

Colorado State University

ACQUISITION CARD  
PROGRAM



APPROVERS  
HANDBOOK

August 2007

## WELCOME TO THE ACARD PROGRAM

Your appointment as an ACARD Approving Official represents the trust bestowed upon you by the University to protect its assets and integrity.

The goal of an ACARD Approving Official is to ensure the integrity of the ACARD Program. Under your oversight, review, and approval, you provide the key point of control to maintain appropriate spending activities for your cardholders and to protect your department's funds. An efficient and effective approval process requires commitment, coordination, and cooperation between your Cardholders, your Reallocators, and you, the ACARD Approving Official.

An Approving Official, based upon the level of his/her position, may delegate some administrative tasks involved in the approval process, however **the final approval authority and responsibility ultimately rests with the Approving Official.**

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**I. KEY CONTACTS**

**LOST OR STOLEN CARDS MUST BE REPORTED IMMEDIATELY!**

Cardholders must contact the issuing bank, JPMorgan Chase, at **(800) 316-6056** to report a lost or stolen card. Your department has full liability for all purchases made before a card is reported lost or stolen. After contacting JPMorgan Chase about a lost or stolen card, also notify the CSU ACARD Help Desk (see below).

**CSU ACARD Help Desk:**

Purchasing Department  
 Phone: (970) 491-5752  
 Fax: (970) 491-5523  
 E-mail: [ACARD@purchasing.colostate.edu](mailto:ACARD@purchasing.colostate.edu)

**John Swaro**

ACARD Program Administrator  
 Phone (970) 491-7812  
 Fax: (970) 491-5523  
 E-Mail: [john.swaro@purchasing.colostate.edu](mailto:john.swaro@purchasing.colostate.edu)

**JPMorgan Chase**

**Customer Service:** Phone: (800) 316-6056  
 Fax: (800) 931-8861

Please access the ACARD web page for additional ACARD information and forms.  
<http://www.purchasing.colostate.edu/pages/acard.asp>

## II. OVERVIEW OF RESPONSIBILITIES

### A. **Cardholders** are responsible for:

1. Knowing and applying all of the rules related to the ACARD program as stated in the Cardholder Handbook and presented at training.
2. Reporting a lost or stolen card IMMEDIATELY to JPMorgan Chase at 1-800-316-6056. Your department has full liability for all purchases made before a card is reported lost or stolen.
3. Making purchases for their department within the most current policies of the ACARD program as well as State Fiscal Rules, State and University procurement rules, and the University's Financial Policy and Procedure Instructions (FPIs).
4. Review e-mail notifications for unauthorized transactions.
5. Ensuring merchant documentation is complete and available for every transaction and giving that documentation to the Reallocator.
6. Signing the Cardholder Statement of Account, by the 15<sup>th</sup> of the following month, for each cycle that had transactions.
7. Turning in their ACARD to the department Approving Official upon termination of employment with either the department or CSU, OR upon request of the department authority.

### B. **Reallocators** are responsible for:

1. Reallocating transactions from the default account and subcode (as necessary).
2. Informing the department Approving Official(s) of transfers or terminations.
3. Assisting Approving Officials, as needed, to ensure the integrity of the ACARD program.
4. Printing monthly Cardholder Statements from the ACARD system and forwarding the cycle packet to the cardholder prior to the 15<sup>th</sup> of the following month. Reallocators will be prompted via email to print the monthly Cardholder Statements.
5. Maintaining Cardholders files.

### C. **Approving Officials** are responsible for ensuring the integrity of the ACARD program by:

1. Knowing and enforcing compliance of the rules of the ACARD program as stated in the Approving Official and Cardholder Handbooks.
2. Reviewing e-mail notifications and questioning unusual transactions appearing on these e-mail notifications.
3. Ensuring that every Statement of Account is reviewed and signed, by the 15<sup>th</sup> of the following month, for each cycle that had transactions.
4. Ensuring there is complete documentation for every transaction.
5. Determining if there were ACARD violations and ensuring appropriate action is taken by the Department if violations are found.
6. Ensuring, if applicable, that purchases are allowable under the terms of the sponsored program account for which the purchase was made.
7. Notifying the ACARD Help Desk immediately should any Cardholder under his/her approving authority leave the employment of the department or the University, or for any other reason regarding loss of cardholder status. In addition, the Approving Official must collect and destroy all cards from such cardholders.

