Cashiering and Revenue Collection Guidelines

March 2012
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Overview

Purpose

This guideline covers the general provisions for revenue collection for the University.

This guideline needs to be considered in conjunction with other University policies, procedures and guidelines.

All references to monetary amounts in this guideline are on a GST inclusive basis.

Coverage

This Guideline applies to all University budget centres, including Institutes, Centres, Divisions and the Foundation, including any third parties or contractors involved in revenue collection for the University.

Exclusions

This guideline excludes information on:

- Cashiering guidelines for Financial Services staff. Refer to Cashiers Back Office Guidelines.
- Guidelines for the generation of invoices and debtor management refer to Invoicing and Receivables Guidelines.
- Invoicing and receivable guidelines for Financial Services Staff refer to Invoicing and Receivables Back Office Guidelines.
- Technical and policy information regarding PCI compliance. Refer to the relevant IT Resources policy and procedures for further information.

Guideline Objectives

Probity and Accountability

All funds received by the University must be correctly receipted, recorded and banked in accordance with all relevant policies, procedures and legislation.

All University staff should observe the following ethical standards:

- All business should be conducted in the best interests of the University, avoiding any situation which may impinge, or might be deemed to impinge, on impartiality
- Maintain confidentiality in all dealings
- Maintain all sensitive revenue information in a secure manner
- Decline gifts, gratuities, or any other benefits which may influence, or might be deemed to influence equity and impartiality
**Key Considerations**

**University Funds**

All funds receipted must be for University business purposes.

**University Receipts**

All funds received for University purposes must be recorded by means of a University receipt.

**Cash Minimisation**

It is the policy of the University to minimise the amount of cash transactions and cash held on campus. As such the University policy is to receive funds by electronic payment methods where possible. These methods include BPAY, Australia Post, web payments and direct credits.

As part of the cash minimisation policy, the number of cashier locations will be minimised and payers directed to central cashiering points. New cashier locations will only be created where essential for the efficient processing of receipts.

**PCI Requirements**

The Payment Card Industry (PCI) has instituted a set of Data Security Standards (DSS) that the University must comply with in regards to cardholder data and transactions.

Any staff or other parties involved in revenue activities within the Card Processing Environment (CPE) must sign an agreement that they have read, understand and accept the conditions around cardholder data and will fulfill the conditions of the PCI Policy and associated procedure.

Financial Services are also required to work in association with IT resources to ensure that all conditions related to PCI DSS are adhered to and reflected in these guidelines.

**Responsibilities**

Cashiers take personal responsibility for funds under their control.

Budget centres are responsible for ensuring a safe and secure cashier working environment, for the security of cashiering equipment and for providing a secure storage location for funds received.

Cashiers are responsible for immediately reporting any potential security incidents related to the cashiering environment to Financial Services.
Cashiers and Leave

All officers who normally handle funds should take annual leave, at least once each year, for a minimum period of two consecutive weeks, and another officer should act in the position during that period.
Setup of a Cashier

Creation of a Cashier

All requests to create a new cashier are to be addressed to the Chief Financial Officer in writing from the head of budget centre. Budget centres should give two weeks’ notice to allow Financial Services to make the appropriate arrangements.

All Cashiers are to be trained in the use of OneStop prior to receipting of any funds.

All requests for new users must be submitted on the OneStop New User Request Form.

All new cashiers must complete the PCI Access and Authorisation Agreement and comply with the conditions specified therein. Forms must be returned to Financial Services before cashiering access will be granted.

Cashiering responsibilities will only be granted to individuals holding the requisite duties.

Heads of budget centres are responsible for ensuring adequate cashiering coverage is available in their areas.

Cashier Passwords and Security

Password protection for cashiers must be in compliance with the PCIR 1.1 Access and Authorisation Procedure.

