

COMMERCIAL CARD VIOLATION WARNING FORM

This form is required for any transaction where a violation has occurred. Please indicate the Commercial Card type in which the violation occurred.

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

Information:

Cardholder:
Department:
Approving Official:
Today's Date:
Transaction Reference #:
Merchant Name:
Transaction Date:
Amount:

Type of Violation:

The following violation has been found in reference to the above transaction.

Approving Official/Travel Compliance Designee Instructions: Obtain information from the Cardholder as to why the purchase was made on the card. Mark the appropriate category below.

- Personal purchase
- Cash Transaction
- Transaction over \$5,000
- Split Purchase

Inappropriate Purchase Dependent on Card Type:

- Restaurant meals
- Travel & travel related expenses
- Motor vehicle expenses unless authorized by the Program Administrator
- Goods and Services
- 1099 Reportable Services
- Other (describe):

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- Lack of Documentation – The Documentation of Lost or Unavailable Transaction Information form must be completed and attached.
 - Unallowable purchase under the terms of a grant of similar project

Cardholder Explanation – Explain why the purchase was made on an agency card and provide detailed information on what has been done to correct the situation. Attach additional sheet(s) if necessary.

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Cardholder Certification: I hereby acknowledge that the above transaction is in violation of the commercial card policies and that repeated violations could result in revocation of my card. I further acknowledge that I have been warned through the use of this form I understand that I am permitted to make purchases that are in compliance with commercial card policies and agree to refer to my User Handbook or contact my department Program Administrator if I am unsure about card policies or instructions.

Date

Cardholder Name

Cardholder Signature

Approving Official/TCD Determination and Certification – Mark appropriate category and take the action(s) listed:

_____ The above transaction is a violation of the commercial card policies. The Cardholder has been warned through the use of this form. The card will not be revoked at this time.

- Actions:**
- 1.) Obtain the Cardholder’s signature on this form.
 - 2.) Send the original of this completed form to the agency’s Program Administrator along with the documentation for the above transaction.
 - 3.) Keep a copy of this form with the Cardholder’s statement and/or in a separate “violations file” in the department.
 - 4.) Provide a copy of this form to the Cardholder.
 - 5.) Request that the Program Administrator send a copy of this form to the State Controller’s Office.

_____ The above transaction is a violation of commercial card policies and the card is being revoked.

- Actions:**
- 1.) Notify the Cardholder in writing that their card is being revoked.
 - 2.) Retrieve the card, destroy it, and request immediate cancellation of the card.
 - 3.) Notify the Program Administrator that the card has been revoked and destroyed.
 - 4.) Contact the Program Administrator to determine if there are additional reporting requirements to maintain coverage under the Visa® Liability Waiver Program.
 - 5.) Request that the Program Administrator provide written notification to the State Controller’s Office of this incident.

Date

Approving Official/TCD Name

Approving Official/TCD Signature

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Instructions: Commercial Card Violation Warning Form

This form is required for any commercial card transaction where a violation has occurred. Repeated violations could result in revocation of the card.

The Approving Official and/or Travel Compliance Designee [TCD] must make a determination if a transaction is a violation or not. The Approving official/TCD should follow the instructions below after a determination has been made that a transaction is card violation.

Approving Official/TCD Instructions:

Obtain an explanation from the Cardholder as to why this purchase was made on the credit card and what action has been taken to correct the situation.

Review the Cardholder's violation history to determine if the Cardholder has repeatedly had commercial card violations. This history will be a factor in the decision to warn the Cardholder or revoke the credit card.

Evaluate previous card violations for:

- Split purchases
- Inappropriate purchase
- Lack of documentation that was determined to be a card violation
- Personal purchase that was immediately reported and reimbursed or credited by the merchant

The Approving Official/TCD will investigate the number and nature of the Cardholder's violations and their impact on the agency. The determination may be made in consultation with the Program Administrator and the Cardholder's supervisor.

- No revocation of the commercial card will occur at this time
 - If the Cardholder history indicates that the Cardholder does not routinely have violations of any type, the Approving Official/TCD may determine that the card will not be revoked at this time
- Revocation of the commercial card
 - If the Cardholder's history indicates that the Cardholder has a history of violations of any type, the Approving Official/TCD may determine that the card should be revoked

If the violation involves any of the following, the Approving Official/TCD should review guidelines established for various program violations, if applicable.

- Personal purchase that was not immediately reported and corrected
- Cash or cash type transaction
- Lack of documentation that was determined to be a card violation and may involve fiscal misconduct

- 1.) Obtain the Cardholder signature in the Cardholder Certification signature section.
- 2.) Notify the Cardholder's supervisor of the decision to revoke the card.
- 3.) Indicated the appropriate determination in the APPROVING OFFICIAL/TCD DETERMINATION and CERTIFICATION section on the front of this form.
- 4.) The Approving Official/TCD needs to document the specific reasons for revoking card privileges.
- 5.) Notify the Program Administrator
- 6.) Request that the Program Administrator provide written notification to the Office of the State Controller's these circumstances and the action(s) taken.