

August 9, 2001

The Honorable James Greenwood, Chairman  
Subcommittee on Oversight and Investigations  
Committee on Energy and Commerce  
U.S. House of Representatives  
Washington, DC 20515-6115

Dear Mr. Chairman:

I am writing in response to your letter of July 20, 2001, requesting information on the Nuclear Regulatory Commission's (NRC) policies and practices concerning the authority of our employees and contractors to execute third-party drafts that financially obligate the NRC and to use government-issued purchase cards or convenience checks.

I am enclosing the third-party draft, convenience check and purchase card information from January 1, 1999, through July 20, 2001, that was requested in your letter. Consistent with the Debt Collection Improvement Act of 1996, which encouraged the electronic transfer of funds, the NRC discontinued the use of third-party drafts on March 31, 1999. Therefore, there are only three-months of third-party draft information included in our response.

If you have any questions concerning this response please contact me at (301) 415-7322.

Sincerely,

*/RA/* Original Letter Signed  
By Peter J. Rabideau (for)

Jesse L. Funches  
Chief Financial Officer

Enclosures: Responses to  
Questions 1 through 4

cc: Representative Peter Deutsch

August 8, 2001

The Honorable James Greenwood, Chairman  
Subcommittee on Oversight and Investigations  
Committee on Energy and Commerce  
U.S. House of Representatives  
Washington, DC 20515-6115

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\*See previous concurrence \*\*w/edits (edited packaged approved by C. Kasputys)

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OFFICE	OCFO/DAF	ADM	DCFO	CFO	OCA
NAME	ACRossi*	MSpringer*	PJRabideau	JLFunches	DKRathbun*
DATE	8 / 02 /01	8 / 3 /01	8 / 8 /01	8 / 8 /01	8 /6 /01
OFFICE	OCM				
NAME	RAMeserve**				
DATE	8 / 8 /01				

Nuclear Regulatory Commission response to  
Representative James Greenwood's July 20, 2001, questions

1. **A list identifying each individual who has or had the authority to execute third-party drafts that financially obligate your agency from January 1, 1999, through July 20, 2001, including the individual's title, specific section of employment within your agency, and the monetary or other parameters of his or her authority to execute such drafts.**

The following individuals were authorized to issue third-party drafts:

<b>NAME</b>	<b>TITLE</b>	<b>OFFICE</b>	<b>DOLLAR LIMIT</b>
Lilia B. Knight	Voucher Examiner	Office of the Chief Financial Officer	\$10,000
Tonya M. Newman	Voucher Examiner	Office of the Chief Financial Officer	\$10,000
Rosalyn Jones	Voucher Examiner	Office of the Chief Financial Officer	\$10,000
Wanda Brewer	Fiscal Assistant	Region I/Division of Resource Management	\$10,000
Rebecca I. Barr	Purchasing Agent	Region I/Division of Resource Management	\$10,000
Teresa M. McCullough	Purchasing Agent	Region I/Division of Resource Management	\$10,000
Jeffery B. Langford	Branch Chief	Region II/Division of Resource Management and Administration	\$10,000
James S. Hunter	Budget/Financial Analyst	Region II/Division of Resource Management and Administration	\$10,000
Kenneth Hendricks	Voucher Examiner	Region II/Division of Resource Management and Administration	\$10,000
Reginald M. Mitchell	Branch Chief	Region III/Division of Resource Management and Administration	\$10,000
Elizabeth E. Sullivan	Financial Mgmt. Assistant	Region III/Division of Resource Management and Administration	\$10,000
Patrice A. Shaughnessy	Voucher Examiner	Region III/Division of Resource Management and Administration	\$10,000

<b>NAME</b>	<b>TITLE</b>	<b>OFFICE</b>	<b>DOLLAR LIMIT</b>
Peter H. Krayner	Branch Chief	Region IV/Division of Resource Management and Administration	\$10,000
Stacey L. Rosenberg	Transportation Assistant	Region IV/Division of Resource Management and Administration	\$10,000
Carol L. Hill	Transportation Assistant	Region IV/Division of Resource Management and Administration	\$10,000

- 2. The total number of third-party drafts issued by your agency between January 1, 1999, and July 20, 2001, that fall within the amount limitations prescribed in the Treasury Financial Manual, Volume 1, Part 4, Chapter 3000, section 3020.10.**

**Additionally, provide a copy of each third-party draft issued by your agency between January 1, 1999, and July 20, 2001, that falls outside the \$10,000 amount limitation, thereby having required the agency to request a waiver detailing the benefits and savings for review and approval as required by Treasury Financial Manual, Volume 1, Part 4, Chapter 3000, section 3020.10. Include a copy of the completed request for waiver.**

From January 1, 1999, to March 31, 1999, the NRC issued 2,264 third-party drafts totaling approximately \$1,034,000. The NRC discontinued use of third-party drafts on March 31, 1999.

