



**UNIVERSITY OF ROCHESTER
PROCUREMENT CARD
POLICY & PROCEDURE MANUAL**



UNIVERSITY *of*
ROCHESTER

**Procurement
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Procurement Card Policy & Procedure Manual

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1. Overview of Procurement Card Program

1.1 Purpose

The University of Rochester Procurement Card, hereafter referred to as ‘Pcard’, is a VISA credit card issued through US Bank. It is a valuable tool for quickly and efficiently managing resources by concentrating low-dollar, low-risk purchases in a less paper-intensive process. The card is issued in an employee’s name and the charges are paid directly by the University.

The Pcard is to be used solely for the business purposes of the University of Rochester and shall not be used for any personal purchases. This document outlines the roles and responsibilities of Cardholders and Procurement Card Managers, including instructions for the issuance and use of the Pcard, procedures for transaction verification and review, and allowable and restricted purchases.

This policy and the related procedures are designed to ensure the Pcard’s appropriate use, consistent with the objectives of the University’s overall internal control framework, designed to protect University assets and ensure budgetary controls.

The Pcard **is**:

- Delegated Procurement authority granted to individual department employees.
- Authorized for official business use only.
- Authorized for use with only certain categories of commodities or vendors ([see Appendix 5A, ‘Approved & Restricted Use’, pages 29-41](#)).

The Pcard is **not**:

- For individual business travel. Traditional business travel-related purchases (airfare & other transportation, lodging, meals & other incidentals incurred during travel) should be paid for utilizing the University Amex card or via a personal card and then submitted for reimbursement.
- A means to avoid appropriate procurement or payment procedures.
- A card to access cash or cash equivalents.
- A right of employment.



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1.2 Benefits

Use of the Pcard will:

- Speed up the procure-to-pay cycle
- Reduce the number of purchase orders and requisitions for low-cost, low-risk purchases
- Enable the use of the University's tax exemption
- Generate revenue for the University via a US Bank rebate
- Allow vendors to receive payment within three business days
- Eliminate after-sale invoicing and issuance of checks (reduction of paper)

1.3 Types of Cards

The University allows potential cardholders to choose from several classes of cards depending upon the amount and types of purchases that will be made.

- **Standard Pcard:** General procurement card that allows for low-cost, low-risk purchases *up to \$5,000 per single purchase*, except where excluded by program policy (see [Appendix 5A, pages 29-41](#)). Monthly credit limits are determined by the department, based on anticipated need/usage, and renew at the start of every monthly billing cycle.
- **Event Card:** Subset of procurement card that allows for fewer restrictions as noted in [Appendix 5A \(page 32\)](#). These cards will only be approved at the discretion of the Pcard Administrator and will generally be limited to departments/individuals that coordinate offsite events involving non-employees. Where Event Card privileges are being sought, a detailed justification explaining the potential events, participants, and dollar amounts should be submitted with the Card Authorization request. *There is no standard transaction limit for Event Cards – the single purchase limit will equal the requested monthly credit limit.*

1.3 Types of Cards (cont.)

- **Group Travel Card:** Subset of procurement card that is intended to facilitate travel for larger groups (2 or more people) on University business (see [Appendix 5A, page 33](#)). These cards will only be approved at the discretion of the Pcard Administrator and will generally be limited to departments such as Study Abroad, Modern Languages & Cultures, and Anthropology that often travel with large groups of students. Where Group Travel Card privileges are being sought, a detailed justification explaining the travel, group participants, and expected dollar amounts should be submitted along with the Card Authorization request. ***There is no standard transaction limit for Group Travel Cards – the single purchase limit will equal the requested monthly credit limit.***
- **Declining Balance Card:** A controlled value card that has a finite value for the lifetime of the card. Cards have a transaction limit of ***\$5,000 per purchase*** and will expire once funds are depleted.
- **Note:** Users may only apply for one type of card. Owning multiple cards is not permitted.

1.4 Eligibility & How to Apply for a Card

Individual departments designate who is eligible to possess a Pcard by completing the *Pcard Authorization Request Form* (see [Appendix 5C, page 45-46](#)). Departments will need to select which type of card (see above) they may need when completing the request form.

This form should be completed by the individual requesting a Pcard and should be signed by the employee as well as the Procurement Card Manager, the Department Head/Chair and the Divisional Finance Officer (***please contact the Pcard Administrator if you are uncertain who your Divisional Finance Officer may be***).



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1.4 Eligibility & How to Apply for a Card (cont.)

Notes:

- Students and non-employees are not eligible to hold Pcards. Cardholder must be a University staff/faculty member.
- Cardholders may **NOT** transfer a Pcard to a new position or department. This requires a new Pcard Authorization request to be completed.
- Cardholders may **NOT** hold multiple cards. This can lead to potential misuse of University resources & funds.
- ***The card can only be used by the person whose name is embossed on it. Any delegation of use or sharing of the card with other individuals is strictly prohibited and will result in the potential suspension or cancellation of the card (see Page 21-23, 'Card Misuse & Consequences').***
- Completed authorization forms must be forwarded to the Pcard Administrator through one of the following methods:
 - Via [email](#) (preferred)
 - Faxed copy: 273-1241
- Each Cardholder will be required to complete and pass mandatory training modules in MyPath prior to receiving their card.
- Cards will be ordered upon confirmation that training has been completed. Delivery time for cards is generally 3-5 business days. Cardholders will be emailed when their card is available and must bring proper identification (UR employee badge is required) when picking up the card.

As Pcard Policy requires a regular, timely supervisory review of all transactions, the department will identify an individual to provide approval oversight for the Cardholder's monthly transactions. ***It is required that the Procurement Card Manager either be a next level up supervisor from the Cardholder, or an individual with an appropriate level of departmental budgetary authority. (Please contact the Pcard Administrator if you are uncertain who to designate within this role)***

Eligible Procurement Card Managers cannot include the Cardholder themselves or their subordinates. New Procurement Card Managers will be required to complete and pass mandatory training modules in MyPath prior to receiving their approver access.



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1.5 Card Limits

Since the University of Rochester, not the individual employee, will pay for the purchases made with the Pcard, additional controls have been added to the card accounts. These limits are imposed at the point of sale when the card is swiped.

- **Individual Transaction Limits:** The University's maximum limit on individual Pcard purchases is **\$5,000 per transaction**. Under no circumstances should the cardholder “split” the cost of a single purchase into multiple payments in order to circumvent the per transaction limit on the card. This is considered a violation of policy (see Page 21-23, ‘Card Misuse & Consequences’).

Note: If any exception to the single purchase Pcard limit needs to be made, the cardholder must request a temporary increase **prior to** making the purchase utilizing a fully signed copy of the *Transaction Exception Form* (see Appendix 5E, page 48). This option should be used only in rare circumstances where there is a compelling or urgent business need that cannot be otherwise met utilizing other procurement/payment options.

- **Monthly Credit Limits:** When requesting new cards, this should be determined at the discretion of the appropriate administrator(s) and Department Heads based on anticipated usage/need, which may differ for each individual department or division. Requests for monthly limits in excess of **\$25,000** will require additional departmental justification.

Note: Monthly credit limits may be increased, either temporarily or permanently, if the level of spend and compliance warrant, and there is reasonable business justification for the increase. The department can make this request utilizing the *Pcard Change Form* (see Appendix 5D, page 47) and forwarding a fully signed copy to the attention of the Pcard Administrator.

- **Merchant Activity Type Limits:** Specific types of businesses identified by a high-risk Merchant Category Codes (MCC) are restricted on the Pcard to prevent fraudulent activity. If you have difficulty using your card with any particular supplier, please contact the Pcard Administrator.
- **Policy Limits:** In addition to the limits that are controlled at the point of sale by the card, the University also limits the use of the card through policy. The card may not be used with certain vendors or commodities except through a pre-authorized exception basis (see Appendix 5E, page 48).



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2. Policies & Procedures

This section establishes the Pcard policies & procedures and identifies specific responsibilities of key individuals for maintaining a successful program through transparency, oversight, and compliance control.

2.1 Definitions

- **Authorized Business Expense** – Purchases are for authorized University of Rochester business only. Personal purchases are a violation of policy.
- **Billing Address** – Associated with all Pcards. May be requested by suppliers for order billing verification. (44 Celebration Drive, Rochester, NY 14620)
- **Billing Cycle** – Time period during which Pcard transactions appear on the billing statement (the 26th of the month to the 25th of the following month).
- **Billing Phone Number** – Associated with all Pcards. May be requested by suppliers for order billing verification. (585-275-8900)
- **Business Purpose** – Detailed explanation of the business-related information associated with a transaction, including *who*, *what*, and *why*. Must be written in terms that would be clear to an external reviewer, especially in cases where a purchase could be construed as personal in nature.
- **Cardholder** – Authorized University of Rochester employee who has been issued a Pcard and is authorized to make purchases in accordance with program policy. This individual's name appears on the card.
- **Corporate Liability** – The University assumes all central liability associated with Pcards. The individual cardholder's personal credit rating will not be affected in any way.
- **Department Head** – For purposes of this policy, refers to the VP, Dean, Director or Department Chair with budgetary authority for department Cost Center.
- **MCC** – Merchant category code assigned by the banking industry to individual vendors.
- **May** – Permission to; at the option or discretion of.
- **Should** – A reasonable expectation.
- **Must** – An obligation of, or requirement to.
- **Monthly Transaction Limit** – The maximum dollar limit for the card during a single billing cycle. The limit is refreshed at the beginning of each billing cycle.
- **Original Receipts** – Written acknowledgement that purchases have been received. All receipts should include: date of purchase, vendor name, items purchased, and pricing. Any exceptions must be documented in writing.



