

**U.S. Department of Energy  
Chicago Operations Office  
Guidelines and Operating Procedures  
For Use Of The  
GSA SMARTPAY Purchase Card**

**July 2002**

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## Attachments

Attachment A – Government-wide Commercial Credit Card Service Contract Guide GS-23F-98004 at <http://pub.fss.gsa.gov/services/gsa-smartpay/contracts.cfm>

Attachment B

- FAR REFERENCES ARE AT: <http://www.arnet.gov>
- [FAR SUBPART 3.104, PROCUREMENT INTEGRITY](#)

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- [FAR SUBPART 8.4, FEDERAL SUPPLY SCHEDULES; FAR SUBPART 8.6, ACQUISITION FROM FEDERAL PRISON INDUSTRIES; AND FAR SUBPART 8.7, ACQUISITION FROM NONPROFIT AGENCIES EMPLOYING PEOPLE WHO ARE BLIND OR SEVERELY DISABLED](#)
  - [FAR PART 12, ACQUISITION OF COMMERCIAL ITEMS](#)
  - [FAR PART 13, SIMPLIFIED ACQUISITION PROCEDURES](#)
  - [FAR PART 23, ENVIRONMENTAL CONSIDERATIONS](#)

Attachment C – CH Supplies

Attachment D - DOE-CH Purchase Card Log

Attachment E – U.S. Tax Exemption Certificate

Attachment F – Telephone Quotation Worksheet

Attachment G – Price Reasonableness/Competitive/Small Business Documentation

Attachment H – DOE Purchase Card Destruct Notice Form

Attachment I - Dispute Form

Attachment J – Self Assessment Questionnaire

Attachment K – Recommendation for Appointment

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## 1. Purpose

To establish guidelines for the use of the Government purchase card. These guidelines supplement and implement procedural aspects of the "U.S. General Services Administration Federal Supply Service Government-wide Commercial Credit Card Service, Contract Guide GS-23F-98004" (See Attachment A). Purchases made with the purchase card are subject to the requirements of the Federal Acquisition Regulation (FAR) Parts 3, 8, 12, 13, and 23 (See Attachment B). In the event of any inconsistencies between these Guidelines and the terms and conditions of the Contract Guide or FAR, the inconsistency will be resolved in favor of (1) the FAR, (2) the terms and conditions of the Contract Guide, and (3) these Guidelines.

Commercial purchase card services provide DOE with a means to simplify its small purchase procedures and improve its cash management by:

- offering an alternative to the use of purchase orders, blanket purchase agreements (BPAs), and imprest funds.
- streamlining the acquisition process by reducing paperwork, improving lead times, and expediting Contractor payments;
- reducing the administrative costs associated with small purchases, BPAs, and imprest fund transactions;
- providing greater and more detailed statistical data and an audit trail as an aid in managing purchasing activities.

## 2. Definitions

The following definitions supplement the definitions contained in the GSA Federal Supply Schedule:

- a. Approving Official is the individual responsible for approving a cardholder's purchases. The Approving Official is responsible for reviewing the monthly Statement of Account for each cardholder under his or her cognizance to ensure that purchases are made in accordance with all regulatory and procedural guidance contained or referenced herein. **Approving officials must either be in the cardholder's supervisory chain of command, or a person independent of the purchase cardholder at a level equivalent to a supervisor. An approving official should normally be responsible for no more than 5 cardholders except with the approval of the HCA.**
- b. Backorder is part of an original order that was not filled in the first shipment and is to be sent when ready, without obliging the customer to reorder. Backordering is permitted on the purchase card; however, payment may only be processed upon receipt and acceptance of all items.
- c. Capital Accounting Center (CAP), Accounts Payable Division, CR-54, Germantown, MD, is the office that makes payments for DOE-CH's obligations.
- d. Cardholder is a CH employee with purchasing authority who:
  - (1) Is issued the DOE Purchase Card with a Delegation of Authority or Certificate of Appointment;
  - (2) Has his or her name embossed on the card;
  - (3) Is the sole user of the card ; and
  - (4) Is the custodian of the card.

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- e. Certificate of Appointment (SF-1402) is a formal written Contracting Officer warrant that is issued by the HCA to a cardholder, stating any limitations on the scope of authority to be exercised. The SF-1402 shall be used to evidence the contracting officer appointment for delegation of purchase cardholders exceeding micro-purchase authority of \$2,500.
- f. Competition is gained when at least two responsible offerors, independently competing, give quotations that can satisfy the government's requirement, considering market, price, quality and delivery.
- g. Delegation of Authority is a formal written delegation of DOE Purchase Card purchasing authority that is issued by the HCA or designee, to a cardholder with single purchase limit authority up to \$2,500. This purchasing authority is not evidenced by a Certificate of Appointment. This delegation specifies the Approving Official, dollar limitations and any other conditions applicable to DOE Purchase Card purchases made by that individual.
- h. Fair and Reasonable is a determination that the price is what a prudent person in the ordinary course of business would pay without any unfair influence.
- i. Head of the Contracting Activity (HCA) as used in these Guidelines is the Chicago Operations Office Manager, or designee.
- j. Limits
- (1) Single Purchase Limit is assigned to each cardholder by the Head of the Contracting Activity or Assistance Manager for Acquisition and Assistance (AM-ACQ), via a Certificate of Appointment (SF-1402), or a Delegation of Authority. The Certificate of Appointment or Delegation of Authority will specify the maximum dollar limit for each purchase and the type(s) of purchases that may be made. The single purchase dollar limits normally authorized under the CH purchase card program are identified as follows:
- (a) Micro-Purchase Threshold. An acquisition of supplies or services (except construction), the aggregate amount of which does not exceed \$2,500, except that in the case of construction, the limit is \$2,000. Cardholders shall not split requirements to stay below the micro-purchase threshold or any other purchase limitations.
- (b) Simplified Acquisition up to \$25,000. This designated threshold means that the total amount allotted for a single purchase transaction from a vendor shall not exceed \$25,000. Cardholders shall not split requirements to circumvent the procurement process requirements of FAR or their assigned authorities.
- (2) Monthly Spending Limit is the maximum dollar amount authorized to be spent by the cardholder within a 30-day cycle period.
- k. Oral Purchase Procedure is a procedure where an order is placed or a purchase is made through an oral agreement which is made in person or by telephone by the cardholder. No written purchase order or contract is issued by the Government. The supplies or services are provided by the merchant and payment is made using the DOE Purchase Card.
- l. Program Coordinator (PC) is the individual having the overall responsibility for the Government Purchase Card Program within CH. The individual at CH is Marlene Martinez at (630) 252-2080; [marlene.martinez@ch.doe.gov](mailto:marlene.martinez@ch.doe.gov).

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- m. Small Business Administration (SBA) Requirements. FAR Part 13 prescribes that acquisition of supplies and services of an anticipated dollar value of \$2,501 or more will be reserved exclusively for small business concerns. Only when there is not reasonable expectation of obtaining the goods or services from two or more responsible small business concerns that will be competitive in terms of market price, quality, and delivery, may the purchase be made from a large business. Each such purchase will be appropriately documented. The SBA establishes small business size standards on an industry-by-industry basis, which can be found at <http://www.sba.gov/size/>. The SBA's size standards define whether a business entity is small and, thus, eligible for Government programs and preferences reserved for "small business" concerns. Size standards have been established for all for-profit economic activities, or industries, in the North American Industry Classifications System (NAICS). The SBA has also developed the following web-site for finding small business sources: <http://pro-net.sba.gov/>.
- n. Statement of Account is a monthly listing of all payments authorized for purchases and credits by a cardholder and billed by the merchant during the thirty day cycle (Begins on the 28<sup>th</sup> of each month).

### 3. Purchase Card Program Participants Responsibilities and Points of Contact

This section outlines the unique relationships and responsibilities of each of the following:

- Head of Contracting Activity (HCA)
- Assistant Manager Acquisition and Assistance (AM-ACQ)
- Program Coordinator (PC)
- CH Bank of America Coordinator (CH-BAC)/Transaction-Dispute Office (TDO)
- Cardholder
- Designated Billing Office (DBO) – CAP, Accounts Payable Division, Germantown, MD
- Office of Chief Financial Officer – Budget (CRB)
- Office of Chief Financial Officer – Accounting and Finance (CRA)
- Bank of America

#### **Head of Contracting Activity (HCA) or designee**

- Review and approve designated approving officials and cardholders for single purchase limit authority above \$2,500 by issuing a Certificate of Appointment (SF-1402). Generally, there should be no more than 5 cardholders assigned to an approving official unless the Head of the Contracting Activity agrees to a higher ratio.

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**Assistant  
Manager, for  
Acquisition and  
Assistance (AM-  
ACQ)**

- Review and approve designated approving officials and cardholders for single purchase limit authority up to \$2,500 by issuing a Delegation of Appointment. Generally, there should be no more than 5 cardholders assigned to an approving official unless the Head of the Contracting Activity agrees to a higher ratio.
- Establish and maintain written local procedures for the use of the CH Purchase Card consistent with the procurement regulations, the GSA Contract Guide terms and conditions and the DOE Headquarters Guide. This will include the establishment of procedures to ensure the physical security and proper use of the CH Purchase Card Program.
- Ensure annual reviews addressing at least the Self Assessment Questionnaire are conducted.
- Ensure that training on the DOE Purchase Card Program and related responsibilities are developed and provided to approving officials, cardholders, and other appropriate personnel.
- Ensure that property purchased by a Cardholder is received independent of the Cardholder and properly recorded in the facility property accounting records.
- Authorize no more than one purchase card to an individual cardholder unless otherwise authorized by the Head of the Contracting Activity or designee.
- Ensure that personnel procedures include return of the card in the departing employee's checklist. The procedures should ensure that the card is returned to the Program Coordinator who will deactivate the cardholder account.
- Consider suspending or terminating cardholder accounts if the cardholder does not submit monthly account reconciliations in a timely manner.
- Authorize purchase cards to the minimum extent necessary to carry the contracting activities mission.
- Authorize cards only for employees of the contracting activity or authorized contractor organization.

**Program  
Coordinator (PC)  
– ACQ**

- The PC is responsible for implementing and managing the purchase card program within CH.
- Coordinate the approval of a Delegation of Authority or Certification of Appointment.
  - Ensure cardholder and approving official training requirements are met.
  - Coordinate changes for cardholders.

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- Conduct periodic reviews and assessments of each cardholder's purchases to ensure compliance with the regulations, policies and agency procedures.
  - Maintain records of cardholder training and purchase limits.
  - Refer cardholders to the Head of the Contracting Activity for suspension or termination if monthly account reconciliations are not submitted in a timely manner.
  - Maintain an up-to-date inventory of purchase cardholders.
  - Deactivate purchase card accounts of past employees.

