University of Northern Colorado
Purchasing Office

PROCUREMENT CARD

PROGRAM

HANDBOOK

for

APPROVING OFFICIALS

UNIVERSITY of
NORTHERN COLORADO

MARCH 2008
WELCOME TO THE PROCUREMENT CARD PROGRAM!

The Procurement Card Program (P-Card) will help your Department in conducting business for the University. Please ask questions regarding any aspect of the Procurement Card Program. We welcome your suggestions for improvement of this Program.

Procurement Card Program Administration

Judy Scofield 351-1612
Mary Jantz 351-2287

USING THIS HANDBOOK

This handbook provides Approving Officials with information about their responsibilities and tasks to ensure the integrity of the Procurement Card Program. For further details on any PROCUREMENT CARD topic, contact your Procurement Card Program Administration partners listed above.

LOST OR STOLEN CARDS MUST BE REPORTED IMMEDIATELY

CARDHOLDERS MUST CONTACT THE ISSUING BANK, JP MORGAN CHASE, AT (800) 316-6056 TO REPORT A LOST OR STOLEN CARD

NOTE: After contacting JP Morgan Chase, please notify the Procurement Program Administration of a lost or stolen card.
KEY CONTACTS - WHO TO CALL

JP Morgan Chase Customer Service
(800) 316-6056 phone
(800) 848-2813 report lost/stolen
(800) 931-8861 fax

Procurement Card Program Administration:

Procurement Card Help Line

**Judy Scofield**
Phone: (970) 351-1612
Fax: (970) 351-1142
e-mail: judy.scofield@unco.edu

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# TABLE OF CONTENTS

Using this Handbook ...................................................................................................................... 1  
Lost or Stolen Card Reporting ....................................................................................................... 1  
Key Contacts - Who to Call ......................................................................................................... 1  
Program Administration .............................................................................................................. 3  
Introduction and Goal ................................................................................................................... 4  
Approving Official Responsibilities ............................................................................................... 4  
General Information  
  Liability ..................................................................................................................................... 5  
  Procurement Card Role Information .......................................................................................... 5  
  Monthly Procurement Card Transactions .................................................................................... 5  
  Statement Information ................................................................................................................ 5  
Responsibilities – Detailed Information  
  Ensure That Every Statement Is Reviewed ............................................................................... 6  
  Ensure Complete Documentation Is Available For Every Transaction ..................................... 6  
  Determine If There Are Procurement Card Violations And Take Appropriate Action When Violations Are Found ........................................................................................................... 7  
  Ensure, If Applicable, That Purchases Are Allowable Under The Terms Of The Sponsored Project Account From Which The Purchase Was Made ......................................................... 9  
  Sign Statements .......................................................................................................................... 9  
  Notification Of Transfers Or Terminations .................................................................................. 9  
Suggestions for an Efficient Approval Process ............................................................................. 10  
Approving Official Agreement ...................................................................................................... Exhibit  
Unavailable Documentation Form .................................................................................................. Exhibit  
Violation Warning Form .............................................................................................................. Exhibit
INTRODUCTION and GOAL

Procurement Card Program Administration is pleased your department has appointed you as an Approving Official for the Procurement Card Program. This appointment represents the University’s trust in you and your empowerment as a responsible employee of the University to safeguard and protect its assets.

GOAL – The goal of the position of Approving Official is to ensure the integrity of the Procurement Card Program. As an Approving Official for the University Procurement Card Program, you are the control point for the integrity of the Procurement Card Program and are in a position to protect your department’s budgets through the review and approval process of your Cardholders’ Procurement Card transactions. The University has designed a process and provided tools to enable the Approving Official to meet the goal. An efficient and effective Approval Process requires coordination among the Cardholder(s), the Reallocator(s) and the Approving Official.

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

APPROVING OFFICIAL RESPONSIBILITIES

As a Procurement Card Approving Official you should follow through with the responsibilities listed below. All Approving Officials are asked to sign an Approving Official Agreement to ensure understanding and acceptance of the responsibilities that come with the role of Approving Official. The tasks involved in the Approving Official’s responsibilities are discussed in detail beginning on page 5 of this handbook.