As specified therein, passwords must meet the following minimum parameters:

- First time passwords must be unique and changed upon first use
- Passwords must change every 90 days
- Passwords must contain eight characters or more
- Passwords must contain characters from the following character classes:
  - Alphabetic with mixed capitalisation (that is: a-z, A-Z)
  - Numeric (that is: 0-9)
  - Non alpha-numeric characters (that is: !,@,#,$,%,^,&,*)
- Passwords cannot be the same as the previous four iterations

Cashiering Equipment

Financial Services will provide all peripheral equipment required for cashiering, such as receipt printers, EFTPOS terminals and MICR readers.

On closure of a cashier location, all peripheral equipment is to be returned to Financial Services.

Cashiers and Wireless Networks

OneStop must not be set up on a wireless network under any circumstances
Changes to Cashiers

Upon termination of employment, or if the employee no longer requires access to cashiering the head of budget centre must notify Financial Services.

Where details of a cashiering location change, Financial Services is to be informed immediately in order to update the cashier system parameters.

Inactive Cashiers

Financial Services will periodically monitor the list of cashiers and disable any that are no longer active.

Cashier Operations

University Cashiers System

The main University cashiering system is the OneStop cashiers system. This system is to be used by all cashiers unless otherwise approved.

Cashiering Permissions

Users must only process payments using their own username and password. Any exception must be approved by the Chief Financial Officer. Refer to Cashiers Back Office Guidelines for details.

Only approved Cashiers may perform cashiering functions and issue receipts on behalf of the University.

Staff members who are not cashiers, or do not have access to the appropriate transactions, are not to accept payments in person and must refer payers to one of the following cashiers’ locations:

Launceston  Student Centre
Hobart       Student Centre
Burnie       Student Centre
Receipting

Receipting Permissions

Cashiers should ensure that items are receipted correctly using relevant transaction or product codes.

Cashiers will only have access to transactions they are authorised to process.

Processing of Receipts

All funds received by budget centre cashiers are to be receipted through OneStop unless otherwise approved by the Chief Financial Officer. Refer to the Work Instructions: OneStop Daily Tasks for details of how to process a receipt.

Receipts are to be made out to the payer, unless the payer specifies that the funds are on behalf of a specific party, such as a student, and wish the receipt to be issued in their name.

Receipts are to be in the form of a Tax Invoice/Receipt, and clearly indicate the payer, amount, and a description of the payment.

Receipting of Payments made in Person

An official University receipt must be immediately issued for all funds received in person and given to the payer.

Receipting of Payments made by mail, fax or phone

The University does not normally send out a receipt in the mail unless the customer specifically requests one.

Payments received through the mail or via fax are to be processed within 24 hours.

Reprinted Receipts

Duplicate receipts may be issued where a customer requires a copy of a receipt. The receipt must state clearly that it is a reprint.

Receipt of Student Fees

Most student payments are made electronically. However on occasion students will pay fees by cheque, cash or in person. In these instances Students should be directed to the nearest cashier (see below.)

The Financial Services cashier also takes payments for student fees or for international student fees such as ELICOS or Homestay payments. In these instances any attached paperwork should be returned with the receipt to International Services using a locked bag.
Forms of Payment

Cash Payments

Cashiers permitted to take cash may only take up to $500 in cash from any single payer.

Only the following cashier locations may accept cash payments:

Launceston  
Student Centre  
Uniprint (for Uniprint transactions only)  
Sport & Recreation  
Student Accommodation

Hobart  
Student Centre  
Uniprint (for Uniprint transactions only)  
The Menzies Centre  
Sport & Recreation

Burnie  
Student Centre

Under no circumstances should cash be sent through the internal mail system.

EFTPOS and Credit Card Transactions

The University does not accept Diners Club or American Express payments unless prior approval has been granted by the Chief Financial Officer or delegate.

The University Libraries only accept payments made by EFTPOS.

Ensure the following procedures are also followed:

- Allow the cardholder to select account type (e.g.: savings, credit, cheque).
- The cardholder must enter the pin number if required.
- If credit is selected, the cashier must ensure that a signature is obtained and it matches the signature on the card.
- Give the customer the second copy of the printout that is attached to the receipt.
- For credit cards, write the receipt number on the original EFTPOS chit for reference purposes.
Credit Card Payments by Phone, Mail or Fax

Only authorised cashiers may accept credit card transactions over the phone. If the cashier does not have permission to accept the payment, the customer must be directed to Financial Services Launceston.