**PC: Marlene Martinez (630) 252-2080; Fax (630) 252-5045; e-mail: [marlene.martinez@ch.doe.gov](mailto:marlene.martinez@ch.doe.gov).**

**CH-Bank of America Coordinator (CH-BAC) and Transaction Dispute Office (TDO)**

- Process applications for new cardholders through Bank of America.
- Process changes for cardholders.
- Handle problems or issues related to the purchase card program with the cardholder and or Bank of America.
- Prepare Delegations of Authority or Certification of Appointments.
- Oversee the proper processing of transaction disputes and work with Bank of America to resolve disputed issues.
- Ensure that disputed transactions are reported to Bank of America in a timely fashion.
- Track disputed transactions.
- Analyze and monitor Bank of America reports on transaction disputes.

**CH-BAC/TDO: Jessica Razunas (630) 252-2401; Fax (630) 252-9691; e-mail: [jessica.razunas@ch.doe.gov](mailto:jessica.razunas@ch.doe.gov).**

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**Cardholder**

- Complete training prescribed at Section 21.
- Maintain physical custody of the government purchase card at all times. The cardholder must not allow anyone to use the purchase card or account number. A violation of this trust may require that the card be withdrawn from the cardholder with the possibility of subsequent disciplinary action. The cardholder will take care to separate the Government card from personal cards in order to prevent its accidental use for personal transactions.
- Comply with specified limits and purchase only those products/services that are for official government purposes and authorized within the CH Purchase Card Program.
- Maintain the DOE-CH Purchase Card Log and ensure funds are available to pay for the supplies or services before making a purchase card or convenience check transaction.
- Ensure bulk funds are certified and entered into DOE/C-Web.
- Comply with the requirements of FAR Part 8 entitled, Required Sources of Supplies and Services, FAR Part 12 entitled, Acquisition of Commercial Items, FAR Part 13 entitled, Simplified Acquisition Procedures, FAR Part 23.4 entitled, Use of Recovered Materials, FAR Part 23.7 entitled, Contracting for Environmentally Preferable and Energy-Efficient Products and Services, and the procedures defined this handbook when making purchases using the government purchase card.
- Not "split" purchases in order to fall within the single purchase limit. If a purchase would exceed a cardholders single purchase limit, the purchase should be accomplished using other acquisition procedures as appropriate.
- Ensure that purchased items/services are received prior to authorizing payment for an item or service listed on the Statement of Account.
- Certify that the quantity and quality of the items/services furnished are in accordance with the agreement (verbal or written) with the vendor.
- Save receipts and document all transactions against the purchase card.
- Review, complete, sign and submit completed Statement of Account and customer receipts to Approving Official within five working days of receipt of the Statement of Account.
- Attempt to resolve problems or "billing errors" directly with the merchant.
- For unresolved issues, complete a Dispute Form and submit along with the Statement of Account.

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- Submit approved Statement of Account (to include B&R cumulative totals) to CRA for payment within 10 working days after receipt of the Statement of Account.
  - Ensure compliance with property requirements (See Section 14, *Personal Property Management and Property Accountability*).
  - Immediately report lost or stolen cards to Bank of America, the approving official, the CH-BAC and the PC.

**Approving  
Official**

- Complete training as prescribed at Section 21.
- Ensure that each cardholder has a copy of the Chicago Operations Office guidelines and operating procedures and understands the requirements for the use of the GSA SMARTPAY Purchase Card.
- Review and approve proposed purchase card transactions.
- Assure all payments meet the requirements of applicable law and regulations, including determining the availability of appropriations as to purpose for items purchased.
- Ensure compliance with property requirements (See Section 14, *Personal Property Management and Property Accountability*).
- Review, approve and sign cardholders' monthly Statements of Account ensuring that the statements have required supporting documentation and are complete, accurate, and reflect only authorized purchases.
- Ensure that the Statement of Account is forwarded to CRA within 10 days after receipt of the Statement of Account.

**Designated  
Billing Office  
(DBO) – CAP**

- The DBO, or the CAP, oversees the proper processing of invoices and ensures that invoices are paid within the Prompt Payment Act timeframe.

**Office of Chief  
Financial Officer  
- Budget (CRB)**

- Review and approve bulk funding in accordance with requests received from cardholders and their approving officials.

**Office of Chief  
Financial Officer  
– Accounting  
(CRA)**

- Review and reconcile all Statements of Account to the invoice submitted from Bank of America, and forward the consolidated CH Statement of Account to the CAP Center for payment.
- Ensure payments are made in accordance with the Prompt Payment Act and the provisions of OMB Circular A-125.
- Distribute purchase card charges and credits to the appropriate accounts.

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- Establish procedures for verifying the amount of rebates received from Bank of America and depositing rebate checks received from Bank of America.
  - Notify purchase card program coordinator of any problems with individual cardholder accounts.
  - Ensure that proper approvals are present on all statements before charging program office accounts.
  - Ensure that instances in which cardholders statements are not received in a timely manner are referred to the Program Coordinator.
  - Ensure that program accounts are only charged in accordance with the funding direction provided on approved cardholder statements.

**CRA: Sue Antle (630) 252-2347; Fax (630) 252-9691; e-mail: [susan.antle@ch.doe.gov](mailto:susan.antle@ch.doe.gov).**

**Bank of America**

- Bank of America provides the Federal Government and its employees with dedicated and responsive customer service 24 hours a day/seven days a week through the Government Customer Services Unit (GCSU). This service enables purchase card cardholders to obtain information and resolve problems associated with their Bank of America Government Visa Purchase Card.
- **Customer-Service telephone number:** 1-800-472-1424
- **Outside the United States, call collect: 1-757-441-4124**
- **TTY/TTD:** 1-800-672-0779
- **PC Assistance:** 1-800-558-0548
- **Fax number for cardholders within the US:** 1-877-217-1033
- **Fax number for cardholders outside the US:** 1-757-624-6322
- **Web site:** [www.bankofamerica.com/government](http://www.bankofamerica.com/government)
- **Address:** Bank of America  
Government Card Services Unit  
P.O. Box 1637  
Norfolk, VA 23501-1637



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**Step 6 – HCA or AM-ACQ - Reviews and Approves the Delegation of Authority or Certificate of Appointment**

The HCA or AM-ACQ shall sign the Delegation of Authority or Certificate of Appointment, as applicable.

**Step 7 – CH-BAC - Account Setup**

- Completes the account set-up form for the prospective cardholder(s) which will contain:

Limitations: Appropriate spending authorization controls.

Convenience checks: Designation of whether the cardholder should receive convenience checks and, if so, establish quantity and limits.

- Signs and submits the account set-up form to Bank of America.

**Step 8 – Bank of America - Establishes Accounts**

Bank of America processes the cardholder set-up form(s) and establishes an account for the prospective cardholder(s).

**Step 9 – Bank of America - Issues Card**

The VISA Purchase Card is issued directly to the cardholder and the Bank of America Cardholder Program Guide is distributed shortly thereafter.

**Step 10 – Prospective Cardholder’s Office – Sends Notification to the PC**

The prospective cardholder’s office will notify the PC when the VISA Purchase Card is received.

**Step 11 – Cardholder Authorized to Proceed**

The cardholder is now authorized to proceed with purchasing his/her requirements.

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## 5. Card Issuance-Mailers and Activation

Each cardholder will receive the items included in the Card-Issuance Mailer and Cardholder Program Guide. This detailed information will provide all that cardholders need to successfully activate and utilize a new Bank of America Government Visa Purchase Card. Below is the list of components found in each cardholder package:

- Card Issuance-Mailer**
- Bank of America Government Visa Purchase Card with activation label on the front of the card;
  - Card-receipt letter providing a numeric code to verify receipt of card (NOTE: Mailed separately);
  - Procedures for card use;
  - Visa Services and Benefits brochure; and
  - Cardholder Introduction Guide.

- Cardholder Program Guide Mailer**
- Cardholder Program Guide – a summary of features, procedures, policies.
  - Wallet card for quick reference.
  - Sample statement with instructions for reading the statement of account.

**Card Activation Instructions**      The cardholder calls the toll-free number on the activation label on the front of the card and enters the information requested to verify receipt. The card is then activated and ready for use.

## 6. Convenience Checks

The same limitations, rules and regulations for purchase cards apply to convenience checks. Convenience checks are checks that can be written in lieu of using the purchase card. The convenience checks are charged against the purchase card account. There is a charge of 1.75% of the face value of each check processed. Cleared checks appear as separate lines on the cardholder's statement of account and on the agency invoice. **The use of convenience checks will only be authorized by the HCA or AM-ACQ as appropriate.**

## 7. Prohibitions and Restrictions

DOE Purchase Card purchases are subject to the following restrictions and prohibitions:

- (a) Cash advances;
- (b) Rental or lease of land or buildings;
- (c) All ADP software or hardware purchases, or associated services, must be coordinated through the Office of Management and Administration (MA), Information and Administrative Services (IAS), for approval prior to purchasing the software, hardware or services.

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- (d) Purchases of food, beverages and other entertainment.
  - (e) The DOE Purchase Card will not be used in lieu of the Government authorized travel charge card.
  - (f) CH Supplies (See Attachment C).

In addition the above restrictions, no other person is, or can be, authorized to use the designated cardholder's purchase card. Cardholders cannot delegate their responsibilities to others under their purchase card authority. Abuse or misuse of the purchase card/convenience checks will result in the termination of the cardholder's privileges.

## **8. General Guidelines for Using the Government Visa Purchase Card/Convenience Checks**

The CH Purchase Card will be used for purchases that meet the dollar and activity limits authorized on the CH Purchase Card. Purchases accomplished using the CH Purchase Card must meet the following conditions:

- a. The total of a single purchase may comprise multiple items and cannot exceed the authorized single purchase limit stated in the Delegation of Authority or Certificate of Appointment.
- b. The item or service must not be listed on the Prohibitions and Restrictions list contained at Section 7.
- c. All purchases accomplished using the CH Purchase Card will be in accordance with FAR Parts 3, 8, 12, 13, 23, and the guidelines and procedures established within this CH Purchase Card Handbook.
- d. In order to detect vendors who may be double billing, a cardholder will not make more than one purchase for an identical dollar amount from a single merchant on the same day.

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## 9. Purchase Card Procedures

How you use the purchase card/convenience checks is dependent on what you are going to purchase. In addition, it is dependent on whether you place an order by telephone, facsimile or in person. Regardless of the item or how you intend to make the purchase, certain laws, regulations and procedures must be followed and documented when using the CH Purchase Card/Convenience Checks. The following steps are provided to assist you, as well as to provide you with guidance in order to comply with the regulations and procedures contained in these Guidelines.

