preloaded in the electronic bidding system);
2. Oklahoma Open Records Act and Confidential Information document (preloaded in the electronic bidding system);
3. sample Non-Discrimination Statement (preloaded in the electronic bidding system);
4. sample Anti/Non-Collusion Affidavit (preloaded in the electronic bidding system);
5. sample Vendor Registration/W-9 Form (preloaded in the electronic bidding system);
6. Notice to Proposer (part of the proposal packet);
7. information regarding any mandatory or non-mandatory pre-proposal conferences;
8. a statement or description of the specific tasks and/or services to be performed;
9. the goal or objective to be achieved by the services;
10. the scope of the services to be provided;
    a. the scope of the services should be specific enough to provide proposers with sufficient information to prepare an appropriate response to the RFP ("proposal");
    b. any deadlines or constraints to be addressed;
    c. the precise extent, if any, to which City/Trust staff shall participate in the performance of any tasks;
    d. the function of the Consultant and the need and proposed use of the services; and
    e. the format of any reporting or documentation of tasks or services.
11. the ability and capacity of the Proposer; the management structure; and the procedures and practices for management of the engagement;
12. a description of past performance and references on similar services;
13. an estimate of the hours and timelines to perform each task or service and to complete all tasks and services;
14. a statement of billable fees for the services for each member of the proposers team; an estimate of reimbursable expenses; and a not to exceed total for all fees and expenses;
15. the requirements of the service schedule and the reporting requirements for each service or task and the overall completion of the services;

16. whether any additional or further services may be subsequently determined by the City Council/Trust or the Requesting Department to be requested or required;
17. the time for submission of proposals;
18. where a copy of these procedures may be obtained;
19. the critical issues or services to be addressed in the proposals;
20. a description of the proposal evaluation process, rating scale, and/or selection criteria; and
21. the contract negotiation process and criteria, if any.

B. The Request for Proposals may also include the following:

1. specifications with technical requirements;
2. an example of the proposed or sample contract, if available;
3. a requirement that an executed bond and/or insurance certificate be submitted prior to contract approval by the City Council/Trust;
4. a provision directing proposers to provide the name, resume and background of the managing professional and other key individuals, affiliates, and subcontractors to be associated with the services and may also include the following requirements:
    a. all named professionals must be available to attend the interview, if granted;
    b. all professionals attending the interview, if granted, must be on the team providing the proposed services;
    c. no member of the team may be changed or substituted without the prior written consent of the City Manager/General Manager or designee; and
    d. should a member of the Professional Service team leave the employ of the Consultant, any substitution must be approved by the City Manager/General Manager or designee.
5. a description of the approach or methodology, if any, the Consultant is expected to use;
6. the Consultant's internal quality control process which must include pre-submission review and approval of each submittal and product by a qualified senior manager of the Consultant who is not assigned to the project team;
7. if travel expenses will be reimbursed to the Consultant or service provider, the RFP must state that such reimbursement will be limited to the City's Travel Policy. The Consultant may not charge an hourly fee for travel time unless performing work under the Professional Service Contract and advancing the project while in transit. Consultant may be required to provide verifiable documentation of such services and time.

Any document or requirement may be waived or amended as a part of the contract approval by the City Council/Trust. However, should a requirement or document be imposed by law (for example a grant or federal requirement) then such requirement or document may only be waived as permitted by law.

C. Proposals shall be electronically submitted through the electronic bidding system to the City Clerk's Office by 4:00:00 p.m. C.S.T. on the Wednesday specified in the Request for Proposals (unless another day of the week is approved by the City Clerk/Secretary and expressly stated in the Notice to Proposers). Proposals not timely received shall not be considered. This requirement shall be stated in the Notice to Proposer included in the RFP.

D. The City Manager/General Manager shall submit the RFP and Notice to Proposers to the City Council/Trust for approval. The approval of the RFP shall be routed using the standard agenda item routing procedures.

E. The City Manager/General Manager shall determine the best method for publishing or advertising the Notice to Proposers.

1. Upon the direction of the City Council/Trust, the City Clerk/Secretary shall publish notice of the Request for Proposals in a newspaper of general circulation. *An example of a Notice to Proposers is attached.*
2. Upon the direction of the City Manager/General Manager, the Requesting Department shall develop a list of potential Proposers/Consultants and shall notify the persons or companies of how to register and submit a proposal through the electronic bidding system. Upon the determination and direction of the City Manager/General Manager, the Requesting Department shall publish notice of the Request for Proposals in other applicable "trade" newspapers, publications, etc. *An example of a Notice to Proposers is attached.*

12.4 – REQUEST FOR QUALIFICATIONS

The City and/or its Trusts may adopt and utilize, when necessary or in its best interest, as part of a Professional Consultant Selection Procedure or as an initial step preceding a Professional Consultant Selection Procedure, a Request for Qualification (RFQ) procedure to prequalify or short list proposers. An example of an RFQ is for the selection of artists.

12.5 – REVIEW OF PROPOSALS BY SELECTION COMMITTEE

A. Proposals timely received through the electronic bidding system shall be downloaded by the Requesting Department. The Selection Committee shall review the Proposals and determine compliance with the requirements of the RFP. The City Council/Trust, however, reserves the rights set forth in Section 12.10 (Reservation of rights) below.

B. Unless otherwise directed by the City Council/Trust, the Selection Committee used by the City/Trust shall be composed of:

1. the City Manager (or designee);
2. the Finance Director (or designee);
3. the Department Head of the Requesting Department (or designee);
4. the Information Technology Director (or designee), if the RFP is related to software or technology; and
5. the City Manager may authorize at least one other member, which may or may not be a City employee or official.

Public Trusts may follow different procedures by having a separate policy approved by the Trust or by having the Trust General Manager recommend a Selection Committee at the time the RFP/RFQ is presented to the Trust for consideration. Trusts will include a representative of City departments that may be impacted by projects for which Professional Services are being solicited.

C. The duties of the Selection Committee-shall be as follows:

1. The Selection Committee shall review and consider all timely submitted electronic proposals. The Selection Committee may investigate and verify any or all the statements and/or representations in any or all proposals as it may deem necessary or prudent.
2. The Selection Committee shall use the evaluation form and rating scale developed by the Requesting Department, if any. If none, the Selection Committee shall develop its own evaluation form and rating scale. *(An example of an evaluation form and rating scale are attached.)*
3. The Selection Committee may make its selection based on the written proposals and any additional or clarifying documents submitted by the proposer at the request of the City/Trust, or it may, in its

discretion, conduct oral interviews. The Selection Committee may, in its discretion, select all or a portion of the proposers for oral interviews. The oral interviews may include:

a. a brief presentation by the proposer providing an overview of the proposal and the proposer's approach to the services and tasks;
b. a product demonstration for software and other technical services;
c. inquiries by the Selection Committee as to any part of the proposal and any information, clarification or verification the Selection Committee may need for its evaluation;
d. discussion of any foreseeable or unusual problems, requirements, or concerns; and/or
e. discussion of any of proposer's concerns regarding the execution of any document requested or provided by example in the RFP.

As a part of the interview, the Selection Committee may request and/or the proposer may provide any additional information considered necessary to the evaluation of the proposal. Interviews shall be documented and any statements and/or representations made by the Proposer during the interview will be incorporated into the Professional Services Contract. Consultant will be bound to any statements and/or representations made during the interview.

4. After review and consideration of the Proposals and Proposers, the Selection Committee shall rank all Proposals based on the criteria established pursuant to subsection 2 above.
5. The Department Head of the Requesting Department may direct appropriate representatives in writing to negotiate with the proposer(s) selected by the Selection Committee. If the representatives are unable to negotiate a contract resulting in a recommendation for approval to the City Council/Trust with the selected proposer, the Department Head may give additional direction to negotiate with other or additional proposers.

D. The Selection Committee shall use evaluation criteria to select the proposal best meeting the needs of the City or Trust:

1. The following criteria are examples that may be used:

a. **Overall understanding of the services to be provided:** Does the proposer appear to have a firm comprehension of the requested services and the critical nature of the services? Do they demonstrate a clear understanding of the unique skill or specialized expertise the solicitation document defines? Consider if the detail of the Proposal Content Requirement has been provided and if the overall Proposal is specific to the City's/Trust's needs.
b. **Scope of Services:** Does the Proposer appear to have accepted primary responsibility for providing administrative, professional, and/or technical resources for the services? Consider the anticipated degree of City/Trust involvement, staff requirements dedicated to the service and ongoing staff support to the proposer and the service. Shall the Proposer provide reporting and payments as required or requested?
c. **Experience providing similar services:** Does the proposer's history reflect experience providing similar services, consistent with the needs of the City/Trust? Consider the number of contracts awarded performing comparable work; and the type of organizations served (i.e. public, private, for-profit, non-profit).
d. **Qualifications of Staff Assigned:** Does the designated Proposal staff possess sufficient skills, knowledge, and abilities to meet the full requirements of the job? Consider relevant education and study; licenses and certificates; and years of relevant experience.
e. **Service Levels:** Does the Proposal respond to questions and requirements in sufficient detail to address City/Trust concerns? Do responses indicate satisfactory levels of service?

f. **Projected Implementation Start & Completion:** Does the proposer provide sufficient information to determine the timing for completion of each phase of the implementation and provide a projected start and completion date?
g. **Other Information:** Other factors or information determined by the Selection Committee to be pertinent and given weight in the selection process.
h. **Fee Schedule and Expenses:** Do Fee Schedules reflect sufficient detail to determine total project cost? Do Fee Schedules provide detail and account for other costs and expenses such as travel, reports or special services? Is Consultant charging hourly fee during travel time? Are expense reimbursements limited to the City's Travel Policy? Is the pricing competitive for the quality of services being offered? Is the pricing within the budget for this contract? Did the Consultant provide a not to exceed cost?

2. The above criteria are provided only as examples. Each Request for Proposal for Professional Consultant Services may have unique criteria specific to the requested services. Criteria should be weighted with the most important factors holding the most weight in the evaluation process.
3. Pricing may not be the most important factor when using these Procedures; however, price should always be a consideration when making any City/Trust contract. When evaluating proposals, the return on investment of a Professional Services Contract should always be considered.
4. An example of an evaluation form is attached to these Procedures.

E. Best and Final Offer

The City and/or its Trusts may, when necessary, or in its best interest as part of a Professional Consultant selection process, request for some or all proposers to provide a best and final offer.

12.6 – WRITTEN CONTRACT FOR PROFESSIONAL CONSULTANT SERVICES

A. Each Professional Service Contract shall be evidenced by a fully executed written contract. The written contract may contain or incorporate the following:

1. standard clauses;
2. anti/non-collusion affidavit;
3. certificate of non-discrimination;
4. business relationship affidavit;
5. a performance bond or guarantee;
6. a requirement for insurance naming the City/Trust as additional insured and evidenced by a certificate of insurance on a form acceptable to the City Manager/General Manager;
7. a requirement to keep records and a right to audit;
8. a description of claim payment procedures and a requirement to create and keep necessary records to support such claims;
9. a description of the scope and nature of services;
10. a description of the responsibilities of all parties;
11. a statement making all working papers, reports, documentation, and products the property of the City/Trust;
12. timelines and deadlines for completion of tasks and services;
13. type, content and frequency of reports and products to be submitted;
14. method, schedule and total amount of fees and payments, which may include progress payments related to specific tasks or services;
15. procedures for resolving disputes (the resolution of such disputes shall be governed by Oklahoma law and any action shall be brought in a court of competent jurisdiction, state or federal, located in Oklahoma County, Oklahoma);

16. procedures for amending or terminating the contract or any task or services therein;
17. a requirement that all authorizations and approvals have been or shall be obtained from the holders of patents, trademarks, copyrights, licenses or other rights;
18. a requirement for indemnification and legal representation of the City, its Trusts, officers, agents, and employees for acts and omissions of the Consultant;
19. a clause for inclusion by reference of the RFP, the proposal, and the representations of the proposer into contract and a statement of the order of precedence should the terms, provisions or conditions thereof conflict; and
20. a right of the City/Trust to terminate the contract upon notice with or without cause.

B. The Requesting Department shall keep the Municipal Counselor's Office apprised of contract negotiations. All contracts shall be submitted to the Municipal Counselor's Office for review and approval prior to submission to the City Council/Trust for approval or ratification. Upon completion of negotiations, execution of the contract, and receipt of required documents by the proposer, the City Manager/General Manager may docket the proposed contract for consideration by the City Council/Trust.

C. Some projects may be developed or completed in phases (for example survey, study, and report). If a Consultant is selected for a project and the City/Trust decides to pursue additional tasks and/or services related to the project with the same Consultant, the selection process need not be repeated. The City Council/Trust may authorize the same Consultant to pursue additional related tasks and/or services, by amending the contract to provide for the additional Professional Consultant tasks and/or services.

12.7 – CONTRACT MONITORING

A. The Department Head of the Requesting Department or General Manager of the Trust shall assign a staff member(s) to oversee and monitor each contract to ensure the Consultant performs all tasks and services and to ensure that the City/Trust derives maximum benefit from the contract and contracted services.

B. The Department Head of the Requesting Department or General Manager of the Trust, or designee, must ensure all invoices are signed and/or electronically approved by two staff members who have reasonable knowledge of the Professional Services Contract and the project. The staff members must either be involved in approving the purchase or verifying receipt of the purchase to ensure reasonably adequate controls over payment approvals.

C. For auditing purposes, Departments or Trusts approving the claim for payment must be able to provide documentation that both staff members had sufficient knowledge of the Professional Services, the Professional Services Contract, and the project to perform the corroborating invoice review and that the department was in agreement that the services were provided and the invoice(s) should be paid.

D. Upon submitting the Professional Services Contract to Procurement Services for entry into the financial system, Departments must provide documentation of the Department's compliance with this policy for review of all invoices requiring two staff members who have reasonable knowledge of the purchase transaction. **In lieu of two staff members, the Department Director or General Manager of the Trust may designate one of the reviewers to be a private party with unique expertise employed by the City or Trust with responsibility to perform particular technical review and provide advice to the City/Trust concerning compliance with requirements.**

E. Throughout the term of the contract, the Requesting Department shall evaluate the performance of the Consultant and report Consultant's: findings and recommendations; strengths and weaknesses of services and approach; contract costs; time expenditures; task and service progress and completion; scheduling and deadline compliance or non compliance; and the preliminary and final findings and recommendations.

12.8 – DOCUMENTATION OF THE SELECTION PROCESS

A. The City Clerk/Secretary shall maintain one electronic copy of the following documents in accordance with the City's Records Retention Policy and/or any applicable Oklahoma law:

1. the Request for Proposals, as approved;
2. any publication notice of the Request for Proposals;
3. each timely received Proposal;
4. each agenda item; and
5. a true and correct copy of the executed contract.

B. The Requesting Department designee shall maintain one copy of the following documents for the period required by Oklahoma law:

1. the final evaluation form and rating scale completed by the Requesting Department designee; and
2. Consultant performance evaluations and progress reports.

12.9 – APPEAL PROCEDURES

If a proposer in a Request for Proposal selection process believes these Guidelines and Procedures for Professional Consultant Selection were not followed, it is recommended that the Proposer first contact the Department or Division Supervisor or General Manager of the Trust responsible for supervision of the Professional Services Contract. This should be done as soon as the Proposer perceives there is an issue. If the Proposer is not satisfied with the response received from one of the above, the Proposer may make a formal appeal using the steps set forth below. Scoring by the Selection Committee shall not be a basis for appeal.

Step 1. The Proposer may submit any complaint in writing specifically identifying the area of complaint and containing any supporting data or other pertinent information substantiating the complaint within five (5) working days of the occurrence. The complaint shall be e-mailed to cityclerk@okc.gov and the City Clerk/Secretary shall then forward the complaint to the City Purchasing Agent. The Purchasing Agent will investigate the complaint and review findings with the necessary staff representatives. The Purchasing Agent will then reply to the proposer in writing within five (5) working days of the date the appeal is received.

Step 2. If the Proposer is not satisfied with the Purchasing Agent's written reply, an appeal may be made in writing within five (5) working days to the Finance Director. The Finance Director, or designee, will ascertain all facts within twenty (20) working days after receiving notice of the appeal to the Finance Director. The Finance Director may hold a hearing and invite witnesses if deemed necessary. The Finance Director will provide findings and a decision within ten (10) working days following the date of the hearing.

Step 3. If the proposer is still not satisfied with the Finance Director's reply, the proposer can appeal to the City Manager/General Manager within five (5) working days following receipt of the Finance Director's reply. There are no other steps in the appeal process.

12.10 – RESERVATION OF RIGHTS

The City/Trust reserves the right to waive formalities, irregularities and defects in any and/or all Proposals, except as otherwise required by law. The City/Trust reserves the right to: reject any or all Proposals; to reject a portion of any or all Proposals; to negotiate and execute a contract or to not negotiate or execute a contract with any Proposer; and to solicit new or different Proposals. The City/Trust reserves the right to negotiate and/or contract with one or more Proposers for all or a portion of any Proposal or proposed services.

Attachments

Attachment "A" – Evaluation Criteria Form

EXAMPLE

Each RFP for Professional Services may have unique criteria specific to the requested services. Criteria should be weighted with the most important factors holding the most weight in the evaluation process. This form is only provided as an example.

CITY OF OKLAHOMA CITY
Request for Proposal
EVALUATION CRITERIA

Proposer:_____**Committee Member:**_____

Proposal Evaluation Factors

1. **Overall understanding of the services to be provided**: Does the Proposer appear to have a firm comprehension of the requested services and the critical nature of the services? Do they demonstrate a clear understanding of the unique skill or specialized expertise the solicitation document defines? Consider if the detail of the Proposal Content Requirement has been provided and if the overall proposal is specific to the City's needs.

   _____Factor Rating

   Comments: _____
   _____
   _____

2. **Scope of Services:** Does the Proposer appear to have accepted primary responsibility for providing administrative, professional, and/or technical resources for the services? Consider the anticipated degree of City/Trust involvement, staff requirements dedicated to the service and ongoing staff support to the proposer and the service. Shall the Proposer provide reporting and payments as required or requested?

   _____Factor Rating

   Comments: _____
   _____
   _____

3. **Experience providing similar services:** Does the Proposer's history reflect experience providing similar services, consistent with the needs of the City/Trust? Consider the number of contracts awarded performing comparable work; and the type of organizations served (i.e. public, private, for-profit, non-profit).

   _____Factor Rating

   Comments: _____
   _____
   _____

4. **Qualifications of Staff Assigned:** Does the designated Proposal staff possess sufficient skills, knowledge, and abilities to meet the full requirements of the job? Consider relevant education and study; licenses and certificates; and years of relevant experience.

_____Factor Rating

Comments: _____

_____

_____

5. **Service Levels:** Does the Proposal respond to questions and requirements in sufficient detail to address City/Trust concerns? Do responses indicate satisfactory levels of service?

_____Factor Rating

Comments: _____

_____

_____

6. **Projected Implementation Start & Completion:** Does the Proposer provide sufficient information to determine the timing for completion of each phase of the implementation and provide a projected start and completion date?

_____Factor Rating

Comments: _____

_____

_____

7. **Other Information:** Other factors or information determined by the Selection Committee to be pertinent and given weight in the selection process.

_____Factor Rating

Comments: _____

_____

_____

8. **Fee Schedule and Expenses:** Do Fee Schedules reflect sufficient detail to determine total project cost? Do Fee Schedules provide detail and account for other costs and expenses such as travel, reports or special services? Is Consultant charging hourly fee during travel time? Is the pricing competitive for the quality of services being offered? Is the pricing within the budget for this contract? Did the Consultant provide a not to exceed cost?

_____Factor Rating

Comments: _____

_____

_____

_____

CITY OF OKLAHOMA CITY
Request for Proposal
EVALUATION FORM AND RATING SCALE

Proposer:_____Committee Member:_____

OVERALL RATING

Factor 1_____X_____%=_____

Factor 2_____X_____%=_____

Factor 3_____X_____%=_____

Factor 4_____X_____%=_____

Factor 5_____X_____%=_____

Factor 6_____X_____%=_____

Factor 7_____X_____%=_____

Factor 8_____X_____%=_____

TOTAL:_____

Attachment "B" – Notice To Proposer

(Published in the Journal Record _____)

NOTICE TO PROPOSERS

Notice is hereby given that __The City of Oklahoma City/Trust will receive electronic proposals at the **OFFICE OF THE CITY CLERK, 200 North Walker Avenue, Oklahoma City, Oklahoma 73102** until 4:00:00 p.m., on the _____day of_____, 2020, for the following:

REQUEST FOR PROPOSALS (RFP??????) – Description of Proposal
*****Contact Purchasing Agent for RFP Number Assignment*****

The City of Oklahoma City and its Trusts have partnered with BidSync, Inc. to accept proposals electronically. You are invited to submit a proposal electronically through the BidSync system to supply the professional services, products, or systems specified in the electronic proposal packet. The City and its Trusts do not provide access to a computer to prepare electronic proposals or electronic proposal submission. Proposers must register with BidSync at https://www.bidsync.com/the-city-of-oklahoma-city in order to submit an electronic proposal. The City and its Trusts recommend potential proposers register and become familiar with the BidSync electronic proposal process in advance of submitting a proposal. There is no charge to the proposer for registering or submitting an electronic proposal to the Contracting Entity through BidSync. Instructions on how to get registered to propose through BidSync can be found on The City of Oklahoma City's website at https://www.okc.gov/departments/bidding.

A copy of the Guidelines and Procedures for Professional Consultant Selection may be obtained from the Office of the City Clerk at the above referenced address. Proposals shall be made in accordance with the Notice to Proposers, General Instructions and Requirements for Proposers, Oklahoma Open Records Act and Confidential Information, and the RFP proposal packet, which are a part of the complete electronic proposal packet. A sample Non-Discrimination, Anti/Non-Collusion Affidavit and Vendor Registration form is attached for the Proposer's reference and will be completed prior to contract approval. By submitting a proposal for services, the Proposer certifies that they, and any proposed subcontractors, are in compliance with 25 O.S. §1313 and participate in the status Verification System. The Status Verification System is defined in 25 O.S. §1312 and includes but is not limited to the free Employment Verification Program (E-Verify) through the Department of Homeland Security and available at www.dhs.gov/E-Verify.

The City and its Trusts reserve the right to waive formalities, irregularities and defects in any or all proposals, except as otherwise required by law. The City and its Trusts reserve the right to: reject any or all proposals; to reject a portion of any or all proposals; to negotiate and execute or to not negotiate or execute a Professional Services Contract with any proposer; and to solicit new or different proposals. The City and its Trusts reserve the right to negotiate and/or contract with one or more proposers for all or a portion of any proposal or proposed services.

Proposals timely received electronically through BidSync in the City Clerk's Office shall be forwarded to the Requesting Department for the Selection Committee to open and review. The BidSync system does not allow proposals to be submitted after the 4:00:00 p.m. deadline, on the above mentioned date. There will be no exceptions to this policy.

SECTION 13 - DISPOSAL OF SURPLUS PROPERTY

13.1 – POLICY

It is the policy of The City of Oklahoma City to ensure maximum economic use of all equipment, supplies, and property. Departments should consider carrying costs and the potential for diminished market values when determining how quickly to dispose of surplus property. The final disposition of surplus, obsolete, or exhausted materials, equipment, and property will be determined by the following procedures.

Surplus property may be sold, exchanged and/or traded in for new property. All money received from such sales, exchanges, trade-ins, or disposals shall be placed back into the fund from which the property was first purchased. If the original funding source is unknown, the funds will be deposited into the general fund. All sales with an estimated value exceeding $25,000, should be sold by formal written contract or through a public auction to the highest and best bidder after the approval of the City Council.