The following details should be sought when processing a credit card phone payment:

- Card holder's name
- Type of card MasterCard or Visa
- Card Number
- Expiry Date
- Total amount of payment
- Description of the goods or services being paid for (to determine the correct dissection code) or Accounts Receivable/Student invoice number
- Contact phone number

These procedures also apply to faxed payment forms or other written requests for credit card payments.

Cheque Payments

Cheques should be receipted on the same day that they are received.

Before receipting, the following should be verified when accepting cheque payments:

- The cheque is made out to University of Tasmania
- The amount is correct
- The amount written in words matches the amount written in numbers
- The amount is in Australian dollars
- The cheque has been signed and dated
- The cheque does not have a forward date
- The cheque is stamped “Not negotiable, Pay University of Tasmania only”.
- The cheque has been entered into the University Cheque register if applicable
- The receipt number shall be written on the reverse of the cheque for reference purposes.

Money Orders and Bank Cheques

Money orders and bank cheques are treated the same as cheques.

Foreign Currency

Cashiers are not to process any funds (cash or cheques) received in foreign currency. Cashiers should contact Financial Services in these instances.

Cashiers are also not to process any payments made with traveler’s cheques.
**Card Payments by Email**

Credit card payments must not be accepted by email. If an email is received containing cardholder data the sender must be replied to and informed that we do not accept payments by email. The email must then be deleted.

**The University Cheque Register and Cheque Payments by Mail**

All cheques received via the mail need to be entered into the register, which is accessed through Financial Services Online Tools and include the following details:

- Date received
- Cheque number
- Cheque drawer
- Drawing bank
- Amount

Cheques should then be sent to Financial Services with any relevant paperwork for receipting, unless the cashier has permission to receipt the cheque themselves.

If cheques are being sent to a non-cashiering location on an ongoing basis, the budget centre should contact Financial Services, who will organise alternative arrangements with the payer.

Cheque payments over the counter do not need to be recorded in the University Cheque Register.
Start and End of Day

Opening and Closing Cashiers

At the start of each day, all that is required is to log onto One Stop.

At end of day, ensure One Stop is closed down.

End of Day Reconciliation

At the end of each day all funds received must be reconciled with the receipts issued during the day.

The cashier must reconcile once a day, even where no funds have been received during the period. In peak periods it may be necessary to perform a preliminary balance.

Reconciliation Variations

Shortfalls and surplus funds are to be clearly identified and accounted for. All variations in balancing must be recorded and reviewed by a Supervisor specified by the Chief Financial Officer.

Banking

Banking Arrangements

Arrangements for banking should be made through Financial Services Launceston. All banking arrangements are to be made through the Manager, Financial Operations, who must also be informed prior to any variations to this arrangement.

Banking of Funds

Funds must only be banked to the University of Tasmania No 1 Account.

All funds must be deposited into the University bank account in a timely fashion. Cashiers are to make arrangements to bank funds either once a day, or at a minimum once a week if volumes are low. All funds received must also be banked according to financial monthly and yearly deadlines.

If cash transactions are involved Financial Services must be contacted to organise secure collection and deposit with the bank.

Funds are to be kept in a safe or a secure location until such time as they are collected.
Refunds, Returns, Cancellations

Unidentified Payments

Where the details of funds for the University cannot be identified, Financial Services should be contacted to determine the correct course of action.

Any accompanying documentation including envelopes must be kept with the funds until the matter is resolved.

Unidentified cheque payments must be recorded in the Cheque register and the status noted in the description.

Change

Cashiers are not to give change except as part of a cashiering transaction. Change for parking meters and other unofficial purposes shall not be given from cashiers funds.

Change for Cash Transactions

Change is only to be given when the payer has tendered cash.

Cashiers who accept cash are to maintain floats adequate to provide change for cash transactions.

Change and Cheque Transactions

Change cannot be given from a cheque payment, and cheques cannot be exchanged for cash.