### III. LIABILITY INFORMATION

Your department is liable for all charges made on ACARD Master Cards issued to the faculty and staff of your department. This includes transactions made on a lost or stolen card before it is reported lost or stolen. Your department is liable for all charges to a sponsored program account, including any charges that are unallowable according to the terms of the sponsored program award.

### IV. APPROVING OFFICIAL RESPONSIBILITIES

Approving Officials are responsible for monitoring e-mail notifications, reviewing monthly Cardholder Statements, handling suspected violations, and notifying ACARD Help Desk of cardholder transfers or terminations.

#### A. E-mail notifications

Transactions are sent daily to CSU. They are loaded into the ACARD system, and e-mails are generated, listing the individual Cardholder transactions for that day. These e-mails are sent to the Cardholder, the Cardholder's Approving Official, and the Cardholder's Reallocator. These e-mail notifications deliver the first line notification of the University's liability and provide the opportunity to promptly manage ACARD purchases and departmental spending.

The Approving Official must read the information about the transactions listed in the e-mail notifications to determine if the transactions listed seem reasonable for the specific Cardholder's purchasing responsibilities. If any charges seem questionable, the Approving Official should discuss them with the Cardholder promptly to determine if there is a problem.

#### B. Processing the monthly Cardholder Statement of Account

1. The Reallocator will receive an email that will prompt him/her to print a Statement of Account for each Cardholder who had transactions posted to the ACARD system during the cycle period (25<sup>th</sup> day of previous month through the 24<sup>th</sup> day of the current month). The Reallocator attaches receipts to the Statement of Account and forwards the packet to the Cardholder.
2. The Cardholder reviews the Statement of Account and supporting documentation for each transaction. There must be suitable documentation for every transaction. **Cardholders** are responsible for resolving any missing receipts. Once the Statement of Account is reviewed, the Cardholder signs and dates it and forwards the entire packet to the Approving Official.
3. The Approving Official reviews and signs the statement. Each Statement of Account, with the supporting documentation for every transaction listed on the statement, is to be completed by the 15<sup>th</sup> of the following month. Statements should be filed by month, by cardholder. Remember: ACARD transactions are subject to periodic random audit. Complete documentation must be available for audit.

**The Approving Official's responsibilities in this process are to:**

**1. Ensure that each cardholder obtains and signs a statement.**

**2. Ensure complete documentation is available for every transaction.**

a. The Approving Official must determine that valid and complete documentation for every transaction listed on each Cardholder's Statement is attached. Use the statement as a checklist. Review all documentation.

1) Valid source documentation may be:

- a) A receipt and/or card transaction slip from the merchant.
- b) An order form for dues, subscriptions, registrations, or similar items.
- c) An invoice showing credit card payment.
- d) E-mail confirmation from the merchant for internet transaction.
- e) A packing slip from the delivery. (However, a receipt or invoice is best.)

2) All documentation must include the following information (Cardholder must hand write if not printed on the form):

- a) Vendor identification (merchant name).
- b) Date the purchase was made.
- c) Description and quantity of each item purchased.
- d) Per item cost, if available from the merchant.
- e) Total cost of the order.
- f) Cardholder name and/or card number.

b. Steps to take if documentation is unavailable:

1) Require the Cardholder to complete an Unavailable Transaction Documentation Form through the "Cardholder Certification Signature" section. The form can be found on the ACARD website (<http://www.purchasing.colostate.edu/pages/pdf/aclost.pdf>). Completion of this form is required for each transaction where the documentation is unavailable whether the Cardholder did not provide the documentation through no fault of his/her own, or through willful or negligent default.

2) The Approving Official must complete the Unavailable Transaction Documentation Form "Approving Official Determination, Certification Signature and Action" section. This section of the form requires the Approving Official to determine whether or not the lack of documentation will be considered an ACARD violation (see the Unavailable Transaction Documentation Instructions for making this determination). Once the determination is made and indicated on the form, the Approving Official should follow the instructions on the form that applies to the specific determination. If the lack of documentation is determined to be a violation, a second form, Violation Warning Form, is required. See section C, below, for instructions.

## C. Violations

The Approving Official must review the e-mail notifications and the monthly statements to determine if ACARD violations exist (listed below). A Violation Warning Form is to be completed by the Approving Official and signed by the Cardholder for any of the following violations. The Approving Official will determine the future status of the card, requirements for additional training, or other possible consequences of ACARD violations.

**Chronic abuse and/or willful or negligent default will be investigated and may result in cancellation of the ACARD.** The ACARD Administrator will work with the Cardholder's Approver to cancel the card if necessary. The University shall take any recovery action deemed appropriate, which is permitted by law. Suspected fiscal misconduct must be reported as outlined in FPI J-3.