Donations to other government agencies of surplus property with a value exceeding $10,000 must be approved by a resolution of the City Council. Donations to other government agencies of surplus property with a value of $10,000 or less shall be submitted to the Purchasing Agent and then approved by the Finance Director.

13.2 – PROCEDURE

A department desiring to dispose of surplus property must first send a letter of request or e-mail and approved surplus form, approved by the Department Head, to the Purchasing Agent. The letter should contain a list and description of the surplus property, as well as a recommendation on which of the methods of transfer or disposal is desired. In the case of sealed bids, or public auctions, including sales on the Intranet or Internet, please include the condition of the property and any minimum acceptable selling price, if applicable.

With the exception of vehicles and heavy equipment, property to be sold by competitive bid is usually offered to other departments and then to the general public. Vehicles and heavy equipment may be transferred to another department; however, in most cases these assets are being sold due to the age and the cost to maintain.

Separately list items with no identifiable value. This would include items such as broken furniture, broken keyboards, and broken or obsolete electronic equipment/appliances, or used materials with no economical recycle value.

Dogs, horses and personal police equipment may be retired without further liability to the City. A Police Animal Retirement Request Form for dogs and horses must be completed. This form can be obtained from the Uniform Support Division of the Police Department.

13.3– METHODS FOR TRANSFER OR DISPOSAL OF SURPLUS PROPERTY

1. Transfer to another department or using agency with or without charge as mutually agreed by both parties.
2. Request for on-line auction or other competitive bids, and sale by the department, or the Procurement Services Division.
3. Public Auction through auctioneers.
4. Transfer to a storage facility, if one is available, with no remuneration to the transferring department.
5. Sell as scrap, i.e., metal, paper, oil, tires, etc., on the open market, or to contracted vendors.
6. Trade-in against the purchase of new equipment.
7. Disposal at designated landfill, or trash pick-up site.

8. Due to security and environmental requirements, the disposal of computers and related electronic equipment, including central processing units, monitors, televisions, mouse/keyboards, printers, fax machines, telephones, scanners and photocopiers require special handling through Information Technology Department contractors, the City's electronic recycling contract or sold through an on-line auction. It is vital that hard drives are removed from computers, copiers and other equipment that may contain personal or City information.
9. Dogs, and horses, may be retired to the care of their handlers providing there will be no further liability or expense to the City. A Police Animal Retirement Request Form for dogs and horses must be completed. This form can be obtained from the Uniform Support Division of the Police Department. A release of liability shall be required before any such property shall be retired to a handler.
10. The Chief of Police may authorize the following methods of transfer/sale of police firearms or property.
    a. When an officer retires in good standing, the badge, uniform and service firearm (handgun) may be transferred to the officer. If the officer desires to purchase his/her issued shotgun, it may be sold to the officer at fair market value.
    b. When an officer resigns in good standing and is not the subject of an on-going investigation or disciplinary process or hearing, the service firearm(s) (handgun and/or shotgun) assigned to the officer may be sold at fair market value to the officer.
    c. When an officer is killed in the line of duty or dies while still active, the service firearm (handgun) assigned to the officer may be transferred to a surviving family member who is authorized by state and federal law to possess the firearm if the transfer is approved by a resolution adopted by the City Council.
    d. A release of liability shall be required before any such property shall be transferred or sold.

13.4 – RECORD KEEPING

Record keeping for all transfers, sales, auctions, trade-in, and disposal of surplus property are the responsibility of the originating department. The following minimum information must be retained by the department for audit purposes for five years:

1. Description of item and estimated or actual acquisition date and price.
2. Method used for transfer, disposal, etc., (see above).
3. Copy of approved communication/letter requesting disposal.
4. Other documents relating to the sale, auction, trade-in, or transfer, including City Council resolutions and memos, if applicable.
5. Itemized receipts and deposit record of proceeds. Funds from the sale of surplus properties are returned to the original funding source. If the original source is unknown, the funds will be deposited into the general fund.
6. Copy of completed and approved Police Animal Retirement Request Form, if applicable.

13.5 – DISPOSAL OF SURPLUS PROPERTY FORMS

Use the current format for submission of surplus property equipment lists for sales, transfers, disposals, and trades on forms currently available from the Procurement Services Division. Current forms are available on the City's internal website or upon request from the Procurement Services Division.

13.6 – SURPLUS PROPERTY PURCHASES BY EMPLOYEES

An employee shall not be eligible to purchase directly, indirectly, or through public auction, any item placed on sale by the City unless the property is offered for sale to the public after notice of the sale has been published **and at least two bids are received from separate bidders**. Violation of this section shall be grounds for disciplinary action up to and including termination. (Refer to Article IV, Section 11 of the City Charter).

Employees must notify their Department Head of their intent to bid on any property declared surplus within their own department to ensure there is not a conflict of interest. For example, if an employee is involved in the surplus process or in determining what property is to be declared surplus by the department, this could be a conflict of interest (Refer to Sections 3.5 and 3.6 of this policy). They must also inform their Department Head if a family member (as defined in Personnel Policies-Section 210), or company in which the employee or family member has any ownership, has an interest in bidding on surplus property within their own department. This could create a conflict of interest or perceived conflict of interest.

13.7– REFERENCES

1. Oklahoma City Municipal Code 2002 Article V. § 2-351 (58); § 2-358 (a) (b) (c); § 2-411; § 2-441.
2. Oklahoma City Charter, Article IV, Section 11; and Article IX, Section 4.
3. State Statute, 11 O.S. § 8-113.
4. Applicable Police Department written directives.
5. Section 1289.8 of Title 21 authorizes a retired police officer to carry a concealed firearm, pursuant to certain requirements.

SECTION 14 - PURCHASING CARD PROGRAM

14.1 – INTRODUCTION TO THE PURCHASING CARD PROGRAM

The City of Oklahoma City's Purchasing Card Program is a program that is part of an ongoing effort to continuously improve City or Trust processes, reduce cycle times and empower employees. The City or Trust implemented this program for primarily small dollar/high volume purchases because research reveals purchasing cards can assist employees to more quickly and easily obtain the goods and services needed to get the job done. This way of conducting business has reduced paperwork associated with the City's or Trust's current purchasing process, resulting in cost savings for the City or Trust and saving time for departments.

The City of Oklahoma City has an agreement with a bank that provides qualified full-time employees with a commercial card to purchase selected materials and services. Using the bank's commercial card benefits the City or Trust and cardholder through:

- Promptly paying our suppliers
- Reducing overall processing costs
- Decentralizing purchasing responsibility

The policies contained in this document must be followed by cardholders as guidelines for conducting City or Trust business. Policy violations will result in revocation of cardholder privileges and possible disciplinary action.

14.2 – DEPARTMENT HEAD RESPONSIBILITIES

- Assuming the overall responsibility for any employee's use of the purchasing card.
- Providing written authorization to the Purchasing Card Coordinator in the Finance Department for any person designated to act on their behalf, where permitted in the policy. Each department will have one department supervisor/designee of the purchasing card program appointed by the department head, and ensure the employee is fully knowledgeable of the policies and procedures required of this program. In addition, a department head may also designate additional transaction approvers. Designated approvers must be listed on the City's Authorized Signature List, and must complete any required training before security is granted to access the purchasing card system.
- Requires cardholders, department supervisors/designees and designated transaction approvers, if different from supervisor/designee, to attend training sessions. Purchasing card training is required every three years for cardholders and other staff members who review and/or approve purchasing card transactions. The Procurement Services Division will provide an adequate number of training sessions to ensure training requirements are met. Currently scheduled classes can be found on-line at this location: https://interweb/applications/trainingsystems/Views/SearchTraining/Calendar.aspx
- Administration of disciplinary action to a cardholder and/or department supervisor/designee or designated transaction approver found to have intentionally misused their purchasing card and reporting the misuse to the Purchasing Card Coordinator in the Finance Department.
- Ensuring that all card holding employees are personally informed of all the terms and conditions imposed with the privilege of using the purchasing card, including the dollar limitations, restrictions placed on their card and has signed the Cardholder Agreement and Receipts and Limits Forms.
- Authorization of the credit limit and any merchant category code (MCC) restrictions imposed on any card authorized for issuance to an employee. Increases to monthly credit limits and single transaction limits will automatically return to the original amount at the end of the month unless a written authorization for a permanent change is received from the department head. Assigned monthly credit limits over $25,000, permanent or temporary, must be approved by the department head (no

designees). If the department head is not available, an assistant city manager's authorization must be obtained.

- Ensuring that all charges made during the fiscal year are paid from the same year's funds.
- Informing departmental cardholders what constitutes an authorized department purchase.
- Approving transactions each month in the financial system for the overall validity of transactions, and the compliance of those transactions with applicable purchasing policies and procedures. The approval process includes reviewing documentation, including, but not limited to, charge tickets, credit slips, invoices, delivery tickets, packing slips (if provided by the supplier), required price quotes, sole source letters and sales tax refunds.
- The monthly transaction approval responsibility may be assigned to the department supervisor/designee or another transaction approver.
- Bi-annually, department heads are responsible to provide a statement that they have reviewed all departmental purchasing card statements for compliance with purchasing policies and procedures and the appropriateness of purchases, if the department head did not electronically approve all transactions in the financial system. If a department head chooses to delegate review of the statements, this must be indicated on the approval memo (Attachment D). The department head is still required to sign the memo. The staff member must be in a job classification of a 516 or above and have completed purchasing card training within the past three (3) years. The template included in this policy (Attachment D) should be used to document this review. The designated staff member cannot review their own purchasing card statements or any transactions they approved during the monthly cycles. These statements are due on March 15th for July 1 through December 31 and September 15th for January 1 through June 30 each year. When necessary, department heads or designee, should request copies of receipts and documentation to verify the validity of purchases prior to review completion. During this bi-annual review, the department head, or delegated staff member (516 or above), will also be responsible for confirming current department supervisor designees and transaction approvers to ensure the Purchasing Card Coordinator has up-to-date information.
- The Purchasing Card Coordinator will place a report showing all information on these transactions in a share folder and e-mail a link to department heads and department designees. Departments may choose to begin the review process prior to a report being available by running queries in the financial system. The following two queries are currently available for this review: OKC_PCARD_TRANSACTIONS_AGENCY or OKC_PCARD_TRANSACTIONS_DEPARTMENTID.
- Reviewing the annual summary of cardholder security limits provided by the Purchasing Card Coordinator in the Finance Department. The department head (no designees) will notify the Purchasing Card Coordinator in the Finance Department of any revisions.
- Surrendering any card promptly as requested or ordered by the Purchasing Card Coordinator in the Finance Department.
- Requiring cardholders and department designees to adhere to all program policies and procedures and revisions thereto.
- Ensuring that charges to grant funds have been authorized by the grant administrator (program manager) and a statement is provided with the receipt that the purchase complies with the specific grant requirements. The grant administrator is certifying the following "As Program Manager for the grant, I do hereby certify that the costs for this purchase represent an allowable, reasonable, an allocable cost benefit to the objectives of the grant and that the vendor is not currently on The Office of Foreign Assets Control (OFAC) suspended and debarred list."
- Requiring cardholders and department designees to attach scanned receipts and documentation to electronic purchasing card transactions in the financial system when required by policy. It is mandatory for receipts, including other related documentation, to be scanned and attached in the financial system for the following types of purchasing card transactions:

- grant purchases, if the grant administrator did not electronically approve the transaction in PeopleSoft, he/she must certify the transaction: (the grant administrator must is certifying the following "As Program Manager for the grant, I do hereby certify that the costs for this purchase represent an allowable, reasonable, an allocable cost benefit to the objectives of the grant and that the vendor is not currently on The Office of Foreign Assets Control (OFAC) suspended and debarred list.) The grant administrator's electronic approval of a purchasing card transaction is considered equal to the above statement;
- pricing agreements requiring quotes from more than one supplier;
- open market purchases requiring three quotes;
- sole source transactions not covered by a sole source Council resolution;
- credit receipts for double billing or sales tax refunds, including original documentation;
- PayPal transactions;
- Amazon transactions where purchases are processed by a third-party merchant;
- public benefit statements signed by the department head for the purchase of food; and
- use of other department's funding (attach e-mail approval from department).
- It is also mandatory for departments to request Buyers attach open market suppliers to the correct open market resolution if a resolution is available. This resolution (contract number) should be selected when updating transactions for approval in the financial system.
- The Records Retention Policy requires documentation, including, but not limited to, charge tickets, credit slips, invoices, delivery tickets, packing slips (if provided by the supplier), required price quotes, sole source letters and sales tax refunds for all purchasing card purchases must be maintained on-site by the department for five years, unless grant or bond requirements dictate a longer retention period.
- Participate in random audits for the purchasing card program conducted by the Procurement Services Division and the City Auditor's Office.

14.3 - DEPARTMENT SUPERVISOR/DESIGNEE AND TRANSACTION APPROVER RESPONSIBILITIES

- Approving transactions in the financial system, if authorized by the department head, for the overall validity of transactions, and the compliance of those transactions with applicable purchasing policies and procedures. The approval process includes reviewing documentation, including, but not limited to, charge tickets, credit slips, invoices, delivery tickets, packing slips (if provided by the supplier), required price quotes, sole source letters and sales tax refunds.
- Monitoring the use of any cards issued to employees in their respective department. Making sure cardholders provide all required documentation, including, but not limited to, charge tickets, credit slips, invoice, delivery tickets, packing slips (if provided by the supplier), required price quotes, sole source letters and sales tax credit memos for review by the designated transaction approver to support each transaction made by cardholder.
- Monitoring to ensure a packing slip (if provided by the supplier) or receipt is signed and dated, indicating the material items or goods were received by the department. An e-mail confirming receipt from the person who received the material items or goods could also be attached for documentation purposes.
- Reviewing the required documentation timely for transactions to be processed for payment. Approvers are encouraged to provide electronic approvals in the financial system on a weekly basis.
- Checking for double billing.
- Ensuring the proper accounting distribution is used for all transactions.
- Maintaining records, such as names, addresses, authorized limits and restrictions of each cardholder. Security can be granted to run reports in the bank's credit card system containing cardholder

information, including the last four digits of account numbers. Credit card account information must be kept in a secure location where information cannot be compromised.

- Authorize temporary limit increases to a cardholder's single transaction limit up to $10,000 and to a cardholder's monthly limit up to $25,000. Where cardholders limits are currently set at these amounts, temporary increases must be authorized by the department head. Increases to monthly credit limits and single transaction limits will automatically return to the original amount at the end of the month, unless a written authorization for a permanent change is received from the department head. Department head approval will be requested if temporary changes occur frequently.
- Authorize temporary changes to merchant category code security for cardholders. Security will return to the original security at the end of the month, unless a written authorization for a permanent change is received from the department head. Department head approval will be requested if temporary changes occur frequently.
- Ensuring that charges to grant funds have been authorized by the grant administrator (program manager) and a statement is provided with the receipt that the purchase complies with the specific grant requirements. The grant administrator is certifying the following "As Program Manager for the grant, I do hereby certify that the costs for this purchase represent an allowable, reasonable, an allocable cost benefit to the objectives of the grant and that the vendor is not currently on The Office of Foreign Assets Control (OFAC) suspended and debarred list."
- Requiring cardholders and department designees to attach scanned receipts and documentation to electronic purchasing card transactions in the financial system when required by policy. It is mandatory for receipts, including other related documentation, to be scanned and attached in the financial system for the following types of purchasing card transactions:
    - grant purchases; if the grant administrator did not electronically approve the transaction in PeopleSoft, he/she must certify the transaction: (the grant administrator is certifying the following "As Program Manager for the grant, I do hereby certify that the costs for this purchase represent an allowable, reasonable, an allocable cost benefit to the objectives of the grant and that the vendor is not currently on The Office of Foreign Assets Control (OFAC) suspended and debarred list.) The grant administrator's electronic approval of a purchasing card transaction is considered equal to the above statement;
    - pricing agreements requiring quotes from more than one supplier;
    - open market purchases requiring three quotes;
    - sole source transactions not covered by a sole source Council resolution;
    - credit receipts for double billing or sales tax refunds, including original documentation;
    - PayPal transactions;
    - Amazon transactions where purchases are processed by a third-party merchant;
    - public benefit statements signed by the department head for the purchase of food; and
    - use of other department's funding (attach e-mail approval from department).

  It is also mandatory for departments to request Buyers attach open market suppliers to the correct open market resolution if a resolution is available. This resolution (contract number) should be selected when updating transactions for approval in the financial system.
- Review of electronic transactions and supporting documentation for overall validity of listed transactions and compliance with the City's Purchasing Policies and Procedures and documenting with an electronic approval and having cardholder explain any unusual transaction(s). If the explanation is vague or seems suspect, promptly refer the matter to the respective department head's attention. Approvers are encouraged to provide electronic approvals in the financial system on a weekly basis.
- Monitoring signed documentation to see if anyone else other than the designated cardholder has used the purchasing card. No one other than the cardholder is permitted to use the cardholder's assigned purchasing card. If the cardholder does not personally pick up materials or goods, the cardholder may process the purchase with the supplier by e-mail, phone or fax and an assigned staff member may pick

up the items on their behalf. The assigned staff member must sign the invoice or packing slip as proof of receipt of items, if provided by the supplier, and return to the cardholder for record keeping. The assigned staff member should not sign a credit card receipt on behalf of the cardholder. The cardholder is still responsible for obtaining all receipts. An e-mail confirming receipt from the person who received the material items or goods could also be attached for documentation purposes.

- Monitoring departmental accounts to ensure that funds are not overspent.
- Promptly resolving any budget errors during the voucher process to ensure timely payment to the bank.
- Notifying cardholders of the fiscal year cut-off dates and other year-end procedures.
- Responsible for picking up new purchasing cards from the Purchasing Card Coordinator in the Finance Department and distributing new cards to cardholders. Expired cards are to be collected and returned to the Purchasing Card Coordinator in the Finance Department, along with the cardholder signature sheet confirming receipt of new card(s).
- Retrieving and returning the card to the Purchasing Card Coordinator in the Finance Department whenever a cardholder retires, transfers, terminates or becomes deceased.
- Assuring compliance with cardholder responsibilities.
- Attending any required training for the purchasing card role. Training is required every three years for cardholders and other staff members who review and/or approve purchasing card transactions. The Procurement Services Division will provide an adequate number of training sessions to ensure training requirements are met. Currently scheduled classes can be found on-line at this location: https://interweb/applications/trainingsystems/Views/SearchTraining/Calendar.aspx
- Participates in random audits for the Purchasing Card Program conducted by the Procurement Services Division and the City Auditor's Office.

14.4 – CARDHOLDER RESPONSIBILITIES

- Ensuring that the cardholder is the sole user of the purchasing card. No one other than the cardholder is permitted to use the cardholder's assigned purchasing card. If the cardholder does not personally pick up materials or goods, the cardholder may process the purchase with the supplier by e-mail, phone or fax and an assigned staff member may pick up the items on their behalf. The assigned staff member must sign the invoice or packing slip as proof of receipt of items, if provided by the supplier, and return to the cardholder for record keeping. The assigned staff member should not sign a credit card receipt on behalf of the cardholder. The cardholder is still responsible for obtaining all receipts. An e-mail confirming receipt from the person who received the material items or goods could also be attached for documentation purposes.
- Using the purchasing card strictly according to the City's Purchasing Policies and Procedures, including, but not limited to, obtaining three quotes and sole source documentation and utilizing contracted suppliers. Additionally, the purchasing card is not to be used for paying prior fiscal year purchases.
- Safeguarding the purchasing card at all times while in the cardholder's possession.
- If the card is lost or stolen, notify the Purchasing Card Coordinator in the Finance Department, or the bank, and/or the department supervisor/designee, if the Purchasing Card Coordinator is not available.
- Restricting purchases to only those authorized for City or Trust related purposes.
- Surrendering the purchasing card upon the request or order of the respective department head, department supervisor/designee or Purchasing Card Coordinator in the Finance Department.
- Obtaining a vendor registration form or IRS W-9 from hotel/motel vendors not shown in the master vendor file prior to the monthly approval deadline, and preferably before completing the order with the supplier. This documentation is necessary for City purchasing requirements.
- Keeping all transaction documents, including, but not limited to, charge tickets, credit slips, invoices, packing slips (if provided by the supplier) and delivery tickets and submitting and reconciling them as required to the department head, department supervisor/designee or designated transaction approver. The Records Retention Policy requires documentation for all purchasing card purchases must be maintained

on-site at the cardholder's department for five years, unless grant or bond requirements dictate a longer retention period.

- Keeping packing slips (if provided by the supplier) with the receipt and other documentation when provided by the supplier. The packing slip or receipt should be signed and dated, indicating the material items or goods were received by the department. An e-mail confirming receipt from the person who received the items could also be attached for documentation purposes.
- Notifying the Purchasing Card Coordinator in the Finance Department and respective department designee of any problems (i.e. card denial, sales tax exemption, etc.) experienced when using the purchasing card.
- Electronically review and update transactions in the financial system and submit receipts and other required documentation to the designated transaction approver for review and approval at least once a week.
- Obtaining credit for sales tax inappropriately charged and tracking the receipt of credit.
- Ensuring that the supplier provides a transaction document whenever a transaction is made by phone, mail or fax.
- Notifying the Purchasing Card Coordinator in the Finance Department and department/supervisor designee immediately of any purchasing mistake(s) made contrary to any policies and procedures.
- Updating and reviewing transactions electronically in the financial system and giving all transaction documentation, including any credit slips, to department supervisor/designee or designated transaction approver prior to going on leave. The electronic review of transactions by the cardholder cannot be completed by someone else, except when the cardholder is out on extended leave. When this occurs, the cardholder will have to follow up with an e-mail to the Purchasing Card Coordinator in the Finance Department that they have reviewed all transactions. This e-mail will be kept on file to document the cardholder's review. Cardholders are encouraged to update transactions on a weekly basis.
- Attach scanned receipts and documentation to electronic purchasing card transactions in the financial system when required by policy. It is mandatory for receipts, including other related documentation, to be scanned and attached in the financial system for the following types of purchasing card transactions:
    - grant purchases; if the grant administrator did not electronically approve the transaction in PeopleSoft, he/she must certify the transaction: (the grant administrator is certifying the following "As Program Manager for the grant, I do hereby certify that the costs for this purchase represent an allowable, reasonable, an allocable cost benefit to the objectives of the grant and that the vendor is not currently on The Office of Foreign Assets Control (OFAC) suspended and debarred list.) The grant administrator's electronic approval of a purchasing card transaction is considered equal to the above statement;
    - pricing agreements requiring quotes from more than one supplier;
    - open market purchases requiring three quotes;
    - sole source transactions not covered by a sole source Council resolution;
    - credit receipts for double billing or sales tax refunds, including original documentation;
    - PayPal transactions;
    - Amazon transactions where purchases are processed by a third-party merchant;
    - public benefit statements signed by the department head for the purchase of food; and
    - use of other department's funding (attach e-mail approval from department).

  It is also mandatory for departments to request Buyers attach open market suppliers to the correct open market resolution if a resolution is available. This resolution (contract number) should be selected when updating transactions for approval in the financial system.
- Accepting only a credit slip whenever an item has to be returned to a supplier. If the supplier cannot issue a credit slip, then notify the Purchasing Card Coordinator in the Finance Department before going any further with the supplier.
- Assuming financial responsibility for transactions not supported by the proper documentation or that are not made according to the City's Purchasing Policies and Procedures.