If a cheque payment is for more than the amount of the transaction, record the name and address of the payer and inform them that a refund will be mailed out or processed into their bank account. Send a copy of the cheque and receipt to Financial Services Launceston, along with a request to have a refund issued.

Cashing Cheques

Under no circumstances shall cheques be cashed.

Change and EFTPOS

The cash out facility of an EFTPOS terminal is not to be used under any circumstances.
Cancelling and Voiding Receipts

A voided receipt is the cancellation of a transaction made on that day, where funds are returned to the payer and the transaction is reversed.

A cashier may void any receipt that has been entered on the current day, prior to end of day processing. They must ensure that the same tender type is selected. Any requests to cancel receipts for a previous day must be referred to Financial Services Launceston.

A receipt issued in error shall be cancelled, the original receipt shall be clearly marked as to the reason of the cancellation, and the original kept on file.

Any amendments to a receipt, such as a void are to be approved by a supervisor specified by the Chief Financial Officer.

All voids must include a reason for the void when the system prompts the user to provide one.

Where an EFTPOS transaction is rejected for reasons such as insufficient funds, or an expired card, the merchant slip is to be given to the customer.

Refunds

A refund is different to a voided receipt. A refund is the return of funds where the goods or services were purchased on a previous day.

The University policy is not to give refunds at cashier points unless prior approval has been given by the Chief Financial Officer. Any requests for a refund should be directed to Financial Services Launceston, who will guide staff through the refund process.

Under exceptional circumstances cashiers at remote locations may be granted the user permissions to do a refund, but must first contact Financial Services in order to organise and authorise the transaction.

The cashier must provide Financial Services with a copy of all relevant documentation, and the refund must be authorised by the Manager Financial Operations or the Coordinator Financial Operations.

Library Refunds

Library refunds must be authorised by a second tier library staff member.

Partial refunds

Partial refunds are strongly discouraged and should only be used as a last resort. Check if there are any other refund options. For example some options include a cash refund, EFT Transfer, or cheque sent by Accounts payable.

All partial refunds must be organised through Financial Services.
New Transactions or Products

Transaction codes should be created for most transactions performed by the cashiers. Transaction codes may be further defined by product codes where necessary. Any new transactions or products must be requested using the OneStop Product/Service Request Form.

The budget centre must ensure that the transaction or product is compliant with Student Charges Policy and with provisions of the GST Guidelines.

All requests for new products or services must be authorised by the head of budget centre.

OneStop Enquires

Refer to the Work Instructions: OneStop Enquiries for details on how to enquire within OneStop.

Direct, Third Party Payments and Bulk Transactions

Methods of Payment

Several methods of electronic payment are available depending on the nature of the payment. Details of individual payment types are included in Appendix A below.

Student Fee Direct Payments

Students are encouraged to pay fees via electronic or third party methods such as BPay, or Australia Post. These are then imported into OneStop and the fees module.

Direct Credits

Occasionally an external party needs to make a deposit directly into the University's account.

If budget centres receive a request to directly deposit funds into the University bank account Financial Services should be contacted for details.

Bulk Transaction Receipting

Financial Services may, at the discretion of the Chief Financial Officer, arrange for the bulk import of receipt data into OneStop where applicable.

Staff should contact Financial Services before arranging any large scale receipting operations.
Web Page Payments

Where budget centres wish to organise payment for a particular good or service they have the option of setting a web page specifically to allow payment of that item.

The budget centre should complete the OneStop Product/Service Request Form and mark the “web” box under Selling Options.

The form should be submitted to Financial Services at least 2 weeks before the transaction is required.

Depending on the nature of the transaction Financial Services may take 1-2 weeks to set up the transaction. On completion, Financial services will inform the budget centre, who will need to organise the link to the webpage with their website co-ordinator.

Interfaces

Interface Turnaround Times

OneStop interfaces with the various direct payment systems and is uploaded on a daily basis.

Information is generally uploaded into TechOne the day after it is recorded in OneStop.

Accounts Receivable Interfaces

Accounts Receivable transactions receipted through OneStop are uploaded to TechOne the next day.
Security

Security Responsibilities

It is the personal responsibility of every officer involved with the collection, receipt or custody of University funds to safeguard those funds adequately while under their physical control.