After the 3rd violation, the ACARD administrator or Approving Official reserves the right to cancel the card and require the cardholder to seek additional training for compliance of the ACARD program rules or internal Department rules that are not being followed

### 1. Documenting a violation

Violation processing is the responsibility of Approving Officials and is critical to maintaining the integrity of the ACARD program. The Approving Official must fill out a Violation Warning Form for **each** transaction where there is an ACARD violation. The Approving Official completes this form through the "Approving Official Determination, Certification Signature and Action" section. The form requires the Approving Official to make a determination whether or not the Cardholder's ACARD will be revoked. See the Violation Warning Form Instructions for making this determination and for instructions on completing the form.

### 2. Types of ACARD violations

The following are Cardholder violations and require completion of a Violation Warning Form.

- a. Personal Purchases – Personal purchases are **never** permissible. A personal purchase must be reported immediately upon discovery to your Approving Official and the ACARD Program Administrator. You must immediately reimburse the University or arrange for an immediate credit transaction from the merchant. A personal purchase is an ACARD Violation and may be suspected fiscal misconduct (see FPI J-3 [BFS FPI J-3 Reporting of Financial Misconduct](#) ). A personal purchase may be cause for cancellation of the ACARD and may result in termination and possible prosecution. Any suspected fiscal misconduct or abuse of the card for personal purchases must be reported immediately to ACARD Administration.

- b. Cash or Cash Type Transactions - Examples are additional cash with purchase, cash refunds, travelers' checks, money orders and gift certificates. A cash or cash type transaction is an ACARD Violation and may be suspected fiscal misconduct (see FPI J-3).
- c. Sharing the Card – Cardholders should not share their cards or card numbers with other individuals for use. Only the designated Cardholder is allowed to use his or her ACARD.
- d. Unallowable Sponsored Projects Purchases – Cardholders are not to use the ACARD to purchase any items that will be charged to a sponsored project unless those items are in accordance with the terms of the specific grant or contract.
- e. Split Purchases - It is illegal under the State of Colorado Procurement Rules and the State of Colorado Fiscal Rules to split a single purchase to circumvent limits.
  - 1) A split purchase occurs when a Cardholder's transactions exceed \$3,000 (or their single purchase limit) for a single purchase (including shipping).
  - 2) A single purchase over \$3,000 must be purchased through the Purchasing Department using a purchase requisition. You should use good judgement when determining your purchase needs. Contact Purchasing if there is any question in defining a single purchase.

A single purchase need identifies a group of items that are similar enough in nature to be purchased from a single source and that are all known to be needed at the time of the first purchase transaction. Purchases cannot be split based on different project or program numbers, different recipients, different delivery locations, differing functionality of the items, etc. For example, a Cardholder shall not purchase two \$2000 printers from a single source using two separate transactions if both computers are known to be needed at the time of the purchase (and, therefore, the total purchase *need* is known to be \$4000).

- 3) You must not split purchases over time or over sources with the intent to circumvent the \$3,000 single purchase limit (or your single purchase limit).
- f. Inappropriate Purchases
  - 1) Items that violate the terms of a sponsor agreement that is the funding source for a transaction.
  - 2) Items that require a signed contract for purchase.
  - 3) Travel and travel-related expenses – examples are airfare, vehicle rental(including the rental of moving trucks), meals, employee lodging and parking.

*Exceptions:*

- Cardholders may use the ACARD to pay for Conference/event registration fees. Registrations that include a lodging deposit as part of the registration may be purchased on the ACARD. Separate charges for lodging – that is, lodging that is not included on the conference registration form, cannot be paid on the ACARD.
- Cardholders may use the ACARD to purchase ground transportation for groups or for individual non-employees. This includes shuttle services or other transportation services.

- 4) Vehicle expenses – examples are vehicle rental, parking, fuel, and repairs.
- 5) Furniture, unless the purchase is made with CCI or other state/university contracts.
- 6) Phone cards, internet service, long distance, and pay-phone calls.
- 7) Drug Enforcement Agency licensed substances, medical drugs, narcotics.
- 8) Radioactive materials and restricted chemicals.
- 9) Materials to construct or remodel a University owned or leased facility.
- 10) Construction Contractors to construct or remodel a University owned or leased facility.
- 11) Tax free alcohol for research.
- 12) Guns and ammunition.
- 13) Ebay, Paypal or online auction transactions
- 14) Shipping or mailing packages other than through Central Receiving (Includes purchases of postage stamps)
- 15) Printing services without a waiver from Communication and Creative Services. Exceptions would be Copy Rite or Fast Print located on campus
- 16) Cell-Phone air time charges. Please contact Telecommunications.