Approving Official Responsibilities

1. Review the Cardholder monthly statements and question unusual transactions appearing on these statements.
2. Ensure that every Statement is reviewed.
3. Ensure complete documentation is available for every transaction.
4. Determine if there are Procurement Card violations and take appropriate action if violations are found.
5. Ensure, if applicable, that purchases are allowable under the terms of the account from which the purchase was made.
7. Notify the Procurement Card Program Administration immediately if you or any Cardholder under your approving authority leaves your department or is no longer employed by the University.
GENERAL INFORMATION

Liability Information
♦ Your department is liable for all charges made on Procurement Cards within 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 Grant account, including any charges that are unallowable according to the terms of the Grant award.

PROCUREMENT CARD Role Information
Cardholder – Person issued a Procurement Card MasterCard to make University purchases.
Reallocator – Person assigned to each Cardholder to prepare monthly transaction reports and complete the accounting information (reallocating) utilizing PVS Net.
Approving Official – Person assigned to protect the integrity of the Procurement Card program by reviewing the transactions of assigned Cardholders to ensure their compliance with Procurement Card policies, State procurement and fiscal rules.
♦ A Cardholder may not be his/her own Approving Official.
♦ Approving Officials are expected to fully carry out their Approving Official responsibilities. Procurement Card Program Administration does track the purchases of these Cardholders closely for the protection of the University and the Approving Official.
Department Liaison ♦ Person assigned to manage the PCARD program within the department by adding, deleting PCARD participants, and providing information to PCARD participants

Monthly Procurement Card Transactions
♦ Monthly, reallocators log on to PVS Net to generate transaction reports for their assigned Cardholders. These reports allow the reallocator to review all transactions posted during the cycle period and to edit accounting information (reallocating). These transaction reports are a first line defense against the University’s liability as well as an opportunity to manage the Procurement Card purchases and spending within the department.
♦ Reallocators must review every charge and change the drop down tab to “Accept” each month. The “Description” column to the right of the “Accept” tab should be filled out monthly with a brief description of the “business purpose” of each charge.

Statement Information
♦ A Statement of Account (Statement) containing all transactions posted to the bank during the cycle period (the 20th of one month through the 21st of the next month) is emailed to each Cardholder who had transactions during the cycle period. The e-statement normally arrives within 2-3 days after the end of the cycle.
♦ The Cardholder is required to sign his/her Statement.
♦ The documentation for each transaction listed on the Statement must be attached to the Statement.
The Statement, signed by the Cardholder with the documentation attached, is to be given to the Approving Official for review and signature.

RESPONSIBILITIES – DETAILED INFORMATION

1. READ CARDHOLDER STATEMENT
The Approving Official is to read the information about the transactions listed on the statement to determine if the transactions listed seem reasonable for the specific Cardholder’s University purchasing responsibilities. If the charges seem questionable, the Approving Official should discuss the transaction with the Cardholder immediately to determine if there is a problem.

2. ENSURE THAT EVERY STATEMENT IS REVIEWED
The Approving Official must determine that the Statement has been signed by the Cardholder.

3. ENSURE COMPLETE DOCUMENTATION IS AVAILABLE FOR EVERY TRANSACTION
The Approving Official must determine that there is complete documentation for every transaction listed on each Statement. Instruct Cardholders to obtain documentation from the merchant. Documentation from the merchant will help ensure the integrity of the Procurement Card Program.

   • Use the Statement as a check list against the documentation attached to determine if there are transactions that do not include documentation.
   • The Approving Official is to review the documentation to verify that the documentation is complete.

   Complete and Appropriate Documentation
   • Documentation may be an itemized receipt, an itemized packing slip, an invoice, or the order form for dues, subscriptions, memberships, registrations or similar items.
   • If the documentation does not include a description of the items purchased, the description should be written on the documentation.
   • All official functions and training functions, dues/memberships, including subscriptions must follow the applicable University and/or campus policies, and any required signed approvals should be kept with other transaction documentation.
   • All gift cards purchased on the procurement card must have the UNC Cash & Non-Cash Award Report Form filled out. A copy of this form is to be attached to the back up documentation for the transaction(s). This form can be found on the A/P, Purchasing or the Procurement Card websites.