NRC issued no third party drafts over \$10,000.

- 3. A list identifying each individual who has or had the authority to use a government purchase card or convenience check, or has or had a government purchase card or convenience check issued in his or her name from January 1, 1999, to July 20, 2001, including the individual's title, specific sections of employment within your agency, and the monetary or other parameters of his or her authority to use the government-issued card or convenience check.**

The information requested is provided at Appendix 1 and 2.

- 4. Any and all guidelines or policies that pertain to the authority of any individual to execute third-party drafts that financially obligate your agency, or to receive and/or use government-issued purchase cards or convenience checks.**

The NRC's guidelines and procedures for using convenience checks and purchase cards are provided at Appendix 3.

The following individuals were authorized to use a government convenience check:

<b>NAME</b>	<b>TITLE</b>	<b>OFFICE</b>	<b>30 DAY DOLLAR LIMIT</b>	<b>SINGLE PURCHASE LIMIT</b>
Lilia B. Knight	Voucher Examiner	Office of the Chief Financial Officer	\$10,000	\$2,500
Tonya M. Newman	Voucher Examiner	Office of the Chief Financial Officer	\$10,000	\$2,500
Rosalyn Jones	Voucher Examiner	Office of the Chief Financial Officer	\$10,000	\$2,500
Teresa M. McCullough	Purchasing Agent	Region I/Division of Resource Management	\$10,000	\$2,500
Wanda Brewer	Fiscal Assistant	Region I/Division of Resource Management	\$10,000	\$2,500
Rebecca I. Barr	Purchasing Agent	Region I/Division of Resource Management	\$5 ,000	\$2,500
Jeffery B. Langford	Branch Chief	Region II/Division of Resource Management and Administration	\$5 ,000	\$2,500
James S. Hunter	Budget/Financial Analyst	Region II/Division of Resource Management and Administration	\$50,000	\$2,500
Deborah Mattox	Purchasing Agent	Region II/Division of Resource Management and Administration	\$50,000	\$2,500
Elizabeth E. Sullivan	Financial Mgmt. Assistant	Region III/Division of Resource Management and Administration	\$25,000	\$2,500

Rowlene Wndoll	Purchasing Agent	Region III/Division of Resource Management and Administration	\$25,000	\$2,500
Carol L. Hill	Transportation Assistant	Region IV/Division of Resource Management and Administration	\$25,000	\$2,500
Nancy Holbrook	Management and Program Analyst	Region IV/Division of Resource Management and Administration	\$25,000	\$2,500
Arnold Deville	Building Mgmt. Specialist	Office of Administration	\$12,000	\$2,500
Renea Bailey	Admin. Service Specialist	Office of Administration	\$7,000	\$2,500

## **NRC CONVENIENCE CHECKS PROCEDURES**

1. In order to obtain a Convenience Check for a miscellaneous expense purchase which could not be made with the Purchase Card, the vendor's invoice OR an NRC Form 30 must be properly completed. By a properly completed form, the vendor's name, address, telephone number, and Taxpayer Identification Number (TIN) MUST be clearly written on the document. At Headquarters, the requisition document will first be presented to the Administrative Service Center or the Office of International Programs for review and affixing of the control number. The form will then be presented to the Imprest Fund Cashier to obtain the Convenience Check. If an NRC Form 30 is used, Blocks 1 through 14 will be entirely completed, specifically:
  - a. Block 3 has a Request Number affixed,
  - b. Block 5 has been signed by a Property Custodian and a Division Director or designee,
  - c. Block 12 contains a description of the items to be purchased and the vendor's name, address, telephone number, and TIN. It will also contain justification as to why the Purchase Card was not used.
  - d. Block 13 contains Funding Information and a Certification of Funds signature is affixed in Block 13a.
2. After NRC Form 30 is verified as correct by the cashier, the Convenience Check is prepared. The check signer shall:
  - a. Sign the check & record its number in the lower right-hand corner of Block 12,
  - b. Have the individual who is accepting the check print and sign their name above the check number prior to receiving the check,
  - c. Attach a copy of the check to the back of the NRC Form 30, and
  - d. Advise the recipient that a receipt from the vendor MUST be presented to the cashier. Attach the transaction and supporting documentation (NRC Form 30, vendor receipt, Convenience Check copy, etc.) to the monthly VISA bill and send directly to TMB/FOB.
3. Each individual who issued a check will complete a Convenience Check Log monthly and send original directly to Roger Loos (OFCO/TMB) by the 10<sup>th</sup> day of the following month. A copy the vendor's invoice or NRC Form 30 will be attached to this report. Negative reports are NOT required. The log will be sign by the individual authorized to issue Convenience Checks and her supervisor.