- g. Lack of Documentation - Upon review of the monthly statements, the Approving Official makes a determination whether any lack of documentation is caused by willful or negligent default and, therefore, an ACARD Violation (see the Unavailable Transaction Documentation Instructions).
- h. Non-Compliance - Non-compliance with current ACARD program policies as stated in the Approving Official and Cardholder Handbooks, State Fiscal Rules, State and University Purchasing Rules and University Financial Policy and Procedure Instructions (FPIs).

All purchases on the ACARD must follow the Business and Financial Services Financial Policies and Procedures. Departments contemplating purchases of gifts, flowers, alcohol, memberships, and/or other official functions should refer to those policies for clarification.

[Expenses for University Promotion and Development Quick Guide](#)

#### **D. Transfers and terminations**

Notify ACARD Help Desk immediately if you or any Cardholder whose transactions you approve are transferring or terminating employment. The person's ACARD must be destroyed. Cut it into several pieces and distribute those pieces into different waste. Notify the ACARD Help Desk, via the Receipt for Return of Card Form, that the ACARD was destroyed and to request cancellation of the card with the bank.

### **V. PROBLEM ACARD TRANSACTIONS**

#### **A. Excluded Merchant Types**

All MasterCard merchants have chosen a four-digit Merchant Category Code (MCC) that identifies the types of goods or services that they provide. CSU has elected to block purchases from merchants with MCCs related to prohibited transactions. An attempt to purchase anything from these types of merchants will be declined. Excluded merchants include:

1. Banks, ATMs, financial institutions, insurance companies.
2. Travel related merchants – airlines, railroads, bus lines, taxis, cruise lines, car rental companies, hotels, motels, travel agencies.
3. Automotive merchants – automobile dealers, gas stations, and repair shops.
4. Eating places (except full official function status) – restaurants, bars, cocktail lounges, nightclubs, and fast-food restaurants.
5. Packaged liquor stores, duty free stores, tobacco stores.
6. Furniture merchants – furniture stores repair shops, and part stores.
7. Dating and escort services, counseling services, massage parlors, health and beauty spas, computer-dating services, and gambling establishments.

#### **B. Declined Transactions**

**\*\*\*Contact JPMorgan Chase Customer Service at 1-800-316-6056 for information on why a transaction was declined.**

Possible reasons for a declined transaction include:

1. Incorrect card number and/or expiration date on a phone order. Check the numbers with the merchant.
2. The transaction exceeds your daily or billing cycle transaction limits. Your department established your limits when your card was ordered. Check the number of transactions you have made to determine if you have exceeded your limits.
3. The billing address you gave to the merchant does not match what is on file at the bank. (See Section III.C.6)
4. The merchant's four-digit MCC is one of the University's excluded codes. Ask the merchant for their MCC. Merchants may sign up with a code that does not reflect their actual business. Please notify the merchant with MCC code as they be unaware.

5. The transmission is down between the merchant and its bank. Ask the vendor to try later. However, if the vendor makes 10 tries, and is declined each time, the card will then decline at all vendors for the remainder of the day.

### C. Returns or Exchanges

If you discover an error in your order, promptly contact the merchant.

1. Make arrangements with the merchant before shipping an item for return or exchange.
2. The merchant must credit an exchange and charge a new transaction. (Exchange of like items, for example different colors, may not require a credit transaction.)
3. Do not permit a cash refund. It is a merchant violation to refund cash and a Cardholder violation to accept cash.
4. Document all returns and exchanges. This information may be needed for a formal dispute. (See section E - Disputes.)

### D. Disputes

1. Process for disputes – See your Reallocator to formally dispute a transaction so he/she can properly code the transaction to Disputed Status in the ACARD system. **The Cardholder is responsible for contacting JPMorgan Chase to initiate the dispute process.** A dispute can be processed via phone, mail/fax or email. An attempt should always be made to resolve the dispute with the merchant, if possible, prior to reporting the dispute to the bank.

The Dispute Department can be contacted via the methods below:

Phone: 888-297-0768

Fax: 847-931-8861

Mail: JPMorgan Chase/ PO Box 2015/Elgin, IL 60121-2015

Email: ccs-disputes@jpmchase.com

The bank immediately issues a credit for the dispute, pending correspondence with the merchant. Both the charge and the credit need to be reallocated in the ACARD System.