Heads of Budget Centre are responsible for ensuring that procedures for security of funds are adhered to within their sections.

Security Incidents

Staff are responsible for reporting any potential security incidents to Financial Services immediately they become aware of them.

Possible instances that would require reporting include:

- Suspicion that a cashiers terminal has been compromised electronically
- Suspicion that a cashier’s working environment has been tampered with by unauthorised persons
- Theft or removal of cashiers equipment, in particular EFTPOS terminals
- Theft or removal of revenue documentation, in particular cardholder information

Financial Services will also contact IT Resources and the bank to make any necessary security arrangements.

Security of Cashiers Location

Unless otherwise specified by the Chief Financial Officer, cashiers terminals and peripheral equipment such as EFTPOS machines are to be kept in a secure area when not in use, which must be kept locked when unattended.

Cash is to be stored in a secure drawer or storage facility such as a safe.

Security of Cashiers Terminal

Cashiers are responsible for the security of their OneStop passwords and the use for their terminal. When not using the terminal, cashiers are to log out of OneStop.

Cashiers terminals should not be used outside of office hours without the prior permission of Chief Financial Officer.
**EFTPOS Terminals**

Financial Services maintain a list of all active cashiers’ terminals throughout the University. Any queries regarding the status of a cashier should be directed to Financial Services.

EFTPOS Terminals are to be kept to a minimum throughout the University and will only be issued if no other option is feasible. The issue of EFTPOS terminals is at the discretion of the Chief Financial Officer.

**Security of Cardholder Information**

Cardholder information must not be transmitted outside of the CPE. This means that information must not be transmitted in any form, such as email, messaging or fax, without first consulting with Financial Services, to ensure the terms of the PCI 1.1 Payment Card Information Policy are met.

**Private Funds**

Funds belonging to the University are only to be used for University purposes.

University staff shall not mix private monies with University funds under their control. University staff shall not keep, or permit to be housed, any private monies on campus.

**Petty Cash and Travel Reimbursements**

Cashiers floats should never be used for petty cash or travel reimbursements and petty cash should not be used for cashiers change.

**Documentation**

**Retention of Records**

All records are to be retained in accordance with the Records Management Policy. The following records must be kept by the cashier.

- A copy of the daily reconciliation.
- A copy of any banking reports.
- Any receipts that were not given to the customer.
- Any supporting documentation that was provided with the payment.
- Copies of EFTPOS merchant chits.
- Data retention must comply with PCI DSS requirements.
Storage of Cardholder Information

Cardholder information must not be stored electronically outside the CPE. This means that any cardholder information must not be stored in spreadsheets or other documents and must only be entered into the EFTPOS terminal.

Paper and electronic media containing cardholder data must be held in a locked cabinet during the day and access restricted to cashier staff for that budget centre only.

At the end of day, paper and electronic media containing cardholder information must be held in a safe or other storage facility approved by Financial Services, which has auditable access controls.

Any physical copies of cardholder information must be destroyed as soon as the information is entered into the EFTPOS terminal and the transaction approved.

Destruction of Cardholder Data

All cardholder data must be destroyed when no longer required. This includes hard drives and other optical/portable media, which must be destroyed, or overwritten by methods approved by IT Resources.

Paper must be cross cut shredded or incinerated.

Stationery

Budget centres are responsible for ensuring adequate stocks of cashiers’ stationery are on hand.

Mobile EFTPOS

Issue of Mobile EFTPOS

A mobile EFTPOS facility is available for events held outside of University business hours or away from campus. Use of this facility is restricted and at the discretion of the Manager, Financial Operations.

Budget centres wishing to use the facility should request so in writing at least two weeks prior to the event, to ensure there is no conflict and that the equipment will be available.

Use of Mobile EFTPOS

All use of the mobile EFTPOS uses interim receipts which must be used in accordance with the guidelines on interim receipts. These must be sent to Financial Services for processing along with any supporting documentation.