## **BANK/PURCHASE CARD GUIDELINES AND PROCEDURES**

### **What is the BankCard Program?**

The NRC's BankCard program is a part of the Government wide Commercial Credit Card Program that was established to further simplify and expedite procedures for purchases with small dollar values. The program, which uses a specially designed VISA card (BankCard), streamlines the ordering and payment process by providing for telephone and over-the-counter ordering by designated cardholders and monthly summary billing by the bank issuing the BankCard. This eliminates numerous small-value purchase orders, invoices and payments which would incur disproportionately high administrative expenses.

The BankCard, which can be used for the procurement of supplies, products, and services, is also useful in emergencies and with vendors who do not accept purchase orders.

The BankCard program is supported by the *National Performance Review* and the Federal Acquisition Streamlining Act. The Treasury Financial Manual recommends credit card use as the preferred method for small-value purchases. Executive Order 12931 "Federal Procurement Reform" further promotes the BankCard program to simplify acquisition, reduce an administrative burden and support agency mission by expanding credit card use for micro-purchases.

### **What does the BankCard look like?**

#### The Face

Printed on the face of the BankCard is the VISA logo, the Great Seal of the United States and the words "*United States of America, For Official Use Only, U.S. Tax Exempt*" to avoid being mistaken for a personal credit card, and to remind the cardholder and vendor that the purchase is tax exempt. The 16-digit account number, the name of the authorized cardholder, and the card expiration date are also embossed on the face of the card.

#### The Back

The back of the card includes a space for the cardholder's signature and a toll-free number that may be called 24 hours a day, seven days a week to reach the contractor bank customer service department.

## **Who may have a card?**

Any NRC employee may be a designated cardholder. There is no restriction on the type of position or grade level of employees who may use the purchase card. No minimum number of purchases is required to justify having a card. Offices may designate as many cardholders as necessary to meet the needs of the organization.

## **Can I be held personally responsible for charges to the BankCard?**

The BankCard is issued through the NRC, and is not connected to the cardholder's personal financial records. NRC is responsible for payment of all authorized charges.

The cardholder should always ensure, in addition to following purchasing procedures, that funds are available before making a purchase, and that the funds can be legally used for the specific purchase.

If an individual knowingly uses the BankCard for unauthorized purposes, such action may be considered 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. The cardholder may be personally liable to the Government for the amount of the unauthorized purchases and may be subject to a fine of not more than \$10,000 or imprisonment for not more than five years, or both, under 18 U.S.C. 287. See also, "What If I Lose My Card," on page 12.

## **WHAT CAN BE PURCHASED?**

### **What types of things can I buy with the BankCard?**

The BankCard Program can be used to buy many of the products and services which previously had to be purchased using a purchase order or Imprest funds.

Examples of typical BankCard purchases are those for special order supplies, short term meeting facility rentals, keyboards, modems, software, safety clothing, and publications (public notices).

### **Are there any restrictions on what I can buy?**

BankCard purchases are subject to the same restrictions applicable to purchase orders made with appropriated funds, and the terms and conditions outlined in these procedures. Purchase of some items is strictly prohibited due to limitations on use of NRC appropriations, while others require specific authority and/or coordination with the organization that has central management responsibility for the item, product or service to be acquired. Therefore, the following restrictions should be noted:

## **PROHIBITED PURCHASES**

### **Cash advances**

**Food of any kind** (meals, snacks, coffee breaks, receptions, banquets, etc.), whether or not offered as a part of a larger buy (e.g. a buy for conference/meeting space rental).