2. Reasons for Disputes – The following may be formally disputed with JPMorgan Chase.
  - a. Unauthorized charges and unrecognized charges, including phone or mail order charges.
  - b. Difference between dollar amount authorized and dollar amount charged.
  - c. Duplicate charges.
  - d. Returned merchandise. Your account has not yet been credited in the ACARD system, but you have received a credit voucher from the merchant or have been told by the merchant that they will issue a credit.
  - e. Un-received goods.

- f. Defective merchandise.
- g. Altered Charges.

## **VI. SERVICE, MAINTENANCE, AND RENTAL**

### **A. Authorization to Purchase**

Effective January 15, 2001, service, maintenance, and rental may be purchased with the University's ACARD provided the following four requirements are met:

1. The service, maintenance, or rental CANNOT exceed a total of \$3,000.00/year. This includes yearly maintenance for equipment such as fax machines, printers, etc.
2. Rentals must be less than three months in duration and non-recurring.
3. There is no written agreement requiring the University's signature.
4. The transaction is reallocated to a proper service (4000 series) subcode.
5. Departments are responsible for determining the level of risk to the University when using the ACARD for the purchase of services. If applicable, the department must obtain a Certificate of Insurance from the service provider.

### **B. Master Agreements**

Colorado State University establishes master agreements with certain vendors for commonly purchased maintenance and rental. The ACARD may be used with these specific vendors. Only the master agreement is applicable to purchases of maintenance and rental from these vendors – individual contracts are not required. A list of master agreements is available on the Purchasing Department's web site (<http://www.purchasing.colostate.edu/pages/pricing.asp>).

### **C. Authorized Signature**

Any University signature that is required on an agreement is provided on the Colorado State University Contract Acceptance form. Departmental personnel are never authorized to sign written vendor agreements. Any agreement requiring the University's signature must be processed through the Purchasing Department, regardless of dollar amount.

### **D. Service, Maintenance, and Rental > \$3,000.00**

Any service, maintenance, or rental agreement over \$3,000.00 and lease agreements (in any amount) can only be purchased via a University Purchase Order (prepared from a purchase requisition).

### **E. Publications & Printing Policy**

**University Communications Policy** (including, but not limited to: publications, printing, graphic design, and freelance writing): The State of Colorado currently considers the

purchase of Graphic Design Services, Printing and Photocopying as the purchase of services, not commodities. In accordance, the procedure for procuring these services is subject to the following general guidelines.

1. The following University policy applies to all University communications purchases made with AFEs, POs, or ACARD. Purchasing will assist with the implementation of this new policy by monitoring purchase request for printing services and referring all such requests to CCS for policy compliance. CCS will contact each user and will assist in as expeditious a manner as possible. This will include random audits by the ACARD office and findings will be forwarded to CCS.

#### **POLICY**

*University Communications Policy approved July 2, 2002 by EBC. This policy requires a review by Communications and Creative Services (CCS) of all communications as defined above, regardless of amount, **before** they are produced. This includes communications to both internal and external audiences. Elements of this review include: 1) adherence to University graphic standards; 2) proper use of copyright, logo, and branding; 3) consistency with University marketing goals; 4) production quality improvement recommendations; and 5) cost effective pricing. Contact CCS, 1-6432 for additional questions and requirements.*

*CCS operations, including on-campus Print Shop, Fast Print, CopyRite, and prepress services will have first right of refusal of all communication work – as defined above - that is purchased with University funds.*

Any purchase of these services must be pre approved by CCS, 1-6432, according to CRS 24-50-504(2)(C) and CSU Waiver Condition #2 which allows the purchase if they are ... “Services including printing, collating, and binding for which the University does not have the expertise or equipment. When such services are unavailable on an immediate basis, the University does not have staff qualified to perform these specialized services, or the University does not have the equipment necessary to perform these services as required.”

## **F. Logo Licensing Information**

### **Information for ordering departments:**

To produce items bearing the University name, trademarks, or logos, vendors must be officially licensed. Unlicensed vendors that produce Colorado State items are in violation of state and federal trademark law.

T-shirts, novelties and other specialty items produced by or on behalf of University entities for events, identification, marketing, or fund-raising purposes must display the official "Colorado State University" logo, in addition to any other logos or designs. Items intended for internal use (e.g. uniform shirts, giveaways or organization/club T-shirts) are exempt from royalties. Items intended to be sold externally (e.g. T-shirts for fund raising) are subject to royalties. All external ("for sale") items must be produced by

an existing licensee. You can obtain a list of licensees from either the Purchasing Department or Logo Licensing Department. See [www.graphicstandards.colostate.edu](http://www.graphicstandards.colostate.edu) for more information.