- Attending any required training for the purchasing card role. Training is required every three years for cardholders and other staff members who review and/or approve purchasing card transactions. The Procurement Services Division will provide an adequate number of training sessions to ensure training requirements are met. Currently scheduled classes can be found on-line at this location: https://interweb/applications/trainingsystems/Views/SearchTraining/Calendar.aspx
- Participates in random audits for the Purchasing Card Program conducted by the Procurement Services Division and the City Auditor's Office.

14.5 – REQUIREMENTS

Purchasing cards are issued at the discretion of the Finance Department of the City of Oklahoma City to qualified and approved full-time employees.

These cards remain the property of the bank and the City of Oklahoma City. ***Purchasing cards are non-transferable and are not to be used by anyone other than the designated cardholder***. The bank or the City may suspend or cancel cardholder privileges at any time for any reason. The cardholder will surrender the purchasing card upon request to the Purchasing Card Coordinator in the Finance Department or any authorized agent of the bank or the City. Use of the purchasing card after notice of its cancellation may be fraudulent and may cause the City or Trust to take legal action.

Spending Limits: Each card has a pre-set spending limit, which may not be exceeded under any circumstance. Increases to monthly credit limits, single transaction limits and changes to merchant category code security will automatically return to the original amount or code at the end of the month, unless a written authorization for a permanent change is received from the department head.

Cardholders with authority to request temporary limit increases cannot make such requests to the Purchasing Card Coordinator in the Finance Department for their own account.

NO PERSONAL EXPENSES ARE TO BE CHARGED TO THE PURCHASING CARD

Purchasing Card Abuse: Abuse of the purchasing card will result in revocation of the card and appropriate disciplinary action, which may include termination. Policy violations include, but are not limited to:

- Purchasing items for personal use.
- Exceeding bank credit line limit.
- Failure to return the purchasing card when reassigned, terminated or upon request.
- Failure to review transactions and provide proper receipts and documentation to department head, department supervisor/designee or transaction approver to meet monthly deadlines.
- Failure to provide proper and timely documentation to Accounts Payable or the Purchasing Card Coordinator in the Finance Department.

MANDATORY PURCHASING CARD USAGE

Purchases less than $5,000 should be paid with the purchasing card whenever possible, unless the purchasing card policy prohibits the purchase of the good or service. Cardholders should contact the Procurement Services Buyer for exceptions to this requirement. If the supplier does not accept purchasing cards, the cardholder may contact the Purchasing Card Coordinator in the Finance Department, who may request the bank establish purchasing card acceptance with the supplier.

RECEIPTS
It is the cardholder's responsibility to obtain transaction receipts from the merchant or supplier each time the purchasing card is used. These receipts should reflect that ***NO SALES TAX*** is charged. If the receipt is lost and the supplier was either unable or unwilling to provide a duplicate copy as requested, a Missing Receipt Form (Attachment C) is to be completed and signed by the cardholder and department supervisor/designee. This form will become part of the monthly reconciliation paperwork.

REPORTS
Procurement Services recommends a transaction log be utilized for record keeping purposes to ensure all transactions are accounted for during reconciliation. All transaction documentation should be submitted to the cardholder's department designee/supervisor or transaction approver of the purchasing card program so that the documentation can be reviewed and transactions approved electronically in the financial system. Following approval, documentation is returned to the cardholder. After the vouchers have been processed and budget checked, the cardholder will create a final Statement of Account report using a query (OKC_PCARD_STATEMENT_REPORT) in the financial system. Each month, the cardholder will also receive a bank statement in the mail from the bank. The bank statement will arrive five to seven business days after the cycle period closes. The cardholder and approver will confirm the bank statement matches the transactions purchased for the cycle, and file it along with the final statement of account report and other documentation in a central location on site in the department, and made available for review upon request. The cardholder/approver should immediately notify the Purchasing Card Coordinator of any discrepancies. Monthly purchasing card documentation can be maintained electronically, as long as information can be easily located and reviewed. Departments must ensure all scanned files are readable. The City's Records Retention Policy must be followed.

PROTECTING THE PURCHASING CARD
The purchasing card is valuable property, which requires proper treatment by the cardholder to protect it from misuse by unauthorized parties.

Sign the purchasing card immediately upon receipt. When the expiration date has passed and/or after the cardholder has received a new card, the department supervisor/designee of the purchasing card program should cut the old purchasing card down the middle of the magnetic strip and return it to the Purchasing Card Coordinator in the Finance Department. The cardholder should make sure the purchasing card is returned by the supplier after each charge and verify that the returned card has the cardholder's name on it. Carbon sheets should be obtained and destroyed.

14.6 – LOST OR STOLEN CARDS
If a purchasing card is lost or stolen, the cardholder must immediately notify the Purchasing Card Coordinator in the Finance Department, or the bank's customer service department, and the cardholder's supervisor. The Purchasing Card Coordinator in the Finance Department or the customer service representative of the bank will block use of the card. If charges were applied to the account, an affidavit will need to be completed by the cardholder, through the Purchasing Card Coordinator, and submitted to the bank. The Purchasing Card Coordinator in the Finance Department will send the form to the cardholder.

14.7 – ISSUING THE PURCHASING CARD

An application will be made available through the City's internal website or contact the Purchasing Card Coordinator in the Finance Department.

A department head must request that a City employee be issued a purchasing card.

- Any City employee authorized and approved to use a purchasing card shall be required to sign and date the Cardholder Agreement Form and the Receipts and Limits Form. These forms acknowledge understanding by the employee of the responsibilities associated with the card.
- The Purchasing Card Coordinator in the Finance Department will submit a request in the purchasing card system or forward necessary paperwork to the bank to order the card.
- When the card is received from the bank, the Purchasing Card Coordinator in the Finance Department will notify the cardholder.
- Prior to releasing the card, the Purchasing Card Coordinator in the Finance Department will be responsible for training the cardholder with regard to appropriate use and administration of the card. No cards will be released until appropriate training is received.

14.8 – USING THE PURCHASING CARD

The purchasing card is for business-related purposes only. It may not be used for personal purchases. Although the card is issued in an employee's name, it is still the property of The City of Oklahoma City and must be used only for qualified City or Trust purchases.

The following qualified and unqualified purchases are for example purposes only. If questions arise about a specific purchase, ask the department Buyer, Procurement Buyer or Purchasing Card Coordinator in the Finance Department whether or not the purchase qualifies for the purchasing card program. Remember this list of purchases **only serves as a general guideline** and is not intended to cover every conceivable purchase possible.

QUALIFIED AND UNQUALIFIED PURCHASE EXAMPLES

QUALIFIED	UNQUALIFIED
Camera film or supplies	Personal purchases
Lawn equipment/parts/supplies	Car rental (prior approval required)
Office supplies	Entertainment of any kind
Janitorial supplies	Liquor/beer/wine
Horticulture supplies	Cigarettes
Memberships	Cash advances
Subscriptions	Gasoline/diesel fuels (exception: Bulk Fuel)
Automotive parts	Holiday decorations for offices
Office equipment	Doctor/Lawyer services (prior approval required)
Office furniture (non-capital)	Specified computer-related purchases
Animal feed/medicines/supplies	Food when traveling
Hand-tools/accessories	Purchases in conflict with the City's Purchasing Policies and Procedures
Paint/lumber/hardware	
Building/maintenance/repair supplies	

USING THE PURCHASING CARD FOR TRAVEL
The cardholder will determine the least expensive available flight. Information required by the travel policy should be kept for documentation purposes. For auditing purposes, copies of this documentation must be attached to purchasing card documentation in the department's files.

Department heads may designate cardholders to have travel privileges on their purchasing cards. Prior approval for all travel-related purchases must be approved by the department head or department supervisor/designee. The purchasing card may be used to purchase airline tickets, conference/seminar registration and hotel/motel stays. Other qualified prepayments (i.e. shuttle service, airfare baggage, parking etc.) necessary for travel may also be paid on the purchasing card, if paid in advance of the trip. Cardholders are prohibited from paying their own travel expenses on the purchasing card. These expenses should be paid in advance of a trip by another approved cardholder in the department. Meals during travel are not an approved expense on the purchasing card.

NOTE: Meals and other small incidentals arising during the trip are not available for use with the purchasing card. Departments should use the traditional method, i.e. cash, reimbursement, etc.

USING THE PURCHASING CARD FOR COMPUTER RELATED PURCHASES
All computers, laptops, handhelds, printers, monitors, memory upgrades, or any related equipment and Microsoft licensing cannot be purchased using the purchasing card and must be purchased through the City's requisitioning system or as stated in the Computer Equipment and License Purchasing and Disposal Procedures located on the City's internal website. This information may also be obtained by e-mailing the IT Service Desk at **servicedesk@okc.gov**.

14.9 – PURCHASING CARD CONTROL AND LIMITS
Each card issued will have specific card controls and limits based on the functional area of responsibility and the needs of the individual cardholder. Specific limits will be assigned when the application is complete. Once the purchasing card has been issued, the cardholder will be advised of established credit limit, periodic limits (transaction, monthly, etc.) and merchant category code exclusions.

Management, together with the card's inherent controls, will ensure that the card can be used only for specific purchases and within specific dollar limits. Cardholders will be familiar with the limits that are set for their individual card. Department heads are responsible for credit limits and any merchant category code restrictions imposed on any card authorized for issuance to an employee. Increases to monthly credit limits, single transaction limits and merchant category code security changes will automatically return to the original status at the end of the month, unless a written authorization for a permanent change is received from the department head. Assigned monthly credit limits over $25,000, permanent or temporary, must be approved by the department head, no designees. If the department head is not available, an assistant city manager's authorization must be obtained.

14.10 – TAXES
The purchasing card is embossed with the City's tax-exempt status. At the time of purchase, cardholders will advise the merchant that the purchase is for official City or Trust use and therefore is not subject to state or local tax. The City's tax exempt certificate is available for departments on the City's internal website. Cardholders are responsible for requesting credits due from suppliers for sales tax inappropriately charged on purchases, as well as tracking subsequent receipts or related credits. Department head supervisors/designees and transaction approvers are responsible for ensuring cardholders follow through with obtaining these tax credits. The Procurement Services Division recommends a spreadsheet or some other tracking method, such as use of the transaction log for example; be maintained to ensure all credits are obtained.

14.11 – CONTRACT SUPPLIERS

The City or Trust has existing contracts and pricing agreements with designated suppliers for specific goods and services. The City or Trust has a contractual obligation to make all purchases from these suppliers whenever pricing agreements or contracts exist. A list of current contracts and pricing agreements by supplier and by commodity can be found on the City's internal website. Purchasing card users must order from contracted suppliers if a contract or pricing agreement is in place. Contract and pricing agreement exemptions must be approved in advance by the Procurement Services Buyer responsible for the contract or pricing agreement.

14.12 – NON-CONTRACT SUPPLIERS

The City's open market purchasing policies and procedures must be followed regarding three (3) quotes for non-contracted items purchased with a cost between $2,500 and $25,000. Sole Source documentation must also be requested when applicable. Cardholders will obtain a vendor registration form or IRS W-9 from hotel/motel vendors not shown in the master vendor file prior to the monthly approval deadline, and preferably before placing the order with the supplier. This documentation is necessary for City purchasing requirements. Acceptance of a W-9 from any other merchant besides a hotel/motel will require approval from the Purchasing Specialist or Purchasing Agent.

Compliance with price quotation, sole source documentation and vendor registration requirements will be subject to a periodic audit by the Procurement Services Division of the Finance Department and/or the City Auditor's Office. Failure to comply with these polices could result in revocation of cardholder privileges and possible disciplinary action.

14.13 – PLACING AN ORDER WITH A SUPPLIER

Identify a supplier that sells the required goods or services and accepts the purchasing card. Procurement Services will maintain a list of contracted suppliers to be used when making purchases. Use the card just like other credit cards. For those suppliers who make deliveries or will mail items, contact the supplier by telephone, e-mail or Internet and have the supplier deliver the order to the correct City of Oklahoma City address to your attention. Always ask the supplier to provide an itemized receipt mailed or e-mailed directly to the cardholder's address. If the supplier does not accept purchasing cards, the cardholder may contact the Purchasing Card Coordinator in the Finance Department who may request the bank establish purchasing card acceptance with the supplier.

14.14 – RECEIVING MATERIAL ITEMS OR GOODS

All material items or goods purchased with the purchasing card should be sent directly to the cardholder's business location or picked up by the cardholder or assigned staff member from the supplier's location. An itemized statement must accompany all orders. If the statement does not contain sufficient detail to clearly identify the item(s) purchased, supplemental documentation must be retained with the purchasing card receipts. Keep this documentation with the original transaction receipt. City or Trust purchases should never be sent to a home address. Packing slips should be kept with the receipt and other documentation when provided by suppliers. The packing slip or receipt should be signed and dated, indicating the material items or goods were received by the department. An e-mail confirming receipt from the person who received the items may also be attached for documentation purposes.

No one other than the cardholder is permitted to use the cardholder's assigned purchasing card. If the cardholder does not personally pick up material items or goods, the cardholder may process the purchase with the supplier by e-mail, phone or fax and an assigned staff member may pick up the items on their behalf. The assigned staff member must sign the invoice or packing slip as proof of receipt of material items or goods, if provided by the supplier, and return to the cardholder for record keeping. The assigned staff member should not sign a credit card receipt on behalf of the cardholder. The cardholder is still responsible for obtaining all receipts.

***NOTE*: A packing slip that does not include price(s) is not sufficient documentation to be considered a receipt. However, when packing slips are provided during the regular course of business with suppliers, it should be kept in addition to receipts and other purchasing card documentation.**

14.15 – RECONCILING THE PURCHASING CARD STATEMENT

A purchasing card bank statement will be mailed to cardholders after the billing cycle closes on the 25th day of each month (sometimes dates carry-over due to weekend and holidays, these dates will be provided by the Purchasing Card Coordinator in the Finance Department). The purchasing card bank statements will be similar in appearance to a typical consumer credit card statement.

The employee is not responsible for paying the purchasing card bank statement. The City will submit payment to the bank for monthly transactions. Procurement Services is recommending cardholders use a transaction log for tracking purposes. Supervisors/Designees and transaction approvers should verify that purchases and returns are accurately listed on the purchasing card bank statement and in the financial system. After reconciling transactions with purchasing documentation and receipts, the cardholder should update and electronically review the transactions in the financial system, indicating that they did in fact make those purchases.

The transaction must also be approved by the department supervisor/designee or transaction approver in the financial system. Approvers must be on the Authorized Signature List for purchasing card approvals and have the appropriate roles assigned in the financial system.

The electronic approval in the financial system represents approval to pay the bank, and that proper documentation has been reviewed and serves as electronic receipt of goods or services. After review and verification of charges, the Purchasing Card Coordinator in the Finance Department will send a report to Accounts Payable containing the purchasing card transaction payment details. Accounts Payable staff will then balance transactions to vouchers and process for payment.

14.16 – RECORDS RETENTION

Departments will be responsible for retaining itemized receipts, invoices, quotes, purchasing card statements and any other transaction documentation. This documentation should be centrally located as it could be audited and upon request must be presented and made readily available. The Records Retention Policy requires documentation for all purchasing card purchases must be maintained on-site at the cardholder's department for five years, unless grant or bond requirements dictate a longer retention period. Records must contain sufficient detail to clearly identify the item(s) or services purchased.

14.17 – RETURNS, CREDITS AND DISPUTED TRANSACTIONS

NOTE: In most cases, disputes are misunderstandings that can be resolved directly between the cardholder and the supplier.

If an item needs to be returned for any reason, employees can send the item back to the supplier in a manner agreed upon. The supplier should issue a credit on the cardholder's purchasing card account for the items that are returned. If it is too late in the month to appear on the current statement, a credit will appear on a subsequent

monthly purchasing card statement. The department is required to pay for this transaction even though it is being returned. The money will be returned to the department's budget the following month by reallocating the credit transaction to the same account.

Documentation of the return (i.e. credit receipt) should be issued by the supplier. Keep on file and log all documentation pertaining to returns to ensure the return is reflected as a credit on the monthly purchasing card statement. If the cardholder and the supplier cannot resolve the issue, contact the Purchasing Card Coordinator in the Finance Department. Disputed items should be reported within sixty (60) days of the purchasing card transaction date. Under no circumstances are departments to file their own disputes with the bank. The Purchasing Card Coordinator is responsible for filing disputes.

The issuing bank will investigate the dispute on the City's behalf and assist in resolution. The Purchasing Card Coordinator in the Finance Department will complete a Transaction Dispute Form and mail or fax to the bank for complete processing or may handle through documented telephone communication.

14.18 – METHOD OF PAYMENT

All cardholder transactions are consolidated and billed on a monthly cycle. Because the supplier will be paid through a purchasing card, the supplier should ***NOT*** submit an invoice to Accounts Payable. If the supplier happens to submit an invoice, the documentation will be promptly returned by the Purchasing Card Coordinator in the Finance Department or Accounts Payable Section with an explanation that the transaction was made with a City or Trust purchasing card.

14.19 – DOUBLE BILLING CAUTION

To safeguard against the possibility of double billing, ask suppliers NOT to send a bill. Review purchasing card statements for duplicate billing and notify the Purchasing Card Coordinator in the Finance Department if charges appear more than once for a single purchase. The cardholder should also immediately request a credit from the supplier.

14.20 – CARDHOLDER AUDITS

On a monthly basis, the Purchasing Card Coordinator in the Finance Department can retrieve various reports directly from the issuing bank listing all transactions posted on a card. Procurement Buyers and the Purchasing Card Coordinator in the Finance Department, Information Technology Contract Coordinator, and/or the City Auditor's Office will periodically request the cardholder to produce receipts and other supporting documentation for review. These records should be centrally located in order to make them readily available.

Buyers in the Procurement Services Division will conduct random on-site audits of purchasing card purchases. The objective of these audits is to determine compliance with purchasing card policies and procedures and other City purchasing policies and procedures. The department will be responsible for validating transactions and retention of purchasing card records in the department, as well as verifying the appropriateness of purchases and compliance with any grant requirements.

14.21 – MANAGEMENT INFORMATION REPORTS

The issuing bank will provide detailed management reports for the purpose of monitoring cardholder usage, policy compliance and frequency of supplier usage. The Purchasing Card Coordinator and Buyers in the Procurement Services Division will be responsible for reviewing City-wide transactions on a monthly basis. Department supervisors, managers and approvers also have the ability to retrieve reports to monitor activity.

14.22 – PURCHASING CARD SECURITY
Use of the purchasing card is limited to the employee in whose name the card is issued. The cardholder will assure that the card is kept in an accessible, but secure location, and that the account number on the card is not posted or left in a conspicuous place. Allowing other employees, including supervisors, to utilize a card not belonging to them is considered misuse of the card.

14.23 – CARD MISUSE
Cardholders are expected to utilize the purchasing card for business purposes only. All purchasing card purchases should be made with good judgment and within the functional responsibilities of the cardholder. Improper use of the purchasing card may result in disciplinary action, up to and including termination, as referenced in Oklahoma City's Personnel Policy, Article 300, Section 308-Fraud.

ATTACHMENTS
Attachment A – Receipts and Limits Form
Attachment B – Cardholder Agreement Form
Attachment C – Missing Receipt Form
Attachment D – Bi-Annual Statement Review Sample Memo

Attachment A – Receipts and Limits Form

PURCHASING CARD RECEIPT AND LIMITS

Name of Cardholder:_____Signature:_____
(Last, First, Middle Initial-Printed/Typed)

Home Address:_____
(Street Address, City, State, Zip Code)

SSN: (last 4 digits only)_____Date:_____

Department:_____Division/Section:_____

Work Location:_____Work Phone:_____
(Street Address, **where bank statement will be mailed**, and Zip Code)

Immediate Supervisor:_____Department Head:_____

Current Primary Transaction Approver:_____

I, as an authorized and approved department head, supervisor, transaction approver and cardholder fully understand and agree to the following terms and conditions regarding the use and safekeeping of the purchasing card(s) entrusted to me:

1. I accept full personal responsibility for the use and safekeeping of all purchasing card(s) assigned to me;

2. I understand that I will be making financial commitments on behalf of The City of Oklahoma City or Trust and will strive to obtain fair and reasonable prices;

3. I have received training and agree to follow all policies and procedures established for the use of the purchasing card;

4. I will **NOT** use the purchasing card for any non-City-related business or non-authorized purchases, nor personal purchases or cash advances;

5. I will **immediately** report the theft or loss of the purchasing card to the Purchasing Card Coordinator in the Finance Department, my supervisor or the bank;

6. I understand that all laws, rules and procedures relating to competitive bidding are still in effect and that the use of the purchasing card does not exempt me from requirements to obtain certain supplies from required sources as set forth in the City's Purchasing Policies and Procedures;

7. I will surrender the Purchasing Card upon **(a)** my transfer to another department/division of the City of Oklahoma City, **(b)** termination of employment with the City, or **(c)** request of my department head, supervisor, Purchasing Card Coordinator or Purchasing Agent in the

Finance Department, or Finance Director; further, I understand that my last paycheck can be withheld until the purchasing card is surrendered as required;

8. I understand that any purchases made by me will be recorded and reviewed in management reports, for payments to suppliers, and possible discrepancies and appropriateness of purchase; further, I acknowledge that I will have personal liability for any inappropriate or undocumented purchases made by me;

9. I agree to reimburse the City of Oklahoma City **immediately** for any purchases made by me which are deemed inappropriate or which are undocumented;
10. I understand that I **cannot** use the purchasing card as a financial reference to obtain other personal credit cards or loans;

11. I understand that I am personally responsible for obtaining and keeping all purchase and credit documents; and, submitting them in accordance with City's Purchasing Policies and Procedures; further, I understand that I am responsible for obtaining documentation when purchases are picked up by or delivered to a non-cardholder to confirm the order was fully received at a City facility;

12. I will use the purchasing card only within the limits and restrictions placed upon it unless the department head or supervisor has requested the Purchasing Card Coordinator in the Finance Department to temporarily change these limits or restrictions due to an emergency situation or other unique circumstances;

13. I understand that absolutely no one, other than myself, is permitted to the use the purchasing card assigned to me;

14. I understand that if I have the authority to request limit changes to accounts, that I cannot make such requests directly to the Purchasing Card Coordinator in the Finance Department for my own account;

15. I understand all purchases made under the purchasing card program are subject to being audited; and

16. *I understand that failure to follow any of the above listed terms and conditions or if found to have misused the purchasing card in any manner may result in **(a)** revocation of the privilege to use the card, **(b)** disciplinary action, **(c)** termination of employment, and/or **(d)** criminal charges filed with the local District Attorney's Office. I hereby accept the above terms and conditions and acknowledge receipt of the purchasing card identified below.*

_____ _____

Employee's Signature **Date Signed**

Dollar and transaction limitations for this cardholder:

_____ Dollars per transaction

_____ Dollars per cycle: (month)

_____ Transactions per cycle

_____ Transactions per day

_____ Merchant Category Code Group (see list below)

MCC	DESCRIPTION
COC	Basic Office
OC2	Basic Office, Travel/Food
OC3	Automotive
OC4	Basic Office and Automotive (No Travel/Food)
OC5	High Level Buyer (No Travel/Food)
OC6	High Level Buyer, Plus Travel/Food
OCFUEL	CNG Fuel only

DEFAULT FUNDING:

GL Business Unit	Dept ID	Fund	Operating Unit	Account

Program	Grant Business Unit	Grant Project	Grant Activity

I have reviewed and understand the dollar limitations on my purchasing card and I acknowledge receipt of the purchasing card.

_____ _____

Employee Signature/Date **Date Purchasing Card Received**

_____ _____

Supervisor Signature/Date **Department Purchasing Card Designee/Date**

_____

*Current Primary Transaction Approver/Date

***This person or other designated approver is also responsible for verifying the validity of all transactions and appropriateness of documentation.**

As Department Head of the above named person, I authorize and approve the issuance of said purchasing card to this employee and I accept overall responsibility for the use of the purchasing card. The dollar limitations and restrictions are designated above. I agree to adhere to all the guidelines established for the Purchasing Card Program.