### **Lodging expenses, airline, bus, boat, train or other travel-related tickets**

**Personal membership fees or dues in a society or association**, including professional societies and service organizations.

### **Rental or lease of land or buildings**

**Telecommunication (telephone) services** (e.g., FTS2000, DNS, telephone calls)

### **Furniture, decorations, and window treatments**

**Office supply items**, including upgrades to stock items available in the Agency's supply store

### **Recruitment advertising and space for recruiting events**

### **Temporary office personnel**

Two categories of products and services which are frequently paid for with the BankCard require coordination before purchase. Information technology products require approval by the requesting office's Information Technology Coordinator in accordance with the supplementary guidelines issued by the Chief Information Officer (see Appendix 1). Short-term rental of meeting rooms must be coordinated with the Administrative Service Center (ASC) to ensure that adequate government space is not available for use.

These prohibitions are not absolute. When special circumstances warrant exception to the policy, cardholders should contact the Agency Program Coordinator (APC) for approval **prior to** making the purchase.

### **Are any other approvals required?**

Approving Officials are not required, as most BankCard purchases made by NRC cardholders are for items and services requested or required by other employees. Cardholders who expect to use the BankCard to purchase items for their own use do not need prior approval to proceed with the purchase. However, prior to authorizing payment for the item(s), the cardholder will need to have his or her supervisor acknowledge that the item(s) represents an office need. Since most cardholders use the card to respond to specific requests from others, we expect that this latter procedure will be rare. This may be accomplished by e-mail or by initialing the item(s) on the billing (statement of account). If you have any questions regarding this process, contact the APC.

## **OBTAINING A BANKCARD**

### **How can I get a BankCard?**

#### Starting the Paperwork

To obtain a BankCard for selected employees, NRC Division Directors submit requests to the Director, DCPM/ADM, identifying: (1) prospective cardholders, and (2) each cardholder's single-purchase limit and 30-day dollar limit.

#### Training

To receive a BankCard, the designated employee must complete the agency's training course "NRC's Procedures for Use of the U.S. Government BankCard." The APC will schedule training for prospective cardholders after receiving the above request.

#### Delegation of Authority

Upon completion of the required training, the Director, DCPM/ADM, will issue a delegation of authority memorandum (see Appendix 2) to the prospective cardholder stating the cardholder's single-purchase and 30-day dollar limits. The APC will ensure that the delegation and BankCard are forwarded directly to the individual recipient.

#### Activating the Card

When the cardholder receives the card, he/she must confirm receipt of the card with the Contractor Voice Response Unit (designated in the instructions accompanying the BankCard) before any purchases are made. The contractor will walk the cardholder through the process to activate the card. The cardholder's office phone and single purchase limit will be requested. The card is not activated until the cardholder makes this confirmation.

## **FUNDING**

### **Where and when do I get funding for BankCard purchases?**

Before each purchase, the cardholder must ensure that adequate funds have been committed and that these funds are available. Making a purchase using the BankCard results in the obligation of NRC's funds.

A funds certifying official (FCO) may make a "blanket" commitment of funds for a category of purchases falling under a unique combination of the following accounting classifications: budget fiscal year (BFY), budget and reporting (B&R) number, job code, and budget object classification (BOC). The FCO makes such a commitment by certifying funds availability on NRC Form 30, "Request for Administrative Services," or an equivalent document. The cardholder shall maintain sufficient records of transactions made against the blanket commitment to ensure purchases do not exceed

that commitment. The BankCard log may be used for this purpose. If a purchase is to be made that falls within the guidelines for permissible BankCard purchases but required accounting classifications differ from those used for any blanket commitments, the cardholder must obtain a separate certification of funds under the appropriate accounting classifications.

## **SPENDING LIMITS**

### **What limits are placed on my purchasing power?**

Single-Purchase Limit: A single-purchase threshold is established to limit the maximum amount that a cardholder may spend in a single transaction. The single purchase may consist of multiple items but cannot exceed \$2500, total purchase amount, including freight. The single-purchase limit for each cardholder is specified in the delegation of authority memorandum issued to the cardholder.

Thirty-Day Cardholder Limit: A thirty-day cardholder limit is also established for each cardholder's cumulative purchases in a given 30-day billing cycle. The cardholder's Division Director establishes this limit based on budget considerations and anticipated usage. The 30-day limit is also specified in the delegation of authority memorandum issued to the cardholder.