### **Step 1 – Identifying Requirement/ Obtain Approvals**

Identify the product/service you need to purchase. **Purchase of goods and services should be made based upon a properly approved requisition signed by a Federal employee, independent of the purchase cardholder, describing the good or service to be purchased, the delivery requirements, potential sources, and documentation that funds are available for the purchase. The goods or services to be purchased shall be those necessary to meet the Government's minimum needs, given cost, schedule and performance requirements.**

**Purchases of support services may be made with the purchase card, however, if the nature of the service is subject to the Service Contract Act, refer the matter to the AM-ACQ. Such purchases should be fixed price or fixed hourly rate with a maximum ceiling. If the support services are purchased on a recurring basis, consideration should be given to consolidation under a contract. Support services purchases exceeding \$2500 are also subject to CH Order 548.1, Management of Support Services Activity.**

### **Step 2 – Check Funding Availability**

- Ensure that funding is available by reviewing your DOE-CH Purchase Card Log (See Attachment D). If funds are not available, then a request for an additional allocation of funding shall be processed through CRB and DOE/C-Web.
- Enter the information for the product/service on the DOE-CH Purchase Card Log to include estimated cost, description, requester, etc. Call Numbers to be entered on the Log shall be sequentially numbered and should indicate the cardholders office, initials, and current fiscal year. For example: A call number for a cardholder in Acquisitions and Assistance is: ACQ-MM-02-0001. "ACQ" indicates the cardholder's office (Acquisition and Assistance); "MM" is the cardholder's initials; "02" is the current fiscal year 2002; and "0001" is the first purchase card order to be logged in fiscal year 2002.

### **Step 3 – Check Authority Limits**

Is the product/service needing to be acquired within your purchase card authority limitations? If yes, proceed to Step 4. If no, the purchase must be accomplished using other acquisition procedures as appropriate.

### **Step 4 - Check Prohibitions and Restrictions List**

Check to ensure the product/service is not on the Prohibitions and Restrictions list.

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**Step 5 – Check Affirmative Procurement Requirements**

Check the EPA-designated item list to determine if your item is on the list and must be purchased using recycled content. The list can be found at <http://www.epa.gov/cpg/products.htm>. This site also identifies vendors that can provide the recycled products; however, you still must meet the requirements identified in the steps below. That is, determine if the item is available from the CH Supplies (See Attachment C), or from a mandatory source of supply. If not, follow the small business requirements. If an EPA-designated item exceeding \$2,500 is purchased without the EPA-recommended recovered material content, then a written justification in accordance with FAR 23.405(c) is required and should be attached to your DOE-CH Purchase Card Log.

When acquiring energy using products, acquire either ENERGY STAR® labeled products, or if ENERGY STAR® labeled products are unavailable, acquire products in the upper 25% of energy efficiency. The ENERGY STAR® homepage lists recommendations under "Product Energy Efficiency Recommendations" at <http://www.eren.doe.gov/femp/procurement/>

*(See Section 15, [Affirmative Procurement Program](#), and Section 16, [Energy Efficiency](#))*

**Step 6 – Check Required Sources of Supply**

If your requirement is office supplies, make sure the product is not available from the CH Supplies, (See Attachment C) or from a mandatory source of supply before ordering directly from another vendor. A mandatory source of supply are those such as the Federal Prison Industries, Inc. (FPI), the Javits-Wagner-O'Day Act (JWOD) sources, Committee for Purchase from People Who are Blind or Severely Disabled, and the General Services Administration - GSA Advantage. If unavailable from the CH Supplies or from any of the mandatory sources, proceed with the next steps to purchase your product/service.

*(See Section 17, [Required Sources of Supply](#), Section 18, [Office Supplies and JWOD](#), and Section 19, [Blanket Purchase Agreements for Information Technology Products](#)).*

**Step 7 - Comply with Small Business Requirements for purchases exceeding \$2,500**

Small Business requirements are mandatory and direct the cardholder to set-aside any product or service of an anticipated dollar value of \$2,501 or more exclusively for small business concerns. Only when there is not reasonable expectation of obtaining the goods or services from two or more responsible small business concerns that will be competitive in terms of market price, quality, and delivery, may the purchase be made from a large business. Each such unrestricted purchase will be appropriately documented on Attachment G. *Questions regarding small business requirements may be referred to CH's Small Business Program Manager, Larry Thompson at (630) 252-2711.*

The Procurement Marketing and Access Network (PRO-Net) Small Business Administration web-site will assist you with locating prospective small business vendors (<http://pro-net.sba.gov/>).

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**Step 8 – Requirement estimated at \$2,500 or less (Micro-purchase)**

Is the total amount of the single purchase/service **less than \$2,500**? If not, proceed to Step 7 for products/services over \$2,500. If you cannot obtain or purchase the product/service from sources identified in Step 6 above, the product/services may be obtained by following the steps identified below:

- Create a folder for each new requirement by listing the requirement description and Call # on the outer top right hand side of the folder.
- Micro-purchases may be made without securing competitive quotations if the cardholder considers the prices obtained from a single source to be reasonable. However, competition amongst the vendors is encouraged, if appropriate. Purchases made without securing competition shall be distributed equitably among qualified vendors by means of rotating recurring purchases among vendors. If a purchase recurs frequently, consideration should be given to consolidating the requirements to obtain quantity discounts.
- Request a quotation from the vendor by describing the product/service, to include quantities, descriptions, and required delivery dates. Do not deviate from your request from one vendor to another. Requests may be in either written or oral form. *Written requests* (i.e.: facsimile requests, etc) are required for more complex requirements that may include many line items or detailed descriptions. *Oral purchase procedures* may be utilized for less complex requirements. This type of request may be used to acquire products/services that can be described in sufficient detail so that the parties have a clear understanding of what is being acquired.
  - Ask for a government discount. Often the salesperson will not offer this information even when a government discount is available.
  - Notify the vendor that the purchase is exempt from state and local taxes. The first four digits of the VISA purchase card are unique to the GSA Government-wide Purchase Card Program. Therefore, should a cardholder encounter problems with a vendor regarding the Government's tax exempt status, the cardholder should advise the vendor of the unique purchase card numbering system which the vendor can verify with their bank. Each purchase card is also embossed with the notice: "U.S. GOVT TAX EXEMPT". If a vendor still requests a tax exemption certificate, then issue a SF 1094, U.S. Tax Exemption Form (See Attachment E). This certificate may be executed by the cardholder. If the merchant still will not agree to exclude taxes from the purchase price, then the purchase should not be executed with that merchant. Any sales tax inadvertently charged shall be corrected by the cardholder by placing a call to the vendor requesting a credit to be processed for the amount of the tax charged. If necessary, establish deadlines (to include closing date and time) for the submission of responses to solicitations that afford suppliers a reasonable opportunity to respond.
  - Consider all quotations or offers that are received timely. Do not accept any untimely quotations or offers unless an extension has been provided to all offerors prior to the deadline.
  - Prior to the deadline, if you have a revision to your request for quotation, each vendor receiving the initial request, must also receive the requested change and be allowed the opportunity to quote on the revised request.

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- Document your quotation(s) (to include any shipping, delivery, or packaging charges) on the Telephone Quotation Worksheet (Attachment F).
  - Determine who is the lowest acceptable offeror (inclusive of shipping, delivery and packaging charges).
  - Action to verify price reasonableness need only be taken if (1) the cardholder suspects or has information to indicate that the price may not be reasonable (e.g., comparison to the previous price paid or personal knowledge of the supply or service); or (2) the cardholder is purchasing a supply or service for which no comparable pricing information is readily available (e.g., a supply or service that is not the same as, or is not similar to, other supplies or services that have recently been purchased on a competitive basis).
  - If competitive quotations were solicited and award was made to other than the low quoter, documentation to support the purchase is limited to identification of the solicited concerns and an explanation for the award decision.
  - Ensure that the items or services acquired will be received prior to the end of the billing cycle. Items or services not received prior to the end of the billing cycle may not be approved for payment by the cardholder and approving official on the monthly Statement of Account. Therefore, the cardholder should confirm that the vendor agrees to charge the purchase card when shipment is made so that the receipt of supplies may be certified on the monthly Statement of Account.
  - Place the order by contacting the awardee or by faxing a copy of the Telephone Quotation Worksheet. When placing the order:
    - Provide Shipping Instructions (See Step #10 for Instructions for Shipments)
    - Remind vendor that the purchase is Tax Exempt.
    - Agree to the final price that will be charged to your VISA card.
  - Log in the Awardee name and any other pertinent information on your DOE-CH Purchase Card Log (See Attachment D).

**Step 9 –  
Requirements  
estimated over  
\$2,500**

Is the total amount of the product/service **greater than \$2,500**? If not, go back to Step 8 for products/services less than \$2,500. If you cannot purchase the product/service from sources identified in Step 6 above, the product/services may be obtained by following the next steps identified below:

- Create a folder for each new requirement by listing the requirement description and call number on the outer top right hand side of the folder.
- Small Business Requirements apply to all requirements (See Step 7 above.)
- Competition must be promoted to the maximum extent possible. Maximum practicable competition ordinarily can be obtained by soliciting quotations or offers from sources within the local trade area. Three sources should be solicited in order to promote competition. However, only two sources

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are needed to provide quotes to gain competition and price reasonableness. Whenever practicable, request quotations from two sources not included in the previous purchase.

- If soliciting from a single source because you have determined that only one source is reasonably available (e.g., urgency, exclusive licensing agreements, maintaining warranties, etc), you must document your file to explain the absence of competition (See Attachment G).
- Request quotation(s) by describing the product/service, to include quantities, descriptions, and required delivery dates. Do not deviate from your request from one vendor to another. Requests may be in either written or oral form. *Written requests* (i.e.: facsimile requests, etc) are required for more complex requirements that may include many line items or detailed descriptions. *Oral purchase procedures* may be utilized for less complex requirements. This type of request may be used to acquire products/services that can be described in sufficient detail so that the parties have a clear understanding of what is being acquired.
  - Ask for a government discount. Often the salesperson will not offer this information even when a government discount is available.
  - Notify the vendor that the purchase is exempt from state and local taxes. The first four digits of the VISA purchase card are unique to the GSA Government-wide Purchase Card Program. Therefore, should a cardholder encounter problems with a vendor regarding the Government's tax exempt status, the cardholder should advise the vendor of the unique purchase card numbering system which the vendor can verify with their bank. Each purchase card is also embossed with the notice: "U.S. GOVT TAX EXEMPT". If a vendor still requests a tax exemption certificate, then issue a SF 1094, U.S. Tax Exemption Form (See Attachment E). This certificate may be executed by the cardholder. If the merchant still will not agree to excluding taxes from the purchase price, then the purchase should not be executed with that merchant. Any sales tax inadvertently charged shall be corrected by the cardholder by placing a call to the vendor requesting a credit to be processed for the amount of the tax charged.
  - If necessary, establish deadlines (to include closing date and time) for the submission of responses to solicitations that afford suppliers a reasonable opportunity to respond.
  - Consider all quotations or offers that are received timely. Do not accept any untimely quotations or offers unless an extension has been provided to all offerors prior to the deadline.
  - Prior to the deadline, if you have a revision to your request for quotation, each vendor receiving the initial request, must also receive the requested change and be allowed the opportunity to quote on the revised request.
- Document your quotation(s) (to include any shipping, delivery or packaging charges) on the *Telephone Quotation Worksheet*, See *Attachment F*.
- Determine who is the lowest acceptable offeror (inclusive of shipping, delivery and packaging charges).