## **VII. DELEGATION OF RESPONSIBILITIES**

An Approving Official may delegate administrative tasks involved in the approval process, however **the final approval authority and responsibility ultimately rests with the Approving Official.**

### **A. Examples of tasks that may be delegated:**

- Running the Transaction Summary Report and checking that all statements have been received for the cycle period.
- Reviewing the documentation attached to the statement and noting any missing documentation.
- Asking a cardholder to provide documentation or to fill out the Unavailable Transaction Documentation Form.
- Performing a preliminary review of documentation, searching for program violations. Approving Officials may not delegate this responsibility to the Cardholder. For example, an administrative assistant can review statements for several Cardholders within the department, but the Approving Official must do this for that particular administrative assistant if he/she is also a Cardholder. The Approving Official should review documentation for violations on a random basis for all of his/her Cardholders.
- Keeping a file of violations by cardholder.
- Distributing completed copies of the Unavailable Transaction Documentation Forms and Violation Warning Forms.
- Filing statements and forms after the approval process is completed.

### **B. Examples of tasks that must not be delegated:**

- Requesting a Cardholder complete a Violation Warning Form.
- Completing either the Unavailable Transaction Documentation Form and/or Violation Warning Form “Approving Official Determination, Certification Signature and Action” portion that requires the Approving Official to make determinations based on the situation.
- If delegating preliminary documentation review, the Approving Official must review documentation for violations on a random basis for all of his/her Cardholders.
- Signing the statements.

## **VIII. Forms**

- A. Unavailable Transaction Documentation Instructions
- B. Unavailable Transaction Documentation Form
- C. Violation Warning Form Instructions
- D. Violation Warning Form



## ACQUISITION CARD CERTIFICATION OF LOST OR UNAVAILABLE TRANSACTION DOCUMENTATION INSTRUCTIONS

This form is required for any ACARD transaction that is not accompanied by documentation from the merchant.

**WARNING:** Repeated use of this form as substitute documentation could result in revocation of your University credit card.

Documentation from the merchant is required for **EVERY** ACARD transaction. Valid source documentation may be:

- 1 A receipt and/or card transaction slip from the merchant.
- 2 An order form for dues, subscriptions, registrations, or similar items.
- 3 An invoice showing credit card payment.
- 4 E-mail confirmation received for an Internet transaction.
- 5 A packing slip from the delivery. (However, a receipt or invoice is best.)

### **CARDHOLDER INSTRUCTIONS:**

If you do not have documentation from the merchant, contact the merchant to provide the documentation. Complete this form whenever you are unable to provide documentation from the merchant for an ACARD transaction.

Fill out all fields through the Cardholder Certification Signature.  
Give the completed and signed form to your Approver.

### **APPROVER DETERMINATION INSTRUCTIONS:**

Determine the **STATUS** for the transaction based on the following guidelines.

- 1 **NO ACARD VIOLATION** - There is no violation if the approving official determines there has been no willful or negligent default on the part of the Cardholder and the charges appear appropriate for University business. Some factors in determining willful or negligent default are:

- ♦ The Cardholder has tried and, through no fault of his/her own, been unable to obtain documentation from the merchant, and the Cardholder is normally responsible and consistent with providing acceptable documentation.

**ACTION:** A copy of this completed form is to be kept with the Cardholder's ACARD statement which lists this transaction.

- 2 **ACARD VIOLATION** - A transaction where the Cardholder has failed to provide documentation for a charge that appears appropriate for University business but the Cardholder is a chronic violator.

- ♦ The status of a chronic violator is determined by the Approver and/or Purchasing. He/She will investigate the number and nature of the Cardholder's violations and their impact on the department and the University. The Approver and/or Purchasing will use sound judgement to arrive at a conclusion.

**ACTION:** A copy of this completed form is to be kept with the Cardholder's ACARD statement which lists this transaction. A violation warning form is to be completed and sent to the Purchasing Department.

- 3 **ACARD VIOLATION AND SUSPECTED FISCAL MISCONDUCT** - A transaction for which the Cardholder has failed to provide documentation from the merchant and the charge does NOT appear to be appropriate for University business.