### **What if I need to purchase more of an item or service than my single-purchase level will permit?**

If an office needs to purchase multiples of an item or service (e.g., 100 copies of software) at a given time and the total dollar amount will exceed the micro purchase threshold of \$2,500, the specific need should not be broken down into several orders to stay within the micro purchase threshold. In such circumstances, the office should submit the request to DCPM for purchase.

### **How does a merchant know my spending limits?**

When the merchant obtains authorization for the purchase, the Bank will verify the cardholder's single purchase and 30-day limits. If either of the limits will be exceeded by the purchase, the Bank will not authorize the BankCard purchase.

### **How do I get the spending limits changed?**

When a permanent increase or decrease in the spending limit is required, a memorandum signed by the cardholder's Division Director should be sent to the Director, DCPM, specifying the amount of the increase or decrease.

If a cardholder has a need to raise the 30-day limit on a temporary basis, the cardholder should contact the APC by telephone or E-mail to request the increase. The APC will notify the contractor bank and will confirm approval of the increase by E-mail to the cardholder. The cardholder should ensure that adequate funds are available for the temporary increase.

## **SOURCES**

### **Can I buy from any source?**

As is true for any other procurement, the Federal Acquisition Regulation, Part 8, "Required Sources of Supplies and Services" order of precedence must be followed. Requirements for supplies and services shall be satisfied from or through the sources and publications listed below in descending order of priority:

#### Supplies/Products

1. Agency inventories
2. Excess from other agencies
3. Federal Prison Industries, Inc.
4. Procurement lists of supplies available from the Committee for Purchase from People Who are Blind or Severely Disabled
5. Wholesale supply sources, such as stock programs of the General Services Administration (GSA)
6. Mandatory Federal Supply Schedules (FSS)
7. Non-mandatory FSS
8. Commercial sources (including educational and nonprofit institutions)

#### Services

1. Procurement list of services available from the Committee for Purchases from People Who are Blind or Severely Disabled
2. Mandatory FSS
3. Non-mandatory FSS
4. Federal Prison Industries, Inc.
5. Commercial sources (including educational and nonprofit institutions)

The Cardholder may contact the APC to ascertain if the needed supplies/products are available from any of the above sources. Alternatively, the Cardholder may choose to directly check the required sources. Agency inventories may be checked by visiting the One White Flint Supply Store. The Cardholder may also check GSA Advantage! for supplies, products and services offered by the Federal Prison Industries, Inc., the Committee for Purchase from the People Who are Blind or Severely Disabled, and GSA sources including the Federal Supply Schedules (FSS). GSA Advantage! is the

General Services Administration's electronic catalog of supplies, products and services which is scheduled to include all FSS by the end of Fiscal Year 1998. Purchases can be made through GSA Advantage!, which can be accessed directly from DCPM's internal Internet homepage.

### **Can I keep going back to the same source?**

If an office needs to make repetitive buys or purchases of the same item (e.g., memory upgrades) and the item is available from more than one vendor, the cardholder should rotate the purchases among three or more vendors that can provide the item.

### **Can I purchase overseas?**

The BankCard may be used for official U.S. Government purchases overseas, if no additional fees are charged. The cardholder must verify that no additional fees will be charged before using the card.

### **Will all vendors accept the BankCard for payment?**

Since the BankCard is a VISA card, all vendors that take VISA should accept the BankCard. There may be cases where a vendor does not accept the BankCard as a method of payment. In these cases, the cardholder should first ensure that the vendor understands that the BankCard is a VISA card. If the vendor still does not accept the BankCard, the cardholder can go to another vendor, or submit a funded requisition directly to DCPM.

## **PLACING ORDERS**

### **Now I am ready to buy -- What do I do?**

The simplest and most common method used to make a BankCard purchase is a telephone order. The cardholder may also make purchases at the vendor's location. In either case, the process is very similar to a personal credit card order:

- Determine if the purchase is permissible and the price is fair and reasonable (i.e., it is consistent with current catalog or price lists, advertisements, or any other reasonable basis. Would you pay the price with your own funds?)
- Ask for Government discount prices that may be available.
- Ensure that shipping cost, if applicable, is a firm fixed price and not an estimated amount and is included in the total price.
- Inform the vendor that the purchase is tax exempt before signing and dating the receipt. A copy of the NRC's tax exempt certificate for use when making purchases with the BankCard is found at Appendix 3.