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2.1 Definitions (cont.)

Examples of original receipts may include:

- ✓ Purchases in Person: Must have a detailed receipt, at the time of purchase, clearly identifying each item purchased.
- ✓ Phone/Fax Orders: The original invoice, packing slip, or shipping confirmation sent with the item(s) purchased. If the packing slip does not have itemized detail, write it on by hand.
- ✓ Internet Orders: An order printout, confirmation screen, or invoice sent via email that shows what was purchased and the dollar amount.
- **Pcard Administrator** – Procurement representative responsible for management & coordination of the overall Pcard program.
- **Procurement Card Manager** – Department representative (independent of the cardholder) that is responsible for supervisory review & approval of department Pcard activity.
- **Single Transaction Limit** – The maximum dollar amount that can be spent on a single purchase.

2.2 Cardholder Responsibilities

When utilizing Pcard, cardholders become authorized purchasers for the University with specific responsibilities for expending University funds. Cardholders must understand and comply with the following Pcard program policies and procedures:

Limitations on What can be Purchased

- All purchases must be made in accordance with University policy. Only purchases for acceptable vendors or commodities can be made via the Pcard (see [Appendix 5A, pages 29-41](#)). Consult your Procurement Card Manager **and** the Pcard Administrator if you need to make a purchase that is not allowed, or that exceeds your single/monthly transaction limit.
- Never “split” the cost of a single purchase or payment into multiple in order to circumvent the single transaction limit of the Pcard.
- The Pcard is to be used for authorized business expenses only; it is not for personal use. Use of the card for personal purchases is considered fraudulent and will result in the suspension of the card, possible termination of employment and legal action.



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2.2 Cardholder Responsibilities (cont.)

Protection of Card

- Always keep the card in a secure place. It should be treated with the same level of care you would use with your personal credit card. Lending/sharing the card is not permitted. Each cardholder is directly responsible for the physical security of their card and account information. If a card is used by others in the department, then the department becomes liable for any fraudulent activity.
- Cardholder must notify US Bank immediately by calling 1-800-344-5696 when their card is lost, stolen, or otherwise compromised by an external source. Cardholder must also confirm notification with their Procurement Card Manager and the Pcard Administrator.

Limitations on Suppliers

- Cardholders should utilize University-preferred suppliers and contracted pricing wherever possible. Cardholder should treat all supplier pricing information as proprietary.
- Ensure that purchases are not made from any vendors that are listed as [‘Debarred or Suspended’](#). If the supplier is listed, you should not do business with that supplier.
- Cardholder must not make purchases from vendors that employ close friends or family members that may have a financial interest. This could be considered a conflict of interest.
- Cardholder must not accept any gift or gratuity from any source when it is offered, or appears to be offered, to influence your decision-making regarding purchases.



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2.2 Cardholder Responsibilities (cont.)

Special Requirements for Sponsored Projects

- Use of the Pcard continues to operate under any of the standard sponsored project compliance or accounting requirements. All costs incurred on a sponsored project must be reasonable, necessary, allowable and appropriate to the specific account charged.
- The Pcard can be used for “micro purchases” which are defined by federal procurement regulation 2CFR200 (i.e., supplies or services whose aggregate does not exceed \$25,000). 2CFR200 permits such purchases to be made without soliciting competitive quotations or bids, as long as the price is deemed reasonable and purchases are distributed equitably among qualified suppliers.
- If any charge is disallowed by the University or Auditor, the charge will go back to the default account.
- All original receipts and statements supporting Pcard transactions for the current and past fiscal years will be kept at the department level (in accordance with the [University Record Retention Policy](#)).
- The Pcard cannot be used for charging departmental costs to a sponsored project account. Sponsored project purchases must be made in accordance with the restrictions terms and conditions of the sponsored project.
- Workday FAO and Spend Category assigned to the purchase must be appropriate.
- Any questions should be directed to the Office of Research & Project Administration and/or Office of Research Accounting and Costing Standards

Tax Exemption

- The University of Rochester is a tax-exempt organization. Our sales tax-exempt number is embossed on the front of every Pcard. Cardholders must provide this number to all vendors at the time of any transaction to exempt payment for New York or reciprocal state sales tax. Purchases made by the University outside of New York may not be exempt from another state's sales and use tax. If a University of Rochester Tax Exempt Certificate is required by a vendor, a request can be made to the Pcard Administrator by calling 275-8900 or via [email](#). If the vendor refuses to comply with exempting the purchase from tax, note the vendor's refusal on your receipt.

2.2 Cardholder Responsibilities (cont.)

Maintaining Receipts & Verifying Transaction Activity

- The cardholder must obtain sufficient documentary evidence of every Pcard transaction, which may include, but are not limited to: original receipts, packing slips, order confirmations, or invoice copies. Staff are encouraged to contact their Procurement Card Manager or the Pcard Administrator with any questions about what constitutes acceptable supporting documentation.
 - **Caution:** The requirement to provide sufficient documentary evidence exists even when you are away from your primary work location, especially in light of increased fraudulent activity.
- Cardholder should ensure that any expense paid for via Pcard is not otherwise submitted for reimbursement or used for any inappropriate purpose. Please contact your Procurement Card Manager or the Pcard Administrator with any questions about acceptable use.
- Cardholders must upload copies of aforementioned backup for each Pcard transaction into Workday *within 30 days* for audit compliance (see [Appendix 5B, 'Pcard Verification Procedures'](#), page 42-44). Best practice is at least once per week. Any instance where transaction backup is missing will require the cardholder to complete the *Missing Receipt Form* (see [Appendix 5F, page 49](#)) and upload a copy into Workday.
- All departments must comply with the record retention requirements for support documentation as set forth in the University of Rochester's [Policy on Retention of University Records](#). All Departments/Divisions will maintain records of each Pcard transaction and the supporting documentation in an auditable state as outlined in the policy excluding federal grants or awards. The length of this retention period is attributable to the fact that departments/divisions are the sole source of support, meaning they hold the only copy on campus. All records pertinent to a federal grant or award must be retained until three years after the date of submission of the final expenditure report, in compliance with granting authority regulations and Pcard transactions.

Misuse or non-adherence to these policies and procedures may result in suspension or revocation of individual cardholder privileges and appropriate disciplinary action.

2.3 Procurement Card Manager Responsibilities

Program Management, Oversight, and Control

The department Procurement Card Manager is responsible for the review, approval, and oversight of Pcard transactions within their designated department. These individuals must understand and comply with the following Pcard program policies and procedures:

- Must ensure all departmental Pcard transactions were made for University of Rochester authorized business purposes, are compliant with Pcard acceptable use policy, and the appropriateness of the funds being utilized.
- Must ensure that the cardholder uploads all supporting documentation for transactions into Workday within 30 days. Best practice is at least weekly. Manager will then perform final approval & reconciliation activities as noted in [Appendix 5B, 'Pcard Verification Procedures', page 42-44](#)),
 - **Caution:** The oversight requirement to review cardholder activity exists even when the Procurement Card Manager may be unable to fulfill this duty (i.e. may be on medical leave, vacation, or is otherwise unable to access the transactions in Workday). If this occurs, the department must assign a backup to fulfill this role until such a time as the primary approver returns.
- Should validate that cardholder has verified that purchases are not made from any vendors on the ['Debarred or Suspended'](#) list, per the instructions outlined in cardholder responsibilities.
- Should investigate all “unusual item” purchases and discuss with the Pcard Administrator as deemed necessary.
- Should be aware that all card transactions are subject to periodic review and/or audit from the Pcard Administrator to ensure compliance with internal and external policies.
- Should identify purchases from any restricted vendors or categories as noted in [Appendix 5A](#) and discuss with cardholder and Pcard Administrator to provide additional instruction.
- Should ensure that cardholder adheres to policies & procedures pertaining to: supplier limitations, special requirements for sponsored projects, and tax exemption, as noted in [pages 9-11](#).
- May seek guidance from Pcard Administrator for any Pcard-related question or concern that may not be specifically addressed in this manual.



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2.3 Pcard Approval Manager Responsibilities (cont.)

- Must request that a card be temporarily suspended if a cardholder begins any sort of University leave that extends beyond 30 days. This is to prevent any unauthorized access to the card during the cardholder's absence. The card can be reactivated upon cardholder's return from leave.
- Must be aware that any inappropriate or fraudulent use of the University Pcard may result in the suspension or revocation of cardholder privileges and possible termination of employment as well as possible legal action. Procurement Card Managers may also be subject to disciplinary action if it is determined that they were negligent in exercising their responsibilities to ensure that cards are used for business use only.
- Must ensure that all purchases made with the Pcard shall cease *immediately* upon the cardholder's leaving the University (through retirement, termination, or willful separation) or upon cardholder's transfer to another department within the University. Must contact Pcard Administrator within *one week prior* to the cardholder leaving so that the card can be terminated with US Bank. The physical card can be destroyed at that time.

**Ultimately responsible for managing the overall success and compliance of the program at the department level.*

Misuse or non-adherence to these policies and procedures may result in suspension or revocation of individual Procurement Card Manager rights and appropriate disciplinary action.