**ACTION:** A copy of this completed form is to be kept with the Cardholder's ACARD statement which lists this transaction. A violation warning form is to be completed and sent to the Purchasing Department. Suspected fiscal misconduct is to be reported as outlined in the Financial Policy and Procedure Instruction J-3, Reporting of Fiscal Misconduct. This policy statement can be found at <http://www.colostate.edu/Depts/BusFin/FPIMAN/mscndct.htm>



# ACQUISITION CARD CERTIFICATION OF LOST OR UNAVAILABLE TRANSACTION DOCUMENTATION

This form is required for any ACARD transaction that does NOT have documentation from the merchant.  
**Warning:** Repeated use of this form as substitute documentation could result in revocation of your University credit card.  
See instructions on prior page.

**INFORMATION:**

ACARD TRANSACTION ID #	CARDHOLDER NAME
_____	_____
DATE OF PURCHASE	APPROVER NAME
_____	_____
MERCHANT NAME	DEPARTMENT NAME
_____	_____

**DESCRIPTION, QUANTITY, COST OF EACH ITEM PURCHASED**

DESCRIPTION	QUANTITY	PER ITEM COST	TOTAL COST
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Add additional sheet if necessary

**REASON ORIGINAL DOCUMENTATION IS NOT AVAILABLE:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Attach any additional information, correspondence or justification about this transactio

**CARDHOLDER CERTIFICATION SIGNATURE** I HEREBY CERTIFY THE FOLLOWING:

All items purchased on this ACARD transaction were for University use and no personal purchases were made.  
 I will not seek reimbursement in any other manner for this transaction.  
 Original documentation is not in my possession for the reasons stated above.  
 I acknowledge that repeated lack of documentation could result in revocation of my University credit card.

CARDHOLDER SIGNATURE	DATE
_____	_____

**APPROVER DETERMINATION, CERTIFICATION SIGNATURE, AND ACTION**

Mark the appropriate category below and take the action shown. Instructions for making the determination are on the next p

- \_\_\_\_\_ This transaction **IS NOT** considered to be an ACARD violation.  
**ACTION** - A copy of this form is to be kept with the cardholder's ACARD statement which lists this transaction
- \_\_\_\_\_ This transaction **IS** considered to be an ACARD violation.  
**ACTION** - A copy of this form is to be kept with the cardholder's ACARD statement which lists this transaction  
Complete a violation warning form.
- \_\_\_\_\_ This transaction **IS** considered an ACARD violation and suspected fiscal misconduct.  
**ACTION** - A copy of this form is to be kept with the cardholder's ACARD statement which lists this transaction  
Complete a violation warning form.  
Report this transaction and situation to the Purchasing Department. See FPI J-3.

APPROVER SIGNATURE	DATE
_____	_____



## ACQUISITION CARD VIOLATION WARNING FORM INSTRUCTIONS

The Approver must make a determination if a transaction is an ACARD violation or not. Once the determination has been made that a transaction is an ACARD violation, the Approver should follow the instructions below.

### **APPROVER INSTRUCTIONS:**

- 1 Obtain an explanation from the Cardholder of why this purchase was made on a University credit card and what has been done to correct the situation.
- 2 Review the Cardholder's ACARD violation history to determine if the Cardholder has repeatedly had ACARD violations. This history will contribute to the decision to warn the Cardholder or to revoke the University credit card.
  - ♦ You may request a Transaction Violation Report from Business & Financial Services, System Management and/or if the department has a separate "Violations File", check it.
- 3 Determine the Card Status based on the following guidelines:

#### **A. FOR THESE VIOLATIONS**

##### **SPLIT PURCHASES**

##### **INAPPROPRIATE PURCHASES**

##### **CHRONIC LACK OF DOCUMENTATION**

##### **PERSONAL PURCHASE WHICH WAS IMMEDIATELY REPORTED AND REIMBURSED OR CREDITED BY THE MERCHANT**

##### **NON-COMPLIANCE W/CURRENT POLICIES AS STATED IN THE CARDHOLDER/APPROVER HANDBOOKS**

The status of a chronic violator is determined by the Approver and/or Purchasing. He/She will investigate the number and nature of the Cardholder's violations and their impact on the department and the University. The Approver and/or Purchasing will use sound judgement to arrive at a conclusion.

#### **CARD STATUS - UNIVERSITY CREDIT CARD WILL NOT BE REVOKED AT THIS TIME.**

If the cardholder's ACARD history indicates that the cardholder does not chronically have violations of any type, the Approver may determine that the card will not be revoked at this time. Any second offense is cause to revoke the credit card.