- The cardholder should retain a copy of the charge slips, record the purchase on the NRC Form 572, "NRC BankCard Log," (see section entitled "What are my responsibilities for documenting my BankCard order?" on page 9).

### **What if the supplies or products need to be delivered?**

In most circumstances, cardholders can have items delivered directly to their offices. When a large order must be temporarily stored, the cardholder should:

- Instruct the vendor to mark the shipping label or packing slip as follows:

**NRC BANKCARD (CARDHOLDER'S FULL NAME)  
U.S. Nuclear Commission  
White Flint Store Mail Stop P136  
11555 Rockville Pike  
Rockville, MD 20852-2738  
(Regions will provide their own delivery addresses)**

- Inform the vendor that the store receiving hours for private deliveries are Monday through Friday, 12:00 noon to 4:00 p.m., for U.S. Postal Service and commercial deliverers such as UPS, no delivery schedule needs to be specified.
- Notify the store in advance of the delivery via E-mail to (**E\_MAIL ADDRESS TO BE ASSIGNED**), and supply the following information: name of vendor, list of item(s), quantity, contact name, phone number, and anticipated delivery date.
- Provide the cardholder's name, telephone number, and BankCard number.
- Instruct the vendor to send the customer copy of the sales draft to the cardholder's NRC office address.
- Ask the vendor to reflect appropriate BankCard account information on the shipping or receiving report when shipment is made so that receipt of the supplies may be reconciled with the monthly statement of account.
- Record the purchase on the NRC BankCard log.

### **Merchandise or Service not Received**

The general rule for orders is that the NRC will only pay for what is received. If supplier wants to fill and order at a later date or partial shipment is necessary, the cardholder must advise the vendor that a charge to the BankCard account may only be made after the item has been shipped.

Subscriptions are not considered back orders or partial shipments, and may be ordered and payment authorized although the materials have not been received.

### **What are my responsibilities for documenting my BankCard order?**

As with any purchase, the cardholder should document the purchase. This can be done by preparing the NRC BankCard log (Appendix 4) or similar record of purchase for reconciliation against the statement of account at the end of the billing cycle. The cardholder shall use this simplified process for all purchases:

- o Record all purchases for the billing period from start to finish.
- o Complete the following columns of the BankCard log when the order is made:
  - (1) date the order is placed;
  - (2) amount of order;
  - (3) name of the vendor;
  - (4) description of supplies, product, or services;
  - (5) name of the requester
  - (6) commitment document no.
- o After the supplies, product, or service is received, enter the following on the BankCard log:
  - (1) date the item(s) was billed (optional)
  - (2) date item received
- o Keep originals of all charge slips, shipping labels, packing slips, and invoices with the BankCard log.
- o For all transactions, ensure documentation is adequate to substantiate receipt and acceptance of the item. The Cardholder may accomplish this by any of the following methods:
  - (1) Annotate receipt on BankCard log.
  - (2) File e-mail from requestor indicating receipt and acceptance of the item.
  - (3) File original or copy of the receiving report, packing slip or other vendor receipt.

## **PAYMENTS**

### **How is my BankCard charge paid?**

#### Billing Process

The billing cycle assigned to the NRC by the contractor bank extends from the 14th of the month through the 13th of the following month. Within five workdays of the end of the billing cycle, the contractor bank will send individual statements of account to each cardholder. Concurrently, the bank will send a consolidated statement of account to the Director, Division of Accounting and Finance (DAF), Office of the Chief Financial Officer and the APC.

DAF/OCFO will pay the bill (consolidated statement of account) after verifying the charges against each cardholder's statement of account (see below). When the obligation is processed, the corresponding BankCard commitment will be reduced by the same amount in NRC's accounting system.

The cardholder should make no direct payment to the contractor bank. All NRC bills will be consolidated into a single invoice by the contractor bank and sent for payment to NRC's DAF/OCFO. The cardholder must certify on his or her statement of account that the item(s) ordered has been received and the charges are correct for payment, or show the charge as a disputed item. The contractor bank will mail the statement of account to the cardholder at the NRC address. The bank has no record of the cardholder's home address, personal credit history, or Social Security number.