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- Document that the price is fair and reasonable by completing the "Price Reasonableness/Competition/Small Business Documentation" form provided at Attachment G. A price is considered fair and reasonable if you can determine it is what a prudent businessperson would pay for the same product/services.
  - Ensure that the items or services acquired will be received prior to the end of the billing cycle. Items or services not received prior to the end of the billing cycle may not be approved for payment by the cardholder and approving official on the monthly Statement of Account. Therefore, the cardholder should confirm that the vendor agrees to charge the purchase card when shipment is made so that the receipt of supplies may be certified on the monthly Statement of Account.
  - Place the order by contacting the awardee or by faxing a copy of the Telephone Quotation Worksheet. Remember to do the following:
    - Provide Shipping Instructions. See Step #10 for Instructions for Shipments.
    - Remind vendor that the purchase is Tax Exempt.
    - Agree to the final price that will be charged to your VISA card.
  - Log in the Awardee name and any other pertinent information on your DOE-CH Purchase Card Log (See Attachment D).

**Step 10 –  
Instructions for  
Shipments**

If applicable, instruct the awardee where to ship the products. The address for shipments made to the ANL Building 201 site is as follows:

*U.S. Department of Energy, CH  
Attn: Ms. Tina Homerding, Building 201  
9800 South Cass Avenue  
Agronne, IL 60439*

*REFERENCE: (Insert name of Cardholder/Cardholder Telephone number/Reference Call #)*

***Other CH offices should use the local receiving address and point of contact for their site. The central receiving point of contact shall be independent of the Cardholder.***

**Receiving Notification:** Once the order is placed, provide a copy of the Telephone Quotation Worksheet to Tina Homerding, at the address above, by facsimile (630) 252-2855, or e-mail at: [tina.homerding@ch.doe.gov](mailto:tina.homerding@ch.doe.gov). The information on the Telephone Quotation Worksheet must include the following:

- Cardholder's name, phone number and fax number;
- Your office with the Reference Call Number. Example: ACQ-MM-02-0001; and

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- A complete description of the items ordered including the item number, a brief description (with product number if available), quantity ordered, and the item unit (i.e., each, box, roll, feet, etc).

**Step 11 -  
Recordkeeping**

All cardholders must keep complete and accurate records of their purchases in accordance with attachments D and F and guidance provided in this section 9. Records shall also include evidence of receipt of any property or supplies purchased using the Purchase Card. Automated systems are acceptable provided they provide equivalent documentation. Cardholders are required to retain purchase card transaction records for the time periods established by FAR 4.805 for simplified acquisitions (3 years after final payment).

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## 10. Account Maintenance

As a cardholder, you are responsible for overseeing all issues related to maintaining your CH Government Purchase Card.

### **Card Security/ Unauthorized Use**

Intentional use of this card for other than Official Government business may be considered as an attempt to commit fraud against the U. S. Government and may result in immediate cancellation of the card and disciplinary action against the cardholder under applicable Departmental or Government-wide administrative procedures. Suspected misuse should be reported to the Office of the Inspector General. The PC should also be notified of any suspected misuse for possible suspension of the card. The cardholder will be personally liable to the Government for the amount of any non-approved purchases and possible subjection to a fine of not more than \$10,000 or imprisonment for not more than five (5) years or both under 18 U.S.C. 287. Card abuse by contractor personnel may necessitate a purchasing system review by the Head of the Contracting Activity. Suspensory or approval officials, if abuse is suspected, should notify the Inspector General's hotline. Further, the CFO at the contracting activity should be notified in order to recover any misused Government money.

### **Lost or Stolen Cards**

- **Telephone Notification**

If the purchase card is lost or stolen, it is the responsibility of the cardholder to notify Bank of America as soon as practicable at the following telephone numbers 24 hours/day:

Inside the continental United States - 1-800-472-1424

Outside the continental United States - call collect 1-757-441-4124

- **Written Notification**

The cardholder will also notify the approving official and PC of the lost or stolen card within 1 work day after discovering the card missing, or as soon as practicable. The approving official will submit a written report to the PC within 5 work days. The report will include the following information:

- (1) Card number;
- (2) Cardholder's complete name;
- (3) Date and location of the loss;
- (4) Date and time Bank of America was notified;
- (5) Any purchases made on the day the card was lost/stolen, or the last known purchase before the card was lost/stolen;
- (6) Any other pertinent information.

- **Card Replacement**

A new card will be mailed within 2 business days of the loss or theft. A card that is subsequently found should be cut in half and given to the approving official. The cardholder must complete the form entitled "DOE

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Purchase Card Destruct Notice Form" (See Attachment H). This completed form should be forwarded through the approving official to the PC for submission to Bank of America.

**Emergency Card Issuance**

In the case of an emergency, the CH-BAC gives Bank of America verbal instructions for emergency account setup by calling 1-800-472-1424 (domestic toll-free) or 1-757-441-4124 (international-collect).

Bank of America Agency Coordinators are available 24 hours a day/seven days a week and will follow up with you to process the original cardholder application so that a duplicate card is not issued. Domestic delivery will be completed within 24 hours of initial notice, and international delivery will be completed within 48 hours.

**Transfer or Separation of Cardholder**

- **Separation of Cardholder (Employees Leaving the Agency)**

If a cardholder's employment is ending (e.g., transfer, resignation, retirement), the DOE Purchase Card should be destroyed (cut into pieces) 30 days prior to the release date or as soon as the event is known if within 30 days. The cardholder must complete the form entitled "DOE Purchase Card Destruct Notice Form" (See Attachment H). This completed form and the cut up card must be forwarded through the cardholder's approving official to the PC for coordination with Bank of America.

- **Transferring Employees**

If a cardholder is transferring to another position which will also require use of the purchase card, the cardholder will notify the PC. The PC, in consultation with the losing and gaining Approving Officials and Bank of America will arrange for transfer of the account to the new position. If it is determined that the purchase card should not be retained by the cardholder, the purchase card should be destroyed and the notification procedures outlined above should be followed by the cardholder.

**Name Changes**

When changes, updates, or cancellations of purchase card accounts become necessary, forward a request to the PC. The PC will coordinate with the CH-BAC to complete the appropriate account maintenance forms and process them through Bank of America. Changes include:

- Change of inscription to correct spelling, other errors, or a name change due to marriage, divorce, etc.
- Changes or updates to address information.
- Cancellation of account for cardholder or approving official.

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# 11. Statement Review, Reconciliation and Approvals

The manual reconciliation process is currently used by DOE offices. As a cardholder, you are responsible for reviewing and reconciling the information on your Statement of Account at the end of each monthly billing cycle. Each card purchase will be documented by the following :

- Telephone Quotation Worksheet
- DOE-CH Purchase Card Log
- Customer Receipts/Charge/Credit Slips

The original of each of the above documents will be submitted with the monthly cardholder Statement of Account to the Approving Official. Copies of each of these forms will be maintained by each cardholder for record keeping purposes.

### Cardholder – Statement of Account Review

Within 10 working days after the end of the monthly billing cycle, which occurs on the 27th of every month, Bank of America will distribute your Statement of Account. If you have not received your Statement of Account by this time, you may either request another copy through the Customer Service line or contact the CH-BAC.

The Statement of Account will list all purchases, credits, convenience check charges and other transaction data that the cardholder has made in the billing cycle.

### Cardholder - Reconciliation

- The cardholder shall reconcile the Statement of Account with their DOE-CH Purchase Card Log, carefully checking each purchase on the statement for accuracy and verifying that the supply or service has been received, and certify that the supplies and services are in accordance with the orders that were placed. If an item has been returned and a credit voucher received, the cardholder shall verify that the credit is reflected on the statement. If the purchase or credit does not appear on a statement within two months from the date of the transaction, the cardholder or approving official shall contact the vendor to resolve the discrepancy. **(Note: If there are discrepancies with any of your transactions, go to Section 12, Account Transaction Dispute Procedures.)**
- The cardholder shall document statement errors with an explanation using the Bank of America Dispute Form (Attachment I) and forward a copy to Bank of America.
- If the cardholder does not have a customer copy of the charge/credit slip, the cardholder will mark the word "lost" over in the date of purchase column on the Statement of Account and attach an explanation.
- The cardholder shall enter the appropriate accounting classification in the accounting code block. If there are many accounting classifications (B&Rs), the cardholder shall provide sub-totals for each code.

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- A highlighted copy of the DOE-CH Purchase Card Log shall be attached to the Statement of Account in order to provide a complete description for each purchase.
  - After review and approval, the cardholder must certify the receipt and accuracy of all purchases by signing and dating the Statement and forward the completed package to his/her Approving Official.
  - The above should be completed *within 5 working days of receipt* of the Statement of Account.

*Absence of Cardholder* – If the cardholder is planning to be on travel or on leave and will not be available to review the Statement of Account at the time it is received, the cardholder should provide the Approving Official with the charge/credit slips and the Approving Official shall be responsible for completing the above tasks and signing the statement for the cardholder. If the cardholder's absence is unplanned, then the Approving Official is responsible for the above tasks and signing the statement for the cardholder. A confirming signature will be required at the time the employee/cardholder returns to his/her duty station. **Cardholders are strictly prohibited from serving as their own Approving Official.**

#### **Approving Official Review**

*Within 5 working days*, the Approving Official is responsible for reviewing and approving the individual cardholders Statement of Account for accurate reconciliations, supporting documents, authorized purchases, credits, budget and cost classifications, and other related information.

- The Approving Official shall reconcile his/her consolidated Statement with the Statements of Account received from the cardholders within his/her jurisdiction.
- The Approving Official shall verify the accuracy of the Statement, resolve questions that may arise, and sign off on the Statement. This signature constitutes confirmation that all transactions made constitute valid purchase requirements and that the cardholder has complied with all acquisition regulations.
- The entire review and reconciliation process should be completed within 10 working days of receipt to avoid late payment penalties. This period includes 5 working days for cardholder review, processing and approval and 5 working days for Approving Official review and certification.
- It is the responsibility of the Approving Official to detect and resolve any improper use of the purchase card. If an Approving Official discovers that a purchase was not for official use, the cardholder must return the item for credit or give the Approving Official a personal check, payable to "Department of Energy", for the amount in question.

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- *Absence of Approving Official* - If the Approving Official is unavailable then the cardholder shall complete the reconciliation and send a signed copy of the Statement of Account to CRA and advise them that the signed original Statement of Account will be sent upon the Approving Official's return.

**Cardholder –  
Forward  
Statement of  
Account to  
CRA**

The cardholder shall furnish a copy of the Statement of Account with an original Approving Official's signature and supporting documentation to CRA for payment. ***NOTE: ANY REQUIRED INTEREST PENALTY PAYMENT WILL BE ASSESSED AGAINST THE OFFICE(S) RESPONSIBLE FOR THE LATE PAYMENT.***

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## 12. Account Transaction Dispute Procedures

### **Dispute Explanation and Process**

Bank of America will make every effort to assist in reducing billing discrepancies. A cardholder may choose to dispute transactions on his or her statement. Typically, disputes arise due to the following reasons:

#### **Merchant dispute issues**

- Defective or unsuitable merchandise delivered
- Non-delivery of merchandise.

