



The University of Auckland

# Credit Card Compliance

Compliance tests

7-15-2019

# Contents

- Introduction ..... 2
- Pcard or Ecard compliance tests ..... 3
  - Test 1 Receipt..... 3
  - Test 2 Airfare class ..... 4
  - Test 3 Airline club or lounge membership charges ..... 4
  - Test 4 The car rental ..... 4
  - Test 5 Insurance on the car rental ..... 5
  - Test 6 The hotel expense ..... 5
  - Test 7 Minibar charges..... 5
  - Test 8 Laundry expense ..... 6
  - Test 9 Orbit ..... 6
  - Test 10 The meals or incidentals expense details..... 6
  - Test 11 Alcohol charges ..... 7
  - Test 12 Catering charges..... 7
  - Test 13 Charges for a tip ..... 7
  - Test 14 Traffic fines ..... 8
  - Test 15 Charges for devices ..... 8
  - Test 16 Charges for a broadband modem ..... 8
  - Test 17 Charges for gifts cards ..... 9
  - Test 18 Charges for wine as a gift ..... 9
  - Test 19 Charges for personal dress-up ..... 9
  - Test 20 Charges for personal entertainment ..... 10
  - Test 21 Charges for personal items ..... 10

## Introduction

After the expense report is submitted, the report is sent to the Concur Audit Service. Every credit card transaction in the report will be reviewed against the relevant University policies. Credit card transactions that are assessed as compliant transactions will follow the existing report flow for approval. If non-compliant credit card transactions are identified, the expense report will be sent back to the user for a resolution instead of being sent to the approval stage.

This document lists all audit tests that will be performed once the expense report is submitted. We also introduce scenarios where transactions fail the tests and are sent back to the submitter for a resolution. The purpose of this document is to increase transparency and accountability by specifying what expenditures are generally not allowed by University policies related to the use of purchasing card (Pcard) or Expense card (Ecard).

## Pcard or Ecard compliance tests

### Test 1 Receipt

Transactions will fail the compliance tests in the following scenarios related to a receipt. Consequently, the transaction will be sent back to the submitter for a resolution.

<b>Item#</b>	<b>Test description</b>	<b>Concur reason codes</b>	<b>Notification in Concur if a transaction fails the test</b>
1.1	Date does not match/incomplete/missing	Receipts: Date not matching/incomplete/missing	The date of the receipt for this transaction is missing, incomplete (Month, Day, and Year required) or does not match the date of the expense claim. Please correct the date discrepancy and resubmit.
1.2	Expense Type incorrect	Expense: Wrong Type	The expense type claimed does not appear to be correct for this transaction. Please choose the correct expense type and resubmit the report.
1.3	Multiple Exceptions	Receipts: Multiple Exceptions Found	This transaction does not meet all receipt requirements, including legibility, exact amount match, complete date match, proper expense type, and/or complete vendor listed. Please ensure all receipt requirements are met and resubmit.
1.4	No Receipt, Missing Receipt Affidavit, Credit Card Statement, or Comment	Receipt: Missing	Please include a valid receipt. If the receipt is lost, please provide a missing receipt affidavit, credit card statement or an explanation and resubmit for this transaction.
1.5	Receipt illegible	Receipt: Not Legible	The receipt is not legible. Please provide a more legible copy of the receipt and resubmit for this transaction.

## Test 2 Airfare class

A transaction for a premium or business class airfare will be flagged as a generally non-allowable expense and sent to a budget holder for review.

<b>Item#</b>	<b>Test description</b>	<b>Concur reason codes</b>	<b>Notification in Concur if a transaction fails the test</b>
2.1	Premium or business class is acceptable only if the flight duration exceeds 5 hours, and an SLT approval is provided.	Expense: Non-Allowable- Air	Approved with exception: Airfare class exception identified for this transaction.

## Test 3 Airline club or lounge membership charges

A transaction that contains airline clubs or lounge membership charges without a valid business justification will be sent back to the submitter for a resolution.

<b>Item#</b>	<b>Test description</b>	<b>Concur reason codes</b>	<b>Notification in Concur if a transaction fails the test</b>
3.1	Airline clubs or lounge membership charges are generally not allowed.	Expense: Non-Allowable- Air	Your company does not authorise reimbursement for airline club or lounge membership charges. Please mark as personal or exclude from the report. If this is a valid business purchase, please provide a comment to justify the expense and resubmit for this transaction.

## Test 4 The car rental

If the class of a car rental is identified to be greater than midsize, this transaction will be flagged as a generally non-allowable expense and sent to a budget holder for review.

<b>Item#</b>	<b>Test description</b>	<b>Concur reason codes</b>	<b>Notification in Concur if a transaction fails the test</b>
4.1	The class of car rental is greater than midsize.	Expense: Non-Allowable- Car Rental	Approved with exception: Car rental class exception identified for this transaction.

