

**(PURCHASE CARD FILE REVIEW CHECKLIST)**

**General Information**

File Reviewed by: \_\_\_\_\_

Cardholder: \_\_\_\_\_

Date Reviewed:   ( 00 / 00 / 00 ) Months reviewed: ( 00 / 00 / 00 ) - ( 00 / 00 / 00 ) - ( 00 / 00 / 00 )

**LIST PURCHASES REVIEWED GREATER THAN \$2,500**

VENDOR NAME - BY ORDER # ENTER ORDER #(S) UNDER ANY CITED FINDING(S) WITHIN CHECKLIST	ORDER AMOUNT	DATE	SMALL BUSINESS YES/NO	OPEN MARKET	FSS VENDOR	COMPETITIVE AWARD YES / NO
#1						
#2						
#3						
#4						
#5						
#6						
#7						
#8						
#9						
#10						

Other Required Sources Used? (Specify) \_\_\_\_\_

Comments: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**I. All orders:**

(Circle the correct response. Circled responses that are highlighted indicate a problem.)

**YES/NO**      Does the cardholder/CAO have any suggestions for improving the program?  
 See comments section III.

**A. PROCEDURAL PROBLEMS:**

1. **YES/NO**      Was the Purchase Card/Convenience Checks in the possession of the cardholder?  
 [NIH MANUAL 6013-2: pg(s). 1 & 32]

2. **YES/NO**      Was the cardholder placing the orders or issuing a Convenience Check?  
 [NIH MANUAL 6013-2: pg(s). 1, 3, & 29-33]

3. **YES/NO**      Was the Purchase(s) recorded on the Record of Purchase Card Order Log (including  
 check number if applicable)? [NIH MANUAL 6013-2: pg(s). 39-40]  
 Cited Order#s >\$2,500 #s: \_\_\_\_\_ )

4. YES/NO/NA If a clearance was required, is there a copy of the clearance in the monthly acquisition file? Specify clearance(s): \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, [NIH 26307-3/6307-3] <http://www3.od.nih.gov/oma/manualchapters/>[NIH MANUAL 6013-2: pg(s). 11 & 17] Cited Order#s >\$2,500 #s: \_\_\_\_\_ )

5. YES/NO/NA Does this requirement involve a licensing agreement (software, maintenance, other) (written or electronic format) [reference NIH Manual 6027]. If NO or NA selected go to question ( 6 ). Cited Order#s >\$2,500 #s: \_\_\_\_\_ )

5a. YES/NO/NA Is there evidence that the Project Officer, reviewed the licensing agreement for scientific/technical issues?

5b. YES/NO/NA Is there evidence that after reviewing the licensing agreement, the Project Officer certified the agreement by signing the responsibility for compliance certificate?

5c. YES/NO/NA Is there evidence that the Purchasing Agent reviewed the licensing agreement who procured the software?

5d. YES/NO/NA If required was the licensing agreement signed by the Contracting Officer?

5e. YES/NO/NA Was a copy of the Project Officer certification attached to the file?

6 . YES/NO/NA Are all items classified as Sensitive Property, Accountable Property (property equal to or greater than \$5,000), and Leased Equipment coded with the correct OC codes and entered into the NIH Property System? [NIH Manual 26101-25-2] [NIH MANUAL 6013-2: pg(s). 24 & APPENDIX 6, pg. 50] Cited Order#s >\$2,500 #s: \_\_\_\_\_ )

7. YES/NO/NA If the merchant is a BPA vendor, did they extend the discount negotiated under the BPA to the purchase card? [NIH MANUAL 6013-2: pg(s). 7] Cited Order#s >\$2,500 #s: \_\_\_\_\_ )

8. YES/NO Was receiving information (signed and dated by the individual accepting the shipment) annotated on the shipping document and/or on the Record of Purchase Card Order Log? [NIH MANUAL 6013-2: pg(s). 19, 23, & 42] Cited Order#s >\$2,500 #s: \_\_\_\_\_ )

9. YES/NO/NA Was the IRS Form 1099-Misc. Or Statement of Recipients of Purchase Card Check Issued for a Professional Service Order, and a copy of the Convenience Check, issued for a Professional Service order, attached to the file?[NIH MANUAL 6013-2: pg(s).32 & APPENDIX 5, pg. 47] Cited Order#s >\$2,500 #s: \_\_\_\_\_ )

10. YES/NO/NA Was the proper VISA information documented and applied prior to issuing a Convenience Check? [NIH MANUAL 6013-2: pg(s). 3 & 18] Cited Order#s >\$2,500 #s: \_\_\_\_\_ )

11. YES/NO/NA Was the Record of Purchase Card Log completed properly (including delivery)? [NIH MANUAL 6013-2: pg(s).19 & APPENDIX 3 & 4 pg(s). 41-46] Cited Order#s >\$2,500 #s: \_\_\_\_\_ )