#### **Unresolved transaction or “billing-error” issues**

- Questionable charges
- Duplicate billings
- Unauthorized charges

**Merchant Dispute:** The cardholder should make every attempt to resolve the problem directly with the merchant. This approach has the most potential for quick and efficient resolution of the issue.

**Unresolved Disputes:** It is the responsibility of the cardholder to make every effort to resolve errors, discrepancies and disputes. However, if the issue cannot be reasonably resolved with the merchant or the problem is an unresolved transaction or “billing error,” the cardholder or approving official should contact the Bank of America GCSU by calling: 1-800-472-1424 (domestic toll free). You will receive a temporary credit pending the final resolution of the dispute. A Bank of America Dispute Form (Attachment I) must also be completed. The original should be forwarded to Bank of America with a copy to CRA with the cardholder’s reconciled monthly Statement of Account and supporting documentation. Bank of America will assist in reconciling the disputed item only if it is evidenced by the Dispute Form within 60 days from the date of the Statement of Account that first contained the disputed item

If Bank of America determines that a billing error did not occur, the transaction amount will be billed on the next statement after the dispute investigation is complete, and a letter of explanation will be mailed. If Bank of America determines that a billing error did occur, the cardholder will receive a letter explaining that the error has been corrected, and the credit will remain on the cardholder’s account.

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**Chargebacks**

The Bank of America Claims Department maintains complete records on all disputes, and these disputes are reported in accordance with the Master Contract for the Bank of America Government Visa Purchase Card Program. If so requested, Bank of America will provide copies of all documentation related to a dispute. A dispute-status report will also be provided to you as required. Contact the GCSU to request the information.

**Dispute  
Tracking**

Items that are in dispute will not be considered past due. The amount of the dispute is subtracted from the payment due on the statement of account. **Currently, the temporary credit removes the amount in dispute from the balance not just from the payment due.**

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## 13. CH Purchase Card Reviews

The HCA is responsible for the conduct of an effective and efficient acquisition program. Accordingly, purchase cardholders and approving officials are responsible for the card purchases in accordance with these Operating Procedures and Guidelines and the references attached. Annual reviews of cardholder records shall be conducted to determine the extent of adherence to prescribed procedures, guidelines, policies, regulations, and good management practices, and to identify any needs for improvement, guidance and/or training. Annual reviews shall also include an assessment of the appropriateness of transaction dollar limitations as well as a validation of the need for the account based upon usage, i.e., no transactions within the past 6 months. If purchases are at significantly lower levels than the cardholders authorized limitation, a lower limitation should be considered. If no need is evident, cancellation of the card should be considered. The PC, with the assistance of representatives from CRA and CRB, will conduct the annual review. Attachment J will be used in conducting this review. After each review, a copy of the findings shall be submitted to the HCA, AM-ACQ, CR, and the respective Cardholder Offices.

Additionally, the Program Coordinator shall conduct monthly oversight reviews to identify any seemingly abnormal purchases so that they may be promptly reviewed and any problems resolved.

## 14. Personal Property Management and Property Accountability

### a. Personal Property Management

- (1) DOE maintains a personal property management program to maintain adequate inventory controls and accountability systems for all property under its control. A critical element of the personal property management program involves the acquisition and receipt of needed items and the recording of the transaction on the formal accountable records of the Department. The acquisition of personal property can be accomplished by a number of methods, including purchase card purchases.
- (2) In all acquisitions of personal property, after receiving the item, the physical property must be issued for use or placed into service and the documentation of receipt must be forwarded to the property management office. Generally, this responsibility lies with other than the end user of the property. However, when the end user has acquired the personal property with a purchase and the property is picked up by or delivered directly to the cardholder, the cardholder becomes accountable for the property and assumes responsibility for ensuring that the property items are recorded in the property management system.

### b. Property Accountability

- (1) *Purchases Shipped or Delivered by the Vendor.* All personal property acquired by using the purchase card should generally be delivered to and processed by the local receiving office. This will ensure inventory control identification, as appropriate and recording in the personal property management records.
- (2) *Purchases Hand Carried by the Cardholder.* Personal property purchased and hand carried by the cardholder or delivered directly to the cardholder requires inventory control identification and recording in the personal property management records, as appropriate. Immediately following the purchase of the personal property, the cardholder will advise the CH-PMR in writing (i.e., via E-Mail or facsimile) requesting that the equipment/property be identified and recorded, as appropriate. Written confirmation should include the following information:

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- (a) Cardholder name, office symbol, telephone number, building and room number;
  - (b) Brief description of the personal property;
  - (c) Model No. and Serial No. of the personal property;
  - (d) Receipt verification witness name, office, symbol, telephone number, building and room number.

**c. ANL Building 201 Local Receiving Office**

The address and point of contact for shipment made to the ANL Building 201 site are as follows:

*U.S. Department of Energy, CH  
Attn: Ms. Tina Homerding, Building 201  
9800 South Cass Avenue  
Agronne, IL 60439*

*REFERENCE: (Insert name of Cardholder/Cardholder Telephone number/Reference Call #)*

***Other CH offices should use the local receiving address and point of contact for their site. The central receiving point of contact shall be independent of the Cardholder.***

The local receiving office personnel will promptly notify the cardholder of a delivery. The cardholder will make arrangements to pick-up the order. The local receiving office personnel will document receipt of the item and will immediately forward a copy of such documentation to the CH-PMR who will enter the item into the formal account records for the Department as appropriate.

The CH-PMR will provide the cardholder with the property identification number. If a property identification number is not required, written confirmation of this determination will be provided to the cardholder, by the CH-PMR, via facsimile or e-mail.

**d. CH Property Management Representative**

The Support Services Specialist at CH, Office of Management and Administration, Information and Administrative Services (MA-IAS), will serve as the CH Property Management Representative (CH-PMR). This individual is Maggie Gurka, (630) 252-2427; Fax (630) 252-2412; e-mail: [maggie.gurka@ch.doe.gov](mailto:maggie.gurka@ch.doe.gov).

## **15. AFFIRMATIVE PROCUREMENT PROGRAM**

This section discusses Government practices for maximizing the purchase of recycled products. These requirements have been incorporated into the Department of Energy facility management contracts so purchase cardholders, Federal or contractor, need to be aware of these requirements.

Section 6002 of the Resource Conservation and Recovery Act and Executive Order 13101, Greening the Government Through Waste Reduction, Recycling and Federal Acquisition, require Federal agencies to develop Affirmative Procurement Programs for Environmental Protection Agency (EPA)-designated items when purchases of these items exceed \$10,000 in a fiscal year.

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The EPA is responsible for designating items that are or can be made with recovered materials. EPA-designated items are listed at 40 CFR Part 247, "Comprehensive Guideline for Procurement of Products Containing Recovered Materials" (CPG). Current items are identified in the attached list. In addition, EPA's Recovered Materials Advisory Notice (RMAN) provides recovered material content ranges for designated items. EPA's Home Page for this topic is <http://www.epa.gov/epaoswer/non-hw/procure/index.htm>.

One hundred percent of an agency's purchases of EPA-designated items are to contain recovered materials unless written justification is provided that the recycled item does not meet performance, availability, competition, or price criteria.

### **DOE's Affirmative Procurement Program**

In a May 3, 1996 memorandum, the Secretary of Energy set a Departmental goal to increase procurement of EPA-designated, recycled products to 100 percent.

The Department's Environmental Executive has issued the U.S. Department of Energy Affirmative Procurement Program for Recovered Materials. This guidance outlines the Department's affirmative procurement program for purchasing EPA-designated items. Extensive information on this program is available on the Internet at <http://doep2.org>.

The Department of Energy Acquisition Regulation (DEAR), Parts 923 and 970, provide for the acquisition and use of environmentally preferable products and services, including recycled products. It includes a clause for incorporating environmentally preferable purchasing into the Department's facility management contracts.

### **EPA's Availability Lists**

EPA has compiled availability lists for all designated items. These lists do not represent an endorsement by EPA, but rather serve as potential sources of vendors for procurement initiators and contracting officers to consider. EPA's availability lists may be obtained by calling the EPA Hotline at (800) 424-9346, or, for customers in the Washington, DC area, at (703) 412-9810.

### **Best Practices**

Procurement initiators should consider Federal supply sources such as the General Services Administration (GSA), the Government Printing Office, and the Defense Supply Center as sources for recycled products. These sources offer products that have been competitively bid, and meet or exceed recycled content and performance standards. EPA-designated items purchased through GSA do not have to be tracked and reported by individual agencies as GSA performs this function.

Procurement initiators should include recycled content requirements in their statements of work/specifications. Contracting officers do not process procurement requests for EPA-designated items without the requisite recycled content unless a justification accompanies the request.

Affirmative Procurement Program purchases must be reported. Procedures vary from site to site. If Cardholders purchase these products they should consult their Site Recycling Coordinator.

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**EPA**  
**COMPREHENSIVE PROCUREMENT GUIDELINE ITEMS**

**Construction Products**

Building insulation products  
Carpet  
Carpet cushion  
Cement and concrete containing fly ash ground granulated blast furnace slag  
Consolidated and reprocessed latex paint  
Floor tiles  
Flowable fill  
Laminated paperboard  
Patio blocks  
Railroad grade crossing surfaces  
Shower and restroom dividers/partitions  
Structural fiberboard

**Landsing Products**

Compost made from yard trimmings or food waste  
Garden and soaker hoses  
Hydraulic mulch  
Plastic lumber and landsing timbers  
Lawn and garden edging  
Yard trimmings compost

**Miscellaneous Products**

Awards and plaques  
Industrial drums  
Mats  
Pallets  
Signage  
Sorbents  
Manual-grade strapping

**Non-Paper Office Products**

Binders, clipboards, file folders, clip portfolios, and presentation folders  
Office recycling containers  
Office waste receptacles  
Plastic desktop accessories  
Plastic envelopes  
Plastic trash bags  
Printer ribbons  
Toner cartridges

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## **Paper and Paper Products**

Commercial/Industrial sanitary tissue  
Miscellaneous papers  
Newsprint  
Paperboard and packaging products  
Printing and writing paper

## **Park and Recreation Products**

Park benches and picnic tables  
Plastic fencing  
Playground surfaces  
Playground equipment  
Running tracks

## **Transportation Products**

Channelizers  
Delineators  
Flexible delineators  
Parking stops  
Traffic barricades  
Traffic cones

## **Vehicular Products**

Engine coolants  
Re-refined lubricating oils  
Retread tires

# **16. ENERGY EFFICIENCY**

Reference: FAR IO.O02(e), FAR 23.203 and Executive Order 13123

## **Overview**

This section discusses the procurement of energy efficient and water-saving products.