### Test 5 Insurance on the car rental

A transaction that contains an insurance charge on the car rental bill without a valid justification will be sent back to the submitter for a resolution.

<b>Item#</b>	<b>Test description</b>	<b>Concur reason codes</b>	<b>Notification in Concur if a transaction fails the test</b>
5.1	There is insurance on the car rental bill	Expense: Non-Allowable- Car Rental	Your company policy does not authorise reimbursement for car rental insurance. Please itemise the expense to mark this portion as personal. If this is a valid business purchase, please provide a comment to justify the expense and resubmit for this transaction and resubmit.

### Test 6 The hotel expense

A transaction that relates to hotel expenses and that is not itemised to match the hotel folio will be sent back to the submitter for a resolution.

<b>Item#</b>	<b>Test description</b>	<b>Concur reason codes</b>	<b>Notification in Concur if a transaction fails the test</b>
6.1	The hotel expense needs to be properly itemised to match the hotel folio, while room rate and taxes can be combined.	Hotel Itemisation: Incorrectly Itemised	Your company requires this transaction to be itemised to match the hotel folio. Please itemise the expenses to the correct expense type and resubmit.

### Test 7 Minibar charges

A transaction that contains minibar charges and that does not contain a valid business justification for the expense will be sent back to the submitter for a resolution.

<b>Item#</b>	<b>Test description</b>	<b>Concur reason codes</b>	<b>Notification in Concur if a transaction fails the test</b>
7.1	Minibar charges are generally not allowed	Expense: Non-Allowable- Hotel	Your company policy does not authorise reimbursement for the minibar. Please include a comment to justify the expense or remove from the report and resubmit for this transaction.

## Test 8 Laundry expense

In the context that the travel does not exceed three (3) continuous days, a transaction that contains laundry expenses will be sent back to the submitter for a resolution.

Item#	Test description	Concur reason codes	Notification in Concur if a transaction fails the test
8.1	The laundry expense can be justified only if the travel exceeds three (3) continuous days.	Expense: Non-Allowable- Hotel	Your company does not authorise reimbursement for laundry charges unless travel exceeds 3 continuous days. Please mark as personal or exclude from the report. If this is a valid business purchase, please provide a comment to justify the expense and resubmit for this transaction.

## Test 9 Orbit

If the travel is booked outside Orbit, this transaction will be flagged as a generally non-allowable expense and sent to a budget holder for review.

Item#	Test description	Concur reason codes	Notification in Concur if a transaction fails the test
9.1	Travel booked through a direct vendor.	Expense: Non-Allowable- Other	Approved with exception: Travel booked directly from the vendor for this transaction.
9.2	Travel booked outside Orbit.	Expense: Non-Allowable- Other	Approved with exception: Travel booked outside Orbit for this transaction.

## Test 10 The meals or incidentals expense details

Item#	Test description	Concur reason codes	Notification in Concur if a transaction fails the test
10.1	The expenses need to have the description including attendees' names, company affiliation, date, location, amount and business purpose.	Attendees: Not Listed	This transaction requires further information. Please include any missing information, including attendees' names, company affiliation, date, location, amount and business purpose and resubmit.

### Test 11 Alcohol charges

A transaction that contains alcohol charges without a valid business justification will be sent back to the submitter for a resolution.

<b>Item#</b>	<b>Test description</b>	<b>Concur reason codes</b>	<b>Notification in Concur if a transaction fails the test</b>
11.1	Are there any alcohol charges present?	Expense: Non-Allowable-Meals/Entertainment	Your company does not authorise reimbursement for alcohol charges. Please mark as personal or exclude from the report. If this is a valid business purchase, please provide a comment to justify the expense and resubmit for this transaction.

### Test 12 Catering charges

A transaction that contains catering charges without a valid business justification will be sent back to the submitter for a resolution.

<b>Item#</b>	<b>Test description</b>	<b>Concur reason codes</b>	<b>Notification in Concur if a transaction fails the test</b>
12.1	Are there any charges for catering? If yes, is there a justification provided?	Expense: Non-Allowable-Other	Your company does not authorise reimbursement for catering charges. Please mark as personal or exclude from the report. If this is a valid business purchase, please provide a comment to justify the expense and resubmit for this transaction.

### Test 13 Charges for a tip

A transaction that contains charges for a tip will be sent back to the submitter for a resolution.

<b>Item#</b>	<b>Test description</b>	<b>Concur reason codes</b>	<b>Notification in Concur if a transaction fails the test</b>
13.1	Are there any charges for a tip?	Expense: Non-Allowable-Other	Your company policy does not authorise reimbursement for a tip. Please mark as personal or exclude from the expense report and resubmit for this transaction.



### Test 14 Traffic fines

A transaction that contains traffic fines or parking violation charges without a valid business justification will be sent back to the submitter for a resolution.