_____ _____

Signature of Department Head **Date Signed**

APPROVED BY: __

Signature of Purchasing Card Coordinator in the Finance Department/Date Signed

Card Account Number:_____Exp. Date:_____

Attachment B – Cardholder Agreement Form

PURCHASING CARD CARDHOLDER AGREEMENT

INTRODUCTION

The City of Oklahoma City has an agreement with a bank that provides qualified full-time employees with a commercial card to purchase selected materials and services. Using the bank's commercial card benefits the City or Trust and cardholder through:

Promptly paying our suppliers
Reducing overall processing costs
Decentralizing purchasing responsibility

The policies contained in this document must be followed by cardholders as guidelines for conducting City or Trust business. Policy violations will result in revocation of cardholder privileges and possible disciplinary action.

REQUIREMENTS

Purchasing cards are issued at the discretion of the Finance Department of the City of Oklahoma City to qualified and approved full-time employees.

These cards remain the property of the bank and the City of Oklahoma City. ***Purchasing cards are non-transferable and are not to be used by anyone other than the designated cardholder***. The bank or the City may suspend or cancel cardholder privileges at any time for any reason. The cardholder will surrender the purchasing card upon request to the Purchasing Card Coordinator in the Finance Department or any authorized agent of the bank or the City. Use of the purchasing card after notice of its cancellation may be fraudulent and may cause the City or Trust to take legal action.

Spending Limits: Each card has a pre-set spending limit, which may not be exceeded under any circumstance. Increases to monthly credit limits, single transaction limits and changes to merchant category code security will automatically return to the original amount or code at the end of the month, unless a written authorization for a permanent change is received from the department head.

NO PERSONAL EXPENSES ARE TO BE CHARGED TO THE PURCHASING CARD

Purchasing Card Abuse: Abuse of the purchasing card will result in revocation of the card and appropriate disciplinary action, which may include termination. Policy violations include, but are not limited to:

Purchasing items for personal use.
Exceeding bank credit line limit.
Failure to return the purchasing card when reassigned, terminated or upon request.
Failure to review transactions and provide proper receipts and documentation to department head, department supervisor/designee or transaction approver to meet monthly deadlines.
Failure to provide proper and timely documentation to Accounts Payable or the Purchasing Card Coordinator in the Finance Department.

USAGE

The Purchasing Card is for business-related purposes only. It may not be used for personal purchases. Although the card is issued in an employee's name, it is still the property of The City of Oklahoma City and must be used only for qualified City or Trust purchases.

SALES TAX

It is the cardholder's responsibility to obtain transaction receipts from the merchant or supplier each time the purchasing card is used. These receipts should reflect that ***NO SALES TAX*** is charged. If the receipt is lost and the supplier was either unable or unwilling to provide a duplicate copy as requested, a Missing Receipt Form (Attachment C) is to be completed and signed by the cardholder and department supervisor/designee. This form will become part of the monthly reconciliation paperwork.

REPORTS

Procurement Services recommends a transaction log be utilized for record keeping purposes to ensure all transactions are accounted for during reconciliation. All transaction documentation should be submitted to the cardholder's department designee/supervisor or transaction approver of the purchasing card program so that the documentation can be reviewed and transactions approved electronically in the financial system. Following approval, documentation is returned to the cardholder. After the vouchers have been processed and budget checked, the cardholder will create a final Statement of Account report using a query (OKC_PCARD_STATEMENT_REPORT) in the financial system. Each month, the cardholder will also receive a bank statement in the mail from the bank. The bank statement will arrive five to seven business days after the cycle period closes. The cardholder and approver will confirm the bank statement matches the transactions purchased for the cycle, and file it along with the final statement of account report and other documentation in a central location on site in the department, and made available for review upon request. The cardholder/approver should immediately notify the Purchasing Card Coordinator of any discrepancies. Monthly purchasing card documentation can be maintained electronically, as long as information can be easily located and reviewed. Departments must ensure all scanned files are readable. The City's Records Retention Policy must be followed.

The purchasing card is valuable property, which requires proper treatment by the cardholder to protect it from misuse by unauthorized parties.

Sign the purchasing card immediately upon receipt. When the expiration date has passed and/or after the cardholder has received a new card, the department supervisor/designee of the purchasing card program should cut the old purchasing card down the middle of the magnetic strip and return it to the Purchasing Card Coordinator in the Finance Department. The cardholder should make sure the purchasing card is returned by the supplier after each charge and verify that the returned card has the cardholder's name on it. Carbon sheets should be obtained and destroyed.

LOST OR STOLEN CARDS

If a purchasing card is lost or stolen, the cardholder must immediately notify the Purchasing Card Coordinator in the Finance Department, or the bank's customer service department, and the cardholder's supervisor. The Purchasing Card Coordinator in the Finance Department or the customer service representative of the bank will block use of the card. If charges were applied to the account, an affidavit will need to be completed by the cardholder, through the Purchasing Card Coordinator, and submitted to the bank. The Purchasing Card Coordinator in the Finance Department will send the form to the cardholder.

Sharmanlyne Vickers, Senior Buyer
Purchasing Card Coordinator
E-mail: sharmanlyne.vickers@okc.gov
Finance Department, Procurement Services Division
100 N. Walker, Suite 200
Oklahoma City, Oklahoma 73102
Phone: (405) 297-2184 Fax: (405) 297-2142

_____
Cardholder Applicant (Print/Sign/Date)

_____
Supervisor/Designee (Print/Sign/Date)

_____
Purchasing Card Coordinator/Designee (Print/Sign/Date)

_____
Department Head (Print/Sign/Date)

_____
*Current Primary Transaction Approver

***The primary or designated approver applying the electronic signature approval is responsible for verifying appropriateness of transactions and verifying appropriate documentation is attached to monthly statement. Approver must be listed on the Authorized Signature List for purchasing card approvals, completed purchasing card approver training; and is subject to being audited.**

Retain a copy and forward original to the Purchasing Card Coordinator in the Finance Department.

Attachment C – Missing Receipt Form

PURCHASING CARD MISSING RECEIPT FORM

Cardholder Name:_____

Cardholder Telephone:_____

Department/Division/Section:_____

Date of this Report:_____

Funding Information:_____

Merchant/Supplier Name:_____

Supplier Address:_____

Cost/Amount Paid: $_____ **Date of Purchase:**_____

Briefly describe circumstances of missing receipt: _____

_____

_____

_____

_____

_____

_____

_____

_____

I hereby certify that the goods and services, as described above, were purchased for City-related business and were received. Every attempt was made to locate the lost receipt; in addition, the merchant/supplier was either unable or unwilling to provide a duplicate copy as requested. Provide this report to Supervisor or transaction Approver as part of your monthly reconciliation paperwork.

I hereby certify that the goods and services, as described above, were purchased for City-related business and were received. Every attempt was made to locate the lost receipt; in addition, the merchant/supplier was either unable or unwilling to provide a duplicate copy as requested. Provide this report to supervisor or transaction approver as part of your monthly reconciliation paperwork.

CARDHOLDER:_____

(Print/Sign/Date)

SUPERVISOR OR DESIGNEE:

I have accepted the cardholder's explanation of the loss and inability to obtain a duplicate receipt; therefore, I am authorizing payment of the receipt or invoice due to the circumstances involved.

SUPERVISOR OR DESIGNEE:_____

(Print/Sign/Date)

Attachment D – Bi-Annual Statement Review Sample Memo

BI-ANNUAL STATEMENT REVIEW SAMPLE MEMO

TO: Purchasing Card Coordinator
Procurement Services Division
Finance Department

FROM: Name, Department Head
Name of Department

DATE:

SUBJECT: Name of Dept. Purchasing Card Statement
Review for Six Months ending _____(date)

I have reviewed or delegated to _____, who is in the pay rage of a 516 or above, the Purchasing Card Statements for the following Cardholders:

(List names of Department Cardholders here)

I have confirmed the statements have been reviewed for the appropriateness of purchases and compliance with grant requirements, if any.

I also confirm that appropriate documentation has been reviewed and is maintained in the Department.

_____ _____
Signature (Department Head) - *required* Date

Bi-annual review delegated to the assigned:

I have reviewed the statements for the appropriateness of purchases and compliance with grant requirements, if any.

I also verify that appropriate documentation for these purchases is maintained in the Department.

_____ _____
Signature (job title must be 516 or above) Date

*Completed memo should be scanned and emailed to the Purchasing Card Coordinator in the Finance Department.

BUSINESS EXPENSE POLICIES

SECTION 15 - TRAVEL POLICY

15.1 – PURPOSE

This policy is designed to assist City employees or Council appointed officials, and members of City trusts, boards, and commissions, when traveling for public business purposes. It is also designed to be an accountable plan to meet Internal Revenue Service (IRS) travel expense guidelines. The IRS requires all travel advances or expense reimbursements to be included in wages and are subject to the Federal Insurance Contributions Act (FICA), the Federal Unemployment Tax Act (FUTA), and income tax withholding **unless** certain requirements are met. The following three conditions must be met for an accountable plan:

A. **Business connection.** This requirement is satisfied if the expenses are incurred in connection with the performance of services as an employee or appointed official.

B. **Substantiation.** The employee or appointed official must submit information to the employer sufficient to meet IRS guidelines of substantiation requirements for an accountable plan within a reasonable period of time. This includes a log of expenses and appropriate documentation to substantiate the amount, time, place and business purpose of the expenses paid or incurred in traveling away from home.

C. **Return of excess amounts if applicable.** The employee or appointed official must return amounts received in excess of those substantiated or deemed substantiated within a reasonable period of time. This situation only applies to claims involving a Travel Advance issued to a City employee or appointed official.

15.2 – APPLICATION

This policy governs reimbursements for conferences, seminars, training sessions, business meetings, and other beneficial situations where common expenses are incurred for transportation, registration, lodging, and meals during an overnight stay. Incidental travel expenses are subject to department head, or designee, approval. Nothing contained herein shall prohibit the City Manager, or designee, from modifying or approving exceptions to this policy to meet the needs of a unique situation; provided however, that no such modification will result in a detriment to the City when traveling for a public business purpose.

Additionally, this policy pertains to the reimbursement of business related travel expenses incurred while traveling away from home for a period substantially longer than an ordinary workday and is reasonable to need sleep or rest. Mileage reimbursement claims for business related travel within the Metropolitan Statistical Area (MSA) are to be filed in accordance with established City policies for vehicle mileage reimbursement. The MSA is defined to be the following seven counties surrounding the OKC metro area: Canadian, Cleveland, Grady, Lincoln, Logan, McClain and Oklahoma.

A “mileage reimbursement only” claim within the MSA for a one-time event or a special circumstance may be submitted by providing a memo from the department head explaining the public purpose of the reimbursement. It is not necessary to complete a Travel Expense Voucher for “mileage only” claims.

15.3 – POLICY

A. GENERAL REQUIREMENTS

1. Department heads are responsible for informing employees of travel policies and procedures and ensuring adherence and compliance. The department submitting the travel claim is responsible for determining the reasonableness and business purpose of the requested reimbursement for travel expenses. Department heads may establish stricter internal policies and procedures in order to meet budgetary requirements and other needs of the department.

2. The City Manager's Office must be notified of the absence of a department head when he/she is traveling out of town on City business. Department heads must provide their travel destination(s), purpose and dates of the trip, person in charge of the department during the department head's absence, and a telephone number where he/she can be reached while traveling.

3. Any expenses related to a traveling companion of a claimant are not reimbursable by the City.

4. The Travel Expense Voucher must be completed for reimbursement of any travel-related expenses. Each traveling employee or appointed official must complete a separate Travel Expense Voucher.

5. The claimant may not authorize or otherwise approve their own Travel Expense Voucher, justification for rental car, or other expenditures. Such authorizations must be made at the level of the claimant's supervisor or higher, and by the department head's designee with signature authority, if the claimant's supervisor does not have this authority.

   Department heads authorize individuals to sign and approve Travel Expense Vouchers by completing an Authorized Signature List form maintained by the Information Technology Department. Signatures on this form are verified by Accounts Payable staff when processing travel claims. Department heads must have the City Manager, or their assigned Assistant City Manager, approve their travel claim prior to submission to Accounts Payable for processing.

   In the event of a reimbursement claim being filed by the City Manager, City Auditor, Municipal Counselor, or a Municipal Judge, another individual having signature authority within the same department must apply such authorization or approval.

6. Failure to comply with the City's travel policy or falsification of expense reports may result in denial of reimbursement, the loss of travel privileges and/or disciplinary action, including possible termination and criminal prosecution.

7. The standard mode for out-of-state travel is by commercial airline.

8. Travel time is defined as 24 hours before and after the times in the official conference/training registration information.

B. REGISTRATION

1. The City may reimburse claimants for registration for City-related workshops, conferences and seminars. Special events and tours that are not job-related and are leisure activity are **not** reimbursable. Meal(s) included in the cost of registration will not be reimbursed to the claimant, with the exception of continental breakfasts or special dietary needs. All exceptions must be documented on the Expense Documentation Form.

2. All pre-paid registration should be paid for with a purchasing card. If the vendor does not accept purchasing cards, checks payable to the sponsoring organization may be issued prior to the departure date. The sponsoring department is encouraged to pre-register if savings to the City can be realized. Prepaid registration must be documented in the prepaid section of the Travel Expense Voucher upon return.

3. In the event the sponsoring department is unable to complete timely event registration, the traveling employee or appointed official may elect to register by using a personal credit card or check.

   The traveling employee or appointed official may seek personal reimbursement prior to the completion of the Travel Expense Voucher. A purchase order, including an electronic receipt, copy of the official conference/training registration and confirmation of payment from the sponsoring organization shall be submitted to the Accounts Payable Section to seek personal reimbursement **before** the travel has commenced. The personal payment of registration will be noted in the prepaid section of the Travel Expense Voucher upon return.

D. TRANSPORTATION

1. **Commercial Airline -** The cost of airfare is very competitive and departments are required to obtain at least three price quotes in order to purchase the lowest and best economy coach airfare. When purchasing airfare, price should be the primary consideration; however, other factors to be considered may include reasonable departure and arrival times, as well as the duration of the flight. Price quotes should be kept in departmental purchasing files.

   The airline itinerary, ticket stubs, or electronic ticket information must be submitted with the Travel Expense Voucher. If the sponsoring organization has provided for discounted airfare, a request should be made to obtain the lowest and best economy coach fare. Coach class or less, if any special fares are available, is the maximum reimbursable fare. The City will not reimburse claimants for added fees beyond coach fare. Examples of added fees may include early boarding, better seating, or to obtain more leg room. Each department is responsible for ensuring the claimant purchases the lowest and best economy coach fare available. The City Manager, or an Assistant City Manager, may grant an exception to this policy upon advance written justification from the department for air travel beyond coach class. Baggage fees will be reimbursed if the claimant obtains receipts and documents the expense on the Travel Expense Voucher. The Accounts Payable Section will request additional information and approvals if baggage fees appear to be excessive. If the baggage fee receipt is lost, justification must be made on the Expense Documentation Form.

   Sometimes there are significant airfare cost savings if an employee is willing to travel outside of conference or meeting dates, is eligible for a discount fare, or can take advantage of special travel times. In the instance when there is significant savings from traveling outside of conference or meeting dates, the Expense Documentation Form must clearly show the savings in airfare is greater

than the additional cost of meals and lodging if these costs are to be reimbursed by the City. An airfare quote for the most economical coach fare showing the cost of travel within conference dates and receipts for additional expenses must be submitted with the claim as proof of cost savings.

Traveling employees are encouraged to consider using special travel times, fare discounts, or senior citizen rates if the savings in airfare is greater than the cost of any additional meals and lodging that would be required or claimed for reimbursement.

In the event frequent flyer miles accumulated on City business are transferable or assignable to the City, they shall be so transferred or assigned. When airline ticket promotions are used to purchase airfare, any cost savings gained must be to the benefit of the City. If this occurs, documentation should be provided on the Expense Documentation Form.

2. **Oklahoma City Ground Transportation and Parking -** Transportation expenses, including private vehicle mileage and/or limousine/shuttle service, to and from Will Rogers World Airport are **not** reimbursable.

   Off-airport parking is **not** reimbursable. A receipt is required for reimbursement of on-airport parking for short or long term parking expenses, other than metered parking totaling $2 or less.

3. **City Vehicle -** City employees are encouraged to use a City-owned vehicle when traveling on City business within the State of Oklahoma. Fleet Services may provide a rental vehicle in lieu of a City vehicle. For the purpose of this policy, the vehicle is still considered to be a City vehicle and the cost is not considered to be an additional expense on a travel claim.

   Reimbursements for use of a City-owned vehicle are limited to tolls, gasoline, parking, and other related expenses en route to and from a destination. Reimbursement will be made only for expenses justified with itemized receipts. When possible, a City fuel card should be used when refueling a City vehicle. If a City fuel card cannot be used, an explanation as to why must be provided on the Expense Documentation Form.

4. **Private Vehicle -** In the event a City-owned vehicle is not available for travel within the State of Oklahoma, or circumstances dictate otherwise, a private vehicle can be used. Mileage reimbursement for use of a private vehicle will be paid at the current IRS rate. However, mileage reimbursement claims pertaining to business related travel within the Metropolitan Statistical Area (MSA) are to be filed in accordance with established City policies for vehicle mileage reimbursement. The MSA is defined to be the following seven counties: Canadian, Cleveland, Grady, Lincoln, Logan, McClain and Oklahoma.

   The use of a private vehicle for traveling outside the State of Oklahoma requires an Expense Documentation Form to be completed and must be approved by the department head, or designee. Private vehicle mileage reimbursement will be paid at the current IRS rate, but only to the extent of the most economical air coach fare or mileage, whichever is less.

   Due to fluctuations in airfare, a comparison rate shall be established by obtaining an airfare quote and department approval at the time reservations are made and documentation must be provided with the travel claim. Airline baggage fees will also be considered if documentation is provided with the travel claim. Taxi fare, rental cars and shuttle expenses will not be considered for the purpose of establishing the reimbursement amount.

When using a private vehicle, verification on how many miles actually driven is required by using www.mapquest.com. When mileage reimbursement is provided for travel in a private vehicle, gasoline will not be reimbursed. The IRS mileage rate includes the expense of fuel. A link to the current standard mileage reimbursement rate can be located on the City's internal website.

If a private vehicle is used, no reimbursements will be allowed for fuel charges or additional ground transportation at the destination site.

Prior to authorizing use of a private vehicle, the department is responsible for obtaining a copy of the claimant's valid driver's license and a vehicle insurance verification form demonstrating adequate liability coverage for a private vehicle. This documentation will be maintained by the department and provided upon request.

5. **Rental Car -** The expense of a rental car for a claimant, when out of town on behalf of the City, may be reimbursed only if written justification is provided by the claimant on the Expense Documentation Form and approved by the department head, or designee, **prior** to travel. Claimants must submit the rental agreement, receipt and the written justification, approved by the department head, or designee, with the Travel Expense Voucher.

6. **Commercial Rail Service -** The claimant may choose the option of using rail service. Reimbursement will be to the extent of the most economical mode of travel in comparison to air travel. The justification must be documented by including a quote for the lowest and best economy coach airfare submitted with the Expense Documentation Form and documented at the time other reservations are made. The documentation must be provided with the Travel Expense Voucher.

E. LODGING

1. A purchasing card should be used by a cardholder in the traveling employee's department to pay for lodging expenses, including deposits when required. Lodging expenses paid on a department purchasing card will be noted in the prepaid section of the Travel Expense Voucher upon return. An itemized hotel receipt must be submitted with the travel claim. The hotel receipt must indicate the payment method and show that the balance was paid. The purchasing cardholder is responsible for documenting the hotel's single occupancy rate, if the rate is not documented on the receipt or another attachment.

2. If it was not possible to use a department purchasing card, the claimant will be reimbursed for the hotel bill upon submission of an **itemized** hotel receipt and a copy of the complete registration form, including the applicable room rate, if published. The hotel receipt must indicate the payment method and show that the balance was paid. In the event a registration form is not available or does not include publication of hotel room rates; the claimant is responsible for documenting the single occupancy room rate from the hotel. Failure to adhere to this policy may result in a lodging reimbursement less than the amount claimed. Claimants are required to inquire about discounted or government lodging rates.

3. Meals, and other small incidentals are not available for use with the purchasing card at this time. If a hotel requires a credit card number to be on file to cover incidental expenses such as telephone calls, room service, Internet, mini bar etc., the credit card should belong to the traveler. A City of Oklahoma City purchasing card should not be used for this purpose. If a hotel charges any expenses other than daily room charges and applicable taxes to a department purchasing card, upon return the claimant must immediately pay the City Treasurer's Office, even if they will receive

reimbursement for this expense after submitting their travel claim. A receipt from the City Treasurer's Office should be attached to the travel claim when submitted for reimbursement.

4. The City will reimburse for lodging costs actually incurred while conducting City business. The City will not reimburse a claimant for lodging expenses beyond the documented single occupancy rate and/or beyond the dates of travel as defined in Section 15.3.A.8.

5. In the event that a lodging deposit is required, this expense should be paid with a department purchasing card, when possible, or paid in accordance with the City's Purchasing Policies and Procedures. In the event the sponsoring department is unable to complete the timely payment processing of a lodging deposit, the employee or appointed official may elect to pay the lodging deposit by using a personal credit card.

   The employee or appointed official may seek personal reimbursement for the lodging deposit prior to the completion of the Travel Expense Voucher. A purchase order, including an electronic receipt, copy of the official conference registration and a confirmation of lodging deposit shall be submitted to the Accounts Payable Section to seek personal reimbursement before the travel has commenced. The personal payment of the lodging deposit will be noted in the prepaid section of the Travel Expense Voucher upon return.

6. In the event hotel reward points accumulated on City business are transferable or assignable to the City, they shall be so transferred or assigned.

F. MEALS

1. General Provisions:
   a. Meal expenses include reasonable tips.
   b. Alcoholic beverages are not reimbursable.
   c. Meal(s) included in the cost of registration will not be reimbursed to claimant, with the exception of continental breakfasts or special dietary needs. Exceptions must be documented on the Expense Documentation Form.
   d. Meal(s) will not be reimbursed unless overnight stay is required or long enough that an employee needs to stop for sleep or rest to properly perform their job duties.

2. **Actual Expenses up to the Per Diem Rate** are required for City employees or appointed officials as follows:
   a. No meal receipts are required to be submitted with the Travel Expense Voucher. However, sponsoring departments may retain actual receipts in their respective department files.
   b. Reimbursement will be made for the actual amount claimed **up to the federal per diem rate** as published by the General Services Administration (GSA) recommended by the IRS. The maximum allowable will be the Meals and Incidental Expenses (M&IE) rate of the GSA. The GSA per diem rates can be located by going to www.gsa.gov, then click on Per Diem Rates.
   c. Reimbursement is prorated for partial days of travel. Travel departing Oklahoma City after 1:00 p.m. or arriving in Oklahoma City before 5:00 p.m. is reimbursed as a half-day.

G. MISCELLANEOUS EXPENSE INFORMATION

1. The City will not reimburse for personal items, services, or entertainment, including but not limited to, toiletries, medicine, clothing, grooming, laundry, dry cleaning, movies, snacks or alcoholic beverages.

2. Receipts are not required for reasonable tips, shuttle/bus/taxicab fare, or business telephone calls; however, they must be itemized on the Travel Expense Voucher.