2.4 How to Use the Pcard

General Procedures

- Follow departmental internal procedures to obtain authorization to make a purchase.
- Determine whether the Pcard is the most appropriate tool for the purchase (**check to make sure it is not a restricted vendor or category, see Appendix 5A, pages 29-41**)
- ***Only*** the cardholder is authorized to actually make the purchase. If another individual within the department needs to place an order using the Pcard, they should provide all relevant information to the cardholder to make the purchase.
- Be certain that the total amount of the order (including all shipping, handling, postage, freight, etc.) will not exceed the single purchase limit of **\$5,000**.
- Advise the vendor that the University is exempt from NYS Sales Tax. If the vendor requires a hard copy of the University tax exempt form, reach out to the Pcard Administrator.
- Obtain a detailed receipt, packing list, order confirmation or other form of documentary evidence of purchase, clearly identifying each item purchased, along with the price.
- Keep track of your purchases regularly. The following information will be helpful when you reconcile your Pcard transactions:
 - Order date
 - Requestor or person for whom you placed the order
 - Vendor name
 - Item description/quantity
 - Unit price
 - Total amount of the order, including freight
 - Date the item was received
 - Business purpose of the transaction
- If you authorize a recurring charge (i.e. weekly/monthly) to your card, you are responsible for notifying the vendor in the event that your card number changes or your account is suspended or closed.

2.4 How to Use the Pcard (cont.)

- A written record, including the name of the person taking the order, should be documented when placing a telephone order.
- For internet purchases, **use extreme care when sending card numbers over the internet.** Cardholders should purchase only from websites that start with "https", rather than "http". This is entered on the web "Address" line. When "https" is used, a padlock appears at the bottom of the browser window. This indicates that the website and the user information provided therein are protected by SSL (Secured Sockets Layer).
- Remind the vendor that this is a VISA purchase and to send all order & receipt information directly to the cardholder address. Do not give the physical address or email address of Accounts Payable or Procurement, as this could lead to a potential double payment.

Returns and Credits

If determined that a purchase made with Pcard is defective, damaged, incorrect, or otherwise does not meet the department's needs, and must be returned, the cardholder should work directly with the vendor. Avoid vendors that do not process credits on credit card purchases. Here are some tips:

- Always retain boxes containers, special packaging, etc. until you are certain the good will be kept. Some items may not be able to be returned without the original packaging materials. This may vary by vendor.
- Read all enclosed instructions carefully. Often a phone number and other helpful information are included on the packing slip and/or receipt.
- Many vendors require a '*Return Authorization Number*' before returns will be accepted. Make sure to acquire this number from the vendor, so that when required, the package will be accepted and credit issued to your account.
- In some cases there may be a restocking fee (usually a percentage of the purchase price). If the vendor is completely responsible for the error or problem, the cardholder should not have to pay this, or any other fee. However, if the vendor is not fully responsible, the cardholder may be liable for the restocking fee.
- When reviewing your Pcard transaction activity in Workday on a regular basis, make sure that any credits were issued for the return. Any item(s) purchased with the Pcard must be returned for credit. **Do not request or accept any refund in cash or check format.**
- Make sure to retain any and all documentation and written correspondence of credits, returns, and exchanges to include as supporting documentation.

2.4 How to Use the Pcard (cont.)

Declines

In the event of a transaction decline, the Cardholder may call the bank directly to obtain the reason for the declination, or reach out to the Pcard Administrator for assistance. The bank's customer service number is printed on the back of the Pcard. Some common reasons for decline:

- Vendor has entered an incorrect card expiration date, security code, or billing zip code
- The card has expired or been terminated
- The cardholder has not activated a newly assigned or renewed Pcard
- Purchase exceeds the standard single purchase limit of **\$5,000**
- Purchase exceeds your maximum monthly credit limit
- Purchase type MCC code is blocked depending on Pcard transaction type & policy (i.e. Airline, Car Rental Agencies, ATMs, Financial Institutions, etc.)
- International transactions will automatically be declined by the bank due to increased risk of fraud with overseas purchases. If the card is declined, cardholder should contact the bank to confirm the legitimacy of the transaction so that the bank can release the hold.

Disputed Transactions

These tend to fall into two broad categories:

- Dispute with Vendor – i.e., vendor's refusal to take back a defective or mis-shipped item. If there is a problem involving a dispute with a vendor (such as defective items or a claim that an item was not ordered and the vendor claims it was), every effort should be made to resolve the problem directly with the vendor.
- Erroneous Charge – i.e., unauthorized or incorrect charges made by a supplier to the Pcard. These may include: an amount charged that differs from previously quoted prices, unprocessed credits, duplicate charges, or fraudulent activity

Most incorrect charges can be easily resolved by contacting the vendor directly and requesting a credit (and rebill if necessary) for the purchase. Credits should be reflected on your next monthly billing statement.

Any communications with the supplier should be documented.



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2.4 How to Use the Pcard (cont.)

If the dispute is unable to be resolved with the supplier in a timely manner, US Bank should be contacted to open an investigation into the claim. The Procurement Card Manager and Pcard Administrator should also be notified. During the bank's investigation, they will issue a summary credit to the Pcard in question for the disputed amount. Upon completion of the investigation, the cardholder will be notified of the resolution.

- **Caution:** If the cardholder notices unauthorized charges in their Pcard activity and did not initiate the activity with the vendor themselves, then they must assume that an unauthorized external party has obtained their Pcard number fraudulently. The cardholder must contact US Bank **immediately**. The Pcard will be shut down and a replacement card with a new account number will be sent.

Lost/Stolen/Compromised Cards

If your Pcard is lost or stolen, or otherwise compromised externally in any way, take the following immediate actions:

- **Contact US Bank at 1-800-344-5696.** The bank will immediately close the card and send a replacement to the attention of the Pcard Administrator. Most fraudulent charges are blocked by the bank's fraud algorithm, but in the event unauthorized charges actually do post to a cardholder's account, the bank will send fraud affidavit paperwork to the attention of the Pcard Administrator. The cardholder will be required to complete this paperwork, confirming that they had no knowledge of the fraudulent activity, and return it to the Pcard Administrator so the bank can finalize any summary credits.
- **Notify the Procurement Card Manager and the Pcard Administrator** after contacting the bank.
- Any fraudulent activity (and resulting credits) that actually posted to your account will still need to be verified in Workday. See additional notes on how to manage this sub-process in [Appendix 5B, 'Pcard Verification Procedures', pages 42-44.](#)
- To prevent any loss of service, any recurring/automatic charges (i.e. monthly subscription) on your previous card should be documented so that activity can be moved upon receipt of the replacement card.

2.5 Card Expirations/Renewals, Cancellations, and Annual Recertification

Card Expirations/Renewals

- Pcards (and their subsets) will have an expiration date of *4 years* from the original issue date (e.g. a new card issued in January 2021 will expire in January 2025).
- US Bank automatically reissues new cards each month to replace those that are due to expire at the end of that month. The card account number will remain the same, but the expiration date and security code on the back of the card will change.
- All new & replacement cards are sent to the Pcard Administrator's office. The cardholder will be notified via email when their new card is available for pickup. *Cards cannot be sent to departments via campus mail or to non-campus locations if cardholders are working remotely.*
- A University ID is required to pick up a card. Driver's licenses and other forms of identification are not considered sufficient.
- Only the named cardholder or the departmental Procurement Card Manager are authorized to pick up a card. Other delegated individuals are not authorized to pick up a card.

Card Cancellations

- Cards can be cancelled at any time. In the event that it is necessary to cancel a card, the Procurement Card Manager will retrieve the card and any outstanding documentation from the cardholder. All documentation must be retained by the department.
- The Pcard Administrator should be contacted as soon as possible to have the account closed. The physical card should be destroyed.
- Reasons for cancellation may include:
 - **Cardholder is terming employment with the University**
 - **Cardholder is transferring to another department within the University**
 - **Cardholder goes on leave**
 - **Cardholder is requested to surrender card due to repeated violations of program policy**
 - **Card has been inactive for a period of 12 months or longer**
 - **Unused & potentially unmonitored cards creates the opportunity for fraudulent use by unauthorized parties. The Pcard Administrator reserves the right to close any card that has not been used within a one-year period. Affected cardholders & their Procurement Card Managers will be notified one-week prior to card closure to determine whether the card is still needed.**



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2.5 Card Expirations/Renewals, Cancellations, and Annual Recertification (cont.)