   • Steps to take if documentation is unavailable.
   1. Require the Cardholder to complete an Unavailable Documentation Form. Form can be found at the end of this handbook. This form should be copied as required.
      • Completion of this form is required for all transactions 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 Documentation Form “Approving Official Determination, Certification Signature and Action” section.
      • This section of the form requires the Approving Official to make a determination whether or not the lack of documentation will be considered a Procurement Card
violation. See instructions for the Unavailable Documentation Form to make this determination.

- Once the determination is made and indicated on the Unavailable Documentation Form, the Approving Official should follow the instructions listed on the form that apply to the specific determination.
- If the lack of documentation is determined to be a violation, a Violation Warning Form is required, refer to No.4 below for instructions.

4. DETERMINE IF THERE ARE VIOLATIONS AND TAKE APPROPRIATE ACTION WHEN VIOLATIONS ARE FOUND

The Approving Official is to review the documentation attached to the Statement and determine if there are Procurement Card violations. Listed below are Procurement Card violations. All Procurement Card violations require a Violation Warning Form to be completed. Form can be found at the end of this handbook.

Procurement Card Violations & how to recognize them

**Personal Purchase Violation** – purchases for personal use, purchases not appropriate for University use.

- A personal purchase that is not IMMEDIATELY reported by the Cardholder should be considered a Procurement Card Violation and Suspected Fiscal Misconduct.
- Personal purchases made inadvertently must be reported by the Cardholder immediately (within 24 hours of the time the transaction was downloaded to the Procurement Card system), to Procurement Card Program Administration and the Cardholder’s Approving Official. The Cardholder must immediately reimburse the University, or arrange for an immediate credit transaction from the merchant. A personal purchase reported immediately could still be considered a Procurement Card Violation.

**Cash or Cash Type Violation** – examples are additional cash with purchase, travelers checks. A cash or cash type transaction should be considered a Procurement Card Violation and Suspected Fiscal Misconduct.

**Split Purchase Violation** – The State Procurement Rules require competitive bidding for all single purchase needs over $5,000 and University Rules require a commitment voucher for all single purchase needs over $1,000. It is illegal under the State of Colorado Procurement Rules and the State of Colorado Fiscal Rules to split a single purchase need to circumvent limits.

- A split purchase occurs when the individual cost of any single item being purchased exceeds the Cardholder’s single per transaction limit.
- A split purchase occurs when a Cardholder’s transactions exceed $1,000 for a single purchase need.

Single purchase need embodies the concept of determining the total dollar amount of the goods which are similar enough in nature to be purchased from one source and that are known to be needed for purchase at this time, or over a reasonable amount of time.

- A single purchase need over $1,000 must be purchased through the Purchasing office using a purchase request. Cardholders should use good judgement when determining their single purchase needs. Contact the Purchasing Office if there is any question in defining a single purchase need.
Cardholders are not to split purchases over time or over sources with the intent to circumvent the $1,000 single purchase need limit.

The single purchase need limit of $1,000 does not apply to items purchased from the contract vendor on current state contracts, price agreements, or items bid by UNC. Contact Purchasing Agents for information on contract items.

**Inappropriate Transaction Violation:**
- Contracts that require an authorized signature
- Drug Enforcement Agency licensed substances
- Office Furniture
- Radioactive material
- Alcohol for consumption
- Restaurant Meals
- **Travel and Travel Related Expenses** – examples are airfare, vehicle rental, airport parking, airport shuttle, meals, lodging
- **Vehicle Related Expenses** – examples are vehicle rental, service station transactions, auto parts and repairs not incurred by an agency vehicle service center.
- **1099 Reportable Services**

**Steps to take if a violation is found:**
1. The Approving Official must fill out a Violation Warning Form through the “Approving Official Determination, Certification Signature and Action” section.
   - Completion of this form is required for all transactions where there is a Procurement Card violation.
   - A copy of this form has been provided to each Approving Official to be photocopied when needed.
   - The “Approving Official Determination, Certification Signature and Action” section of the form requires the Approving Official to make a determination whether or not the Cardholder’s Procurement Card will be revoked. See instructions for the Violation Warning form for making this determination.
   - Once the determination is made and indicated on the Violation Warning Form, the Approving Official should follow the instructions listed on the form for the specific determination.