#### Cardholder's Statement of Account

Upon receipt of the statement of account, the Cardholder shall --

- o Review the statement for accuracy. Reconcile it with the NRC BankCard log for the appropriate billing cycle.
- o Fill in the appropriate commitment document number-BFY-job code\_BOC in the accounting code block. If the codes are the same for every purchase on the statement, fill in the first entry and write "same" in the subsequent accounting code blocks.
- o Sign and date on the back of the original statement of account certifying that the statement is proper for payment and forward it to DAF/OCFO with a copy of the NRC BankCard log and sales receipt within five workdays from the date the contractor bank's Statement of Account is received. If it is necessary to document any discrepancy, forward the *IMPAC Program Cardholder Statement of Questioned Item* (see Appendix 5) or a copy of any credit vouchers with the certified statement of account.

- o Retain a copy of the statement and the NRC BankCard log with supporting documentation for three years.

Item(s) Not on Statement: Retain the customer copy of the BankCard charge slip and the vendor invoice until it appears on the statement of account.

## **Billing Errors and Disputes**

If a cardholder receives a statement that lists a transaction for merchandise that has not been received or a transaction which includes sales tax, the cardholder must notify the merchant to resolve the dispute, and if unresolved, complete the Cardholder Statement of Questioned Item form and attached to the cardholder's monthly statement and forward to OCFO.

## **PROTECTING YOUR BANKCARD**

### **Can I share my card if I won't be available to make a purchase?**

The BankCard may not be shared with another individual. In the event that an authorized cardholder is not available in the requesting office for making credit card purchases, a requisition may be sent or hand carried to the Division of Contracts and Property Management (DCPM). A DCPM procurement specialist will purchase the items.

### **How may I secure my card?**

When not being used, BankCards should be safeguarded as is personal cash or a personal credit card. It is the responsibility of the cardholder to ensure that the BankCard is not accessible to others for unauthorized use. When not being carried for use, the BankCard may be inconspicuously stored in a locked file cabinet if a GSA-approved security container or cabinet with a locking bar and combination lock is not readily available. If a filing cabinet is used, appropriate precautions regarding the availability of keys should be taken and the security of the BankCard routinely checked.

Since the statement of account includes the BankCard number, the cardholder should take necessary precautions to safeguard information on the statement. The cardholder should forward the statement for payment to DAF/OCFO in an "Addressee Only" envelope.

## **What if I lose my card?**

If a BankCard is lost or stolen, the cardholder should immediately notify the contractor bank and the APC. This notification will exempt the cardholder from any personal liability as a result of unauthorized use of the BankCard. The contractor bank can be reached 24 hours a day, seven days a week, at --

Inside the Continental United States: 1-800-227-6736

Outside the Continental United States: 303-620-7328

The cardholder should give the following information to the APC:

- o complete name
- o card number
- o in case of loss, date and location of loss
- o in case of theft, date theft was reported to police
- o date and time contractor bank was notified
- o any purchase(s) made on the day card was lost or stolen

The contractor bank will mail a new card within two workdays after loss or theft is reported.

## **CHANGING ACCOUNTING DATA**

### **What should I do concerning my BankCard if I change jobs?**

If a cardholder leaves the agency, or is transferred to a position with different responsibilities, that individual must notify the Director, DCPM, in writing and return the BankCard cut in half. The Director, DCPM, or designee will cancel the cardholder's delegation of authority, destroy the card, and forward a completed account maintenance form to the contractor bank.

### **What if I change my name or other data provided to obtain the BankCard?**

The cardholder should notify the APC whenever a name change or other change to the data provided to obtain the BankCard is made, so that these changes can be made to NRC's and the contractor bank's records. The cardholder does not need to contact the contractor bank.

## **REVIEWS OF BANKCARD RECORDS**

The APC will periodically perform reviews of the individual Cardholder's files as a part of his/her responsibility to ensure that the program is operating in accordance with

procedures, and to determine areas to recommend the Director, DCPM for change or development of further guidance.

## **CONTACTS:**

### **Who can help me learn more about the BankCard program?**

The APC is the person responsible for management of the NRC's BankCard program. Questions regarding use and administration of the BankCard can be directed to this person at any time.