3. Other expenses noted on the Travel Expense Voucher must be justified by the claimant in writing on the Expense Documentation Form, and also be accompanied with a receipt and approved by the department.

4. Names of additional City personnel traveling for the same purpose must be listed on the Travel Expense Voucher.

H. FOREIGN TRAVEL

1. In the event of foreign travel, the claimant is responsible for providing documentation from a bank, financial institution, or Internet of the currency exchange rate in effect at the time of exchange. The exchange rate information must be obtained during the dates of the travel.

2. The City will not reimburse the Goods and Services Tax (GST) or any other foreign tax that may be refunded to the claimant. The claimant is responsible for submitting a claim to the appropriate country for any tax refund.

15.4 – TRAVEL AND PAYMENT REIMBURSEMENT PROCEDURES

A. PROCESSING REIMBURSEMENT CLAIMS

1. The claimant must complete and submit an Employee Reimbursement/Authorization Agreement for Electronic Funds Payment Form to the Procurement Services Division to establish or update an existing supplier number for the claimant.

2. Claims for reimbursements of travel expenses must be completed and submitted to the Accounts Payable Section within ten (10) working days following a claimant's return from a trip. Justification for late claims must be documented on the Expense Documentation Form.

3. The following must be submitted for reimbursement of travel expenses to the Accounts Payable Section to determine compliance with this policy:
   a. A purchase order, including an electronic receipt;
   b. Travel Expense Voucher;
   c. Airline itinerary, ticket stubs or electronic ticket information;
   d. Official conference/training brochure and registration;
   e. Itemized hotel receipt, indicating the payment method and showing the balance was paid;
   f. Receipts for rental car, parking, tolls, fuel, airline baggage fees, and other expenses as required;
   g. Expense Documentation Form, if applicable;
   h. Other documentation, rental car agreement, as necessary;
   i. City Treasurer's receipt from a Travel Advance, if applicable;
   j. Copy of Travel Advance Agreement, if applicable; and
   k. It is recommended the Travel Claim Check List be followed and submitted with each travel claim.

   The Travel Expense Voucher shall reflect all expenditures of the trip, including prepaid airfare, registration or lodging expenses and if these were paid by purchasing card or purchase order. The

purchase order number, electronic receipt number, and amount of all prepaid expenses must be entered appropriately on the Travel Expense Voucher.

4. For conferences, include a copy of the official brochure and completed registration form, which indicates the meeting location, dates and times of the conference, and costs.

5. For non-conference claims, documentation indicating the meeting/training location, dates and costs must be obtained and attached to the claim before submitting to Accounts Payable.

6. Claimants should allow five (5) working days from date of submission to the Accounts Payable Section for the processing and submission of complete, correct claims for payment in the earliest possible pay cycle. Reimbursement checks will be mailed directly to the claimant's home address as provided on the Employee Reimbursement/Authorization Agreement for Electronic Funds Payment Form or directly deposited into the claimant's bank account if enrolled in the EFT program. Accounts Payable staff may request additional documentation if not provided with the reimbursement claim.

B. CITY TRAVEL ADVANCE

1. In accordance with Article IX, Division 3, Section 2-841 of the Oklahoma City Municipal Code, 2010, the City Manager may approve a petty cash draw also referred to as a Travel Advance, of no more than $2,499. A department may submit a Travel Advance Agreement to the City Manager for approval of a cash advance from the City Treasurer. Other department petty cash funds may not be used for travel advances.

2. The department will enter a requisition/purchase order using supplier number 0000006972. The purchase order must include the claimant's name in the item description field. Upon request, a copy of the approved Travel Advance Agreement should be sent to the Procurement Services Buyer assigned to approve travel purchase orders.

3. To obtain a Travel Advance, the claimant requesting the advance must provide the original approved Travel Advance Agreement, along with a copy of a signed purchase order to the City Treasurer's Office. A Travel Advance should not be picked up more than three days prior to travel.

4. Upon return, unspent cash must be returned to the City Treasurer's Office within three working days. The City Treasurer's Office will issue a receipt for the cash that is returned from the Travel Advance which must be submitted with the claimant's travel reimbursement claim.

5. Failure of any claimant to submit a complete Travel Expense Voucher to the Accounts Payable Section within ten (10) working days could result in a of any Travel Advances for the department, loss of travel privileges and/or disciplinary action up to and including termination.

6. Only one Travel Advance is allowed to be outstanding per employee. Additional advances will not be issued to the employee by the City Treasurer's Office until the outstanding advance is reimbursed in accordance with this policy.

15.5 – ADDITIONAL INFORMATION

A. ATTENDANCE AND CONDUCT

1. Traveling on behalf of the City and using public funds is a privilege. As a City employee or appointed official, the claimant is expected to attend conference meetings and training sessions.

2. An employee found to be absent from a substantial portion of the conference, seminar, sessions or other activity without good and justifiable cause will be subject to disciplinary actions in accordance with the applicable Personnel Policies and may be personally liable for all travel expenses.

3. Any City employee who performs any action that reflects discredit upon the City of Oklahoma City; is involved in any conduct that is offensive; violates the common decency or morality of the community; or whose conduct is unbecoming of a City employee will be subject to disciplinary actions in accordance with the City's Personnel Policies.

B. CANCELLATIONS

1. If the registration, lodging and/or transportation has been prepaid by the City and the claimant is unable to complete the intended travel, the claimant and sponsoring department are required to follow-up on the cancellation policy of the sponsoring organization and lodging site. All possible means are to be explored to obtain refunds, partial refunds, or options for substituting another employee.

2. The claimant must provide written justification, which is approved by the department head, to explain and justify the reason for the inability to travel as previously arranged. This written justification must be submitted on the Expense Documentation Form with the Travel Expense Voucher.

C. REFUNDS

1. The sponsoring department and the claimant have the responsibility for the oversight and administration of seeking refunds to the City and depositing those refunds with the City Treasurer's Office.

2. Any refunds due the City obtained due to cancellations or overpayments must be deposited with the City Treasurer's Office. Any such refund received can be credited back to the department's budget by providing the original funding information to the City Treasurer's Office with the refund.

3. If the City refund is payable to the employee or appointed official, it must be endorsed to the City, delivered to, and receipted by the City Treasurer's Office.

4. If payments were made by a City purchasing card, the refund should be credited back to the purchasing card. Exceptions to this must be approved by the Purchasing Agent.

5. If the refund is credited to the claimant's personal credit card, the claimant is responsible for reimbursing the City Treasurer's Office for any amount due the City.

Attachment "A" – Travel Expense Voucher

See next page.

Travel Expense Voucher
City Employee, Members of City Trusts, Boards and Commissions

Claimant's Name:_____PO#_____Receipt#_____

Home Address:_____City:_____State:_____Zip Code:_____

Claimant's Supplier ID#:_____ Department &Division:_____

Destination:City-_____County-_____State-_____

Purpose of Travel:_____

Required: OKC Departure Date: _____ Time:_____ OKC Arrival Date:_____ Time:_____

NOTE: Travel Outside of Conference Dates requires a completed Expense Documentation Form with departmental approval.

PREPAID SECTION	**Circle Procard if paid by Procard or write PO# if paid by PO**	**Totals**
(A) Airfare: **(attach itinerary)**	Procard or PO#	$
(B) Registration: **(attach complete brochure)**	Procard or PO#	$
(C) Hotel/Lodging:**(attach itemized receipt)**	Procard or PO#	$
(D) **(attach receipts)**	Procard or PO#	$

Day (write or type in)								**If a City vehicle was used, employee should initial here_____.**
Date (write or type in)								
(E) TRANSPORTATION SECTION (to destination site)								
• Airfare – **Requirement** – Attach itinerary (if prepaid, enter above)								$
• Rental Cars/Commercial Rail - **Requirements** – Attach Expense Documentation Form, rental agreement and receipt. Department head approval for rental cars must be obtained prior to travel and attached to the claim.								$
• Airline Baggage Fees								$
• Parking & Tolls								$
• Gas (City Vehicle only)								$
Total Item (E) - (per day)								$
(F) PRIVATE VEHICLE MILEAGE SECTION - Requirement: Attach Expense Documentation Form								
Actual Miles x								
Rate per Mile								
Pay Total Mileage Expense								$
OR Airfare, whichever is less Item (F)								$
(G) REGISTRATION SECTION - Requirements: Attach Complete Brochure with Registration Rates and Dates								
• **Total Item (G)** (If prepaid, enter above)								$
(H) LODGING & TAXES SECTION- Requirements: Attach Itemized Hotel Receipt and Document Single Occupancy Rate								
• **Total Item (H)** (If prepaid, enter above)								$
(I) MEALS SECTION – Requirements – Itemize Actual Expenses up to the Per Diem Rate								
Breakfast								
Lunch								
Dinner								
Actual Expenses Total Per Day								
Per Diem Rate								$
Total to Pay Item (I) (Lesser of Two)								$

Travel Expense Voucher, continued

Claimant's Name:_____PO#_____Receipt#_____

List names of additional City personnel traveling for the same purpose (Required):_____

_____

_____

Day (write in)									
Date (write in)									
(J) MISCELLANEOUS SECTION (expenses at destination site)									
	Business Phone Calls								$
	Tips (other than meals)								$
	Taxis/Shuttles/Bus								$
	Total Item (J) (per day)								$
(K) OTHER EXPENSES SECTION - Requirement: Attach Expense Documentation Form									
•	1.								$
•	2.								$
	Total Item (K)								$
Total Expenses, (A) – (K)									$

	Less Cash Advances (if applicable)	-
	Less Prepaid Items (A) – (D)	-
Claimant Date	Total (+ or -)	**$**
Claimant's Supervisor Date	**DUE CLAIMANT (+) OR**	**$**
Authorized Signature (Verify Signature List) Date	**DUE CITY TREASURER (-)** **(Receipt of payment to City Treasurer Attached)**	**$**

<u>Receipts are required for</u>: Airfare, Rental Cars, Commercial Rail Service, Short or Long Term Parking over $2.00, Tolls, Airline Baggage Fees, Gasoline Receipts for Vehicles, Lodging and Other Expenses.

Attachment "B" – Expense Documentation Form

EXPENSE DOCUMENTATION FORM

This form must be completed and filed with the Travel Expense Voucher to claim reimbursement for: 1) Travel Beginning and/or Ending Outside Recognized Conference Meeting Dates; 2) Private Vehicle or Commercial Rail Service Travel Outside the State in Lieu of Air Travel; 3) Authorization for continental breakfasts and special dietary meals; 4) Authorization for Rental Car; and 5) Justification of Other Expenses.

I. General Information:

Name:_____Department:_____

II. Travel Beginning and/or Ending Outside Recognized Conference Meeting Dates:

1) Airfare quote for conference dates obtained prior to travel on (date)_____from (travel agency or internet)_____ $_____

2) **LESS**: a) Airfare Quote for Pre-Conference or Post Conference From (travel agency or internet)_____ Extended Stay obtained on (date)_____ $_____
   b) Additional Lodging $_____
   c) Additional Meals $_____
   d) Additional Expenses (parking, tolls, etc.) $_____

3) **Net Savings to City** $_____
   OR
   (Non-Reimbursable Expense to Claimant) $_____

III. Use of Private Vehicle, Commercial Rail Service vs. Air Travel (Outside State):

1) Airfare Quote obtained prior to travel on (date)_____from (travel agency or internet)_____ $_____
2) Baggage Fees (only if documentation of cost is provided with claim) $_____

3) **LESS**: a) Round trip vehicle mileage $_____
   _____miles X _____mileage reimbursement rate
   OR
4) **LESS**: b) Round trip Commercial Rail Service cost $_____
   c) Additional Lodging $_____
   d) Additional Meals $_____
   e) Additional Expenses (parking or tolls etc.) $_____

5) **Net Savings to City** $_____
   OR
   (Non-Reimbursable Expense to Claimant) $_____

IV. Special Dietary Meals; Continental Breakfasts; Rental Car; Other Expenses; Late Claim; Cancellations and Other Comments:

Justification: _____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

V. Authorization:

_____ _____

Signature of Claimant Date Claimant's Supervisor Date

_____

Authorized Signature (Verify Signature List)

Attachment "C" – Travel Advance Agreement

TRAVEL ADVANCE AGREEMENT

Amount:$_____

PO#:_____

_____
Name (Print or type) Title

_____
Department Name Department # Telephone

Purpose of Travel Advance:_____

Dates of Conference:_____Date leaving: _____

Destination:_____Date returning:_____

_____
Department Head Approval-Signature Date

City Manager's Approval (Required): Designation per 2-841 of the Oklahoma City Municipal Code.

_____
City Manager/Designee (Signature/Print) Date

ACKNOWLEDGEMENT OF RECEIPT OF FUNDS

KNOW ALL PERSONS BY THESE PRESENTS:

That I, _____ (Print Name), in my capacity as _____(Title), hereby acknowledge receipt of $_____to me in hand paid this ____day of _____, 20___, for the purpose(s) set out above, under authority of Section 2-841 of the Oklahoma City Municipal Code; in consideration of which I hereby agree to administer and account for said monies as provided in said ordinance only, and authorize The City of Oklahoma City, or its agents or assigns, to collect any monies unreconciled, including costs of collection and attorney's fees.

I hereby certify, under penalty of perjury, that I have read said ordinance and agree to abide by the provisions thereof.

INWITNESS WHEREOF, I hereunto set by hand this ___ day of _____, 20 _____.

_____
Signature (Upon receipt of Travel Advance)

COUNTY OF_____

Before me, the undersigned, a Notary Public, in and for said County and State on this _____ day of _____, 20____, personally appeared (Print Name), to me known to be the identical person who executed the within and foregoing instrument and acknowledged to me that they executed same as their free and voluntary act and deed for the uses and purposes therein set forth.

Given under my hand and seal the day and year last above written.

(Seal)

My Commission Expires:_____ _____
NOTARY PUBLIC

Attachment "D" – Travel Claim Check list

TRAVEL CLAIM CHECK LIST
(City Employees, Members of City Trusts, Board and Commissions)

GENERAL INFORMATION SECTION ON TRAVEL EXPENSE VOUCHER:

_____ Travel Expense Voucher completed, including the PO# and Receipt# generated by the financial system. The supplier number set up for the claimant, must include full name and home mailing address. A separate claim form must be used for each claimant. Travel Advances should be for the employee that signed for the cash advance. **The supplier number for travel advances from the City Treasurer (0000006972) must be used on the requisition/purchase order, not the claimant's supplier number.**

_____ Destination/Purpose and OKC Departure/Arrival **date and time** must be completed.

_____ **Travel outside of conference dates** must have an Expense Documentation Form attached with written justification and department approval supporting travel times outside the conference dates. (Section II and V must be completed). It must clearly show that the savings in airfare is greater than the additional cost of meals, lodging and additional expenses, if these costs are to be reimbursed by the City. **Airfare quotes must be obtained no later than the date of the airfare purchase for the extended travel dates**.

_____ Verify that the **claim will be submitted to Accounts Payable within 10 working days** following claimant's return from trip. Late claims require an Expense Documentation Form with written justification from the claimant and **approval from the department.** (Section IV and V must be completed).

SECTION (A), (B), (C) & (D) PREPAIDS:

_____ **If airfare, registration, hotel/lodging or other deposit costs were prepaid** by the City or the claimant submitted a claim for reimbursement prior to the travel dates, the purchase order number and amount for each prepaid must be completed. If paid by purchasing card, this should be indicated by circling procard on these sections. The receipts for airfare itinerary, hotel/lodging, registration, other deposit verification and complete registration brochure must be attached.

SECTION (E) TRANSPORTATION:

_____ **Airline itinerary, ticket stubs or electronic ticket must be submitted with the claim** and if prepaid, purchase order number and amount must be completed on the Travel Expense Voucher. If there was a change of flight resulting in additional cost to the claimant, attach the Expense Documentation Form with written justification of the additional expense approved by the department and the original receipt. (Section IV and V must be completed). The department is responsible to ensure that claimants use the lowest and best economy coach airfare available. **Verify airfare to be a single ticket purchase.**

_____ **Attach airline baggage fees** and indicate the expense(s) on the Travel Expense Voucher. If the baggage fee receipt is lost, justification and approval from the department must be indicated on the Expense Documentation Form (Section IV and V must be completed).

_____ Determine if claimant is eligible for reimbursement for long term parking. Note that long term parking incurred at the Oklahoma City Airport or other parking facilities at the destination site are not reimburseable expenses. (Receipt must be attached to Travel Expense Voucher).

_____ If reimbursing for **use of City Vehicle outside of state**, verify receipts for tolls, gas, parking other than metered over $2.00 or other related expenses en route to and from destination are attached. If a City vehicle was used, employee needs to initial the box on Travel Expense Voucher form under the Prepaid Section. **If a fuel card is not used when purchasing fuel for a City vehicle (Section IV and V) of the Expense Documentation Form must be completed.**

_____ If reimbursing for **rental car**, verify rental car agreement, receipt and Expense Documentation Form with written justification from the claimant, approved by the department head is attached. **Must be approved prior to travel** (Section IV and V must be completed).

_____ If reimbursing for **commercial rail service**, verify receipt and Expense Documentation Form with department approval is attached . (Section III and V must be completed). **Must be most economical method of travel. Airfare quotes must be obtained when travel arrangements are made.**

SECTION (F) PRIVATE VEHICLE MILEAGE:

_____ If reimbursing **mileage for private vehicle use outside of state,** actual miles multiplied by the current IRS mileage rate must be entered, attach an Expense Documentation Form with department approval and airfare quote (Section III and V must be completed). Mileage may be reimbursed to the claimant at the current IRS rate, as long as it does not exceed the lowest and best economy coach airfare and baggage fees, if documentation is included; if so, the lesser of the two must be used. **Private Vehicle Mileage incurred to and from the Oklahoma City air departure point is not reimbursable**. **No reimbursements will be allowed for fuel or additional ground transportation at the destination site. Reimbursement is allowed for tolls and parking as long as expenses do not exceed the cost of airfare.**

SECTION (G) REGISTRATION:

_____ Registration amount entered and entire **registration** brochure attached**,** must include **locations, dates covered, and cost**. If prepaid, either procard or PO must be circled on the prepaid section of the Travel Expense Voucher and the amount entered. If prepaid using a purchase order, the purchase order number must be entered. Verify that **special events and tours that are not job-related and are leisure activity** have not been included on the registration. **The City will not reimburse for this type of activity or expenses relating to a traveling companion of the claimant.**

SECTION (H) LODGING & TAXES:

_____ **Itemized hotel receipt** is attached. In the event a registration form is not available or does not include publication of hotel room rates, **the claimant is responsible for obtaining written documentation of the single occupancy room rate from the hotel**. Verify name on receipt, number of persons in room and single/double occupancy rate, if necessary.

_____ Verify payee support is attached for Hotel deposit. If prepaid, purchase order number or procard must be circled and the amount entered on the Travel Expense Voucher.

SECTION (I) MEALS:

_____ Verify that expenses for each **meal is itemized** on the Travel Expense Voucher. Reimbursement will not be approved without this separate detail. The City will not reimburse meals or expenses for traveling companions, snacks or for alcoholic beverages. All meal expenses will be reviewed for reasonableness.

_____ Verify that meal dates coincide with conference/travel dates and if meal(s) have been included as part of the registration. **The City will not reimburse for additional meals during that time, with the exception of continental breakfasts and special dietary needs.** An Expense Documentation Form with justification and department approval must be attached for these exceptions (Section IV and V must be completed).

_____ Verify current City/County/State per diem rate and 1/2 day or full day allowable. **City employees, members of City Trust, boards and commission are required to use the per diem rate.** No meal receipts are required. Reimbursement will be made for the actual expenditure amount claimed, **up to the per diem maximum.**

_____ Verify overnight stay was required before reimbursing for meals or if the claimant was in travel status long enough that an employee needs to stop to rest to properly perform his/her job duties. If overnight stay was not required and travel was long enough that an employee needed to stop to rest, justification on the Expense Documentation Form will need to be approved by the Departmental Head or designee (Section IV and V must be completed).

SECTION (J) MISCELLANEOUS:

_____ **Miscellaneous expenses** consist of tips (excluding meal tips), taxicab/shuttles/bus fare, and business phone calls. Verify expenses are itemized on the Travel Expense Voucher (receipts are not required for reasonable tips or business phone calls). The City will not reimburse for personal items, services or entertainment, including but not limited to, toiletries, medicine, clothing, grooming, laundry, dry cleaning, movies, snacks and alcoholic beverages.

SECTION (K) OTHER:

_____ **Other expenses** must be justified by the claimant on the Expense Documentation Form, accompanied with a receipt and approved by the department (Section IV and V must be completed).

SUMMARY:

_____ In the event of **foreign travel**, **claimant must supply** documentation from bank, financial institution, or Internet of the currency exchange rate in effect at the time of exchange. Also, verify that the **Goods and Services Tax (GST)** or any other foreign tax is not being claimed by the claimant (this tax is usually found on the hotel bill). The City will not reimburse for this tax. The claimant is responsible for submitting a claim to the appropriate country for any tax refund.

_____ If claimant received advance money, receipt and copy of the completed Travel Advance Form from City Treasurer must be attached **(Travel Advance claims only)**.

_____ Verify that all supporting documentation is accurately listed on the travel expense voucher; that all subtotals and totals are accurate; and the correct **account code** was used.

_____ Verify that voucher has claimant's signature and claimant's supervisor or higher signature is on the Travel Expense Voucher. The Authorized Signature List must be verified for **authorized department approval (**Claimant seeking reimbursement cannot authorize or otherwise approve their own travel expense voucher or other related justifications). Department heads must have the City Manager, or their assigned Assistant City Manager, approve their travel claim prior to submission to Accounts Payable for processing.

_____ For cancellations, verify that an Expense Documentation Form is attached with justification and department approval (Section IV and V must be completed.

BUSINESS EXPENSE POLICIES

SECTION 16 - VEHICLE USE AND REIMBURSEMENT

16.1 - PURPOSE

To establish a Take-Home Vehicle, Vehicle Mileage Reimbursement, and Vehicle/Car Allowance Policy for employees of the City of Oklahoma City and to ensure the City is in full compliance with applicable IRS regulations.

16.2 - SCOPE

This policy provides guidelines for the assignment of take-home vehicles, use of City vehicles, and reimbursement for the use of personal vehicles in conducting official City business. Excluding public safety departments, this policy applies to employees in City departments and divisions, including executives. Public Safety departments will establish internal policies governing the assignment and use of take-home vehicles.

The responsibility for the administration of this policy is assigned to the City Manager. **The responsibility for the enforcement of this policy is assigned to Department Heads.**

When a City employee must travel on approved official business, the City will either provide the employee with a vehicle or provide reimbursement for the use of a personal vehicle or for the use of public transportation.

For policies and procedures related to travel expense reimbursement for out-of-town business trips, please refer to the travel policy in the previous section of this document.

16.3 – POLICY

A. GENERAL PROVISIONS

1. **Safety**. The City reserves the right to prohibit employees with unsatisfactory safety or traffic violation records from operating City vehicles or using personal vehicles for City business.

2. **Licensing**. A valid State of Oklahoma driver's license is required for an employee to drive a City vehicle or a personal vehicle used in the conduct of City business for which mileage reimbursement is received. The employee will be required to submit evidence of his/her driver's license to his/her department annually, or upon request.

3. **Accidents**. All accidents occurring while on City-related business involving City-owned vehicles or personal vehicles in use on City business must be immediately reported by the employee operating the vehicle to the appropriate law enforcement agency and then through the established department and Citywide accident reporting procedures.

   The City requires all vehicle accidents that occur while on City related business, whether on private or public property, be reported to Risk Management within five (5) working days following the day of the accident. The report must be made using the City's "Vehicle Accident Report" form accompanied by a "Supervisor's Investigation Report". These forms can be located on the City's intranet website or from the Risk Management Division.