5. **ENSURE, IF APPLICABLE, THAT PURCHASES ARE ALLOWABLE UNDER THE TERMS OF THE ACCOUNT FROM WHICH THE PURCHASE WAS MADE**
The Approving Official is to review the documentation attached to each Statement to determine if purchases were made which are not in compliance with the terms of the Account used.

6. **SIGN STATEMENTS**
The Approving Official must sign each Cardholder Statement after their review. The Statements, signed by the Cardholder and Approving Official with the transaction documentation and any notes about specific transactions, are to be filed within the department until the end of the current fiscal year. These must be available for review or audit at any time.

7. **NOTIFICATION OF TRANSFERS OR TERMINATIONS**
Notify your PROCUREMENT CARD Program Administration immediately if you or any Cardholder whose transactions you approve is transferred or terminated. Notify Procurement Card Program Administration that the Procurement Card was destroyed and to request cancellation of the card with the bank.
SUGGESTIONS FOR AN EFFICIENT APPROVAL PROCESS

The Procurement card Department Reallocator is often delegated some administrative tasks to accomplish an efficient approval process.

Examples of tasks that may be delegated to accomplish an efficient process flow.

- Attaching the documentation for each transaction to the Statement and noting any missing transaction documentation.
- Asking a cardholder to provide documentation or to fill out the Unavailable Documentation Form.
- Preliminary review of documentation searching for program violations. This person would send a note to the Approving Official about which transaction appears to be a violation. Approving Officials may delegate this responsibility to someone other than the Cardholder. For example, an Administrative Assistant can review for several Cardholders within the department, but the Approving Official should 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 Documentation forms and Violation Warning forms.
- Filing Statements and forms after the approval process is completed.

Examples of tasks that should NOT be delegated.

- Requesting a Cardholder complete a Violation Warning Form.
- Completing either the Unavailable Documentation Form and/or Violation Warning Form “Approving Official Determination, Certification Signature and Action” portion which requires the Approving Official to make determinations based on the situation.
- Signing the Statements.

PLEASE DO NOT HESITATE TO CONTACT PROCUREMENT CARD PROGRAM ADMINISTRATION IF YOU HAVE ANY QUESTIONS.
UNIVERSITY OF NORTHERN COLORADO
PROCUREMENT CARD PROGRAM

APPROVING OFFICIAL AGREEMENT

The University of Northern Colorado (University), is pleased that your department has appointed you as an Approving Official for the Procurement Card (P-Card) Program. This appointment represents the University’s trust in you and your empowerment as a responsible employee of the University to safeguard and protect its assets.

I, __________________________________, hereby acknowledge my appointment as an Approving Official for the Procurement Card Program. As an Approving Official, I acknowledge receipt of and agree to comply with my responsibilities as listed in the Procurement Card Program Handbook for Approving Officials. I confirm that I have read and understand the provisions in this Handbook and that I will comply with the terms and conditions and subsequent revisions. I understand that the University is liable to JP Morgan Chase for all charges made by the cardholders including charges made on a lost or stolen card before it is reported lost or stolen and that this liability is passed down to the specific department. I further understand that any unallowable charges made by the Cardholders within my department are the liability of my department.

As an Approving Official for the University Procurement Card Program, I understand that I am the control point for the integrity of the Program and assure protection of my department’s budgets through the review of my Cardholders’ Statement of Account (Statement). I will review all transactions made by each of my cardholders, ensure original documentation is matched to Cardholder Statements, take appropriate action should violations occur, and sign all Statements.

I understand that the card is the property of the University, assigned to cardholders in my department and that, in the event of willful or negligent default of the Cardholder obligations, the University shall take any recovery action deemed appropriate that is permitted by law. Furthermore, I agree to notify Procurement Card Program Administration immediately in the event that I or any Cardholder under my approving authority is transferred from the department or is no longer employed by the University.

APPROVING OFFICIAL:

Signature: ______________________________ Date: ______________

Print Name: ______________________________

Department: _____________________________ Campus Phone #: _______

Campus Address: _______________ E-mail address: _______________
Unavailable Documentation Form

CERTIFICATION OF LOST OR UNAVAILABLE TRANSACTION DOCUMENTATION

This form is required for any transaction that does NOT have documentation from the merchant.
Warning: Repeated use of this form as substitute documentation could result in revocation of your PCARD.