Refer to the instruction manual that is sent with the mobile EFTPOS for further details.
Storage of Mobile EFTPOS

When not in use the mobile EFTPOS must be held securely in a safe or similar environment.

Return of Mobile EFTPOS Facility

The Mobile EFTPOS equipment, along with all documentation must be returned to Financial Services as soon as it is no longer required.

The Mobile EFTPOS equipment and documentation must be returned by a secure courier or other secure method.

Financial Services will reconcile the data with the bank account. It is the responsibility of the budget centre to follow up on any outstanding items identified in the reconciliation.

Interim receipts

Issue of Manual Receipts from OneStop

Manual Interim receipts are not to be used if OneStop is not connected to the network. OneStop cashiers terminals can print receipts even if the network is not functioning.

University Policy and Interim Receipts

It is University Policy to process all transactions through a University approved cashiering system and not to issue interim receipts to customers. It is recognised that in exceptional circumstances a budget centre may be required to use interim receipts for unusual or one off transactions, but this practice is not encouraged due to the risk exposure for the University.

On occasion a budget centre may take money without access to a OneStop terminal using interim receipts. This may be for an event or for a specific good or service, but should be a one off incident.

All such use of interim receipts must be authorised by the Chief Financial Officer or their authorised delegate.

Issue and Use of Interim Receipt Books

Interim receipt books are issued and registered by Financial Services.

All receipts in the book are accountable documents and each receipt number must be accounted for. Budget centres must ensure that a system is in place to account for all receipts issued or cancelled.
Interim receipts and listings sent to Financial Services for receipt in OneStop must be accompanied by listing of the transactions receipted through any subsidiary cashier system, and a reconciliation of the funds with the receipts issued.

Copies of cancelled receipts must be sent to Financial Services. Any cancelled receipts must be attached with the documentation.

**Receipting Sport and Recreation/Accommodation**

Some budget centres requirements are specific in nature and they have received exemption from the Chief Financial Officer to use a receipting system other than OneStop.

**Miscellaneous Receipting Guidelines**

**Receipt of Student Fees**

Any student fees by cheque, cash or money order must be referred to one of the student centre cashiers who will process the payment into OneStop.

Cheque and Money order payments must be recorded in the Cheque register. Cash payments must not be sent through internal mail and the payer should be referred directly to the cashier location.

**Donations**

All University Foundation donations should be referred from the University Foundation office in the first instance.

Receipts for donations are not to be sent to the payer directly, but sent to the Foundation Office. The foundation office will send the receipt with a letter to the payer.

On occasion donations may be received by budget centres directly. Once these are receipted by a University cashier the receipt and any accompanying paperwork should be returned to the budget centre.

**Audit of Cashiering**

Areas responsible for receipting will be audited on a regular basis to ensure that they are compliant with the receipting policy and procedures.

Additional audits will be performed to ensure that cashiers are PCI compliant.

**Dishonoured Cheques**

If a cheque has been dishonoured by the bank, any adjustments to OneStop will be performed by Financial Services.
Relevant Policy Document

Revenue Policy

Other Related Policy and Practice Documents

Policies

Records Management Policy
Student Charges Policy
PCI 1.1 Payment Card Information Policy

Procedures and Guides

Internal Service Charges Guidelines
Cashiers Back Office Guidelines
Invoicing and Receivables Guidelines
Invoicing and Receivables Back Office Guidelines
Taxation Guidelines
Work Instructions: OneStop Daily Tasks
Work Instructions: OneStop Enquires
Work Instructions: OneStop Quick Open and Close
PCIR 1.1 PCI CDE Security Incident Response Procedure
PCIR 1.1 Access and Authorisation Procedure
PCIR 1.2 Card Processing Environment Configuration Procedure

Forms

OneStop Product/Service Request Form
OneStop New User Request Form
OneStop Easy Guide
PCI Access and Authorisation Agreement

Links

Financial Services Online Tools
# About this Document

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</tr>
<tr>
<td>Responsible Officer</td>
<td>Chief Financial Officer</td>
</tr>
<tr>
<td>Name</td>
<td>Garry Hennessy</td>
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<td>Jo Murray/ David Nolan</td>
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