## **Background**

Executive Order 13123, Greening the Government Through Efficient Energy Management directs Federal agencies to increase, to the extent life cycle cost-effective, purchases of energy-efficient and water-saving products. Energy-efficient products are defined as those identified through the Energy Star Program or those that are in the upper 25 percent of energy efficiency as designated by the Federal Energy Management Program. Among other things, the Order requires goals and reporting for energy and water efficiency in Federal facilities. In addition, each agency's implementation program is to be designed to speed the introduction of cost-effective, energy-efficient technologies into Federal facilities. The Order assigns the Department of Energy, through its Federal Energy Management Program, the lead in implementing the Order. While it is unlikely that cardholders will be making acquisitions of this type, seek further information if you are purchasing such things as electrical appliances, office equipment, construction products, etc.

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## **Further Information**

For more information on the Product Recommendation program or to request that an efficiency recommendation be developed for a specific product, contact the Federal Energy Management Program at (202) 586-4858. The Home Page for this effort is at <http://www.eren.doe.gov/femp>. For Energy Star Program information see <http://www.energystar.gov/>.

## **17. Required Sources of Supply**

- a. Cardholders are subject to the regulatory requirements contained in FAR Part 8, "Required Sources of Supply," (see Attachment B).
- b. By law, the Javits-Wagner-O'Day Act Program (JWOD) is a mandatory source program for the Federal Government. The program was established as a result of the passage of the Wagner-O'Day Act of 1938. That Act, and subsequent amendments are designed to promote the socioeconomic goal of generating employment and training opportunities for persons who are blind or are otherwise severely disabled. The JWOD program carries the highest socioeconomic priority involving Federal acquisitions in that no other provision of the FAR permits exception to the mandatory nature of JWOD products and services provided by the National Industries for the Blind and NISH nonprofit agencies and only the Federal Prison Industries can override JWOD's priority for products. In addition, the provisions of the Federal Acquisition Streamlining Act of 1994 do not amend the mandate to procure JWOD products and services set forth in the JWOD Act. **Purchase cardholders are prohibited from acquiring supplies equivalent to JWOD items from other sources, including discount office supply stores and firms supplying Federal agencies under consolidated office supply contracts except as provided for at Section 30 below.** The JWOD program uses the General Services Administration (GSA) as the prime distributor of its office supplies and other common-use items. Therefore, all such mandatory source items must be purchased directly from GSA. Further detailed guidance for the purchase of office supplies follows in Section 30 below, entitled **OFFICE SUPPLIES AND JWOD**.
- c. Federal Prison Industries (FPI) provides training and employment for prisoners confined in Federal prison and correctional institutions through the sale of its supplies and services to Federal agencies. Cardholders are required to purchase those supplies listed in the FPI schedule only from FPI to the extent the supplies are otherwise not prohibited under Section 8 of these Procedures.

## **18. OFFICE SUPPLIES AND JWOD**

Under the provisions of the Javits-Wagner-O'Day Act, GSA, and those GSA Multiple Award Office Supply Schedule contractors are the exclusive distributors of JWOD office supplies with the following ordering options:

- [WWW.JWOD.COM](http://WWW.JWOD.COM). This is JWOD's on-line system for ordering next-day delivery of thousands of Skilcraft and other JWOD products. This is the recommended ordering option for purchase cardholders using the purchase card as the most convenient and efficient method of purchasing office supplies.
- GSA Advantage On-Line Shopping Service. This Internet site (<http://www.gsa.advantage.gov>) allows customers to browse, search and review prices and delivery options before placing an order on the Internet. GSA's National Help Line at

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800-488-3111 will answer questions and refer you to local JWOD Program assistance through Customer Service Directors in each state.

- GSA Multiple Award Schedule Program. In addition to acquiring office supplies directly from GSA using one of the options described above, as of August 30, 1996, high quality office supplies under the JWOD Program are available nationwide from commercial vendors under GSA's Multiple Award Office Products Next Day Delivery Program (Desktop Schedule 75 III A). There is no maximum order quantity under the GSA Multiple Award Schedule Program. **Discounts and JWOD supplies are only available for catalog orders placed using the Government toll-free numbers below – walk-in stores are not included.** The authorized Office Supply vendors accept the Government Purchase Card. Blanket Purchase Agreements (BPAs) between DOE buying activities and the vendors are permitted. The following vendors are included in the GSA Desktop Schedule:

- Boise Cascade Office Products  
Telephone No. 800-505-3337
- BT Office Products International  
Telephone No. 888-862-8674
- Corporate Express  
Telephone No. 800-706-9267
- Innovative Sales Brokers  
Telephone No. 800-283-1903
- Office Depot  
Telephone No. 888-263-9586
- Staples National Advantage  
Telephone No. 800-538-2728

These GSA multiple award vendors accept the Government purchase card. Product schedules are available to cardholders by phoning the telephone numbers listed above. It is recommended that cardholders obtain product schedules from each of the GSA multiple award vendors and utilize either the GSA Advantage On-Line Shopping Service or the GSA Multiple Award Schedule Program to acquire office supplies. GSA Multiple Award Schedule Program vendors are prohibited from selling commercial products which are essentially the same as JWOD products.

## **19. BLANKET PURCHASE AGREEMENTS FOR INFORMATION TECHNOLOGY PRODUCTS**

The Office of Headquarters Procurement Services has awarded four Blanket Purchase Agreements (BPAs) for Information Technology (IT) products as of March 1, 1999, superseding BPAs previously awarded. These BPAs are for computer products and application software using the General Services Administration (GSA) Multiple Award Federal Supply Schedule. These are DOE-wide instruments available to all DOE Federal buyers, Management and Operating contractors and other authorized contractors. DOE has obtained discounts below GSA Schedule pricing. Manufactured products from Gateway, Dell, Micron, IBM, Hewlett Packard, Compaq, Macintosh, Canon, Epson, Lexmark, Philipps/Magnavox, Panasonic, and Sun Microsystems are included, among others. In addition, application software from Microsoft and Lotus, among others, are included.

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A listing of the four BPA awards are listed below:

- Dell Marketing, L.P.  
BPA Number: DE-AB01-99AD38160  
Address: 1 Dell Way, Round Rock, TX 78682  
Telephone Number: 1-800-727-1100
- Gateway 2000  
BPA Number: DE-AB01-00AD38189  
Address: 610 Gateway Drive, P.O. Box 2000  
North Sioux City, SD 57049-2000  
Telephone Number: 1-800-846-2000
- Micron Government Computer Systems, Inc.  
BPA Number: DE-AB01-00AD38190  
Address: 625 Stratford, Meridian, ID 83642  
Telephone Number: 1-800-249-1179, X31006
- Comteq Federal  
BPA Number: DE-AB01-00AD38192  
Address: 7503 Standish Place  
Telephone Number: 301-340-3430

**The preferred method of purchase is DOE's EC-Web Direct System.** The purchase card may be used for payment up to each cardholders authorized single purchase limit.

## 20. ELECTRONIC COMMERCE SYSTEM (DOE/C-WEB)

In accordance with the memorandum dated February 10, 2000, entitled Electronic Commerce System (DOE/C-Web), co-sponsored by the Director, Office of Procurement and Assistance Management and the Chief Financial Officer, DOE/C-Web is mandated for use in procuring of simplified acquisitions including purchase card acquisitions. DOE/C-Web implementation and questions should be addressed to the CH DOE/C-Web coordinator, Pamela Rapcan (630) 252-2106; e-mail: [pamela.rapcan@ch.doe.gov](mailto:pamela.rapcan@ch.doe.gov).

## 21. Cardholder and Approving Official Training Requirements

Federal Acquisition Regulation (FAR) Subpart 1.603-3 Appointment, states that contracting officers shall be appointed in writing on a Standard Form (SF) 1402, Certificate of Appointment, stating any limitations on the scope of authority to be exercised. The SF 1402 shall be used to evidence the contracting officer appointment for delegation of purchase cardholders exceeding micro-purchase authority (i.e. above \$2,500).

### a. CARDHOLDER REQUIREMENTS

- (1) In accordance with DOE Order O 541.1, Attachment 1, Contracting Officer Qualifications, the following training requirements apply to cardholders **with a single purchase limit of \$2,500 (micro-purchase threshold):**

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### Minimum Training:

- Self-instruction utilizing this Guideline and materials and instruction provided by the Program Coordinator.
- Online Training - "GSA SmartPay web-based training – Purchase Card Program." This online training tool will teach you how to use the purchase card responsibly. This course is available at: <http://www.energyolc.com/>
- Affirmative Procurement for Purchase Card Users available at: <http://professionals.pr.doe.gov/>

### Recommended Training:

1-day Government-wide Purchase Card courses available from the GSA Interagency Training Center; USDA Graduate School, Management Concepts, Inc., and other training centers.

A Certificate of Appointment is not required for cardholders exercising micro-purchase authority. A Delegation of Purchasing Authority will evidence this appointment.

- (2) For cardholders **with a single purchase limit exceeding \$2,500 up to \$25,000**, the following experience and training apply:

#### Experience:

At least 6 months of experience as a cardholder at or above the micro-purchase threshold.

#### Minimum Training:

- Self-instruction utilizing this Guideline and materials and instruction provided by the Program Coordinator.
- Online Training - "GSA SmartPay web-based training – Purchase Card Program." This online training tool will teach you how to use the purchase card responsibly. This course is available at: <http://www.energyolc.com/>; or
- Training course of at least 16 hours on simplified acquisition techniques, including market research, competition, commercial items purchasing, best value source selection, and socio-economic procurement programs. This training may be waived by the HCA for experienced cardholders who have acquired experience equivalent to this training.
- Affirmative Procurement for Purchase Card Users available at: <http://professionals.pr.doe.gov/>.

Training courses are available from the Graduate School, USDA; (703) 312-7300 or (202) 401-9194; Internet address: <http://grad.usda.gov/>; mailing address: Suite 1000, 1400 Wilson Blve., Arlington, VA 22209-2312; Management Concepts, Inc.; (703) 790-9595; fax (703) 790-1371; Internet address: <http://www.Mgmtconcepts.com/>; mailing address: 8230 Leesburg Pike, Suite 800, Vienna, VA 22182; the Federal Acquisition Institute; and DOE's training contractor, AMCI, the GSA Interagency Training Center.

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The Certificate of Appointment is required for cardholders (contracting officers) exercising authority above the micro-purchase threshold.