4. **Time Sheet Accuracy**. Each department, division, agency, and work location is responsible for ensuring the accuracy of its own time sheets and payroll reconciliation, including all entries relating to vehicle usage and mileage.

B. TAKE-HOME VEHICLES

1. **Purpose**. Take-home Vehicles are provided to respond to emergency situations posing an immediate threat to the safety of the public. Take-home Vehicles will be authorized when the additional response time required for an employee to travel to the regular work location to pick up a vehicle would significantly increase the threat to public safety.

   Take-home Vehicles may also be provided to City Inspectors to gain service delivery efficiencies and/or operational savings to the City. Vehicles used for this purpose must have automatic vehicle location (AVL) devices installed for safety and accounting purposes.

   No vehicle assignments are made for the personal use or convenience of the employee and assignment of vehicles is considered a responsibility rather than a privilege. Any employee who uses a City-owned vehicle for personal reasons such as commuting between his/her residence to his/her primary work location will be subject to having the value of such personal use included on his/her W-2 Form.

2. **Initial Assignment**. When an employee is first assigned a City-owned take-home vehicle (and annually thereafter if the employee continues to use the same vehicle) the employee and his/her supervisor will prepare a Take-Home Vehicle Form. At that time, the employee will be notified as to whether Federal and State income taxes will be withheld on the value of any personal use of the vehicle. A new Take-Home Vehicle Form will be prepared each time a vehicle is assigned to a different employee. A Take-Home Vehicle Form is attached to this section of the policy.

C. VEHICLE REIMBURSEMENTS AND ALLOWANCES

1. **Logs**. Employees receiving mileage reimbursements will be required to prepare and submit complete and accurate trip logs to their payroll officers as documentation for mileage reimbursement.

   Information provided in the request for reimbursement should include date, starting mileage, ending mileage and total miles driven, origin and destination.

   The City will not reimburse employees for mileage accumulated commuting between their homes and their normal work locations.

2. **Personal Vehicle Responsibilities**. The owner/operator of a personal vehicle assumes responsibility for all costs involved in the operation and maintenance of his or her vehicle while conducting City business. The only compensation shall be the predetermined mileage payment for use while conducting City business or vehicle allowance. Miles commuting between the employee's home and normal work location are excluded from reimbursement.

3. **Department Responsibilities**. Individual departments are responsible for maintaining vehicle insurance records on all employees applying for vehicle mileage reimbursement or vehicle allowance for use of a personal vehicle for City business. Department Heads have the authority to withhold payment from any employee who has not provided proof of required insurance coverage. Departments are responsible for maintaining driver's license records and for authorizing the withholding of payment if an employee does not provide a valid driver's license.

4. **Compensation**. Reimbursement for the use of a personal vehicle will be paid at the rate prescribed by IRS regulations. A qualified and properly insured employee upon the recommendation of his/her Department Head will be considered for mileage reimbursement. Reimbursements must be authorized in advance by the City Manager. Requests for authorization should be routed through the Fleet Services Division and must include a statement describing the City business to be conducted while on mileage reimbursement and the anticipated mileage.

   A vehicle allowance of $250 per month will be considered for qualified and insured drivers whose jobs require them to travel at least 11,000 miles per year. To obtain the vehicle allowance authorization, the Department Head must submit a description of the intended City business use through the Fleet Services Division. The request must include an estimate of the number of miles of travel the job requires each year. Vehicle/Car allowance should be reviewed by Fleet Services and authorized by the City Manager. Once the allowance has been approved, a Personnel Action Form with the employee's signature must be submitted to Personnel HRIS to start the allowance. The paperwork should reflect an earnings code of CR1 if the allowance is to be treated as non-taxable, or CR2 for taxable earnings.

5. **Mileage Rate**. The Payroll Section of the Accounting Services Division is responsible for distributing the IRS mileage rate to departments. A memo will be forwarded to departments annually when the new IRS mileage rate is announced and the rate will be posted on the City's intranet website.

D. REPORTING UNAUTHORIZED PAYMENTS AND LOSS OF VALID DRIVER'S LICENSE

1. **Reporting**. Employees who receive vehicle mileage reimbursements or allowances will be responsible for reporting any unauthorized payments or overpayments. Should an overpayment occur for any reason, the employee is required to reimburse the City for the overpayment. Employees are required to sign a statement acknowledging they understand the policy regarding reporting and repayment of unauthorized mileage reimbursement or car allowance payments, and they agree to comply. The department shall maintain this statement.

   All motor vehicle operators utilizing City vehicles or personal vehicles in the course of employment are required to report to their immediate supervisor, by the close of business the next business day, if their driver's license is suspended, revoked, or cancelled.

2. **Disciplinary Action**. An employee who fails to report an unauthorized payment or to report the loss of a valid Oklahoma driver's license or loss of liability insurance is subject to appropriate disciplinary action, up to and including termination. Department Heads are responsible for communicating this policy to employees approved for vehicle reimbursements, allowance, or use of City-owned take-home vehicles.

E. EXECUTIVE CAR ALLOWANCES

Car allowances approved for executives and other specified management employees may be awarded by the City Manager as part of a total compensation package. Other economic factors may be considered in approving car allowances to these employees. In such cases, the approval and review procedures will follow applicable guidelines described in Section 16.4 - C. and D.

16.4– PROCEDURE

A. TAKE-HOME VEHICLE REQUESTS

A Department Head must initiate take-home vehicle requests.

A written request justifying the need for an after-hours vehicle must be routed through the General Services Department for review and endorsement. Final approval or denial will be granted by the City Manager's Office.

It is the responsibility of the Department Head or designee to assure such vehicles are used for the purpose granted on the original authorization.

Department Head or designee will be notified of the approval or denial of each request.

B. REQUESTS FOR REIMBURSEMENT OR VEHICLE ALLOWANCE

An employee may request authorization for mileage reimbursement or vehicle allowance through his/her Department Head. The request must include the following information:

a. Oklahoma Driver's License number and expiration date
b. proof of liability insurance coverage; including name of insurance company, policy number, and expiration date
c. a description of the intended City business use of the employee's vehicle
d. anticipated annual mileage

Upon approval by the employee's division and Department Head, the request is to be forwarded to the Fleet Services Division for a cost assessment and recommendation.

Requests will be approved in writing and, to be valid, must bear the signature of the City Manager or the City Manager's designee.

C. EXECUTIVE CAR ALLOWANCES

Car allowance authorizations for executives and other specified management employees may be negotiated and approved by the City Manager's Office.

D. DISCONTINUANCE OF AUTHORIZATION

In the event a department determines authorization for the use of a take-home vehicle, vehicle allowance or mileage reimbursement should be discontinued. The following process is to be followed:

1. The Department Head will notify the employee authorization has been discontinued.

2. The Department Head will initiate a written notice of discontinuation of authorization to the General Services Department and the department's payroll officer will notify the Personnel Department and submit paperwork. The HRIS Section is responsible for stopping the monthly car allowance payment upon receipt of written notice including effective dates.

3. The discontinuation will be recorded in the authorization database maintained by the Fleet Services Division.

Discontinuance of car allowances for executives and other specified management employees will follow modified procedures. The City Manager's Office will notify employees and the Fleet Services Division of the discontinued authorization. Subsequent procedures will follow "Discontinuance of Authorization" procedures outlined in this section.

E. VEHICLE USE REVIEW PROCESS

At the end of each month, the Fleet Services Division will review the status of take-home vehicle use, vehicle allowances, and mileage reimbursement levels to ensure consistency with current authorizations. Fleet Services will provide notice to Department Heads and the City Manager's Office if annual mileage reimbursement amounts exceed the cost of other available alternatives.

Each fiscal year, Fleet Services requires Department Heads to review and reauthorize take-home vehicles and vehicle reimbursements and allowances.

16.5 – VEHICLE WASH

A. PURPOSE

To establish a policy that City vehicles will present the cleanest and well cared for appearance that conditions of weather and use allow.

B. POLICY

Vehicles are to be washed as needed in order to present a clean appearance. Facilities for washing vehicles exist both in-house and at commercial locations under existing vendor site fueling contracts. Commercial car wash services will be at the most basic service available, unless otherwise specifically authorized by departmental policy. In-house washing facility at the Central Maintenance Facility is provided for both light and heavy duty vehicles and includes availability of a vacuum cleaner.

Employees who choose to use a car wash with a higher cost than the most basic available will be required to provide justification for using the higher cost wash to their supervisor if it was not authorized in advance. If that justification is determined by the supervisor to be unacceptable, the employee shall reimburse the City for the cost differential, payable at the City Treasurer's Office. Employees who regularly use high cost car washes may be subject to disciplinary action.

Attachment "E" – Take Home Vehicle Form

Fleet Services Division
Take Home Vehicle Form

Date:

Type of Request: ☐ Permanent ☐ Rotational

Driver's Information — Employee Section

Driver's Name: | Driver's License Number: | Driver's License Expiration Date:

Employee Number: | Classification: | Department ID:

Principal Work Location: | Driver's Home Address:

Vehicle Information — Employee Section

Year: | Make: | Model:

Mileage: | Equipment/Unit #: | VIN #:

Employee Verification — Employee Section

A copy of current driver's license is attached. ☐ Yes ☐ No

Number of miles driven per week during normal work hours: [official City business only]

Number of miles driven per week after normal work hours: [official City business only]

Number of miles driven per week commuting between home & work:

If request is for less than 50 weeks per year, state number of week's vehicle is driven:

Explain vehicle use during normal work hours. Also, explain vehicle use after normal work hours (if applicable)

Analysis — Fleet Services Section

Annual Mileage: | Rate: | Estimated Cost:

Signature — Employee Section

Department Director Signature: | Date:

Fleet Management Recommendation — Fleet Services Section

Meets policy requirements

☐ Accept

☐ Reject

General Services Department: | Date:

Approved ☐
Denied ☐

City Manager's Office

Rev. 2-22-2016

Attachment "F" – Vehicle Allowance Reimbursement Form

Fleet Services Division
Vehicle Allowance-Reimbursement Form
EQS-5

Date:

Type of Request: ☐ Vehicle Allowance ☐ Mileage Reimbursement

Driver's Information — Employee Section

Driver's Name: | Driver's License Number: | Driver's License Expiration Date:

Employee Number: | Classification: | Department ID:

Principal Work Location: | Driver's Home Address:

Vehicle Information — Employee Section

Year: | Make: | Model:

Mileage: | VIN #:

Employee Verification — Employee Section

A copy of current driver's license & current insurance verification attached. ☐ Yes ☐ No

Number of miles driven per week during normal work hours: [official City business only]

Number of miles driven per week after normal work hours: [official City business only]

If request is for less than 50 weeks per year, state number of week's vehicle is driven:

Explain vehicle use during normal work hours. Also, explain vehicle use after normal work hours (if applicable)

Analysis — Fleet Services Section

Annual Mileage: | Reimbursement Rate: | Estimated Cost:

Signature — Employee Section

Department Director Signature: | Date:

Fleet Management Recommendation — Fleet Services Section

Meets policy requirements

☐ Accept

☐ Reject

General Services Department: | Date:

Approved ☐
Denied ☐

City Manager's Office

Rev. 2-22-2016

BUSINESS EXPENSE POLICIES

SECTION 17 - CHANGE FUNDS

17.1 – PURPOSE

The Oklahoma City Municipal Code allows for remote-location change funds (Article IX, Division 3, Section 2-842) authorized by the City Treasurer's Office. The provisions of the Code and the procedures established in this policy address the operational responsibilities for the requesting department and for the custodial employee to establish, maintain, and relinquish change funds.

17.2 - DEFINITION

Change funds are cash assignments of public funds for the purpose of providing change for customer cash transactions. Change funds cannot be used for any other purpose.

17.3 - SCOPE

This policy and the procedures established herein govern the assignment and remote location of change funds.

17.4 - ESTABLISHMENT

A Department Head may request establishment of a change fund by submitting a Change Fund Agreement. One form must be completed for each department employee responsible for a change fund. The form must be approved by signature of both the Department Head and City Manager/Designee.

A change fund is established in an amount relevant to its purpose as requested by the Department Head and approved by the City Manager/Designee. The City reserves the right to prohibit individual employees from obtaining change funds.

The department is responsible for providing safe locations for the custodial employee to secure funds in locked areas. These funds must be accounted for at all times and available for inspection by approved designated authorities (i.e. Auditors or Treasury). Department Heads shall be responsible for communicating this policy to their employees who are approved to hold change funds.

Department Heads are responsible for assuring that employees with access to or responsibility for handling cash have appropriate experience or training. The City Treasurer's Office provides cash handling training.

17.5 - RECONCILIATION

Cash register change funds must be reconciled at least once each day. Reconciliation of other change funds may occur as often as necessary but must occur no less than once monthly. The custodial employee is personally responsible for the change fund in their possession. The custodial employee must immediately report any shortage(s) or overage(s) and itemize the deduction from or addition to the deposit accordingly. Shortages resulting from theft must be immediately reported to the Police Department and immediately reimbursed from the department's budget with a police report as support for the claim.

17.6 - RELINQUISHMENT

Cash assignments are not transferable to other employees. In the event a department determines there is no longer a valid purpose for a change fund, or when the custodial employee transfers to a different position or terminates employment, the funds shall be returned to the City Treasurer or a new assignment must be in place. Upon receipt of the funds or new assignment, the City Treasurer or designee will "void" the original assignment form of the previous custodial employee and return it to the employee. Each employee who has acknowledged the receipt of funds as evidenced by their signature on the Cash Assignment Form shall be held accountable for said funds until the funds have been returned to the City Treasurer or a new assignment is in place and the original "voided" cash assignment form is received.

17.7 - VIOLATIONS
No employees shall maintain or operate any change fund not authorized by the City Treasurer. An employee charged with responsibility for a change fund shall maintain and operate the fund in accordance with City policy. Change funds must never be used to cash or give back change on personal checks, to pay any type of expenses, or make loans. Violations of this policy may adversely affect a department from obtaining the City Treasurer's authorization for establishment of a change fund or continued possession of such.

17.8 – DISCIPLINARY ACTION
Any employee found to be acting in violation of this policy is subject to disciplinary action, up to and including termination.

The City Treasurer shall provide Department Heads with a list of change funds and the employee(s) responsible for them annually.

Attachment "G" – Change Fund Agreement

CHANGE FUND AGREEMENT

Amount: $_____

_____

Name (Print or type) Title

_____

Department Name Department ID# Telephone

State ***purpose*** and ***location*** of change fund:

Purpose of change fund:_____

_____

Physical Location:_____

_____

_____

Department Head Approval-Signature Title

City Manager's Approval (Required): Designation per 2-842 of the Oklahoma City Municipal Code.

_____

City Manager/Designee Date

ACKNOWLEDGEMENT OF RECEIPT OF FUNDS

KNOW ALL PERSONS BY THESE PRESENTS:

That I,_____ (Print Name), in my capacity as_____(Title) hereby acknowledge receipt of $_____to me in hand paid this ___day of _____, 20___, for the purpose(s) set out above, under authority of Section 2-842 of the Oklahoma City Municipal Code; in consideration of which I hereby agree to administer and account for said monies as provided in said ordinance only, and authorize The City of Oklahoma City, or its agents or assigns, to collect any monies unreconciled, including costs of collection and attorney's fees.

I hereby certify, under penalty of perjury, that I have read said ordinance and agree to abide by the provisions thereof.

INWITNESS WHEREOF, I hereunto set by hand this ____ day of _____, 20 _____.

_____

Signature (Upon receipt of Change Fund)

STATE OF OKLAHOMA

COUNTY OF_____

Before me, the undersigned, a Notary Public, in and for said County and State on this _____ day of ____, 20___, personally appeared _____ (Print Name), to me known to be the identical person who executed the within and foregoing instrument and acknowledged to me that they executed same as their free and voluntary act and deed for the uses and purposes therein set forth.

Given under my hand and seal the day and year last above written. (Seal)

My Commission Expires: _____ _____

NOTARY PUBLIC

BUSINESS EXPENSE POLICIES

SECTION 18 - EMERGENCY/ONE-TIME PETTY CASH ADVANCES

18.1 - PURPOSE

The Oklahoma City Municipal Code 2-841 provides for those departments/divisions not having a petty cash assignment to request an emergency/one-time petty cash advance. The advance is available to enable employees to pay **cash** for services and fees that cannot be used by following traditional purchasing processes and where use of a purchasing card is not feasible.

18.2 - DEFINITION

The advance is for specific purchases requiring a **cash** payment at the point of sale or when the service or fee is transacted. Emergency/one-time petty cash purchases include, but are not limited to, various filing fees at county and state agencies, postage needs, etc.

18.3 - SCOPE

This policy and the procedures established herein govern emergency/one-time petty cash advances.

18.4 - ESTABLISHMENT

A Department Head may request an advance by submitting an Emergency Petty Cash Advance Agreement to the City Treasurer. A form must be completed for each request. The form must be approved by signature of both the Department Head and City Manager/Designee.

Emergency/one-time petty cash advances may be requested in an amount not to exceed $500 during normal office hours. The City reserves the right to prohibit individual employees from obtaining emergency/one-time petty cash advances.

Department Heads are responsible for assuring that employees with access to or responsibility for obtaining cash have appropriate experience or training.

The requesting employee is personally responsible for any emergency/one-time petty cash advance in his/her possession. Theft must be immediately reported to the Police Department and reimbursed from the department's budget with a police report as support for the claim. The custodial employee must immediately reimburse any shortage(s) not resulting from theft; otherwise, the Department Head is ultimately responsible for collecting shortages of funds.

18.5 – EXPENDITURE OF FUNDS AND REINBURSEMENT TO CITY TREASURER'S OFFICE

The emergency petty cash advance is to be used for the emergency/one-time purchase of allowable items, in situations where employees are restricted from following traditional purchasing processes, where a purchasing card is not feasible and when a **cash** payment is the only accepted form of payment to the service provider.

As a governmental entity, The City is not required to pay sales tax. Employees are expected to inform vendors/suppliers that the City is exempt from sales tax (Oklahoma Statutes, Title 68, Section 1356(A)). A tax exemption letter can be located on the City's intranet website. Sales tax will not be reimbursed.

The following procedures should be followed to receive the funds and to reimburse the City Treasurer's Office:

a. The department shall submit the completed Emergency/One-time Petty Cash Advance form to the City Treasurer's Office in order to receive the cash.
b. Cash will only be released by the City Treasurer's Office to the employee whose name is on the form.

c. The City Treasurer expects signed and dated return of receipts and/or unspent cash from the requesting employee on the same day or within 24 hours of issuance of the emergency/one-time petty cash.
d. The department shall enter a purchase order utilizing vendor number 0000008486 in the amount of the emergency/one-time petty cash advance within 24 hours of issuance of the emergency/one-time petty cash.
e. The department shall enter an electronic receipt matching the amount of the receipt(s) submitted to the City Treasurer's Office.
f. The City Treasurer's Office or department forwards all original documentation to Accounts Payable.
g. Claims are subject to review by the Accounts Payable Section and the City Treasurer's Office.

18.6 - VIOLATIONS

Emergency/one-time petty cash advances shall not be used for personal items, to pay unauthorized expenses, or make loans. Violations of this policy may adversely affect a department from obtaining the City Treasurer's authorization for requesting emergency/one-time petty cash advances or obtaining emergency/one-time cash advances in the future.

18.7 – DISPLINARY ACTION

An employee found to be acting in violation of this policy is subject to disciplinary action, up to and including termination.

Attachment "H" – Emergency/One-Time Petty Cash Advance

EMERGENCY/ONE-TIME PETTY CASH ADVANCE

Amount: $_____

PO#:_____

_____

Name (Print or type) Title

_____

Department Name Department ID#Telephone

State ***purpose, date needed*** for emergency/one-time petty cash advance:

Purpose of advance:_____

_____

_____

Department Approval-Signature Title

City Manager's Approval (Required): Designation per 2-841 or 2-842 of the Oklahoma City Municipal Code.

_____

City Manager/Designee **Date**

ACKNOWLEDGEMENT OF RECEIPT OF FUNDS

KNOW ALL PERSONS BY THESE PRESENTS:

That I, _____(Print Name), in my capacity as _____(Title), hereby acknowledge receipt of $ _____to me in hand paid this ____day of _____, 20___, for the purpose(s) set out above, under authority of Section 2-841 or 2-842 of the Oklahoma City Municipal Code; in consideration of which I hereby agree to administer and account for said monies as provided in said ordinance only, and authorize The City of Oklahoma City, or its agents or assigns, to collect any monies unreconciled as provided in subsection 1 of said Section 2-841, including costs of collection and attorney's fees.

I hereby certify, under penalty of perjury, that I have read said ordinance and agree to abide by the provisions thereof.

INWITNESS WHEREOF, I hereunto set by hand this ___ day of _____, 20____.

_____

Signature (When cash received)

STATE OF OKLAHOMA

COUNTY OF_____

Before me, the undersigned, a Notary Public, in and for said County and State on this _____ day of ____, 20___, personally appeared _____ (Print Name), to me known to be the identical person who executed the within and foregoing instrument and acknowledged to me that they executed same as their free and voluntary act and deed for the uses and purposes therein set forth.

Given under my hand and seal the day and year last above written. (Seal)

My Commission Expires: _____ _____

NOTARY PUBLIC

BUSINESS EXPENSE POLICIES

SECTION 19 - PETTY CASH

19.1 - PURPOSE

The Oklahoma City Municipal Code allows for remote location petty cash funds (Chapter 2, Article IX, Section 2-841 (b)) authorized by the City Treasurer's Office. The provisions of the Code and the procedures established in this policy are to address the operational responsibilities for the requesting department and for the custodial employee to establish, spend, reconcile, replenish, and relinquish petty cash funds.

19.2 - DEFINITION

Petty cash is for purchasing inexpensive non-contract items of an urgent or critical need or in situations where it is not cost effective or efficient to follow traditional purchasing processes and where use of a purchasing card is not feasible.

19.3 - SCOPE

This policy and the procedures established by this policy govern the assignment and remote location of petty cash funds.

19.4 - ESTABLISHMENT

Department Heads may make a request to establish a petty cash fund by submitting a Petty Cash Fund Agreement. One form must be completed for each department employee responsible for a petty cash fund. The form must be approved by signature of both the Department Head and City Manager/Designee.

Petty cash funds may be established in the amount of $500 or less. The department is responsible for providing safe locations for the custodial employee to secure funds in locked areas. These funds must be accounted for at all times and available for inspection by approved designated authorities (i.e. Auditors or Treasury). Department Heads are responsible for communicating this policy to employees responsible for petty cash funds. The City reserves the right to prohibit individual employees from obtaining petty cash funds.

Department Heads are responsible for assuring employees with access to or responsibility for handling cash have appropriate experience or training.

Once the cash is released from the City Treasurer's Office, the custodial employee is personally responsible for petty cash fund accounts in his/her possession. Shortages resulting from theft must be immediately reported to the Police Department and reimbursed from the department's budget with a police report as support for the claim. The custodial employee must immediately reimburse any shortage(s) not resulting from theft; otherwise, the Department Head is responsible for collecting shortages of funds from the custodial employee.

19.5 – EXPENTIDURE OF FUNDS

Cash may be expended from a petty cash fund for the purchase of an allowable inexpensive non-contract item of an urgent or critical need or in situations where it is not cost effective or efficient to follow traditional purchasing processes and where use of a purchasing card is not feasible. When petty cash funds are expended for contract items, they must be purchased from a contracted vendor.