Annual Recertification

- Cardholders are required to comply with an annual recertification providing verification and authorization of continued access to the Pcard Program.
- The annual recertification process is considered an appropriate opportunity for department cardholders to review annual spend activity with their Procurement Card Managers and potentially modify their card limits to better meet their procurement needs for small dollar purchases.
- Recertification is completed through the use of the '*Pcard Annual Recertification Form*' (see Appendix 5G, page 50)
- Recertifications occur every month on the anniversary of the opening of the card in question. (e.g. cardholders onboarded in the month of January will be up for recertification every year in that month, etc.)
- Expiring cards will likely coincide with an annual recertification cycle. Cardholders whose card is due to expire at the end of a given month must complete the recertification requirement before they are eligible to pick up their new card.
- If, during the annual recertification cycle, a card is no longer deemed to be needed, the Procurement Card Manager should notify the Pcard Administrator so the card in question can be termed.
- Cardholders have a **30-day window** during their recertification month to complete the Recertification Form and return it to the attention of the Pcard Administrator. *Any recertifications not fully completed within that time frame will result in the temporary suspension of the card until the requirement has been met.*

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2.6 Card Misuse & Consequences

- Cardholders and Procurement Card Managers must remain continually compliant with Pcard Program policies & procedures in order to assure continued eligibility to participate in the program.
- Staff may be subject to disciplinary action for Pcard misuse and noncompliance with program policy. Depending on the severity of the action, disciplinary measures may include: **Card suspension or cancellation, termination of employment from the University, and possible legal action.**
- Below are examples of Pcard misuse or policy noncompliance and the corresponding corrective/disciplinary action:

Lending or Sharing of a Pcard	Corrective Action
<ul style="list-style-type: none"> ○ Any instance of a cardholder allowing another individual to use their card is a significant violation as knowingly sharing use of a card will negatively impact a cardholder or department’s ability to dispute charges and identify fraudulent transactions. 	<ul style="list-style-type: none"> ○ 1st Occurrence: Cardholder will receive a written warning. ○ 2nd Occurrence: Card will be suspended for a period of 30 days. ○ 3rd Occurrence: Card will be terminated and cardholder deemed ineligible to receive another card for a period of 12 months.
Splitting a Transaction/Exceeding the Pcard Purchase Limit without Authorization	Corrective Action
<ul style="list-style-type: none"> ○ The cost of a single purchase or payment of an invoice must not be split into multiple payments in order to circumvent the per transaction limit on the card. ○ Merchants can (and do) force through or split transactions without verification of a card’s limits. Cardholder and Procurement Card Manager should be aware if an order or payment would total more than the single transaction limit. ○ If a transaction may exceed the card limit, cardholders are strongly encouraged to utilize the <i>Transaction Exception Form</i> (Appendix 5E, page 48) to provide to the Pcard Administrator in advance of the purchase, to legitimize the activity from an audit perspective. 	<ul style="list-style-type: none"> ○ 1st Occurrence: Cardholder will receive a written warning. ○ 2nd Occurrence: Card will be suspended for a period of 30 days. ○ 3rd Occurrence: Card will be terminated and cardholder deemed ineligible to receive another card for a period of 12 months.

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2.6 Card Misuse & Consequences (cont.)

Purchase from a Restricted Category	Corrective Action
<ul style="list-style-type: none"> ○ Any purchase on Pcard from a category listed as ‘restricted’ in Appendix 5A, that did not have pre-authorization & approval from the Pcard Administrator via the <i>Transaction Exception Form</i>. ○ Restricted categories are generally purchases that present a higher physical or financial risk to the organization and therefore not appropriate for use via credit card of any kind. 	<ul style="list-style-type: none"> ○ 1st Occurrence: If pre-authorization was not obtained, depending on the restricted category, Cardholder & Procurement Card Manager will be counseled on the most appropriate method of purchase/payment to utilize going forward. ○ 2nd Occurrence: Cardholder & Approver Manager will receive a written warning, with a reminder of the preferred purchase/payment to utilize, as well as encouragement to utilize the <i>Transaction Exception Form</i> for any future pre-authorization. ○ 3rd Occurrence: Card in question will be suspended for a period of 10 business days.
Failure to Follow Pcard Verification Procedures within Required Timeframe	Corrective Action
<ul style="list-style-type: none"> ○ All Pcard transactions <i>must</i> be fully verified within a period of 30 days after the transaction is loaded into Workday. ○ Failure of cardholder and/or Procurement Card Manager to upload appropriate & sufficient supporting backup documentation/receipts to substantiate a Pcard transaction, or, failure to include ‘<i>Missing Receipt Form</i>’ to provide reasonable justification of why transaction backup was not included. ○ Failure of cardholder and/or Procurement Card Manager to follow transaction verification & approval procedures as stated in Appendix 5B, ‘Pcard Verification Procedures’ ○ The importance of ensuring Pcard activity is properly verified, reviewed, and approved cannot be understated. Failure to do so puts the University at risk of fraud or misuse of resources. 	<ul style="list-style-type: none"> ○ If transactions have not been fully verified within 30 days of posting in Workday..... ○ Card in question will be temporarily suspended (set to \$1 limit) until cardholder & Procurement Card Manager have addressed <u>all</u> unverified activity. ○ Unverified transactions greater than 90 days will result in the immediate cancellation of the card. Department may be subject to a followup investigation by University Audit. Cardholder will be ineligible for future access to the program for a period of 12 months.

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2.6 Card Misuse & Consequences (cont.)

Failure to Communicate Change in Status	Corrective Action
<ul style="list-style-type: none"> ○ Instance where a Cardholder or Procurement Card Manager fails to communicate cardholder termination, transfer, or other extended leave, and the card remains an active risk/liability to the University through unauthorized use. 	<ul style="list-style-type: none"> ○ 1st Occurrence: Card in question will be immediately cancelled. If staff member was only on leave and will have continued need of a card upon their return to work, they will need to submit a new <i>Pcard Authorization Request Form</i>.
Use of the Pcard for Personal Purchases or Personal Benefit	Corrective Action
<ul style="list-style-type: none"> ○ Can be classified as either: Accidental use (e.g. cardholder keeps their Pcard in their wallet/purse in close proximity to their personal credit card and happens to select the wrong card) or Willful misrepresentation/fraud (where cardholder deliberately uses the card to make personal purchases or otherwise uses University resources for personal gain) ○ While it is understood that accidents can and do happen with providing the wrong credit card for purchase/payment, departments must be made aware that this type of offense is considered the most egregious, and absolutely <i>no exceptions</i> can be made. ○ Pcard transactions are monitored and audited <i>regularly</i> by the Pcard Administrator. Purchases that may be considered personal in nature will be strongly scrutinized. The cardholder and Procurement Card Manager will need to provide sufficient written documentation in those instances why a transaction would be considered a valid business purpose and not personal in nature. 	<ul style="list-style-type: none"> ○ 1st Occurrence (Accidental): If, upon auditing of transaction activity, the purchase is deemed to be accidental in nature, the cardholder will receive a written warning, with instructions for how to reimburse the University via check, and recommendations for how to prevent a reoccurrence in the future. Card will also be suspended for a period of 10 business days. ○ 2nd Occurrence (Accidental): Card will immediately be cancelled. Cardholder will be instructed to immediately reimburse the University via check and will be deemed ineligible for future access to the program in perpetuity. May also be subject to further investigation by University Audit and Department of Public Safety. ○ 1st Occurrence (Willful Fraud): Card will immediately be cancelled. Cardholder will be instructed to immediately reimburse the University via check for all misappropriated funds and will be deemed ineligible for future access to the program in perpetuity. May also be subject to further investigation by University Audit and Department of Public Safety and subject to performance management up to and including possible termination of employment and criminal prosecution.



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3. Frequently Asked Questions

- **What is the purpose of the Pcard?**

To improve the procurement process by streamlining low-dollar, low-risk purchases and increasing efficiency through a less paper-intensive process.

- **Will a Pcard affect my personal credit?**

No. Obtaining a Pcard will not access or impact your personal credit history. Your credit will not be checked when applying for the Pcard.

- **Can someone other than the cardholder make purchases on the Pcard?**

No. University Pcards are individually held and centrally billed. All cards have the cardholder name inscribed on them and that person is responsible for assuring that any purchases made with the card are appropriate and fall within University policy. Sharing or delegating use of the card to another individual does not relieve the cardholder from that responsibility and may waive the cardholder's right to dispute charges for those transactions.

- **What controls are in place to protect the University from fraudulent or otherwise inappropriate charges?**

Cardholders and Procurement Card Managers both sign a Pcard Agreement, part of the *Pcard Authorization Request Form*, and complete comprehensive program training in Mypath prior to obtaining access to the program. It is understood that noncompliance with program policies & procedures will result in suspension of access.

Transactions are regularly reviewed and audited by both the Pcard Administrator and University Audit for program compliance and appropriateness.

Cards themselves are set up with fraud alerts, which will notify both the cardholder and Pcard Administrator via text or email of any potential unauthorized external activity.



University of Rochester Procurement Card Policy & Procedure Manual

3. Frequently Asked Questions (cont.)

- **Are there restrictions associated with the Pcard?**

Yes, these restrictions can be categorized as **1)** restricted at point of sale and **2)** restricted at other than point of sale.

1. **Point of Sale Restrictions – transaction will not go through (decline)**

- ✓ Transaction exceeds single purchase limit (\$5,000 per purchase)
- ✓ Transaction exceeds cardholder monthly credit limit
- ✓ Cash advances (ATMs)
- ✓ Vendor being used is restricted from use by its *Merchant Category Code (MCC); cardholder may ask the Pcard Administrator for assistance
- ✓ International purchases – bank must be notified in advance to release this block

*When vendors apply to accept VISA, they are given a MCC that identifies their type of business. The Merchant Category Codes are grouped by vendor, indicating their type of business or the commodity they sell. High-risk codes will typically be blocked.

2. **Other than Point of Sale – transaction may go through but violates program policy and therefore should not be made**

- ✓ Personal purchases
- ✓ Stringing/splitting of purchases to avoid the single purchase limit
- ✓ Purchases listed as restricted in [Appendix 5A \(pages 36-41\)](#)

- **What should I do if my card is declined at point of sale?**

Cardholder may contact US Bank directly using the number on the back of their card, to ascertain the reason for the decline, or contact the Pcard Administrator for further information.