#### **CARD STATUS - UNIVERSITY CREDIT CARD WILL BE REVOKED AT THIS TIME.**

If the cardholder's ACARD history indicates that the cardholder has a chronic history of violations of any type, the Approver should revoke the card.

#### **B. FOR THESE VIOLATIONS AND SUSPECTED FISCAL MISCONDUCT**

##### **PERSONAL PURCHASE WHICH WAS NOT IMMEDIATELY REPORTED UPON DISCOVERY AND CORRECTED CASH OR CASH TYPE TRANSACTION**

#### **CARD STATUS - UNIVERSITY CREDIT CARD WILL BE REVOKED AT THIS TIME.**

Suspected Fiscal Misconduct is to be reported as outlined in the Financial Policy and Procedure Instructions, J-3 Reporting of Fiscal Misconduct.

This policy statement can be found on the web at

<http://www.colostate.edu/Depts/BusFin/FPIMAN/mscndct.htm>

Contact Purchasing to inform them of the actions being taken.

- 4 Indicate the appropriate determination in the APPROVER DETERMINATION, CERTIFICATION SIGNATURE, ACTION section on the form.
- 5 Obtain the Cardholder signature in the CARDHOLDER CERTIFICATION SIGNATURE section on the form.
- 6 Take the actions listed for the appropriate category indicated on the form.



# ACQUISITION CARD VIOLATION WARNING FORM

This form is required for any ACARD transaction where a violation has occurred. **Note:** Violations could result in revocation of the University credit card.

**INFORMATION:**

CARDHOLDER NAME

DEPARTMENT NAME

APPROVER NAME

TODAY'S DATE

ACARD TRANSACTION ID #

MERCHANT NAME

TRANSACTION AMOUNT

TRANSACTION DATE

**TYPE OF VIOLATION**

**APPROVER INSTRUCTIONS:** Obtain information from the Cardholder about why this purchase was made on his/her University credit card. THE FOLLOWING ACARD VIOLATION HAS BEEN FOUND IN REFERENCE TO THE ABOVE TRANSACTION.

- \_\_\_\_\_ PERSONAL PURCHASE
- \_\_\_\_\_ SPLIT PURCHASE
- \_\_\_\_\_ LACK OF DOCUMENTATION

(Lost or Unavailable Transaction Documentation form must be completed.)

- \_\_\_\_\_ CASH TRANSACTION
- \_\_\_\_\_ NON-COMPLIANCE - Please explain below (See Cardholder and Approver Handbooks)

- \_\_\_\_\_ INAPPROPRIATE PURCHASE - Please explain below (For a list of such purchases, see the Cardholders Handbook)

**CARDHOLDER EXPLANATION** - Explain why this purchase was made on a University credit card and include information on what has been done to correct the situation. Attach additional sheet, if necessary.

**APPROVER DETERMINATION, CERTIFICATION SIGNATURE, ACTION** - Mark the appropriate category and take the actions listed.

(Instructions for making the determination are on the next page)

I HAVE DETERMINED THAT THE ABOVE TRANSACTION IS A VIOLATION OF THE ACARD POLICIES AND I HAVE WARNED THE CARDHOLDER THROUGH THE USE OF THIS FORM.

**DO NOT REVOKE CARD**

- ACTIONS:**
- 1 Obtain the Cardholder's signature on this form.
  - 2 Send the original of this completed form, along with a copy of the documentation for the above transaction to: Purchasing Department, 6010 Campus Delivery
  - 3 You or your reallocator must log the transaction as a violation in the ACARD system.
  - 4 Keep a copy of this completed form with the Cardholder's statement and/or in a separate "Violations File" in the department.
  - 5 Give a copy of this form to the Cardholder.

**REVOKE CARD**

- ACTIONS:**
- 1 Obtain the Cardholder's signature on this form.
  - 2 Send the original of this completed form, along with a copy of the documentation for the above transaction to: Purchasing Department, 6010 Campus Delivery
  - 3 You or your reallocator must log the transaction as a violation in the ACARD system.
  - 4 Keep a copy of this completed form with the Cardholder's statement and/or in a separate "Violations File" in the department.
  - 5 Give a copy of this form to the Cardholder.
  - 6 Retrieve the card from the Cardholder and destroy it.
  - 7 Notify Purchasing that the card has been revoked to initiate card cancellation with the bank.

APPROVER SIGNATURE

DATE

**CARDHOLDER CERTIFICATION SIGNATURE** - I acknowledge that the above is in violation of the ACARD policies and that I have received a copy of this form.

CARDHOLDER SIGNATURE

DATE