The City is not required to pay sales tax. Employees are expected to inform vendors that the City is exempt from sales tax (Oklahoma Statutes, Title 68, Section 1356(A)). A tax exemption letter is attached. Sales tax will not be reimbursed.

19.6 – RECONCILIATION/REPLISHMENT
Reconciliation of petty cash funds may occur as often as necessary, but no less than once monthly. Replenishment may occur as often as necessary, but must occur at least once each quarter and within 30 days following the end of each fiscal year. Amounts drawn, maintained or expended which remain unreconciled when the books of a given fiscal year are closed, or upon termination of an officer or employee making such draw or expenditures, become the personal responsibility of the person making such draw or expenditure. The City Treasurer, its remote agents, and the Personnel Department shall keep appropriate records to ensure identification of such persons at termination.

Prior to requesting replenishment, the custodial employee must contact Procurement Services to establish a vendor number specifically for petty cash reimbursements. The following must then be submitted to the Accounts Payable Section to replenish a petty cash fund:

a. A purchase order, including an electronic receipt, for the amount of the replenishment.
b. A Petty Cash Replenishment and Reconciliation Form.
c. A copy of the Petty Cash Fund Agreement that is on file with The City Treasurer's Office for the custodial employee.
d. Original itemized receipts or paid invoice for the items purchased, **signed and dated by the employee who made the purchase.**

Claims are subject to review by the Accounts Payable Section and the City Treasurer's Office.

19.7 - RELINQUISHMENT
If a department determines there is no longer a valid purpose for the petty cash fund, or when the custodial employee transfers to a different position or terminates employment, the Department Head will notify the City Treasurer. The City Treasurer will determine the appropriate actions to relinquish or transfer the funds and provide final accounting.

19.8 - VIOLATIONS
No employee shall use a Petty Cash fund to cash personal checks or make loans. Violations of this policy may adversely affect a department from obtaining the City Treasurer's authorization for establishment of a petty cash fund or continued possession of such.

19.9 – DISPLINARY ACTION
An employee found to be acting in violation of this policy may be subject to disciplinary action, up to and including termination.

The City Treasurer shall provide Department Heads with a list of petty cash funds and the employee(s) responsible for them annually.

Attachment "I" – Petty Cash Fund Agreement

PETTY CASH FUND AGREEMENT

Amount: $_____

_____
Name (Print or type) Title

_____
Department Name Department ID# Telephone

State ***purpose*** and ***location*** of petty cash fund:

Purpose of petty cash fund:_____

Physical Location:_____

_____
Departmental Approval-Signature Title

City Manager's Approval (Required): Designation per 2-841 or 2-842 of the Oklahoma City Municipal Code.

_____
City Manager/Designee Date

ACKNOWLEDGEMENT OF RECEIPT OF FUNDS

KNOW ALL PERSONS BY THESE PRESENTS:

That I, _____(Print Name), in my capacity as _____(Title), hereby acknowledge receipt of $_____to me in hand paid this ____day of _____, 20___, for the purpose(s) set out above, under authority of Section 2-841 or 2-842 of the Oklahoma City Municipal Code; in consideration of which I hereby agree to administer and account for said monies as provided in said ordinance only, and authorize The City of Oklahoma City, or its agents or assigns, to collect any monies unreconciled as provided in subsection 1 of said Section 2-841, including costs of collection and attorney's fees.

I hereby certify, under penalty of perjury, that I have read said ordinance and agree to abide by the provisions thereof.

IN WITNESS WHEREOF, I hereunto set by hand this ___ day of _____, 20 ____.

_____
Signature (Upon receipt of petty cash)
STATE OF OKLAHOMA
COUNTY OF_____

Before me, the undersigned, a Notary Public, in and for said County and State on this ____ day of _____, 20___, personally appeared _____ (Print Name), to me known to be the identical person who executed the within and foregoing instrument and acknowledged to me that they executed same as their free and voluntary act and deed for the uses and purposes therein set forth.

Given under my hand and seal the day and year last above written.

(Seal)

My Commission Expires:_____ NOTARY PUBLIC:_____

Attachment "J" – Petty Cash Replenishment and Reconciliation Request

PETTY CASH REPLENISHMENT AND RECONCILIATION REQUEST

_____	**$**_____
Date	Amount of Replenishment Request
_____	_____
PO Number	Receiver Number
_____	_____
Printed Name of Petty Cash Custodian	Title
_____	_____
Signature	Department/Telephone Number
_____	_____
Replenishment Reviewer/Approver (Review/Approver must be different than custodian)	Title
_____	_____
Signature	Department/Telephone Number

To reimburse a remote petty cash account, forward this form, along with signed receipts, to the Accounts Payable Section, Procurement Services Division. The reconciliation below must be completed:

Petty Cash on Hand $_____

Replenishment requested (receipts attached) $_____
(Receipts must be signed and dated by employee who made the purchase)

Other receipts on hand (not attached) $_____

Outstanding replenishment requests $_____

PO#_____ $_____

TOTAL (must equal petty cash authorized) $_____

Reconciliation

Attached receipts must include: date, supplier, item(s) purchased, amount and must be signed by purchaser. Please retain copies for your files. **Sales tax will not be reimbursed.**

Note: It is recommended that the Petty Cash Reimbursement Checklist on the following page be used and included with this request.

Attachment "K" – Petty Cash Reimbursement Check list

PETTY CASH REIMBURSEMENT CHECK LIST

Petty cash is for purchasing inexpensive non-contract items of an urgent or critical need or in situations where it is not cost effective or efficient to follow traditional purchasing processes and where use of a purchasing card is not feasible.

_____ Purchase Order and Electronic Receiver Number using employee's petty cash vendor code.

_____ Verify a completed Petty Cash Replenishment and Reconciliation Request form is attached and signed by the custodian of the petty cash account.

_____ Verify a completed Petty Cash Replenishment and Reconciliation Request form is attached and signed by a reviewer/approver of the petty cash custodian.

_____ A copy of the Petty Cash Agreement on file with the City Treasurer's Office should be attached to the claim.

_____ Verify the employee name on the Petty Cash Agreement matches the employee name on the Purchase Order and Petty Cash Replenishment and Reconciliation Request.

_____ Verify that all receipts, invoices, or other third-party documentation support the amount of the claim.

_____ Verify that all supporting documents indicate the date, supplier name, amount, and item(s) purchased. Receipts, invoices or other third-party documentation **must be signed by the person making the purchase.**

_____ Verify that each receipt/invoice is for the proper fiscal year. Purchases cannot span fiscal years.

_____ Verify that all totals are mathematically correct.

_____ Verify that the correct account code is used for all items purchased.

_____ Verify that sales tax **has not** been included in the reimbursement total.

_____ If receipts/invoices include food or questionable items, justification of the public purpose for the use of Municipal funds must be attached or noted on the claim. Accounts Payable staff may request public purpose documentation approved by the Department Head.

Replenishment may occur as often as necessary, but must occur at least once each quarter and within 30 days following the end of each fiscal year. Amounts drawn, maintained or expended which remain unreconciled when the books of a given fiscal year are closed, or upon termination of an officer or employee making such draw or expenditures, become the personal responsibility of the person making such draw or expenditure. The City Treasurer, its remote agents, and the Personnel Department shall keep appropriate records to ensure identification of such persons at termination. Reimbursements require an original receipt or paid invoice. Claims are subject to review by the Accounts Payable Section and the City Treasurer's Office.

BUSINESS EXPENSE POLICIES

SECTION 20 - PROFESSIONAL CERTIFICATION AND LICENSE

20.1 - PURPOSE

Professional development and certifications enhance employee job skills and contribute to professional work culture and work product credibility. The City provides continuing professional education, employee training programs, and other incentives to encourage employee development toward the achievement and maintenance of professional certification and licenses. This policy addresses professional education and training, examination and occupational license fees, and use of leave related to professional certification and licenses and occupational licenses.

20.2 - SCOPE

This policy governs professional certification and licenses and occupational licenses:

1. required for job performance; and
2. not required for job performance, but enhance job performance

Additional City policies are in place that provide opportunities to encourage employees to improve job skills through pursuit of professional certification and licenses. These policies include the Customer Service Incentive Program (Management Bulletin 90-3) and the Tuition Reimbursement Program (Personnel Service Bulletin 15-02). Refer to those policies for applicable procedures for qualifying employees.

20.3 - POLICY

Professional certification and license training and examinations involving time away from regular job duties require prior supervisory notification and approval. Options as to date, time, and/or place for training and examinations are at the discretion of the department.

A. For employees whose job responsibilities require that they possess and maintain professional certification and licenses:

Required training provided by, sponsored by, and/or associated with the City will be considered regular work hours. Employees are required to give their full time and attention to the course work.

Administrative leave may be made available to the employee for required training provided through programs or classes not associated with or sponsored by the City for certifications required to be maintained by the City for job performance. Such required training may be paid or reimbursed by the City. Administrative leave includes absences from the employee's job station that are not sick, vacation, or some other defined leave type. Administrative leave is leave for City-related business that does not fall into other specific leave categories.

The City will pay examination and renewal fees for certifications required by the City for job performance as stated in the Personnel job description or applicable laws and regulations. Department Heads determine whether examination fees are paid for employees who do not pass a required exam and whether fees will be paid by the department if an exam is retaken. Exam result documentation should be maintained by the employee's department. Employees may be eligible for administrative leave to take a required examination.

B. For employees whose job responsibilities are enhanced by the pursuit and maintenance of professional certification and licenses:

1. Training provided by, sponsored by and/or associated with the City will be considered regular work hours and should be undertaken by the employee with that perspective.

2. With advance supervisory approval, administrative leave may be made available to the employee for training provided through programs or classes not associated with or sponsored by the City, but related to or enhancing job performance at the City. Such external training may or may not be paid or reimbursed by the City. Other training, not related to City responsibilities, requiring leave from the employee's regular responsibilities requires use of pre-approved vacation leave or accrued comp time.

3. City work organizations may regularly provide continuing professional education or other employee training programs designed to meet requirements of professional certification and licenses. Employees are encouraged to participate in these programs to meet educational/training requirements rather than enrolling in classes outside the sponsored program.

   When employees achieve professional certification and licenses that contribute to the City's professional work culture and enhance the credibility of work products within the employees' City job responsibilities, departments may elect to initiate a Customer Service Incentive award to reward this achievement.

   Professional certification and license examinations and maintenance of professional certification and licenses that are not required to perform job responsibilities may or may not be reimbursable by the City.

20.4 - PROCEDURES

A. PERSONNEL PROCEDURES

Procedures to implement the Professional Certification and License Policy follow the established personnel actions and existing personnel pay and leave procedures with applicable authorizations. No additional forms, authorizations, or procedures are required.

B. EMPLOYEE REIMBURSEMENT PROCEDURES

Professional certification and license fees should be paid by the department to professional organizations and associations following the established Purchasing Policies and Procedures. An out-of-pocket reimbursement may also be paid directly to an employee for qualified expenses following the procedures below:

The claimant must complete and submit an Employee Reimbursement/Authorization Agreement for Electronic Funds Payment Form to the Procurement Services Division to establish or update an existing vendor number for the claimant.

The following must be submitted to the Accounts Payable Section to process claims for reimbursement of qualified out-of-pocket expenses:

a. A purchase order, including an electronic receipt.
b. The original receipt signed by the claimant supporting the reimbursement. The claimant's home address must be written on the receipt and match the address listed in the financial system for their vendor number.
c. If an original receipt supporting the reimbursement is not provided by the vendor, proof of payment (i.e. cancelled check or credit card statement) or a copy of the renewed certificate or license, signed by the claimant, may be submitted instead.

BUSINESS EXPENSE POLICIES

SECTION 21 - PROFESSIONAL DUES AND MEMBERSHIPS

21.1 - PURPOSE

Memberships in certain professional organizations and associations can enhance and benefit the City in many ways. City membership in a trade, industry or professional organization or association may make industry reports, statistics or analyses available to City staff that can enhance management decisions and contribute to operational efficiencies. Individual employee memberships in trade, industry or professional organizations or associations can provide the same benefits as well as providing peer association opportunities and the benefits that come from networking. This policy addresses the types of memberships and dues that are appropriate for City or employee participation.

21.2 - POLICY

Professional dues and memberships are appropriate if membership helps carry out the City's mission or in the case of an individual, the duties of his/her job.

A. Membership in an organization or association must provide a direct benefit to the City. Examples of organizations that may be appropriate for City or employee membership include, but are not limited to:

1. professional organizations
2. trade associations
3. chambers of commerce
4. civic or public service organizations
5. boards of trade
6. business leagues

B. Generally, inappropriate organizations are those organized for non-City business, pleasure, recreation or any other social purpose. Examples of organizations not appropriate for City or employee membership include, but are not limited to:

1. country clubs
2. golf and athletic clubs
3. hotel clubs
4. sporting clubs
5. airline clubs
6. social clubs

C. No professional dues or memberships shall be paid to any organization whose membership is limited in any way due to race, creed, religion, color, sex, age, national origin, ancestry or disability as defined by the Americans with Disabilities Act of 1990, 42 U.S.C. § 12102.

D. Department Heads shall be responsible for determining the appropriateness of membership in any particular organization or association as set forth in these guidelines. Department Heads shall also be responsible for determining the usefulness or direct benefit to the City for employees to attend meetings, seminars or conferences of these organizations or associations.

21.3 – EMPLOYEE REINBURSEMENT PROCEDURES

Professional dues and membership fees should be paid by the department to professional organizations and associations following the established Purchasing Policies and Procedures. An out-of-pocket reimbursement may also be paid directly to an employee for qualified expenses following the procedures below:

1. The claimant or administrative representative must complete and submit an Employee Reimbursement/Authorization Agreement for Electronic Funds Payment Entry Form to the Procurement Services Division to establish or update an existing vendor number for the claimant.

2. The following must be submitted to the Accounts Payable Section to process claims for reimbursement of qualified out-of-pocket expenses:

    a. A purchase order, including an electronic receipt.
    b. The original receipt signed by the claimant supporting the reimbursement. The claimant's home address must be written on the receipt and match the address listed in the financial system for their vendor number.
    c. If an original receipt supporting the reimbursement is not provided by the vendor, proof of payment (i.e. cancelled check or credit card statement) may be submitted instead.

BUSINESS EXPENSE POLICIES

SECTION 22 - RECRUITING EXPENSES

22.1 - PURPOSE

It is sometimes in the best interest of the City to pay the costs associated with recruiting employees to work for the City. This policy addresses the criteria that must be met to enable payment of recruiting expenses.

22.2 - POLICY

A. RECRUITING EXPENSES

There may be occasions when a qualified applicant for a vacant City position resides outside the Oklahoma City metropolitan area. In cases where the applicant cannot be adequately tested, interviewed or otherwise considered for the position by other means (i.e., use of fax, email or telephone), it may be necessary to have the applicant travel to Oklahoma City to participate in the selection process. The City also sometimes uses individuals living outside of the City to participate in the selection process (Assessment Centers, Oral Review Boards, etc.). Qualified expenses may be paid directly by the City or reimbursed to the applicant or individual participating in the selection process provided the Personnel Director has given prior, written approval.

1. Qualified Recruiting Expenses

   Recruiting expenses must be a proper municipal expenditure for the public good to be considered a qualified expense. Recruiting expenses, which may qualify for direct payment or reimbursement by the City, include:

   a. air travel
   b. overnight accommodations
   c. car rental
   d. mileage reimbursement (if personal vehicle used)
   e. meals
   f. other expenses that can be demonstrated to be for the public good

2. Payment of Qualified Recruiting Expenses

   Payment of qualified recruiting expenses must be in compliance with established Purchasing Policies and Procedures and lowest and best prices should be obtained. If the applicant is to be reimbursed, a Vendor Registration Form must be prepared and submitted. The hiring department must provide a justification memo. The justification memo must have an approval signature line and be signed by the Personnel Director.

   Departments are responsible for providing all necessary documentation to support payment of recruiting expenses or direct reimbursements to the applicant or an individual participating in the selection process.

3. Dollar Limitation for Reimbursement

   The hiring department must have sufficient funds within its budget to pay the recruiting expenses.

22.3 – RECRUITING EXPENSE REIMBURSEMENT PROCEDURES

Recruitment expenses should be paid by the department following the established Purchasing Policies and Procedures. The following must be submitted to the Accounts Payable Section to process claims for reimbursement of qualified out-of-pocket expenses:

a. A purchase order, including an electronic receipt.
b. The original receipt signed by the claimant supporting the reimbursement. The claimant's home address must be written on the receipt and match the address listed in the financial system for their vendor number.
c. Justification memo signed by the Personnel Director

BUSINESS EXPENSE POLICIES

SECTION 23 - MOVING/RELOCATION EXPENSES

23.1 - PURPOSE

This policy establishes the criteria that must be met to enable reimbursement or direct payment of moving/relocation expenses, and is designed to be an accountable plan under the Internal Revenue Service (IRS) guidelines.

23.2 – POLICY

A. AUTHORITY FOR PAYMENT OF MOVING/RELOCATION EXPENSES

The following two references provide the authority to pay moving/relocation expenses on behalf of newly hired employees. The hiring department will need sufficient funds within their budget to pay the moving/relocation expenses.

Section 208 of The City of Oklahoma City Personnel Policies states that the City Manager may authorize reimbursement of relocation expenses prior to employment.

Article IV, Section 9 of the Oklahoma City Charter allows, …the payment or reimbursement of authorized expenses incurred or to be incurred by City employees, the making to City employees of authorized payments in lieu of such expenses, and/or the making of authorized incentive or merit payments to City employees, to the extent not otherwise prohibited by the law of the State, and such payments or reimbursements shall in no event be deemed to be compensation for the purposes of this Section.

B. CRITERIA FOR MOVING/RELOCATION EXPENSE REIMBURSEMENT

To qualify for reimbursement of moving/relocation expenses or for payments made directly to a vendor for these expenses, the following requirements must be met:

1. The position taken with the City of Oklahoma City must be a permanent, full-time position.
2. The hiring department and employee must complete a Request for Authorization of Payment of Moving/Relocation Expenses for New Employee form and obtain prior approval from the hiring Department Head, Personnel Director and City Manager.
3. The new City job site must be at least 50 miles farther from the employee's former home than their previous job location.
4. The expenses must be incurred within the first 12 months of employment with the City.
5. Adequate accounting of moving expenses must be submitted to the Accounts Payable Section within 60 days of incurred expense.

C. QUALIFIED MOVING/RELOCATION EXPENSES

Moving/relocation expenses must be a proper municipal expenditure for the public good be considered a qualified expense. Payment of qualified moving/relocation expenses must be in compliance with established Purchasing Policies and Procedures and lowest and best prices should be obtained. Moving/relocation expenses, which may qualify for direct payment by the City to a vendor or reimbursement to the employee, include:

1. 1air travel (lowest economy coach fares available)
2. lodging while traveling to new destination
3. moving van or trailer rental

4. temporary storage of household goods and personal effects within a 30- consecutive-day period after moving from the previous residence
5. professional moving/relocation company (shipping costs of household goods, including insurance)
6. mileage reimbursement per mile driven for moving purposes (IRS mileage rate for moving is different from the IRS mileage reimbursement rate for business use of a personal vehicle)
7. pre-move house hunting expenses
8. other expenses that can be demonstrated to be for the public good and allowable

(Items 7. and 8. may be reported as wages on employees W-2)

D. SPECIFICALLY, EXCLUDED EXPENSES

Expenses specifically excluded from reimbursement are:

1. meal expenses
2. the cost of moving furniture, appliances or other household belongings that the employee purchased on the way to his/her destination
3. temporary living expenses

E. SPENDING LIMITATIONS FOR QUALIFIED MOVING/RELOCATION EXPENSES

The City Manager may establish a maximum allowable expense for moving and relocation.

23.3 – PAYMENT OF QUALIFIED MOVING/RELOCATION EXPENSES PROCEDURES

The claimant or administrative representative must complete and submit an Employee Reimbursement/Authorization Agreement for Electronic Funds Payment Entry Form to the Procurement Services Division to establish or update an existing vendor number for the claimant. Prior to moving, the hiring department should provide the employee a copy of this policy and assist in the preparation, completion and submittal of the moving/relocation expenses. Moving and relocation expenses should be paid by the department following the established Purchasing Policies and Procedures, including informal quotes for expenses exceeding $2,500 i.e. moving companies. The following must be submitted to the Accounts Payable Section to process claims for out-of-pocket reimbursements or payments to vendors for qualified expenses:

1. A purchase order, including an electronic receipt, utilizing account code 51510005-EMPLOYEE MOVING EXP.
2. Original receipts/invoices signed by the claimant supporting the out-of-pocket reimbursement or direct payment to a vendor. For reimbursements, the claimant's home address must be written on the receipt and match the address listed in the financial system for their vendor number.
3. Informal quotes for expenses exceeding $2,500 as required by the City's Purchasing Policies and Procedures.
4. A signed Request for Authorization of Payment of Moving/Relocation Expenses for New Employees form.

23.4 – REPORTING MOVING AND RELOCATION EXPENSES

The hiring department is responsible to report to the Payroll Supervisor the total actual amount paid or reimbursed by the City for moving/relocation expenses within 60 days of the moving event and prior to the end of the fiscal year. The expenses must be reported using the Request for Authorization of Payment of Moving/Relocation Expenses for New Employee form.

Refer to the IRS, Publication 521, Moving Expenses for additional information.

Attachment "L" – Request for Authorization of Payment of Moving/Relocation Expense

REQUEST FOR AUTHORIZATION OF PAYMENT OF MOVING/RELOCATION EXPENSES FOR NEW EMPLOYEE

_____ _____
EMPLOYEE'S NAME POSITION TITLE

_____ _____
CURRENT ADDRESS DATE OF HIRE

_____ (_____)_____
CITY, STATE, ZIP TELEPHONE

DEPARTMENT/DIVISION/SECTION_____

P.O.# _____Receipt# _____

FUNDING TO BE PAID FROM:

GL Unit _____Fund _____Oper Unit _____Dept_____ Program_____Account 51510005

Authorization is requested for the following moving/relocation expenses:

Estimated	Actual	
_____	_____	Air travel for employee
_____	_____	Air travel for employee's spouse
_____	_____	Lodging while traveling to new destination
_____	_____	Moving van or trailer rental
_____	_____	Temporary storage of personal effects (30 consecutive days)
_____	_____	Professional moving relocation including insurance
_____	_____	IRS moving mileage rate reimbursement
		# of miles_____ x current IRS moving mileage rate
_____	_____	Pre-move house hunting expenses
_____	_____	Other (itemize) _____
$_____	$_____	

YES NO

( ) ( ) Were moving/relocation expense incurred within 12 months from your full-time City employment start date? Date of employment: ___/___/___.

( ) ( ) Was move at least 50 miles farther from your former home than your old main job location was from your former home?

( ) ( ) Was reimbursement requested within 60 days of the moving event?
Date of moving event: ___/___/___.

( ) ( ) Reimbursement requested is less than the lessor of $7,500 or one month wages of the beginning pay rate?

Employee Signature_____ Date_____

APPROVED

_____ _____
Department Head Date Personnel Director Date

_____ _____
City Manager Date Payroll Supervisor Date

BUSINESS EXPENSE POLICIES

SECTION 24 - MEALS AND REFRESHMENTS

24.1 – PURPOSE

This policy provides general guidance for the use of City funds to purchase meals or refreshments for meetings, employee training, employee recognition meetings and/or other gatherings that provide a public benefit.

24.2 - SCOPE

Meals or refreshments shall include non-alcoholic beverages, food products purchased at a restaurant, catered at a City facility or at a remote location, or directly purchased and prepared by City employees for a meeting or function. Departments are encouraged to recycle paper, plastic bottles and aluminum cans when hosting City events.