- **What do I do if I accidentally make a personal charge on the Pcard?**

Notify your Procurement Card Manager and the Pcard Administrator of the mistake immediately. Attempt to have the charge reversed (credited) to the Pcard and put on a personal card instead. If this is not possible, write a check made payable to the University, including any sales tax, and submit it to Accounts Payable for deposit to the appropriate account. Attach a copy of the check & deposit form to the Pcard transaction record. Indicate that such a mistake will not reoccur in the future. The Pcard will be suspended for a period of **10 business days**.



University of Rochester Procurement Card Policy & Procedure Manual

3. Frequently Asked Questions (cont.)

- **What do I do if I accidentally make a purchase from a restricted category on my Pcard?**

Contact your Procurement Card Manager and the Pcard Administrator for guidance on how to proceed as this is decided on a case-by-case basis.

- **Can the Pcard be used for travel purchases?**

Only the Group Travel subset of Pcard can be utilized for any travel expenses, and only when utilized with groups of two or more individuals. For individual business travel expenses, an American Express Corporate Card or personal credit card should be used. Reimbursement would be obtained through procedures established in the BETR ([Business Expense and Travel Reimbursement](#)) policy.

- **How are Pcard transactions posted to the appropriate departmental account?**

Cardholders and Procurement Card Managers must perform Pcard Verification Procedures within Workday in order to ensure that Pcard transactions are posted to the appropriate account (see [Appendix 5B, page 42-44](#))

- **What if a supplier requests a tax-exempt certificate?**

Contact the Pcard Administrator to obtain a tax-exempt form copy for the specific supplier in question. If the supplier charges tax up front, work with them to ensure the tax is credited. If a particular supplier refuses to honor the University's tax-exempt status, make notation of this within your supporting receipt documentation. The Pcard Administrator may recommend you not utilize that supplier again in the future if sales tax cannot be honored.

- **What should I do if I am unable to obtain a receipt?**

Document the purchase and the circumstances that prevented obtaining a receipt or other form of supporting documentation utilizing the *Missing Receipt Form* ([Appendix 5F, page 49](#)). Maintain a copy of this documentation when performing verification of the purchase in Workday.



University of Rochester Procurement Card Policy & Procedure Manual

3. Frequently Asked Questions (cont.)

- **Can my single purchase limit and/or monthly spending limit be changed?**

While the single purchase limit of **\$5,000** cannot be increased permanently, if any temporary exception needs to be made, the cardholder must request a temporary increase **prior to** making the purchase utilizing a fully signed copy of the *Transaction Exception Form* (see [Appendix 5E, page 48](#)). This option should be used only in rare circumstances where there is a compelling or urgent business need that cannot be otherwise met utilizing other procurement/payment options.

Requests for monthly credit limit increases may be made, either temporarily or permanently, if the level of spend and compliance warrant, and there is reasonable business justification for the increase. The department can make this request utilizing the *Pcard Change Form* (see [Appendix 5D, page 47](#)) and forwarding a fully signed copy to the attention of the Pcard Administrator.

Note: Departments can also request *lower* single purchase & monthly limits on their cards if \$5,000 (program default) is not considered necessary for their department needs. This should be noted on the *Pcard Authorization Request Form* when first requesting a new card.

- **What do I do if I do not recognize a charge made on my Pcard?**

Contact US Bank's customer service number on the back of your card to get more information about the vendor who charged your account. Work with the supplier to obtain a credit for any erroneous charges. Contact the Pcard Administrator for assistance if initial efforts are unsuccessful.

- **What do I do if my Pcard is lost or stolen?**

Contact US Bank at 1-800-344-5696 and the Pcard Administrator immediately to report the card as lost or stolen so the account can be closed to prevent unauthorized or fraudulent use.

- **If I transfer to another department, can I take my Pcard with me?**

No. Pcards are non-transferable. Cardholder or Procurement Card Manager will need to notify the Pcard Administrator within one week prior to the transfer so the card can be terminated. To obtain a Pcard with a new department, individual must complete a new *Pcard Authorization Request Form* ([Appendix 5C, page 45-46](#))

- **What happens when I leave the University?**

Near your last day of work, notify the Pcard Administrator and return the physical card to your Procurement Card Manager to be destroyed. Ensure that any outstanding Pcard transactions are properly verified in Workday.



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4. Where to Get Help

4.1 Procurement Card Contact

Pcard Administrator

Procurement staff member acting as the liason between US Bank and individual department cardholders and Procurement Card Managers. Responsible for management & coordination of the overall Pcard program for the University, including, but not limited to:

- Cardholder Setup Process – obtain, process, and retain Pcard Authorization Request Forms. Provide program training to all users via Mypath.
- Responding to inquiries regarding internal policies & procedures, billing information, lost or compromised cards, etc.
- Conducts regular Pcard transaction audits.
- Administers corrective action as necessary for Pcard misuse or noncompliance, as stated in ‘[Card Misuse & Consequences](#)’, page 21-23).
- Account Maintenance – process Pcard Change Request forms for card limits, changes to default account numbers, etc.
- Provide guidance to users regarding best practices for card utilization and verification through the use of advanced financial data analytics.

Contact information: 585-275-8900 or [email](#)

4.2 US Bank

Customer Service: (1-800-344-5696)

- Contact for general inquiries, card activations, information on declined purchases, vendor disputes.

Fraud Division: (1-800-523-9078)

- Contact for unrecognized or unauthorized charges, lost/stolen or compromised cards.



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5. Appendices

5A. Approved & Restricted Use

Approved Use

The Pcard is considered to be the “best practice” procurement method for the following categories listed below (**up to \$5,000 per transaction**). *This list may not be all-inclusive. When in doubt regarding a purchase/category not specifically listed here or in the Restricted Use list, please contact the Pcard Administrator.* All purchases must comply with procurement policies and procedures.

<p>Advance Registration Fees</p>	<p>For workshops, seminars, conventions or conferences, which an employee is authorized to attend.</p> <p>Note: Any part of a registration fee applicable to lodging, transportation or other travel expenses should be processed using procedures established in the BETR (Business Expense and Travel Reimbursement) policy.</p>
<p>Books</p>	<p>Note: Textbooks must be purchased through the Barnes & Noble bookstore (via Pcard or requisition) due to the University’s contract requirement. Any exception must be authorized in advance by the Pcard Administrator.</p>
<p>Deposits (e.g. venue rental/reservation)</p>	<p>Note: If remaining balance of order/invoice exceeds the \$5,000 single purchase limit for Pcard, the transaction should be processed via Supplier Invoice Request or Purchase Order.</p>
<p>Dry Cleaning</p>	<p>Note: University preferred vendors below:</p> <ul style="list-style-type: none"> • Colony Dry Cleaners (primary) • College Town Cleaners (primary) • Speedy’s Cleaners (secondary) • Julian’s Dry Cleaners (secondary)

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5A. Approved & Restricted Use (cont.)

Flowers (for official business use only)	<p>Note: Allowable only when such items are purchased for official University functions & events, or for non-employees in accordance with University policies & mission (e.g. donors, guests, patients & their families).</p> <p>**Not allowable as gifts of sentiment for students or employees (e.g. wedding/baby shower, funeral/sympathy of loss, etc.)</p>
Food & Beverage (for onsite & offsite business functions)	<p>Intended for use with departmental-approved University business functions/events.</p> <p>Department <u>must</u> include list of attendees with receipt/backup when verifying Pcard transactions for business meals, catering, etc.</p> <p>All food/beverage purchases under \$20 will be subject to audit to confirm that the transaction is not for personal use.</p>
General Supplies	<p>Category is very broad/generic, but generally defined as everyday use, small-dollar items that are purchased for departmental operations or functions.</p> <p>*This excludes items found through P2P Marketplace suppliers</p>
One-time/Emergency Repairs	<p>Does not include annual/recurring maintenance agreements, which should be processed via Purchase Order.</p>
Online Job Postings	<p>e.g. Indeed, Careerbuilder, etc.</p>



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5A. Approved & Restricted Use (cont.)

<p>Professional Memberships & Dues</p>	<p>Note: Membership must be utilized in official support of individual employee’s direct job responsibilities, or departmental business function, in accordance with University goals (e.g. professional membership with an organization).</p> <p>Note: Other memberships not required by an employee’s position are generally considered personal obligations and are not considered appropriate for the Pcard (e.g. health clubs, country clubs, BJ’s/Costco)</p>
<p>Publications</p>	<p>e.g. journal articles, fees for having content published, etc.</p>
<p>Subscriptions</p>	<p>Examples may include, but are not limited to:</p> <ul style="list-style-type: none"> • Print/electronic media (magazines & newspapers) • Streaming service (e.g. Spotify, Netflix, etc) • Electronic surveys (e.g. SurveyMonkey) <p>Note: Activity is subject to audit monitoring from the Pcard Administrator to ensure that transactions are utilized for official University business and not personal use.</p>
<p>Training Classes</p>	<p>For employee professional development.</p> <p>Can be acceptable internally (e.g. UR Continuing Professional Education) or externally (e.g. New Horizons).</p>



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5A. Approved & Restricted Use (cont.)

