

## **SPCC Payment Card File Checklist**

A Payment Card File holds all information related to transactions made within a billing cycle. The file must be shared with the cardholder manager, Procurement Services, or those in the audit function upon request. **Payment Card Files must be completed for each billing cycle by the date of the Sweep.** Any Payment Card File reviews performed where the card file is not complete will result in a non-compliant review determination. Below is a checklist to help ensure all required documentation is contained within the Payment Card File.

- I. Payment Card Files should be held together in a manila folder, binder clip, or any other means of securing the documentation so that it does not fall out or get lost.
- II. Payment Card Files should be separated by billing cycle. A list of [billing cycle dates](#) can be found on the Procurement Services website.
- III. A printed copy of the billing statement must be included in each file for that corresponding billing cycle.
- IV. **Documentation for each transaction** within each billing cycle must be held together, preferably in the order they appear on the billing statement, to help tell the story for that transaction and show that all policies and procedures were followed. For **EACH** transaction, verify that you have the following:
  - A. **All required applicable approvals** or waivers needed for your purchase, including, but not limited to:
    1. Purchase/Payment Approval Request Form Approvals (Cabinet Approvals) for purchases \$1000 and over
    2. Technology requests approved by IT (standard/non-standard or note of IT Buy Your Own)
    3. Signed Business Meal and Food Approval Forms
    4. Sodexo waivers for food/catering over \$100
    5. VCE Release Waivers
    6. DOA Approvals to pay late invoices
    7. Chrome River Travel Pre-Approvals
    8. Any profile increases or restriction lift confirmations from the SPCC Program Administrators
  - B. **Competition Documentation:**
    1. The purchase is exempt from competition ([Small Purchase Procedures Exemptions to Competitive Requirements](#)), made with a state or University exclusive/mandatory source (VCE, TSRC - contract), with a UMW or other available contract, or with a Department of Small Business and Supplier Diversity (DSBSD)-certified micro business and evidence to that effect is included on the purchase. Evidence showing this information can be included on the purchase order, written on the purchase order, invoice or receipt, or any other means to show that compliance was met.
    2. If the purchase is not exempt per the small purchase procedures, not purchased from a vendor on a contract, and is not planning to be made to a DSBSD-certified Micro business, documentation must be provided to show the effort to purchase from a certified micro business **PRIOR** to purchasing from a non-certified micro vendor. Evidence showing effort to purchase from a certified micro business can come in the following ways:
      - a. [DSBSD website search](#) screenshots showing NIGP code searches with micro vendors filtered that returned no results. NIGP code(s) used must be appropriate to what you are purchasing. Any zip code filters used must have a justification as to why only local vendors were searched.
      - b. Micro business eVA catalog search screenshots showing they do not carry your item(s) or do not carry the quantity of your items needed.

- c. Information proving that the item(s) could only be purchased from the publisher/producer/manufacturer.
- d. Email correspondence or written notes which include the name of the company contacted, name of the person you spoke with (if applicable), the date you reached out, the item(s) you requested, and the date you asked the vendor to respond to your request by, and the reason why you ultimately did not purchase from the micro vendor must be evident. Such reasons can either be:
  - i. Information showing that the micro vendor's quoted price was more than 5% of the total cost of the non-certified micro vendor. Total cost can include shipping and any fees.
  - ii. Information showing the micro vendor could not meet your needs as specified within your outreach (items, quantity, delivery, lack of response by the time requested).

**C. eVA Purchase Orders Documentation:**

- 1. If the purchase is not exempt from eVA entry per the Small Purchase Procedures Exemptions to Competitive Requirements tables, an eVA Purchase Order (including confirming orders) must be completed for each purchase. Purchase orders must be entered and fully approved in eVA by the SPCC Sweep Date. If only the REQ (purchase requisition) is printed, write the full PCO (purchase card order – pcard payment) or PO (purchase order – check payment) number on the requisition.
- 2. If eVA entry is exempt for your purchase, make sure there is some kind of documentation showing the exemption code (written on the quote/invoice/receipt, etc.).

**D. Invoices and Receipts**, and/or proof of payment which include at a minimum the following information: item(s) purchased, itemized amounts of the purchase, vendor name, payment date, and confirmation of the charge to the payment charge card. A zero-balance receipt is preferred, but other proof of payment documentation may be accepted.

**E. Any applicable credit memos** for returned items, items charged in error, or tax refunds.

**REMINDERS:**

- For Cardholders, three (3) years of your most recent Payment Card File must be available for internal or external audit or public review.
- If issues are discovered during the file review, resolve them as quickly as possible. If assistance is needed, please contact Procurement Services or your SPCC Program Administrators.
- An incomplete payment card file submitted for review to internal or external auditors will result in a non-compliance review determination.