Documentation from the merchant is required for EVERY Procurement Card transaction. Transaction documentation may be:
- Itemized receipt from the merchant
- Itemized packing slip from the delivery
- Invoice showing credit card payment
- Order form for dues, memberships, subscriptions or similar items

INFORMATION –

PCARD Transaction ID # ____________________ Cardholder Name _______________________________________
Date Of Purchase __________________________ Approving Official Name ___________________________
Merchant Name ___________________________ Department Name _____________________________

DESCRIPTION, QUANTITY, COST OF EACH ITEM PURCHASED:

<table>
<thead>
<tr>
<th>Description</th>
<th>Quantity</th>
<th>Per Item Cost</th>
<th>Total Cost</th>
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Add additional sheet if necessary

Total Cost: ____________________

REASON ORIGINAL DOCUMENTATION IS NOT AVAILABLE:

________________________________________________________________________________________________
_________________________________________________________________________________________________

___________________________________________________________________________________________________

___________________________________________________________________________________________________

___________________________________________________________________________________________________

Attach any additional information, correspondence or justification about this transaction. Report information to Procurement Card Administration if the merchant repeatedly does not provide documentation.

CARDHOLDER CERTIFICATION SIGNATURE - I hereby certify the following:
- All items purchased on this 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 PCARD.

Cardholder Name ___________________________Signature:_______________________________________________

Date

APPROVING OFFICIAL DETERMINATION, CERTIFICATION SIGNATURE, AND ACTION

I hereby acknowledge lack of documentation from the merchant for this transaction and have made the following determination regarding the violation status of this transaction.
Mark the appropriate category below and take the action shown.
Instructions for making the determination are on the next page.

- ___ This transaction is **considered to be a PCARD violation.** Action – Complete a Violation Warning form.
- ___ This transaction is **not considered to be a PCARD violation.** Action – A copy of this completed form is to be kept with the Cardholder’s PCARD Statement which lists this transaction.
- ___ This transaction is **considered a PCARD violation and is Suspected Fiscal Misconduct.** Action – Report this transaction and situation to the Procurement Card Program Administration.

Approving Official Name ___________________________Signature: ________________________________________

Date
Unavailable Documentation Form

INSTRUCTIONS

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

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 a Procurement Card transaction.
- Fill out all fields through Cardholder Certification Signature.
- Give the completed and signed form to your Approving Official.

APPROVING OFFICIAL DETERMINATION INSTRUCTIONS:

1. Determine the Violation Status for the transaction based on the following guidelines.

   - **Procurement Card Violation** – Cardholder has failed to provide documentation from the merchant on multiple occasions but the charges appear to be reasonable for University business and should be considered a PCARD violation.
     **Action:** A Violation Warning Form is to be completed.

   - **Procurement Card Violation Status Waived** – The violation status of a transaction may be waived if the Approving Official believes there has been no willful or negligent default on the part of the Cardholder and the charges appear reasonable for University business. Considerations in determining willful or negligent default are:
     a) the Cardholder has tried and, through no fault of their own, been unable to obtain a copy of the documentation from the merchant and,
     b) 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 Statement that lists this transaction.

   - **Procurement Card Violation and Suspected Fiscal Misconduct** – A transaction where the Cardholder has failed to provide documentation from the merchant and the charge does not appear to be reasonable for University business is to be considered a Procurement Card violation and suspected Fiscal Misconduct.
     **Action:** The transaction is to be reported to P-card administration
UNIVERSITY OF NORTHERN COLORADO
PROCUREMENT CARD VIOLATION WARNING

This form is required for any Procurement Card transaction where a violation has occurred.
Note: Violations could result in revocation of the Procurement Card.

INFORMATION
Cardholder Name: ________________________ Department Name:
Cardholder’s Approving Official Name: ________________________ Today’s Date: ___________
Transaction ID #: ________________________ Transaction Date: ________________________
Merchant Name: ________________________ Transaction Amount: _______________________

TYPE OF VIOLATION
The following Procurement Card violation has been found in reference to the above transaction.

Approving Official Instructions – obtain information from the Cardholder about why this purchase was made on his/her Procurement Card. Mark the appropriate category below. See Approving Official or Cardholder Handbook for details on recognizing a violation.