Special Considerations for Event Card Transactions

- Intended for departments/individuals that coordinate offsite events involving non-employees.
- No transaction limit – maximum single charge can be up to the defined monthly credit limit.

Acceptable Use:

- Catering, food and beverage, including alcohol
- A/V services
- Entertainers, photography
- Venue deposits and fees
- All other purchases/payments associated with the event for which credit card is an acceptable payment method and otherwise not deemed a ‘caution item’ or restriction.

Note: Transactions equaling or exceeding \$25,000 will require a written contract and must be reviewed with Procurement before transaction is made, to ensure organizational risk is properly mitigated. Any noncompliant transaction will result in potential card suspension.

Caution Use (seek authorization from Pcard Administrator before proceeding on Event Card):

- Transportation (e.g. limos, taxis, bus rentals, ride-sharing (Lyft, Uber, etc))
 - Category is high-risk; certificate of insurance must be obtained from the vendor in advance of the event to ensure they meet the insurance requirements in order to mitigate physical and/or financial risk to the organization

Restrictions:

- Should not be used for general purchases that would otherwise exceed the \$5,000 single purchase limit. Purchases should solely be associated with the University event.
- Cannot be used to access or withdraw cash
- Cannot be used for individual business travel or lodging expenses

Note: While every Event Card purchase *must* have the appropriate supporting backup documentation, any purchase in excess of \$5,000 that is missing a receipt will be subject to immediate audit and potential card suspension.



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5A. Approved & Restricted Use (cont.)

Special Considerations for Group Travel Card Transactions

- Intended for departments/individuals that coordinate/travel with students or other non-employees to cover expenses while travelling.
- No transaction limit – maximum single charge can be up to the defined monthly credit limit.
- In addition to the Pcard Policy, Group Travel card usage is also subject to the [Business Expense and Travel Reimbursement](#) policy and guidance.

Acceptable Use:

- Can & should be used for all business expenses associated with group travel, including:
 - Meals
 - Hotel/lodging fees and deposits
 - Transportation (airfare, bus, train, etc.)
 - Baggage fees
 - Cash advances and withdrawals from ATM/bank
- **Note:** In situations where cash is withdrawn from the card, the following actions are required upon approval and reconciliation of the transaction in Workday:
 - The cash advance transaction *must* be charged to the University's advance account number (CM010 OP010145 SC62040)
 - Notify the Accounts Payable Travel Accountant via email at AccountsPayable@finance.rochester.edu of the cash advance amount
 - The cash advance must be reconciled by the cardholder submitting an F3 Employee Expense Report documenting how the cash was spent on University expenses, (e.g. meals, transportation, etc.) and charging the appropriate accounting string listed above

Restrictions:

- Cannot be used for individual business travel or lodging expenses, except where the individual cardholder is travelling with the group.

5A. Approved & Restricted Use (cont.)

‘Caution’ Items

The following categories may be considered *situationally* acceptable or restricted on Pcard depending on the circumstance. Departments are encouraged to contact the Pcard Administrator for assistance with determining the best method of purchasing/payment for transactions that fall under these categories:

Ebay	<p>Pcard can be utilized to purchase items from Ebay <i>as a measure of last resort</i>, provided the risk of loss to the organization has been mitigated to the maximum extent possible and other procurement and Pcard policies have been met.</p> <p>Since there are no refunds when purchasing from Ebay, purchasers should do everything possible to determine the true condition of the item being purchased. Authorized suppliers should be utilized first wherever possible/practical. Contact the Pcard Administrator if further guidance is needed.</p>
Entertainment	<p>May include, but not limited to:</p> <ul style="list-style-type: none"> • Tickets for concerts or sporting events • Recreational activities (Bowling, movies, escape rooms, inflatables, etc) • Musical performance (bands, DJs) <p>Department must provide justification for why any purchase meeting this criteria is considered an acceptable business expense. Many purchases may be considered personal/non-business and subject to audit review.</p>



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5A. Approved & Restricted Use (cont.)

‘Caution’ Items (cont.)

<p>Gifts & Awards</p>	<p>Subject to the University’s policy on ‘Taxable Payments to Individuals’, gifts and awards for students and employees may be subject to income tax per IRS guidelines. Monetary gifts/awards or those exchangeable for cash value (e.g. gift certificates/gift cards) for employees <u>must</u> be included as taxable income and should be processed through Payroll.</p> <p>Nominal gifts (valued at less than \$25) are generally not subject to this guideline. Retirement gifts are also generally not included within this restriction.</p> <p>**Gifts for non-students and non-employees (e.g. guests, patients & their families, donors, etc.) are acceptable at departmental-level discretion if otherwise deemed acceptable on Pcard. Contact the Pcard Administrator if clarification is needed.</p>
<p>Gift Cards</p>	<p>Research Subjects: The University has preferred methods for compensating research study subjects through other means than Pcard. Contact one of the following individuals for more information.</p> <ul style="list-style-type: none"> • Jameson Squilla, SMD Finance • Mike Ritz, Office of Research & Accounting Standards • Kathy King-Griswold, Office of Treasury Operations <p>Note: Any gift card purchases for study participants <u>cannot</u> be charged directly to a grant. Instead they must be charged to an OP FAO and then the GR FAO can be charged via journal entry once the gift card has been given to the study participant. Gift cards can only be purchased for employees if for payment for study participation.</p> <p>Other: Any potential gift card purchases not related to study subjects should be discussed in advance with the Pcard Administrator to determine whether the nature of the purchase adequately supports University business goals (e.g. gift cards for patients and/or their families, etc.)</p> <p>Caution: As gift card purchases in general are considered a higher risk of fraud and/or loss to the University, any exceptions to either of these processes must be obtained in advance by the appropriate Company Finance Officer and the Pcard Administrator, otherwise the department is considered in violation of program policy and may be subject to card suspension.</p>

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5A. Approved & Restricted Use (cont.)

Restricted Use

Certain transactions are prohibited on Pcard because the purchase requires additional procurement review for reasons of tax, insurance, organizational risk, contractual obligations, or other regulatory issues. The following categories **must not** be purchased with Pcard. *This list may not be all-inclusive. When in doubt regarding a purchase/category not specifically listed here or in another list above, please contact the Pcard Administrator.*

Purchase Category	Description
Capital/Equipment Purchases	<p>e.g. Items of equipment or furnishings that have a unit acquisition cost of \$1,000 or more, including the cost of any modifications, attachments, or accessories necessary for the equipment’s intended purpose, and a life expectancy of greater than one year.</p> <p>Best Practice Purchase Method: Complete a Requisition within Workday Procurement to request a Purchase Order.</p>
Cash Advances	Only accessible using the Group Travel card
Cell Phones/Smartphones	<p>Any such device used for University business that has wireless capability and connects to the University network must be properly vetted and encrypted through University IT to prevent the possibility of cyberattacks/hacking.</p> <p>Best Practice Purchase Method: Purchase through UR Tech Store.</p>
Computers	<p>May include: desktops, laptops, and tablet devices.</p> <p>Any such device used for University business must be properly imaged & encrypted by University IT to prevent the possibility of cyberattacks/hacking.</p> <p>Such devices must also follow the standard capital asset tag process with Plant Accounting, even when the item may not meet the capital purchase threshold.</p> <p>Best Practice Purchase Method: Purchase through UR Tech Store.</p>

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5A. Approved & Restricted Use (cont.)

Restricted Use (cont.)

<p>Controlled Substances, Medications, and other Pharmaceuticals</p>	<p>Category presents a high degree of physical & financial risk to the organization.</p> <p><u>Best Practice Purchase Method:</u></p> <p>Purchase through SMH Pharmacy.</p>
<p>Furniture</p>	<p>Departments should utilize University contracted vendors for furniture (Workplace Interiors, Sedgwick Business Interiors) wherever possible.</p> <p><u>Best Practice Purchase Method:</u> Complete a Requisition within Workday Procurement to request a Purchase Order.</p>
<p>Hazardous Materials (biological materials, chemicals, explosives, fuel, radioactive materials, etc.)</p>	<p>Purchases for such materials may require special approval from Environmental Health & Safety or Radiation Safety.</p> <p><u>Best Practice Purchase Method:</u> Complete a Requisition within Workday Procurement to request a Purchase Order.</p>
<p>Live Animals</p>	<p>Category is highly regulated.</p> <p><u>Best Practice Purchase Method:</u></p> <p>Vivarium: Complete a Requisition within Workday Procurement to request a Purchase Order. All other areas: Purchase through the Vivarium.</p>
<p>Medical/Patient Care Supplies & Devices</p>	<p>Category presents a high degree of physical & financial risk to the organization.</p> <p><u>Best Practice Purchase Method:</u> Order through Allscripts Supply Chain or submit a blue 312 Requisition to the P2P Service Center</p>

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5A. Approved & Restricted Use (cont.)

Restricted Use (cont.)