***Cardholders are required to forward copies of all training certificates to the PC as evidence of completion of the required training and for the CH Purchase Card Training Records.***

b. **APPROVING OFFICIAL REQUIREMENTS**

The following training requirements apply to approving officials:

- Self-instruction utilizing this Guideline and materials and instruction provided by the Program Coordinator.
- Online Training – “GSA SmartPay web-based training - Purchase Card Program”. This online training tool will teach you how to use the purchase card responsibly. This course is available at: <http://www.energyolc.com/>
- Online Affirmative Procurement Training for Purchase Card Users at: <http://www.energyolc.com/>

**Training certificates will be provided at the successful completion of the General Services Administrations (GSA) Online SmartPay training course. Approving officials are required to forward a copy of their training certificate to the PC as evidence of completion of the required training and for the CH Purchase Card Training Records.**

c. **REFRESHER TRAINING**

The Program Coordinator shall coordinate a four hour refresher training session for all cardholders, biennially, using this Guideline, lessons learned throughout the year, and feedback from the annual review source material.

d. **CENTRAL TRAINING RECORDS**

A copy of each certificate of appointment or delegation of authority, the documentation submitted by the requesting organization in support of each certificate or appointment, and recordation of the training taken by the cardholders and approving officials set forth above, shall be kept centrally by the Purchase Card Coordinator. (See Attachment K, Recommendation for Appointment).

## Attachment C - CH Supplies

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The following CH Supplies are centrally managed and procured by the CH Office of Management and Administration – Information and Administrative Services (MA- IAS) Purchasing which is located on the 3rd floor of ANL Building 201, office number 3T-13. CH employees located in ANL Building 201 **must** obtain items listed below from CH Supplies. ***CH employees located in other CH offices should check local supplies, if any, prior to making any purchase card purchases.***

- Ltr. size accordian folders
  - Ltr. size 6 part folders
  - Ltr. size manila folders
  - Ltr. size brown file backers
  - Mailing and filing labels (on continuous sheets)
  - Paperclips
  - Push Pins
  - Rulers
  - Rubberbands
  - Post-it flags (red, green & yellow)
  - Ltr. & legal size green hanging file folders
  - Executive correspondence plastic cover sheets
  - 1-31 - 3 ring binder tabs
  - A-Z - 3 ring binder tabs
  - Plain insertable 3 ring binder tabs
  - 1", 2" and 3" - 3 ring binders
  - Scissors
  - Glue sticks
  - Mechanical pencils .05 & .07 and lead refills
  - Calculator tape (various size)
  - Correction fluid & thinner
  - Skilcraft highlighters (green, yellow, blue & black)
  - No. 2 skilcraft pencils
  - Skilcraft pens (red, black & blue)
  - Texas instruments ribbon & correction tape for typewriters
  - 3x5 and 5x8 unruled writing pads
  - Steno and 8 1/2 x 11 notebooks
  - Small & large green record books
  - 3x3 & 3x5 unruled post-its
  - 4x6 ruled post-its
  - 3x5 index cards
  - Stapler, staples & staple remover
  - Tape dispenser & tape
  - Stamp pad & ink
  - Small, medium & large binder clips
  - 8 1/2 x 11 paper (yellow, pink, blue & green)
  - Typing stands
  - Desk cleaner spray & cheesecloth
  - Inter office envelopes
  - CH routing slips
  - Ltr. size franked & unfranked brown envelopes
  - Plain, window & franked white envelopes
  - Transparencies
  - AA, AAA, C, D & 9V batteries
  - Surge protectors
  - CD-R & CD-RW
  - 3 1/2 formatted & unformatted diskettes
  - Frames (picture, certificate)
- Chairs
  - Keyboard Trays
  - Fans
  - Calendars
  - Record Retirement Boxes
  - Easel Pads
  - Dry Erase Boards
  - Dry Erase Markers



## Attachment E - U.S. Tax Exemption Certificate

U.S. TAX EXEMPTION CERTIFICATE		Read the instructions on the reverse side	DEPARTMENT, AGENCY, OR OFFICE	SERIAL NO.	
ITEM PURCHASED FOR EXCLUSIVE USE OF THE U.S. GOVERNMENT ( <i>Describe</i> )				QUANTITY	UNIT PRICE
VENDOR FROM WHICH PURCHASED	NAME		A tax exemption certificate has not previously been issued and the described item(s) has (have) been delivered and invoiced pursuant to:	Amount of Tax Excluded	
	ADDRESS ( <i>No., Street, city, State, and ZIP Code</i> )			State	
				Local	
I certify that the information on this form is true and correct to the best of my knowledge and belief.			P.O. OR CONTRACT NO.	<b>For Administrative Office</b>	
PURCHASER'S SIGNATURE, OFFICE TITLE, AND ADDRESS		DATE	DATES	D.O. SYMBOL. NO.	
Certified correct and just:				VOUCHER NO.	
SIGNATURE AND TITLE OF VENDOR'S REPRESENTATIVE		DATE		DATE	

**STANDARD FORM 1094 (REV. 10-83)**  
 Prescribed by GSA  
 FAR (48 CFR) 53.229

### INSTRUCTIONS

- This form will be used to establish the Government's exemption or immunity from State or Local taxes whenever no other evidence is available.
- This form shall NOT be used for
  - Purchases of quarters or subsistence made by employees in travel status
  - Expenses incident to use of a privately owned motor vehicle for which a mileage allowance has been authorized, or
  - Merchandise purchased which is subject only to Federal Tax.
- If the spaces provided on the face of this form are inadequate, attach a separate statement containing the required information.
- If both State and Local taxes are involved, use a separate form for each tax. The certificate will be provided to the vendor when the prices exclude State or Local tax.
- The serial number of each certificate prepared will be shown on the payment voucher.

**THE FRAUDULENT USE OF THIS CERTIFICATE FOR THE PURPOSE OF OBTAINING EXEMPTION FROM OR ADJUSTMENT OF TAXES IS PROHIBITED.**

**STANDARD FORM 1094 BACK (REV. 10-83)**

# Attachment F – Telephone Quotation Worksheet

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## PURCHASE CARD TELEPHONE QUOTATION WORKSHEET

<b>Cardholder Name</b>						
<b>Government Estimate</b>						
	<b>Accounting and Appropriation Data</b>					
<b>Appropriation Symbol</b>	<b>B&amp;R Number</b>	<b>Amount</b>	<b>Allotment</b>	<b>Obj. Class</b>	<b>AFP</b>	<b>CFA</b>

Description: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Vendor Quotations:

	<b>Vendor 1</b>	<b>Vendor 2</b>	<b>Vendor 3</b>
<b>Vendor Name</b>			
<b>Point of Contact</b>			
<b>Telephone No.</b>			
<b>Price Quote</b>			
<b>Delivery Date</b>			

# Attachment G – Price Reasonableness/Competition/Small Business Documentation

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## A. DOCUMENTATION FOR SOLICITING ONLY ONE SOURCE:

1.  FAR 8.001-PRIORITIES FOR USE OF GOVERNMENT SUPPLY SOURCES:
  - Supplies (FPI, JWOD, Wholesale Supply Sources; GSA; DLA; Military sources) –8.001(a)(1)
  - GSA Mandatory Single Award Schedule
  - GSA Optional Federal Supply Schedule (Best Value FAR 8.404(b)(2)
  - Other Government Source (Government Printing Office, GSA, DOD, etc.)
2.  MICROPURCHASE - FAR 13.202(a)(2) or (3); or 8.404(b)(1) (*Circle one*)
3.  SOLE-SOURCE, in accordance with FAR Part 13.106-1(b)(1) & 13.106-3(b)(3); or 8.404(b)(7) (*Circle one*)  
(*Attach Explanation or Statements*)
4.  OTHER \_\_\_\_\_

## B. THE PRICE IS CONSIDERED FAIR AND REASONABLE BASED ON (check as applicable):

1.  MICRO-PURCHASE - Pursuant to FAR 13.202(a)(2) or (3); or 8.404(a) (*Circle one*) \_\_\_\_\_
2.  FAR PART 8 - FEDERAL SUPPLY SCHEDULE -Best Value-FAR 8.404(a); a separate determination for price reasonableness is not required (FAR 8.404(b)(2) on-line price lists or catalogs/pricelists of at least 3 schedule contractors should be reviewed in order to select the one that meets the agency's needs.
3.  COMPETITION - Quotations or Offers were received from \_\_\_\_\_ responsive, responsible sources (FAR 13.104(b) - at least 3 sources should be solicited) and award is based on:
  - Lowest Technically Acceptable Offer
  - Other (i.e. other than price related factors – FAR 13.106-3(b)(3)(ii) \_\_\_\_\_
4.  ONLY ONE RESPONSE - Pursuant to FAR 13.106-3(a)(2), if only one response is received, include a statement of price reasonableness in the contract file. "The price is determined to be fair and reasonable based on":
  - Market Research \_\_\_\_\_;
  - Comparison of the proposed price with prices found reasonable on previous purchases \_\_\_\_\_;
  - Current price lists, catalogs, or advertisements \_\_\_\_\_;
  - A comparison with similar items in a related industry \_\_\_\_\_;
  - Value analysis \_\_\_\_\_;
  - The contracting officer's personal knowledge of the item being purchased \_\_\_\_\_;
  - Comparison to an independent Government estimate \_\_\_\_\_; or
  - any other reasonable basis \_\_\_\_\_.

## C. DOCUMENTATION FOR USING OTHER THAN SMALL BUSINESS (For Purchases > \$2500)

1.  FAR 8.001-PRIORITIES FOR USE OF GOVERNMENT SUPPLY SOURCES
2.  OTHER (Explain)

Prepared by: \_\_\_\_\_

\_\_\_\_\_ Date

**DOE PURCHASE CARD DESTRUCT NOTICE FORM**  
(Print or Type)

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Card No. \_\_\_\_\_ Exp. Date \_\_\_\_\_

Name of  
Cardholder \_\_\_\_\_

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**Reason(s) for Destruction**

- |||  Employee transferred                       Found reported lost/stolen card                       Expired card
- Employee terminated/resigned
- |||  Other \_\_\_\_\_
- \_\_\_\_\_

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Approving Official's Name \_\_\_\_\_  
(Type or Print)

Approving Official's Signature \_\_\_\_\_

Current Date \_\_\_\_\_

**NOTICE: Cut card and return to the CH Program Coordinator with this form. Do not return to Bank of America.**

# Attachment I - Dispute Form

## Dispute Form

Name \_\_\_\_\_ Merchant \_\_\_\_\_  
Account # \_\_\_\_\_ Transaction Date \_\_\_\_\_  
Posting Date \_\_\_\_\_ Amount \_\_\_\_\_  
Reference No. \_\_\_\_\_ Daytime Phone \_\_\_\_\_  
Signature \_\_\_\_\_

I have examined the charge(s) made to my account and wish to dispute the above items for the following reason: \*\*PLEASE CHECK ONLY ONE\*\*