- ____ PERSONAL PURCHASE
- ____ CASH TRANSACTION
- ____ SPLIT PURCHASE
- ____ INAPPROPRIATE PURCHASE:
  - ____ Contract requiring authorized signature
  - ____ Drug Enforcement Agency Licensed Substance
  - ____ Furniture
  - ____ Radioactive Material
  - ____ Restaurant Meals
  - ____ Travel & Travel related expenses
  - ____ Vehicle Expenses
  - ____ 1099 Reportable Services
- ____ UNALLOWABLE PURCHASE UNDER THE TERMS OF APPLICABLE ACCOUNT.
- ____ OTHER

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

APPROVING OFFICIAL DETERMINATION, CERTIFICATION SIGNATURE, ACTION - Mark appropriate category and take the actions listed. Instructions for making the determination are on the next page.

_____ I hereby acknowledge that the above transaction is a violation of the Procurement policies and I further acknowledge that the Cardholder has been warned through the use of this form. The Procurement Card will not be revoked at this time. Actions – 1) obtain the Cardholder’s signature on this form, 2) send the original of this completed form, along with the documentation for the above transaction to Purchasing Office 3) keep a copy of this completed form with the Cardholder’s Statement and/or in a separate “violations file” in the department, 4) give a copy of this form to the Cardholder.

_____ I hereby acknowledge that the above transaction is in violation of PCARD policies and the PCARD is being revoked at this time. Actions – 1) notify the cardholder in writing that their PCARD is being revoked, 2) retrieve the card from the Cardholder and destroy it, 3) notify Procurement Card Program Administration that the card has been revoked and request immediate card cancellation with the bank.

Approving Official Name: ________________________ Signature: ________________________ Date: ___________

CARDHOLDER CERTIFICATION SIGNATURE: I hereby acknowledge that the above transaction is in violation of the PCARD policies. I further acknowledge that repeated violations could result in revocation of my PCARD. I further acknowledge that I have been warned through the use of this form. I understand that I am permitted to make purchases that are in compliance with PCARD policies and agree to refer to my PCARD Handbook or contact my Department Liaison or PCARD Program Administration if I am unsure about PCARD policies or instructions.
Cardholder Name: ________________________ Signature: ________________________ Date: ___________


Violation Warning Form

INSTRUCTIONS

This form is required for any Procurement Card transaction where a violation has occurred.

Note: Violations could result in revocation of the Procurement Card.

The Approving Official must make a determination if a transaction is a Procurement Card violation or not. Instructions for making this determination are located in the Approving Official Handbook. Once the determination has been made that a transaction is a Procurement Card violation, the Approving Official should follow the instructions below.

APPROVING OFFICIAL INSTRUCTIONS:

1. Obtain an explanation from the Cardholder of why this purchase was made on a University Procurement Card and what has been done to correct the situation.

2. Review the Cardholder’s Procurement Card violation history to determine if the Cardholder has repeatedly had violations. This history will contribute to the decision to warn the Cardholder or to revoke the PCARD.

3. Determine the Card Status based on the following guidelines:
   
   For
   
   • Split Purchases
   • Inappropriate Purchases
   • Lack of Documentation which has been determined to be a Procurement Card violation
   • Personal Purchase which was immediately reported and reimbursed or credited by the merchant
   
   The status of a chronic violator is determined by the Approving Official. He/She will investigate the number and nature of Cardholder’s violations and their impact on the department and the University. The Approving Official will use sound judgement to arrive at his/her conclusion. The determination may be made in consultation with Procurement Card Program Administration.
   
   • Card Status – Procurement Card will not be revoked at this time – If the cardholder history indicates that the cardholder does not chronically have violations of any type, the Approving Official may determine that the card will not be revoked at this time. A second offense where an inadvertent personal purchase was made and reported is cause to revoke the Procurement Card.
   
   • Card Status - PCARD will be revoked at this time – If the cardholder history indicates that the cardholder has a chronic history of violations of any type, the Approving Official should determine that the card will be revoked.
   
   For
   
   • Personal Purchase which was not immediately reported and corrected
   • Cash or Cash Type Transaction
   • Lack of Documentation which has been determined to be a Procurement Card Violation and Suspected Fiscal Misconduct

4. Indicate the appropriate determination in the “APPROVING OFFICIAL DETERMINATION, CERTIFICATION SIGNATURE, ACTION” section on this 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.