<p>Personal Purchases</p>	<p>Do not make any purchases that are for personal use. Using the Pcard in this manner with the intention of reimbursing the University is not an acceptable practice and will result in corrective action as stated on Page 23 (‘Card Misuse & Consequences’).</p> <p>Note: Many purchases may lend themselves to personal use. It is the cardholder’s responsibility to provide documentation to support that the purchase of an item that lends itself to personal use is essential to fulfilling their job responsibilities.</p>
<p>Professional Services (may include, but not limited to the following):</p> <ul style="list-style-type: none"> • Consulting/Independent Contractor • Facilities management (e.g. construction, janitorial services, utilities, waste management, etc.) • Financial, legal, or employment services • Medical services (e.g. massage therapy, etc.) 	<p>Nearly all professional services, regardless of where they are performed, require a contract or written agreement, and verification of the vendor’s insurance requirements in order to mitigate physical and/or financial risk to the University.</p> <p>Department should contact the Pcard Administrator for guidance if uncertain whether a purchase may be considered a professional service.</p> <p>Best Practice Purchase Method: Complete a Requisition within Workday Procurement to request a Purchase Order.</p>
<p>Purchases From Individuals/ Payment to Individuals</p>	<p>Purchases made to an individual (as opposed to a company) may be subject to the Consultant/Independent Contractor Guidelines.</p> <p>Best Practice Purchase Method: Complete a Requisition within Workday Procurement to request a Purchase Order.</p>

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5A. Approved & Restricted Use (cont.)

Restricted Use (cont.)

<p>Purchases with Marketplace Suppliers</p>	<p>Purchases from suppliers active within the UR Marketplace should not be made on Pcard. Purchases made to these suppliers via credit card cannot have our contracted pricing verified.</p> <p><u>Best Practice Purchase Method:</u> Connect to the Jaggaer Marketplace within Workday Procurement to fulfill orders for these suppliers.</p>
<p>Sales Tax</p>	<p>University is tax-exempt. Our tax exempt number is embossed on the front of the card. If a vendor charges sales tax to an order, the cardholder must make every reasonable effort to recoup sales tax.</p>
<p>Software</p>	<p>Refers to any of the following:</p> <ul style="list-style-type: none"> • Software licenses • SaaS (software-as-a-service) • Cloud software <p>Any software program that interacts with the University network and may have potential access to patient, personal, or otherwise sensitive data must be reviewed for risk assessment with University IT Security.</p> <p><u>Best Practice Purchase Method:</u> Complete a Requisition within Workday Procurement to request a Purchase Order.</p>

**University of Rochester
Procurement Card Policy & Procedure Manual**

5A. Approved & Restricted Use (cont.)

Restricted Use (cont.)

<p>Split Transactions</p>	<p>The cost of a single purchase or payment must not be split into multiple payments in order to circumvent the single purchase limit of \$5,000.</p> <p>Any instances of transaction splitting are not an acceptable practice and will result in corrective action as stated on Page 21 ('Card Misuse & Consequences').</p>
<p>Travel & Related Purchases</p>	<ul style="list-style-type: none"> • Hotel & lodging • Airfare, taxi, other transportation • Travel agencies • Travel meals <p>Only permissible using the Event Card or Group Travel Card (see Page 33). All other individual business travel expenses are subject to the Business Expense and Travel Reimbursement policy.</p> <p>Best Practice Purchase Method: Charge your airline tickets to the University of Rochester Business Travel Account (BTA) by submitting an approved F2 (Request for Advance Travel Tickets) to one of our travel agents, Town and Country or DePrez. Utilize American Express Corporate Card for other travel expenses and request reimbursement via an F3 Expense Report Form.</p>
<p>Vehicle Rental & Other Transportation</p>	<p>May include, but not limited to:</p> <ul style="list-style-type: none"> • Limos, taxis, bus rentals, ride-sharing (Lyft, Uber, etc), ambulances • Applies to instances that include or affect students, employees, and patients and their families <p>Category presents a high degree of physical & financial risk to the organization.</p> <p>Best Practice Purchase Method: Complete a Requisition within Workday Procurement to request a Purchase Order. Departments should utilize our rental car agency contracts (Enterprise, National Car Rental, or Hertz) wherever possible.</p>



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5A. Approved & Restricted Use (cont.)

Exceptions

Departments may request a **one-time** exception to any of these restricted categories.

This option should be used only in rare circumstances where there is a compelling or urgent business need that cannot be otherwise met utilizing other procurement/payment options.

If any exception to the restricted use list is being sought for a Pcard purchase, the cardholder must request authorization **prior to** making the purchase utilizing a fully signed copy of the *Transaction Exception Form* (see [Appendix 5D, page 47](#)). Making a restricted purchase without this authorization will result in corrective action as defined in Page 22 ('[Card Misuse & Consequences](#)').

Note: The Pcard Administrator reserves the right to refuse any requested exception. Requests will be evaluated based on judgement of perceived risk(s) to the organization, review of any conflicting contractual obligations, and potential adverse impact to the requesting department or organization as a whole if exception is not granted.



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5B. Pcard Verification Procedures

Pcard transactions are expensed to department ledger accounts through the Pcard Verification Process. All card transaction activity is managed and verified through [Workday Procurement](#). Card transactions are downloaded daily from the bank into Workday for Cardholders and Procurement Card Managers to verify.

Detailed instructions for how to verify Pcard transactions are included in the Pcard Program training in Mypath that all cardholders and Procurement Card Managers must complete *prior* to being able to have access to the program. Quick Reference Guides for the Verification Process are also available on-demand on the [Procurement website](#).

Managing Transaction Verifications

Each Pcard transaction verification *must* include, at a minimum:

- Some form of original receipt backup, which may include, but is not limited to: copy of a sales order or invoice, physical printed receipt, electronic order confirmation, packing slips, etc. Any supporting correspondence related to the purchase (e.g. emails) are strongly recommended to be included as part of the backup to help substantiate the purchase.
- FAO Worktag and Spend Category to charge
- Business Purpose (written justification for why the purchase benefits the University or supports its mission)
- Certification/confirmation that purchase does not contain [PHI](#) (Protected Health Information) or [PII](#) (Personally Identifiable Information)

Upon completion of the required steps, the Cardholder submits the verification to the Procurement Card Manager for final review & approval.



University of Rochester Procurement Card Policy & Procedure Manual

5B. Pcard Reconciliation Procedures (cont.)

Since the transaction has already taken place by the time it will be approved in Workday, the Procurement Card Manager should be looking for the following:

- ✓ Transaction is appropriate for Pcard (is not considered excluded by policy)
 - Transactions deemed inappropriate on Pcard *must* be brought to the attention of the Pcard Administrator
- ✓ Transaction contains sufficient backup to substantiate the purchase
 - Transactions missing backup *must* include a copy of the *Missing Receipt Form* ([Appendix 5E, page 48](#))
 - Transactions failing to meet these criteria will be considered a violation of policy per ‘[Card Misuse & Consequences](#)’ and will be subject to a followup audit.
- ✓ Transaction contains a reasonable business purpose
- ✓ FAO/SC listed on the transaction is accurate and appropriate for the purchase
 - Procurement Card Manager has the ability to modify or change any of the information associated with the verification, if they deem it necessary

Once the Procurement Card Manager has completed this review and approved the verification, the transaction will immediately post to the department ledger.

Note: Because of the nature of credit card purchases, transactions will still be paid and posted to department ledgers regardless of if transactions are truly legitimate. Transactions cannot be held/stopped once they post to the card, but they can be credited after the fact.

Special Circumstances

- **Fraudulent Transactions:** In the event a card is compromised and fraudulent transactions actually post to a cardholder’s activity, the cardholder should immediately contact US Bank’s Fraud Division (1-800-523-9078), as well as notify their Procurement Card Manager and the Pcard Administrator. Since card transactions cannot be stopped once they post, even fraudulent ones, the transaction must still be verified within Workday. The bank will open a fraud case and will likely end up crediting any fraudulent purchases within the next billing cycle.
- **Credits:** Any credits for previous purchases (including sales tax reimbursements and credits for fraudulent activity) should be verified the same way as a regular purchase.

Detailed steps for managing these special circumstances can be found on the [Procurement website](#).



**University of Rochester
Procurement Card Policy & Procedure Manual**

5B. Pcard Reconciliation Procedures (cont.)

Due Dates for Pcard Verifications

While Pcard transactions in Workday will never be locked out, policy requires a regular completion of verification activity in order to maintain appropriate departmental financial controls and protect against potential fraud.

Pcard Verifications are required to be completed within **30 days** of the transaction appearing in Workday. This is defined as the cardholder completing all required verification steps as well as the Procurement Card Manager completing final review and approval.

Transactions that remain unverified for longer than 30 days will result in the user's card being temporarily suspended until verifications have been completed. Users are strongly encouraged to verify their activity at least weekly to prevent any loss of service.

Transactions unverified for **90 days or longer** will result in the immediate cancellation of the card.

Questions regarding this process can be directed to the Pcard Administrator.



PCARD AUTHORIZATION REQUEST FORM

Appendix 5C

Last Name _____ First _____ MI _____

Department _____ 8-Digit UR ID _____

Email Address _____ Phone # _____

Primary Company (select one): 010 Central Administration 020 The College
021 School of Arts & Sciences 022 School of Engineering & Applied Sciences 023 Simon School of Business
024 Warner School of Education 030 Eastman School of Music 040 School of Medicine & Dentistry
050 Strong Hospital 060 School of Nursing 070 Memorial Art Gallery 090 Health Sciences
091 Medical Faculty Group 092 Eastman Institute of Oral Health

Type of Card Being Requested (select one):

Standard Pcard Event Card Group Travel Card Declining Balance Card

Requested Monthly Credit Limit _____

(Standard single transaction limit is **\$5,000**; lower limits are also acceptable if requested)

(Additional justification required for monthly credit limits exceeding **\$25,000**)

Cardholder Signature

Date

Designated Procurement Card Manager

Signature/Date

Department Head/Chair

Signature/Date

Divisional Finance Officer

Signature/Date



CARDHOLDER & PROCUREMENT CARD MANAGER AGREEMENT

As a designated cardholder/Procurement Card Manager for the University Pcard Program, your signature below is verification that you have read the Procurement Card Policy and Procedure Manual and agree to comply with it as well as the following responsibilities.