24.3 - POLICY

The purchase of meals or refreshments is appropriate only if it can be demonstrated to provide a public benefit. Meals and refreshments are not provided as a prerequisite to City board members, commission members or employees.

24.4– CONDITIONS

Meals and refreshments should only be provided with the use of City funds where a public benefit can be demonstrated. The following is a list of examples where providing meals or refreshments would provide a public benefit. This list is not exclusive and is intended only to provide examples.

1. Council, board, commission or other business meetings that extend through a normal meal period;

2. Meals or refreshments planned as part of a program relating directly to the performance of City business;

3. Recognition ceremonies or other City sponsored events;

4. The purchase of food and related supplies for employee retirement celebrations (not to exceed $250). This does not include the purchase of tokens such as plaques, certificates, watches, and longevity pins which are authorized and available through the City's contracts for employee recognition items. The purchase of flowers, clothing (unless the City seal is imprinted on the clothing), gift certificates, and personal items are not authorized for retirement celebrations using City funds. Departments must obtain preapproval from the Department Head and Purchasing Agent prior to purchasing recognition items not listed above or to exceed the $250 limit for food and related supplies.

24.5 - MAYOR AND COUNCIL COMMUNITY MEETINGS

Section 24 of the City's Purchasing Policies and Procedures Manual allows the purchase of refreshments when it can be demonstrated that they would provide a public benefit. Public meetings scheduled for the Mayor and Council with constituents qualify under that provision.

To provide standards for the Mayor and City Council for the purchase of refreshments, the following guidelines have been developed:

1. A budget of $1,000 per fiscal year, per elected representative, has been established for refreshments at community meetings. This amount shall not be exceeded by any elected official.

2. A limit of $100 per event has been established to ensure that refreshments do not become extravagant.
3. An agenda for the event must be provided in advance of ordering refreshments to demonstrate the public nature of the meetings. The agenda will be included in the documentation authorizing payment of City funds.
4. The event must be open to all residents and must be advertised through official City channels.
5. Only non-alcoholic beverages may be purchased.
6. Refreshments should be paid for using City purchasing card or purchase order to vendors following the established Purchasing Policies and Procedures. Out-of-pocket reimbursements for refreshments at community meetings are generally not allowed.

24.6 – MEALS AND REFRESHMENTS REIMBURSEMENTS PROCEDURES

Meals and refreshments should be paid for by the department to vendors following the established Purchasing Policies and Procedures. An out-of-pocket reimbursement may also be paid directly to an employee following the procedures below:

1. The claimant or administrative representative must complete and submit an Employee Reimbursement/Authorization Agreement for Electronic Funds Payment Entry Form to the Procurement Services Division to establish or update an existing vendor number for the claimant.

2. The following must be submitted to the Accounts Payable Section to process claims for reimbursement of qualified out-of-pocket expenses:

   a. A purchase order, including an electronic receipt.
   b. The original itemized receipt signed by the claimant supporting the reimbursement.
   c. Public purpose documentation as described in the following section.

24.7 – DOCUMENTATION

A. DEMONSTRATED PUBLIC BENEFIT

All claims submitted for purchases or reimbursements for meals or refreshments must describe the type, purpose and date of the meeting or function. If the public benefit is not obvious or easily explained, written documentation from the Department Head must be provided to the Procurement Services Division demonstrating the public benefit. When a purchasing card is used for payment, cardholders are required to keep documentation on-file with their purchasing card receipts.

B. FUNDING

Any department purchasing meals or refreshments is responsible for providing the necessary funds from the department's budget.

C. RESPONSIBILITY

Department Heads are responsible for determining the appropriateness of purchases or reimbursements for meals or refreshments.

BUSINESS EXPENSE POLICIES

SECTION 25 - OUT-OF-POCKET REIMBURSEMENTS

25.1 – PURPOSE

This policy establishes the criteria that must be met for the reimbursement of out-of-pocket expenses. Out-of-pocket expenses are usually inexpensive non-contract items of an urgent or critical need or may be necessary in situations when it is not cost effective or efficient to follow traditional purchasing processes and where use of a purchasing card is not feasible. When out-of-pocket expenses are for contract items, they must be purchased from a contracted vendor.

25.2 – PROCEDURES

The following procedures should be followed for reimbursing employees for qualified out-of-pocket expenses:

1. The claimant or administrative representative must complete and submit an Employee Reimbursement/Authorization Agreement for Electronic Funds Payment Entry Form to the Procurement Services Division to establish or update an existing vendor number for the claimant.

2. The following must be submitted to the Accounts Payable Section to process claims for reimbursement of qualified out-of-pocket expenses:

    a. A purchase order, including an electronic receipt.
    b. The original receipt signed and dated by the claimant supporting the reimbursement. The claimant's home address must be written on the receipt and match the address listed in the financial system for their vendor number.
    c. If an original receipt supporting the reimbursement is not provided by the vendor, proof of payment (i.e. cancelled check or credit card statement) may be submitted instead.
    d. If the business reason for the reimbursement is not obvious, the Department Head will need to submit a memo to the Purchasing Agent for approval prior to processing the reimbursement claim.

BUSINESS EXPENSE POLICIES

SECTION 26 - PERSONAL USE OF CITY RESOURCES

26.1 - PURPOSE

The Oklahoma State Statute 21O.S. Section 341 prohibits the personal use of public assets. This policy establishes operational responsibilities of City departments and employees relating to City resources.

26.2 - SCOPE

This policy and the procedures established herein govern use, prohibited use, misuse, exceptions and penalties for use of City resources, facilities and equipment, including but not limited to, the use of fax machines, copiers, postage, computers, telephones, pagers, and the Internet. Department Heads may establish internal departmental policies regarding the personal use of City resources as long as the departmental policy is not less restrictive than the City policy.

26.3 – PROPER USE OF CITY RESOURCES, FACILITIES AND EQUIPMENT

City resources, facilities and equipment are intended for use in the performance of official City business. City employees may not use City resources for the personal benefit of any other person unless it is as part of the employee's official duties. The term "City resources" refers to City funds, property, supplies, equipment, and employee time. Use of City resources, facilities and equipment for other than official City job purposes is permitted only under very limited circumstances and only if the use meets **all** of the following criteria:

a. there is no cost to the City or the accumulated cost to the City is de minimis (i.e., a use that results in no actual cost to the City, or the cost to the City is so small as to be insignificant or negligible);
b. it does not interfere with the employee's official duties;
c. it is brief in duration, including an accumulation of time used;
d. it does not compromise the security or integrity of City information or software;
e. advance written supervisory approval is obtained; and
f. the use does not violate any laws, ordinances or City regulations.

Regardless of whether these six criteria can be met, personal use of City vehicles and field equipment (power tools, landscape maintenance equipment, etc.) is never allowed and is specifically prohibited. Public Safety Departments will follow established internal policies governing the assignment and use of home storage and take-home vehicles.

Examples of permitted limited personal use include the following:

a. use of a computer outside of work hours;
b. use of a fax machine when the call is local and the accumulated printing cost is either de minimis or reimbursed to the City;
c. use of the Internet for personal e-mail or browsing during approved work breaks and outside of work hours when the e-mail content and Internet sites visited do not violate City policy (Information Technology Acceptable Use Policy);
d. use of a personal digital assistant (PDA) for personal appointments, addresses, etc.; and
e. use of a business or cellular telephone as long as there is no cost to the City or the accumulated cost to the City is de minimis.

Written approval for the usage must be granted through normal departmental and supervisory processes. If approval has been granted but the cost to the City does not meet the de minimis criteria, the fair value, including equipment/supply costs and City overhead as determined by the Department Head or supervisor, must be paid by the employee. Reimbursement to the City must be made by making a personal check payable to the City of Oklahoma City and deposited with the City Treasurer.

26.4 – PROHIBITED USE OF CITY RESOURCES

City resources may not be used for any of the following:

a. conducting an outside business;
b. supporting, promoting, or soliciting for an outside organization or group unless otherwise provided by law, permit or agreement with the City (e.g., City co-sponsored events);
c. political campaigning; and
d. commercial purposes such as advertising or selling unless otherwise provided by law, permit or agreement with the City (e.g., Civic Center events); or illegal activities.

Personal use of City vehicles and field equipment (e.g., power tools, landscape maintenance equipment, etc.) is specifically prohibited.

Department Heads shall be responsible for maintaining appropriate documentation for employee reimbursement of approved personal use of City resources, facilities or equipment.

26.5 – CONFLICT OF INTEREST

The following examples of City resources and identity may not be used by an employee to support or represent the employee's outside activities including businesses, hobbies, and political activities:

a. City telephone numbers, and office, e-mail or web addresses;
b. City affiliations and titles may not be used for advertising;
c. City stationery, office supplies, and/or equipment such as photocopiers; and
d. City computing resources and laboratory equipment.

26.6 – REPORTING MISUSE OF CITY RESOURCES

The Personnel Policies address Fraud in Article 300, Section 307, and encourages City employees to report improper governmental action taken by City officers or employees. The term fraud refers to, but is not limited to: any dishonest or fraudulent act; forgery or alteration of any official document; misappropriation of funds, supplies or City materials; improper handling or reporting of money or financial transactions; profiting by self or others as a result of inside knowledge; destruction or intentional disappearance of records, furniture, fixtures, or equipment; accepting or seeking anything of material value from vendors or persons providing services or materials to the City for personal benefit; or any similar or related irregularities.

Under Section 307.02, an employee who has reason to believe that there may have been an instance of fraud, improper action, or other illegal act or misappropriation or misuse of City assets (i.e. equipment, including improper personal use of City resources; supplies; cash) as a "financial irregularity" that action must be reported to a supervisor or manager, the Department Head, the City Manager's Office, or the City Auditor as soon as possible. The City Auditor shall be notified by the City Manager or department contact of all such instances reported. The City Auditor will then investigate as deemed necessary.

Employees can anonymously (if desired) report fraudulent or inappropriate activity by any of the following means:

Phone: (405) 297-2227
Email: 4ethics@okc.gov
Online: InsideOKC

An employee who reports a suspected incident of fraud or illegality, or assists in an investigation may be protected from retaliation in accordance with the Whistleblower Policy, Section 308 of the Personnel Policies. However, the Whistleblower Policy does not protect an employee from disciplinary action for his/her own involvement if they are found to be in violation of the policy.

26.7 – PENALTIES AND ENFORCEMENT

Employees who violate published City policies regarding the personal use of City facilities and equipment, or policies regarding outside work and conflict of interest are subject to appropriate disciplinary or corrective action, up to and including termination.

SECTION 27 - DEPARTMENTAL APPLIANCES

27.1 – PURPOSE AND SCOPE

Household appliances of various kinds are found in many City departments. This policy provides guidance as to what types of appliances are appropriate to purchase and/or maintain with City funds. Discretion regarding appliances purchased and/or maintained with private funds outside of the City purchasing system and placed in City facilities is left with Department Heads.

27.2 – POLICY

It is recognized that certain household appliances, including but not limited to refrigerators, microwaves, and icemakers are useful in the work environment and contribute to employee well being. As such, it is appropriate to purchase and/or maintain appliances with City funds. However, employees are not guaranteed that appliances will be available at their work site. The availability of City purchased appliances will vary between work-sites depending on a number of factors such as available space and the capability of departments to fund purchases.

Departments should use discretion and good judgment as to the types, number and maintenance of appliances purchased. Appliances purchased and/or maintained with City funds must be available to all employees at the work site and should provide a benefit to the majority of employees. Safety should be a priority when installing and operating appliances. Failure to comply with all applicable codes or unsafe operation of an appliance may result in its removal.

27.3 – PROCEDURES

Purchases and/or maintenance of household appliances using City funds must comply with the established Purchasing Policies and Procedures.

Building Management must be contacted prior to the purchase or installation of any appliance, regardless of funding source, including personal space heaters, to ensure the current electrical outlets and other building systems are capable of supporting the appliance, or if additional outlets or building system modifications are required.

GLOSSARY OF TERMS

Agent* or *procurement purchasing agent means the person designated by the City Manager or designated appropriate authority, as the procurement purchasing agent of the City.

Award means the presentation, after careful consideration, of a purchase agreement or contract to the selected bidder or offeror.

Back order means that portion of an order for merchandise not available for delivery at the scheduled time and promised for delivery at a later date.

Bid means an offer at a quoted price submitted electronically in response to a request for bid (RFB) which can become a contract upon acceptance by the City.

Bidder means a vendor who submits a response to a request for bids.

Bid bond means a written agreement or check by which a third party guarantees that a bidder will accept a contract as bid, if it is awarded.

Bid opening means the public opening of electronic bids which are publicly revealed on the date and at the time and place provided in the bid specifications, and recorded and made available for public inspection.

Blanket purchase order means a purchase order used to place orders on a repetitive basis for goods or services.

Can means not always mandatory, a negotiable item.

Certificate of insurance means a form from an insurance company licensed to do business in Oklahoma which shows that the vendor is insured for the term of the contract for the amount stated in the specifications and listing the City as an additional insured.

Competitive bidding means a fair and equitable means of allowing several vendors to offer price quotations and the City to award contracts to the vendor offering the lowest and best bid for the purchase of specified equipment, materials or service by the departments/divisions of the City.

Confirming purchase order means a purchase order restating the same terms originally encumbered and placed orally or in conjunction with a confirming purchase request.

Confirming purchase request means a purchase request submitted with all supporting documentation for an item or service that has already been received by the ordering department or division as a result of an emergency purchase. Supporting documentation should include an invoice, delivery ticket and any other documentation that might be particular to the purchase.

Contract means a legally binding agreement between two or more parties for the doing or providing of certain goods or services that is binding by law. Contracts of the City must be in writing and executed in accordance with the provisions of this Chapter.

Contractor means a vendor that has been awarded a contract. A contractor may be an individual or a firm.

Contractual services means all City services governed by the provisions of the City Charter and more specifically including all telephone, gas, water, electric light and power service, towel and cleaning service, insurance, leases for all grounds, buildings, offices or other space required by the using agencies, and the rental, repair or maintenance of equipment, machinery and other City-owned personal property. The term shall not include professional and other contractual services which are unique and not subject to competition, nor shall it include public improvement contracts for the construction, maintenance or repair of streets, alleys, sidewalks, storm sewers, water and sanitary sewer lines and plant facilities where such public improvement contracts are awarded pursuant to Charter provisions.

Departmental representative means a representative from the department in which the vendor is bidding on a contract.

Disadvantaged owned business means a business enterprise owned by racial minorities, women and handicapped. The City awards contracts on a strictly nondiscriminatory basis without regard to race, sex, age or other nonrelevant criteria.

Emergency purchase means a purchase that is made without competitive bidding due to a situation that could not have been reasonably foreseen and, whereby the immediate procurement of needed supplies and/or services is essential to prevent delays in the work of the ordering department, which may vitally affect the life, health or convenience of the citizens.

Equal (or equal) means an item which may be substituted for a required item if it is matched, with no advantage on either side.

Evaluation of bids means the examination of bids after opening to determine the bidder's responsibility, responsiveness to requirements, and other characteristics of the bids relating to the award.

Expedite means to speed up an action; to facilitate a delivery of goods or services; to rush.

Fiscal year contract means the period of time specified for the performance of a contract covering July 1, _____ to the end of the then current fiscal year June 30, _____.

Formal competitive bid means a bid which must be submitted in a manner to be established by the City Council and in conformance with a prescribed format as stated in the bid specifications which is to be publicly revealed on the date and at the time and place provided in the bid specifications.

Gratuity means something given voluntarily and beyond obligation usually in return for or in anticipation of some service.

Informal bid means a request for price quotations for commodities or services that do not require a sealed bid, public opening, or public reading of bids.

Invoice means a detailed list of goods sold or services provided, together with the charges and the payment terms, which is furnished by the vendor to the City.

Lowest and best bid means the lowest dollar bid in response to a request for bid that conforms to the specifications and best meets the City's needs.

May means not always mandatory, a negotiable item.

Multiple award means contracts awarded to more than one vendor for comparable supplies and services. Awards are made for the same generic types of items at various prices where the award to a single vendor would be impractical or fail to satisfy the total requirements.

Must means mandatory requirement.

No bid means a response to an invitation for bids stating that respondent does not wish to submit an offer.

Nonconformance means the failure of materials or services to conform to specified requirements for any quality characteristic.

Non-responsive bid means a bid that does not conform to the mandatory or essential requirements of the invitation for bid.

Notarization and acknowledgement means verification of a signature made under oath, and verified with an electronic signature of the person authorized to perform those acts, together with all other information required to be included by other applicable law and is attached to or logically associated with the signature.

One-time contract means a single purchase of a specific item of equipment or specific quantity of material by competitive bidding.

Open market construction purchase - Any purchase of construction that is made without formal competitive bidding (less than $50,000).

Open market purchase means any purchase of supplies and/or contractual services that is made without formal competitive bidding.

Open market purchase authority means that supplies and/or contractual services that cost $25,000.00 or less in City funds may be purchased on the open market by the procurement purchasing agent without a formal bid and without Council action. Items that cost in excess of $25,000.00 in City funds can only be purchased on the open market by City Council action. This action is in the form of a resolution that waives competitive bidding and authorizes the open market purchase.

Open market resolution - A resolution approved by the City Council for open market authority, for supplies and/or services not available on a pricing agreement. The estimated cost is based on immediate need or historical usage that is made with or without formal competitive bidding.

Performance bond means conditions of guarantee by a third party in certain substantial bids, particularly, building and construction, for the faithful performance of a contract by the vendor.

Performance specification means a specification setting forth performance requirements determined necessary for the item involved to perform and last as required.

Pre-bid conference means a conference between the prospective bidders and representative(s) of the City held following the advertisement of request for bids, but before bid opening, to review and discuss the specifications without discussing prices.

Pre-specification conference means a meeting with buyer(s), departmental technical staff and prospective bidders to review and clarify the draft or proposed specifications of a complex nature, prior to advertising for request for bids.

Price agreement* or *pricing agreement means a continuing formal offer, from a vendor or contractor to the City, to provide products/services at a firm price for a set period of time and which agreement does not obligate any City funds at the time the agreement is approved by the Council. Pricing agreements shall contain a provision stating that the City is not obligated to make any purchases pursuant to the agreement.

Professional services contract* or *professional service means a contract or service that requires the contractor to perform services that are technical or professional in nature, that require professional or scientific judgment or other special skills, training, taste or discretion, or that are not subject to uniform specifications.

Public purchasing means the process of obtaining goods and services for public purpose, following procedures implemented to protect public funds from being expended extravagantly or capriciously.

Purchase order means the City's written document to a vendor that formally states all terms and conditions of a proposed purchase transaction.

Purchase order number means a number from a purchase order that is used to keep track of a purchase and that is sometimes issued verbally to authorize City purchase of services or materials.

Qualified bidder means a bidder determined by a buying organization to meet minimum set standards of business competence, reputation, financial ability, and product quality for placement on the bidder's list.

Quotation means a statement of price, terms of sale, and description of goods or services offered by a seller to a prospective buyer (informal bid).

Receipt means the following when required for reimbursement: The Oklahoma City Municipal Code § 2-801 requires documentation with claims for payment of goods and services, including the vendor name and location, a list of items purchased, the quantity of the items, the cost for each item, delivery date and the total amount. A receipt should also indicate that a payment was made.

Request for bid (RFB) means an invitation to bidders requesting formal and informal bids that complies in all respects to detailed specifications.

Request for proposal (RFP) means an invitation requesting formal proposals for professional services for which detailed specifications are impractical and price is not the primary evaluation factor.

Requisition means a standard transaction that the user departments complete in order to initiate purchases and encumbrances.

Service contract means a contract between a vendor and the department/division to perform certain work, especially not connected with a manufacturing result (e.g., industrial or electrical maintenance services) over a certain period of time, normally the fiscal year.

Shall means mandatory requirement.

Sole source means a vendor that is the only source for a service or item to be purchased. An example of a sole source is the purchase of maintenance on a machine that only the manufacturer can supply.

Specifications means a detailed and concise description of the materials/services including terms and conditions that tell the seller (vendor) what the buyer wants to purchase.

Split purchase means a purchase which is divided into orders involving sums of $25,000.00 or less for the purpose of avoiding the requirement of this article which mandates competitive bidding when the total amount is in excess of $25,000.00.

State contract means any contract let by the State pursuant to 74 O.S. § 85.7, as currently existing or as subsequently amended by the Oklahoma Legislature.

Supplies means and includes all supplies, materials, and equipment.

Surplus property means property which has become obsolete or has been determined to be in excess of the City's needs.

Tabulation of bids means the recording of bids and bidding data submitted in response to a specific invitation for purposes of comparison, analysis, and recordkeeping.

Tax Exempt means the following: The City of Oklahoma City is not required to pay sales tax. Employees are expected to inform vendors that the City is exempt from sales tax (Oklahoma Statutes, Title 68, Section 1356(A)). When vendors charge sales tax on invoices, the tax shall be deducted from invoices prior to payment. If sales tax is charged on purchasing card transactions, the cardholder is required to obtain a credit from the vendor.

Technical specifications means specific words, measurements, quantities or terms used to describe the components in the make-up of a product or service, so that the prospective bidder has an exact understanding of what the buyer is trying to purchase.

Using agency means any department, division, section, or other unit in the City government or other governing body using supplies, procuring contractual services, or otherwise utilizing the City's purchasing policies and procedures as provided for in this article.

PRINCIPLES AND PRACTICES OF PUBLIC PROCUREMENT

VALUES AND GUIDING PRINCIPLES OF PUBLIC PROCUREMENT

Accountability

Taking ownership and being responsible to stakeholders for our actions...essential to preserve the public trust and protect the public interest.

PRINCIPLES:

- Apply sound business judgment.
- Be knowledgeable of and abide by all applicable laws and regulations.
- Be responsible stewards of public funds.
- Maximize competition to the greatest extent practicable.
- Practice due diligence.
- Promote effective, economic, and efficient acquisition.
- Support economic, social, and sustainable communities.
- Use procurement strategies to optimize value to stakeholders.

Ethics

Acting in a manner true to these values...essential to preserve the public's trust.

PRINCIPLES:

- Act and conduct business with honesty and integrity, avoiding even the appearance of impropriety.
- Maintain consistency in all processes and actions.
- Meet the ethical standards of the profession.

Impartiality

Unbiased decision-making and action...essential to ensure fairness for the public good.

PRINCIPLES:

- Be open, fair, impartial, and non-discriminatory in all processes.
- Treat suppliers equitably, without discrimination, and without imposing unnecessary constraints on the competitive market.
- Use sound professional judgment within established legal frameworks to balance competing interests among stakeholders.

Professionalism

Upholding high standards of job performance and ethical behavior...essential to balance diverse public interests.

PRINCIPLES:

- Be led by those with education, experience, and professional certification in public procurement.
- Continually contribute value to the organization.
- Continually develop as a profession through education, mentorship, innovation, and partnerships.
- Develop, support, and promote the highest professional standards in order to serve the public good.
- Seek continuous improvement through on-going training, education, and skill enhancement.

Service

Obligation to assist stakeholders...essential to support the public good.

PRINCIPLES:

- Be a crucial resource and strategic partner within the organization and community.
- Develop and maintain relationships with stakeholders.
- Develop collaborative partnerships to meet public needs.
- Maintain a customer-service focus while meeting the needs, and protecting the interests, of the organization and the public.

Transparency

Easily accessible and understandable policies and processes...essential to demonstrate responsible use of public funds.

PRINCIPLES:

- Exercise discretion in the release of confidential information.
- Maintain current and complete policies, procedures, and records.
- Provide open access to competitive opportunities.
- Provide timely access to procurement policies, procedures, and records.

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