<b>Item#</b>	<b>Test description</b>	<b>Concur reason codes</b>	<b>Notification in Concur if a transaction fails the test</b>
14.1	Are there any traffic fines or parking violation charges present?	Expense: Non-Allowed-Other	Your company does not authorise reimbursement for traffic fines or parking violation charges. Please mark as personal or exclude from the report. If this is a valid business purchase, please provide a comment to justify the expense and resubmit for this transaction.

### Test 15 Charges for devices

A transaction that contains charges for stolen, lost or damaged devices without a valid business justification will be sent back to the submitter for a resolution

<b>Item#</b>	<b>Test description</b>	<b>Concur reason codes</b>	<b>Notification in Concur if a transaction fails the test</b>
15.1	Are there any charges for stolen, lost or damaged devices?	Expense: Non-Allowed-Other	Your company policy does not authorise reimbursement for stolen, lost or damaged devices. Please mark as personal or exclude from the expense report. If this is a valid business purchase, please provide a comment to justify the expense and resubmit for this transaction.

### Test 16 Charges for a broadband modem

A transaction that contains charges for registration, installation, or maintenance for a broadband modem without a valid business justification will be sent back to the submitter for a resolution.

<b>Item#</b>	<b>Test description</b>	<b>Concur reason codes</b>	<b>Notification in Concur if a transaction fails the test</b>
16.1	Are there any charges for registration, installation or maintenance for a broadband modem?	Expense: Non-Allowed-Other	Your company policy does not authorise reimbursement for registration, installation or maintenance for broadband modem. Please mark as personal or exclude from the expense report. If this is a valid business purchase, please provide a comment to justify the expense and resubmit for this transaction.

### Test 17 Charges for gifts cards

A transaction that contains charges for gifts cards without approval will be sent back to the submitter for a resolution.

<b>Item#</b>	<b>Test description</b>	<b>Concur reason codes</b>	<b>Notification in Concur if a transaction fails the test</b>
17.1	Are there any charges for gifts cards? If yes, is there an approval provided?	Expense: Non-Allowable-Other	Your company policy does not authorise reimbursement for gift cards. Please obtain an approval or mark the expense as personal or exclude from the expense report and resubmit for this transaction.

### Test 18 Charges for wine as a gift

Goldie wine is acceptable as a gift. If a transaction contains charges for wine as a gift, and that wine is not Goldie Wines, it will be sent back to the submitter for a resolution.

<b>Item#</b>	<b>Test description</b>	<b>Concur reason codes</b>	<b>Notification in Concur if a transaction fails the test</b>
18.1	Are there any charges for wine as a gift? If yes, is there an approval from Strategic Procurement Manager David Rees?	Expense: Non-Allowable-Other	Your company policy does not authorise reimbursement for wine as a gift. Please obtain approval from David Rees or mark the expense as personal or exclude from the expense report and resubmit for this transaction.

### Test 19 Charges for personal dress-up

A transaction that contains personal service charges without a valid business justification will be sent back to the submitter for a resolution.

<b>Item#</b>	<b>Test description</b>	<b>Concur reason codes</b>	<b>Notification in Concur if a transaction fails the test</b>
19.1	Are there any spa, barber, salon, manicure, hairdresser, massage or shoe shine charges present?	Expense: Non-Allowable-Other	Your company does not authorise reimbursement for personal service charges. Please mark as personal or exclude from the report. If this is a valid business purchase, please provide a comment to justify the expense and resubmit for this transaction.

### Test 20 Charges for personal entertainment

A transaction that contains charges for personal entertainment without a valid business justification will be sent back to the submitter for a resolution.

<b>Item#</b>	<b>Test description</b>	<b>Concur reason codes</b>	<b>Notification in Concur if a transaction fails the test</b>
20.1	Is the expense for movies, theatre, concerts, cinemas, sporting events, sightseeing tours or any other personal entertainment?	Expense: Non- Allowable- Other	Your company policy does not authorise reimbursement for personal entertainment charges. Please mark as personal or exclude this from your report. If this is a valid business purchase, please provide a comment to justify the expense and resubmit for this transaction.

### Test 21 Charges for personal items

A transaction that contains charges for personal items without a valid business justification will be sent back to the submitter for a resolution.

<b>Item#</b>	<b>Test description</b>	<b>Concur reason codes</b>	<b>Notification in Concur if a transaction fails the test</b>
21.1	Are there any personal item charges present such as toiletries, tobacco, clothing, luggage, briefcases, cell phone accessories, medicine, newspapers, magazines or books?	Expense: Non- Allowable- Other	Your company does not authorise reimbursement for personal item charges. Please mark as personal or exclude from the report. If this is a valid business purchase, please provide a comment to justify the expense and resubmit for this transaction.