- 12. YES/NO Was all the documentation filed in the interim monthly acquisition file and attached to the monthly Statement of Account (printed from the ADB after the reconciliation had been completed)? [NIH MANUAL 6013-2: pg(s). 42 ]  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )
- 13. YES/NO Was the automated monthly SOA reconciled by the cardholder during the required period of time (13<sup>th</sup> of the month)? [NIH MANUAL 6013-2: pg(s). 46]  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )
- 14. YES/NO Was the automated monthly SOA reviewed by the CAO during the required period of time (18<sup>th</sup> of the month)? [NIH MANUAL 6013-2: pg(s). 21]  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )
- 15. YES/NO Were there any items purchased that appeared on the unauthorized purchase list ? [NIH MANUAL 6013-2: pg(s). 37-38 & (PURCHASE CARD INFO. PACKET)  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )

**B. REGULATORY PROBLEMS:**

- 1. YES/NO/NOT DOCUMENTED Was the item available from a Priority (mandatory) procurement source? [FAR 8.001] **THIS IS NOT NECESSARILY A PROBLEM UNLESS THE CARDHOLDER FAILED TO DOCUMENT THAT MANDATORY SOURCES WERE CHECKED. (SEE QUESTION 2.)**  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )
- 2. YES/NO/NA If a priority source was available, but the award was not made to the priority source, does the file document the reason(s) for not awarding to the preferential source? [FAR 8.001]  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )
- 3. YES/NO/NA Adequate SOW or Purchase Description? Was the requirement defined in enough detail so that both parties had a clear understanding of what was being purchased? [FAR 10.002 and FAR 12.202]  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )
- 4. YES/NO/NA Does the price paid for the requirements seem reasonable? [FAR 13.106-3 (a)(1) and (2)] *For orders >\$2,500.00 see questions 5-7 Sect B. Orders >\$25,000.00 Sect C*  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )
- 5. YES/NO/NA Record of the vendor(s) contacted and quotes received? [FAR 4.803 (a)(5) and (10)] (Only one source required for orders less than \$2,500.)  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )
- 6. YES/NO/NA Has the Drug Free Workplace Clause been **incorporated into the** award to individuals? [FAR 23.505 and 52.223-b (NIH 2555-4)]  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )
- 7. YES/NO/NA Is there evidence of order splitting to stay under the single purchase limit or the monthly purchase limit? [FAR 13.003 (c)]  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )

II. ALL ORDERS GREATER THAN \$2,500

A. FSS ORDERS Greater than \$2,500 All of Paragraph I above and:

- 1. YES/NO/NA If a multiple award schedule, documentation that at least three schedule price lists were reviewed? [FAR 8.404(b)(2)]  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )
- 2. YES/NO/NA Explanation of a Best Value decision, when other than the lowest price is selected? [FAR 8.404(b)(2)]  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )

B. OPEN MARKET ORDERS between \$2,500.01 and \$25,000:

All of paragraph I above; and

- 1. YES/NO/NA If an award was made to other than a small business, **has the cardholder made a determination that is reasonable and adequate for not using a small business?** [FAR 13.003(b)(1)] and [19.502-2(a)]  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )
- 2. YES/NO/NA If required, is the Sole Source Justification adequate? [FAR 13.106-1(b)]  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )
- 3. YES/NO/NA If required, is the justification for a Brand Name, make, or model adequate? [FAR 11.104]  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )
- 4. YES/NO/NA Is there documentation, if this was not a valid sole source requirement, that three or more price quotes were solicited? [FAR 13.104(b)]  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )
- 5. YES/NO/NA If less than three quotes were received, was the basis for determination of price reasonableness adequately documented? [FAR 13.106-3(a)(2)]  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )
- 6. YES/NO/NA Evidence that the purchase price is advantageous to the Government when other than the lowest price is selected? [FAR 13.106-1(a)(2) and 8.404(b)(2)]  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )
- 7. YES/NO/NA Inclusion of Service Contract Act wage determinations or exemption certification, when applicable? [FAR 22.1002-1]  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )
- 8. YES/NO/NA Does the file include the Small Business Program Representations, the North American Industry Classification System, (NAICS) Codes and the size standards? [FAR 19.102, FAR 19.303, FAR 19.307 and FAR 52.219-1] <http://epic.od.nih.gov/naics/index.asp>  
**NIH MANUAL 6013-2: pg(s). 45**  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )
- 9. YES/NO/NA Is the product considered a Domestic End Product under the Buy American Act? [FAR 25.101] (If not, the item cannot be procured using the purchase card.) **For exceptions see [FAR 25.103 & FAR 25.104] i.e. Books, trade, text, technical, or scientific; newspapers; pamphlets; magazines; periodicals; printed briefs & films; not printed in the United States and for which domestic editions are not available.**  
Cited Order#s >\$2,500 #s: \_\_\_\_\_ )