CARDHOLDER

- 1. I hereby agree to comply with all program policies and procedures outlined within the Policy and Procedure Manual and the terms and conditions defined below. I understand the card is for University-approved business purchases only and I agree not to charge personal purchases.
2. Improper use of this card (including personal purchases) can be considered misappropriation of University funds. This may result in disciplinary action up to and including termination of employment.
3. If the card is lost or stolen, I will immediately notify U.S. Bank by telephone at 1-800-344-5696 and will also notify the University Pcard Administrator via email of any lost or stolen card.
4. I agree to surrender the card immediately upon termination of employment, whether for retirement, voluntary or involuntary reasons.
5. The card is issued in my name. I will not allow any other person to use the card. I am considered responsible for any and all charges against the card.
6. I will comply with sound internal auditing control procedures for all Pcard purchases. This includes uploading of all receipts and related transaction backup to the appropriate Pcard transactions within Workday, maintaining a record of business purpose; purchase authorization, accounting code reconciliation, etc. in addition to proper record retention. I understand that failure to do so will result in suspension of card privileges.
7. I understand that the Pcard is not necessarily provided to all employees. Assignment is based on my need to make approved business purchases for my department. My card may be revoked based on change of assignment or location. I understand that the card is not an entitlement nor reflective of title or position and it may be revoked at any time, without reason, by my Department, Division, Procurement or University Administration.

PROCUREMENT CARD MANAGER

- 1. I hereby agree to comply with and enforce all program policies and procedures outlined within the Policy and Procedure Manual and the terms and conditions defined below. I understand the card is for University-approved purchases only and cannot be used to charge personal purchases. I understand that the card is not an entitlement nor reflective of title or position.
2. Improper use of this card (including personal purchases) can be considered misappropriation of University funds. This may result in disciplinary action up to and including termination of employment.
3. I agree to retrieve the card immediately upon termination of a cardholder, whether for retirement, voluntary or involuntary reasons.
4. I will comply with sound internal auditing control procedures for all Pcard purchases. This includes insuring the uploading of all receipts and related transaction backup to the appropriate Pcard transactions within Workday, maintaining a record of business purpose; accounting code reconciliation, etc. in addition to proper record retention.
5. As the card is University property, I understand that I may be periodically required to comply with internal audit control procedures designed to protect University assets. Although receipts are required to be uploaded in Workday, I may also be asked to produce other documentation to audit its use.
6. I understand that as Procurement Card Manager, I am responsible for insuring that cardholder(s) abide by all Pcard Program Policies and Procedures and that failure to enforce the policy may result in suspension of approver rights in Workday. I understand the Pcard is not necessarily provided to all employees. Assignment is based on the need to make approved business purchases for the department.

Cardholder Signature

Procurement Card Manager Signature



PCARD CHANGE FORM

Appendix 5D

Cardholder Name _____ Department _____

Change Being Requested (select all that apply)

Monthly Limit Change Change in Procurement Card Manager Card Termination/Suspension

Monthly Limit Change

Current Monthly Limit _____ Requested New Monthly Limit _____

Justification/Reason for Change

Will this change be temporary or permanent? _____ If temporary, for how many months? _____

Cardholder Signature _____ Procurement Card Manager Signature _____

Department Head/Chair Signature _____

Change in Procurement Card Manager

Current Procurement Card Manager _____ New Procurement Card Manager _____

Justification/Reason for Change

Procurement Card Manager Signature (New) _____ Department Head/Chair Signature _____

Card Termination/Suspension (select one)

- Employee switched departments (cancel card) Employee terminated (cancel card)
- Employee voluntarily separated employment or retired (cancel card) Card is no longer needed (cancel card)
- Employee is on medical leave (e.g. short/long term disability or family leave; temporarily suspend card until return to work)
- Other _____

Procurement Card Manager Signature _____



PCARD TRANSACTION EXCEPTION FORM **Appendix 5E**

Cardholder Name _____ Department _____

Exception Being Requested (selected all that apply)

Single Purchase Limit Increase

Purchase from Restricted Category

Single Purchase Limit Increase Request

Supplier _____

What is being purchased?

What is the total cost of the purchase? _____

(A quote, invoice, estimate, or order printout containing breakdown of cost should be included with this request)

Justification/Reason for Exception (why Pcard instead of another purchase/payment method?) (Can also be included on separate page)

Purchase from Restricted Category

Supplier _____ Category Restriction (see Appendix 5A, pages 36-41) _____

What is being purchased?

What is the total cost of the purchase? _____

(A quote, invoice, estimate, or order printout containing breakdown of cost/summary of order should be included with this request)

Justification/Reason for Exception (why Pcard instead of another purchase/payment method?) (Can also be included on separate page)

Cardholder Signature

Date

Procurement Card Manager Signature

Date

Chair/Department Head Signature

Date



PCARD MISSING RECEIPT FORM

Appendix 5F



Cardholder Name _____ Department _____

Supplier Associated with Transaction

Transaction Amount _____ Transaction Date _____

What was purchased? (Please be as detailed as possible – can also include additional detail on separate page)

Justification/Reason for Missing Receipt

Disclaimer:

Department is required to include this form for any Pcard transaction for which a standard receipt, invoice, order confirmation, or other form of detailed backup was unable to be obtained from the supplier. Cardholder and Procurement Card Manager should make every reasonable effort to obtain backup from the supplier.

A signed copy of this form must be scanned and uploaded as an attachment as part of the Pcard Verification Process within Workday for any transaction missing a receipt or other form of backup. Failure to do so is considered a violation of policy and will result in corrective action as listed in '[Card Misuse and Consequences](#)'.

Cardholder Signature

Date

Procurement Card Manager Signature

Date



PCARD ANNUAL RECERTIFICATION FORM Appendix 5G

Cardholder Name _____ Department _____

Are any values changing with the following information?
(If so, please also complete the Pcard Change Form to include with this request)

Monthly Credit Limit

Assigned Procurement Card Manager

No values are changing; recertification of information only

RECERTIFICATION AGREEMENT

Disclaimer: As a designated cardholder/Procurement Card Manager for the University Pcard Program, your signature below is verification that you will continue to comply with all Pcard program policies & procedures, and that failure to do so may result in suspension of access to the program.

CARDHOLDER

- I hereby agree to comply with all program policies and procedures outlined within the Policy and Procedure Manual and the terms and conditions defined below. I understand the card is for University-approved business purchases only and I agree not to charge personal purchases.
- Improper use of this card (including personal purchases) can be considered misappropriation of University funds. This may result in disciplinary action up to and including termination of employment.
- If the card is lost or stolen, I will immediately notify U.S. Bank by telephone at 1-800-344-5696 and will also notify the University Pcard Administrator via email of any lost or stolen card.
- I agree to surrender the card immediately upon termination of employment, whether for retirement, voluntary or involuntary reasons.
- The card is issued in my name. I will not allow any other person to use the card. I am considered responsible for any and all charges against the card.
- I will comply with sound internal auditing control procedures for all Pcard purchases. This includes uploading of all receipts and related transaction backup to the appropriate Pcard transactions within Workday, maintaining a record of business purpose; purchase authorization, accounting code reconciliation, etc. in addition to proper record retention. I understand that failure to do so will result in suspension of card privileges.
- I understand that the Pcard is not necessarily provided to all employees. Assignment is based on my need to make approved business purchases for my department. My card may be revoked based on change of assignment or location. I understand that the card is not an entitlement nor reflective of title or position and it may be revoked at any time, without reason, by my Department, Division, Procurement or University Administration.

PROCUREMENT CARD MANAGER

- I hereby agree to comply with and enforce all program policies and procedures outlined within the Policy and Procedure Manual and the terms and conditions defined below. I understand the card is for University-approved purchases only and cannot be used to charge personal purchases. I understand that the card is not an entitlement nor reflective of title or position.
- Improper use of this card (including personal purchases) can be considered misappropriation of University funds. This may result in disciplinary action up to and including termination of employment.
- I agree to retrieve the card immediately upon termination of a cardholder, whether for retirement, voluntary or involuntary reasons.
- I will comply with sound internal auditing control procedures for all Pcard purchases. This includes insuring the uploading of all receipts and related transaction backup to the appropriate Pcard transactions within Workday, maintaining a record of business purpose; accounting code reconciliation, etc. in addition to proper record retention.
- As the card is University property, I understand that I may be periodically required to comply with internal audit control procedures designed to protect University assets. Although receipts are required to be uploaded in Workday, I may also be asked to produce other documentation to audit its use.
- I understand that as Procurement Card Manager, I am responsible for insuring that cardholder(s) abide by all Pcard Program Policies and Procedures and that failure to enforce the policy may result in suspension of approver rights in Workday. I understand the Pcard is not necessarily provided to all employees. Assignment is based on the need to make approved business purchases for the department.

Cardholder Signature _____

Procurement Card Manager Signature _____

Department Head/Chair Signature _____