#### AGENCY PROGRAM COORDINATOR ASSISTANCE

As discussed in this guidebook, the APC is the cardholder's contact for:

Guidance regarding appropriateness of proposed purchases under the BankCard program

Changes in name, address or telephone number

Changes in spending limits, either on a temporary or permanent basis

Replacement of a card for reasons other than loss or theft of the card (e.g., incorrectly spelled name, damaged card)

Mailing address change for cardholder's monthly BankCard Statement

Cancellation of cards due to separation of the cardholder from the NRC

Names, e-mail and mailing addresses, and telephone numbers for the APC and the DAF/OCFO contact for the BankCard program are available on DCPM's Intranet site.

#### Appendices

1. Supplementary Guidelines Issued by OCIO
2. Cardholder Delegation Letter
3. NRC Tax Exemption Certificate
4. BankCard log
5. *IMPAC Program Cardholder Statement of Questioned Item*
6. *Chart: NRC BankCard Procedures*

## **Guidelines and Procedures for Acquisition of IT Resources Using Bank/Purchase card**

The following rules, standards, and procedures apply to the use of Bankcards by Headquarters Offices (other than the Office of the Chief Information Officer (OCIO)) <sup>1</sup> for the acquisition of Information Technology (IT) resources. These procedures are designed to provide Offices with the purchasing flexibility needed to meet business needs and at the same time enable OCIO to gather information needed for planning, assure adherence to standards, obtain quantity discounts, and provide review, approval, and guidance as necessary for the cost-effective acquisition, implementation, and use of IT products and services.

- 1) IT support services that duplicate services provided by OCIO may not be acquired. Support services provided by OCIO that may not be duplicated through Office Bankcard purchases include applications system software development and maintenance, hardware installation and maintenance, and network and telecommunications services.
- 2) Network-related equipment and software may not be acquired. This means network hardware including network interface cards, and any software that must be installed on a LAN server (including network versions of applications software, network operating system and communications software) may not be acquired.
- 3) Computer system units (desktop, server, etc.) may not be acquired; laptop or portable computers may be purchased subject to the standards and procedures listed below.
- 4) Computer operating system software (such as Windows 95/98/NT) may not be acquired (unless it is included with a laptop or portable computer).
- 5) IT acquisitions will be limited to \$2,500 per purchase.
- 6) Equipment and software acquired must be compliant with standards specified in the OCIO Technical Reference Model (TRM). The TRM is available from the OCIO Planning and Architecture Branch. Bankcard holders should take particular care to ensure that all equipment and software acquired is:
  - Year 2000 compliant (see <http://www.itpolicy.gsa.gov/mks/yr2000/finalfar.htm>)
  - Energy Star compliant (see <http://www.itpolicy.gsa.gov/mks/enrystar/star.htm>)
  - certified by vendor as compliant with Microsoft Windows NT 4.0 Workstation.
- 7) All acquisitions of IT resources using Bankcards must be approved by the cardholder's Office IT Coordinator or Office Director before the Bankcard order is placed.
- 8) All software, and most equipment purchases, except for items listed in 9) below, must be approved by OCIO before the Bankcard order is placed. Requests for approval must be submitted by the cardholder's Office IT Coordinator or Office Director, and should be sent to e-mail address IDIB for approval.

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<sup>1</sup> Regional Offices may exceed these restrictions; however, for acquisitions that exceed these restrictions the Office must submit a requisition to OCIO for approval before making the Bankcard purchase (as is done currently for Regional Office IT purchase).

- 9) External peripherals such as mice and trackballs that cost less than \$100 and internal components such as video boards, memory, hard disks, and CD-ROM drives may be acquired without prior approval from OCIO.

OCIO and Office roles and responsibilities when using Bankcards for the acquisition of IT resources:

- 1) Offices will be responsible for assessing the need for equipment and software purchased through the Bankcard program.
- 2) Office IT Coordinators or Office Directors must approve all Bankcard purchases of IT resources and submit requests for approval to OCIO as specified in 8) above before the Bankcard order is placed.
- 3) In order to provide better technical advice and assistance to all Offices, OCIO will review and approve software and equipment purchases, but will not make Bankcard purchases for other Offices.
- 4) Offices will be responsible for acquiring IT resources and controlling their location and use, including marking software "FOR OFFICIAL GOVERNMENT USE ONLY."
- 5) Software not supported by the Customer Support Center can be acquired by an Office. However, Offices will be responsible for providing support for such software. Offices may obtain support for such software through Bankcard purchases subject to the restrictions listed above.
- 6) OCIO will install hardware that must be installed inside existing equipment (Headquarters only); other hardware may be installed by Office staff.