1. \_\_\_\_\_ I certify that the charge(s) listed above was not made by me nor a person authorized by me to use my card. I did not receive any goods or services from this transaction nor did any person authorized by me.
2. \_\_\_\_\_ Although I did engage in a transaction with the above merchant, I have no knowledge of the particular transaction noted above and it was not authorized by me or anyone representing me. My cards were in my possession at the time of the above transaction. The correct transaction took place on \_\_\_\_\_ (date) in the amount of \$ \_\_\_\_\_.
3. \_\_\_\_\_ Although I did engage in the above transaction (complete ONE of the following statements and provide as much detail as possible to support your statement):
  - a. \_\_\_\_\_ The dollar amount of the sale was increased from \$ \_\_\_\_\_ to \$ \_\_\_\_\_. I am enclosing a copy of my charge card sales receipt, which reflects the correct dollar amount.
  - b. \_\_\_\_\_ I dispute the entire charge or a portion of it in the amount of \$ \_\_\_\_\_. I have contacted the merchant and asked that a credit be applied to my account. (Please provide details of the circumstances surrounding this transaction and your calculations used to derive the correct amount, if amount is less than the total billed to you account.)
  - c. \_\_\_\_\_ I have never received the merchandise. I expected to receive it during the week of \_\_\_\_\_ (date). I have since contacted the merchant and asked that a credit be applied to my account.
  - d. \_\_\_\_\_ All or part of the shipped or delivered merchandise was defective or damaged when received. I returned the merchandise on \_\_\_\_\_ (date) but have not received a credit for the amount of \$ \_\_\_\_\_. I am enclosing a detailed statement describing the defects of the merchandise and I am enclosing a copy of my proof of return (receipt from UPS, FedEx, Post Office, a credit voucher from the merchant, etc.). In addition, enclosed is an itemized list of the merchandise received, the items returned and the cost of each item.
  - e. \_\_\_\_\_ The above transaction is a duplication of an authorized transaction that took place on \_\_\_\_\_ (posting date). The reference number of the authorized transaction as shown on my charge card statement is \_\_\_\_\_.
  - f. \_\_\_\_\_ I am enclosing a detailed explanation of the reason(s) the merchant was not able or willing to provide the requested merchandise/services. I am also providing details of my attempts to resolve this matter with the merchant, including date(s) and the merchant response(s).
4. \_\_\_\_\_ I received a credit slip, but it was applied to my account as a charge. I am enclosing a copy of this credit slip.
5. \_\_\_\_\_ I received a credit slip, but it was applied to my account. I am enclosing a copy of this credit slip.
6. \_\_\_\_\_ I notified the merchant on \_\_\_\_\_ (date) to cancel preauthorized recurring charges (i.e., insurance premium, membership fee). I have canceled with the merchant and am enclosing a copy of my dated correspondence to the merchant, if available.  
The merchant provided me with the cancellation number: \_\_\_\_\_
7. \_\_\_\_\_ I guaranteed a hotel reservation for late arrival and subsequently cancelled it on \_\_\_\_\_ (date) at \_\_\_\_\_ (AM/PM).
8. \_\_\_\_\_ Other: please explain below.

I am enclosing a copy of all related documents, including any credit vouchers, sales receipts, work invoices, and contracts that I may have received, along with details of my attempts to resolve this matter with the merchant.

## Instructions for Dispute Form

**Purpose** Cardholders or A/OPC's may use this form to dispute charges on their charge card.

**Instructions** Please print or type all information and return or fax to the address or number listed below:

- **Bank of America**
- **Attn: GCSU**
- **P. O. Box 1637**
- **Norfolk, VA 23501-1637**
- **Fax: (757) 624-6323**
- **Toll-free fax: (877) 217-1033**

### Field Descriptions of form elements

**Name** – Enter Card / Account Holder's name.

**Account #** - Enter 16 digit account number.

**Merchant** – Enter merchant's name for the disputed charge.

**Transaction Date** – Enter date of disputed transaction.

**Posting Date** – Enter the date the disputed charge posted to the account.

**Amount** – Enter the amount of the charge being disputed.

**Reference** – Enter the reference number of the disputed charge.

**Signature** – Signature of authorized card / account holder.

**Daytime Phone** – Enter daytime commercial phone number for card/account holder.

**\*\*PLEASE CHECK ONE\*\*** - Select the option that best describes the reason for the disputed charge.

## Attachment J - Self Assessment Questionnaire

### PURCHASE CARD PROGRAM SELF ASSESSMENT QUESTIONNAIRE

1. Have personnel involved in the program received adequate training?
2. Are cardholders and approving officials aware of mandatory source programs, especially the Javitts-Wagoner-O'Day Act? (See Federal Acquisition Regulation (FAR) Part 8.)
3. Have reasonable limitations been identified to Bank of America, i.e., individual/monthly transaction limitations, and appropriate merchant activity code categories?
4. Are delegations of authority or certificates of appointment issued to individual cardholders? Certificates of appointment are to be used above the micropurchase level.
5. Do the delegations of authority or certificates of appointment identify purchase limitations and are these consistent with those furnished to Bank of America?
6. Does the single purchase dollar limitations for cardholders accurately reflect the types of purchases being made by cardholders?
7. Are copies of the delegations of authority and certificates of appointment maintained in a current status?
8. Are local procedures adequate and current?
9. Do local procedures include an internal review function?
10. Do the local procedures ensure funds availability in advance of transactions?
11. Is the local program coordinator identified to cardholders?
12. Are supervisors of cardholders identified as approving officials?
13. Do the cardholders maintain a log of transactions adequate to identify the transaction, the merchant, the date of the order, the item(s) purchased, the price, and date of receipt if other than the date of the order? Does the log reflect any prior approvals or coordinations required before the purchase.
14. Are merchant receipts obtained by the cardholders and maintained to document the purchases at time of invoice?
15. Do prices appear reasonable and do the items purchased appear appropriate to official use?
16. When the price exceeds \$2,500.00, does the cardholder obtain and document competition or document and justify the reason for no competition..
17. Do the cardholders reconcile their statements of account (invoices) and submit them to their approving officials in a timely manner? Reconciliation generally includes entering on the invoice the purchase item description, any accounting data which may be required by local procedures, attaching the merchant receipts, signing the invoice, and forwarding the package to the approving official.
18. Do cardholders question the inclusion of sales tax on invoices?
19. Do the cardholders submit "dispute" or "statement of questioned items" forms for disputed charges?
20. Do the approving officials review, question, and approve the invoices and forward them to the finance office in a timely manner?
21. Does the finance office forward "notice of questioned item" forms to the Bank?

## **Attachment J - Self Assessment Questionnaire**

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22. Does the finance office process a "notice of invoice adjustment" form when it makes payment for greater or lessor than the amount of the invoice?
23. Do the cardholders, approving officials, finance officers, and program coordinator receive appropriate reports from the Bank?
24. For transactions above \$25,000, is a file maintained to document issuance of the synopsis, small business coordination, approval of noncompetitive procurement, and other required approvals or coordinations?

**Attachment K – Recommendation for Appointment**

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**Recommendation for Appointment**  
**Purchase Cardholders**

The following findings and determinations are made pursuant to applicable laws and regulations.

1. There is a clear and convincing need to delegate purchase card authority. The following types of requirements are anticipated to be purchased with the purchase card:\_\_\_\_\_.
2. Funds have been allocated for the proposed cardholder and funds have been certified and entered into DOE/C-Web (attached copy of evidence).
3. \_\_\_\_\_[insert cardholder name], the nominee purchase cardholder, is an employee of, or detailed to, the U.S. Department of Energy. The proposed single purchase limit for the nominated cardholder is \_\_\_\_\_. The requirements for qualifying as a contracting officer for purchase cardholders are listed below.
4. The proposed cardholder has met the minimum qualifications as follows:

**Experience:**

- **None for purchase cardholders with a single purchase limit of \$2,500.**
- **For purchase cardholders with a single purchase limit exceeding \$2,500 and up to \$25,000:**
  - At least 6 months of experience as a Government purchase cardholder at or above the micro-purchase threshold. The nominee was delegated authority on \_\_\_\_\_[insert date], or
  - 1 year of experience as a Government Contracting Officer’s Representative (COR). The nominee has been a COR with \_\_\_\_\_[insert name of agency] for the period \_\_\_\_\_[insert beginning/ending dates].

**Minimum Mandatory Training:**

- **For cardholders with a single purchase limit at or below \$2,500.00:**
  - GSA Online SmartPay training course found at <http://www.fss.gsa.gov/webtraining/trainingdocs/smrtpaytraining.cfm> (attach a copy of the SmartPay Training Certificate)
  - On-line Affirmative Procurement Training Training found at [www.energy.olc.com](http://www.energy.olc.com) [attach a copy of the certificate]

## Attachment K – Recommendation for Appointment

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- **For cardholders with a single purchase limit exceeding \$2,500.00 up to \$25,000:**
    - GSA Online SmartPay training course found at <http://www.fss.gsa.gov/webtraining/trainingdocs/smrtpaytraining.cfm> (attach a copy of the SmartPay Training Certificate)
    - Training course of at least 16 hours on simplified acquisition procedures \_\_\_\_\_ [insert date and provide copy of certificate of completion]
    - On-line Affirmative Procurement Training. Training found at [www.energy.olic.com](http://www.energy.olic.com)
  - **For Approving Officials**
    - GSA Online SmartPay training course found at <http://www.fss.gsa.gov/webtraining/trainingdocs/smrtpaytraining.cfm> (attach a copy of the SmartPay Training Certificate)
    - On-line Affirmative Procurement Training. Training found at [www.energy.olic.com](http://www.energy.olic.com)
5. The nominee purchase cardholder will occupy the following organizational position [provide Title, Series, Grade] and is responsible for the processing of all card transactions for the purchase card issued in his/her name.

\_\_\_\_\_

Title	Series	Grade
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6. The nominated purchase cardholder and the primary and alternate approving officials are listed below:

Nominated Purchase Cardholder Name: \_\_\_\_\_

Nominated Purchase Cardholder Office Symbol: \_\_\_\_\_

Nominated Purchase Cardholder Telephone No.: \_\_\_\_\_

Primary Approving Official Name: \_\_\_\_\_

Primary Approving Official Office Symbol: \_\_\_\_\_

Primary Approving Official Telephone No.: \_\_\_\_\_

Alternate Approving Official Name: \_\_\_\_\_

Alternate Approving Official Office Symbol: \_\_\_\_\_

Alternate Approving Official Telephone Number: \_\_\_\_\_

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7. The nominee’s business acumen, judgment, character, reputation, and ethics are sound and the nominee’s personal qualifications statement has been evaluated and the experience, education and training meet the established DOE minimum qualifications.
8. The nominee has completed Annual Financial Disclosure Report (OGE-450) or Executive Branch Public Financial Disclosure Report (SF-278) and has been cleared by the Assistant General Counsel for General Law (GC-80) or Local Field Counsel. The GC-80 or Local Field Counsel clearance is dated \_\_\_\_\_.
9. The nominee is well-qualified for the delegation of purchase card authority.

### Supervisor:

\_\_\_\_\_  
Signature of supervisor of the nominee cardholder

\_\_\_\_\_  
Date

Typed/Printed Name: \_\_\_\_\_

### Approval:

\_\_\_\_\_  
Signature of Designated Official or  
Head of Contracting Activity

\_\_\_\_\_  
Date

Typed/Printed Name: \_\_\_\_\_