

State Controller's Office
CLAIM SCHEDULE CHECKLIST AND COMMON REASONS FOR RETURNING CLAIMS

FACE SHEET OF CLAIM SCHEDULE

- Face sheet is an original and has an original signature.
- Is original face sheet (with original signature) on top?
- If it is a lease payment, is the face sheet clearly marked "LEASE"?
- If it is a lease payment, is it submitted on a separate claim schedule?
- Is payee name 5 lines only, 30 spaces per line, 150 spaces total?
- Face sheet is easily readable, including copies (printing is not too light).
- Verify that the total of schedule and account coding grid amounts match.
- Maximum dollar amount for schedule is \$99,999,999.99 (Larger amounts need to be split and more than one warrant will be issued.)
- Verify appropriation information is correct.
- Verify payee names are complete.
- Verify header information is in the right boxes.
- Verify claim schedule number is legible and not over 8 digits in length.
- Any corrections made to the face sheet must be made on subsequent copies and must be legible.
- Make sure string is tied at back of remittance envelope (easier for Disbursements in taking out R/A's).
- Replenishment claims:
 - TC-48 Replenishment form must be used.
 - Agency account number needs to appear on claim sheet.
 - No warrant claims: Credit account information must be on face sheet.

INVOICE CHECKLIST

- Is invoice an original or certified as such? (Please remember copies/certification should be the exception, not the rule.)
- Certification should contain full signature, not just initials.
- Are invoices within the schedule in the same order as listed on the face sheet?
- If more than one invoice is submitted from the same vendor, is a vendor tape attached?
- Is invoice billed to the state?
- Is the invoice dated? Does the date agree with face sheet appropriation?
- Does amount on invoice match the amount claimed on the face sheet?
- Is company letterhead/logo on the invoice or does it have a vendor signature?
- Is a description of the service or items purchased shown on the invoice?
- Taxi/Cab: Does tipping exceed 10% rule?
- Taxi/Cab: Did taxi/cab company add tip? Rules state that tip cannot be added by taxi/cab company.
- Is it an advance payment?
- Is the event/invoice date prior to the claim schedule date?
- Is the invoice sufficiently itemized for audit?
- Does the purchase order invoice clearly show the amount of the invoice before any taxes and/or discounts?
- If an Automotive Repair is over \$350.00 does it have Auto Inspector approval?
- Is there a copy of the freight bill if charge is \$50.00?
- If freight is over \$350.00, is there a Traffic Management Approval?
- Is the authority for payment on the invoice? (Contract number, Purchase Order Number, Contract Delegation Purchase Order Number, Master Agreement Number, State Price Schedule Number, Master Service Agreement Number, SAM section, etc.)
- If more than one contract is used for payment of a vendor, is there a tape for each contract and a total of all payments together?

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- If reimbursement is to the revolving fund:
 - Is the revolving fund check number on the invoice?
 - Is the adding machine tape on the invoice directly under the face sheet of the claim schedule?

TEC'S

- Is the amount being claimed an appropriate amount? (An expense *actually incurred* while in the conduct of state business)
- Is the form fully filled out? (Bargaining units, SSN/Employee ID, Vehicle License)
- Is the vehicle rental rate correct (within contract rates)?
- If the approved vehicle rental rate is exceeded, is a justification attached?
- Did the employee refill the rental car prior to turning it in?
- If the hotel serves breakfast, did the employee charge for breakfast?
- Was parking at airports for long-term parking rather than the daily lot (most economic to the state)? If not, was there a valid reason (justification attached)?
- Professional License renewal: Does the claim include a copy of the pocket license and documentation that supports payment method (showing who paid, how much, etc.)?
- Original signatures are required by employee and approving official.
- Cannot be "signed for" or "signed by" (must be employee's signature).
- No white out, correction tape etc.! Errors need to be lined out and initialed by whoever made the correction (claimant or accounting).
- Amending a TEC: Complete a new claim form claiming only the items being amended. Attach a copy of the original TEC as part of support documentation.

COMMENTS

Agencies should not be referring vendors inquiring about their payments to the SCO. The agency should be inquiring on behalf of the vendor. The agency has specific information we require for tracking and in most cases the vendor cannot provide the SCO with that information.

With a variety of Agency's, our auditors appear to be doing the Agency's work. This includes rejecting or cutting claims that are invalid or inappropriate claims. A variety of statements have been articulated, including:

- ❖ "Well, we didn't want to make the cut and decided to let you [the SCO] do it."
- ❖ "We thought if the cut came from you [the SCO], the employee would actually believe us."
- ❖ "We didn't want to be the bad guy...we left that to you [the SCO]."
- ❖ "We rely on our employees to submit an appropriate claim, so we don't really look at it. If there's something that needs to be cut, you [the SCO] will do it."

PLEASE REMEMBER, it is the **AGENCY'S RESPONSIBILITY** to insure that claims submitted are appropriate and in accordance with all applicable laws and regulations--in other words, in *all* aspects, correct.

Additionally, *please* remember that a certification statement (**UNDER PENALTY OF PERJURY**...) is signed upon submission of the claim. This person is *responsible* for the correctness of a claim.

**IF YOU HAVE QUESTIONS, PLEASE GIVE US A CALL--WE ARE MORE THAN WILLING TO
WORK WITH YOU AND ANSWER ANY QUESTIONS THAT YOU MAY HAVE.
WE ARE HERE TO HELP!**