



**PAYMENT PROCESSING
AUTHORIZED ACCESS RECORD**

Merchant Name: _____

Merchant Number: **003020** _____

Type of Payment Processing: POS Virtual Terminal E-commerce

SAQ Type: A B C D

Date Updated: _____

List of all staff with authorized access to this payment processing system:

<u>Name</u>	<u>Email</u>	<u>Extension</u>	<u>Role*</u>	<u>Date Activated</u>	<u>Check**</u>
_____	_____	_____	_____	_____	<input type="checkbox"/>
_____	_____	_____	_____	_____	<input type="checkbox"/>
_____	_____	_____	_____	_____	<input type="checkbox"/>
_____	_____	_____	_____	_____	<input type="checkbox"/>
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_____	_____	_____	_____	_____	<input type="checkbox"/>
_____	_____	_____	_____	_____	<input type="checkbox"/>
_____	_____	_____	_____	_____	<input type="checkbox"/>

* see page 2 for explanation of different access roles

** check box – I have read and understand Cash Control Policy and Policy for Acceptance of Payment Cards

Please Note: You are required to notify Financial Services of any changes to this list.
Please send updated list to Heidi van Bodegom in DTC 414.

Merchant Signing Authority:

Name: _____

Signature: _____

Explanation of possible different access roles:

- 1) Merchant Signing Authority (MSA) – has access to all functionality
- 2) System Administrator (SA) – has access to set up and edit users, but does NOT have the ability to process transactions
- 3) Payment Processor (PP) – has access to process payments and voids, does NOT have access to process refunds
- 4) Refund Processor (RP) – has access to process payments, voids and refunds
- 5) Reporting (REP) – has access to run reports
- 6) Other (O) – provide details:

When assigning roles to individual staff members, it is important to ensure appropriate segregation of incompatible functions and duties (e.g. payment processing vs. accounting). Optimally, the SA should not have authority other than set up & edit users. The RP should be a level up from PP and processing all refunds. A separate individual should be the one recording payments/refunds into departmental accounts (recording). The reconciliation of the Merchant monthly statement against the financial records (reconciliation) should be performed by an individual who does not process transactions (e.g. the REP role).

Recognizing that some departments have a limited number of staff available making it difficult to properly separate the access roles, compensating controls need to be implemented. Examples of acceptable alternate role combinations would include the following:

- Department with a staff of three:
 - 1 – MSA processes refunds and reviews reconciliation
 - 2 – SA, REP and reconciliation combined
 - 3 - PP and recording combined
- Department with a staff of two:
 - 1 – MSA, SA, RP, REP and reconciliation combined
 - 2 – PP and recording combined
- Department with a staff of one:
 - 1 – MSA has all roles with “one up” oversight and/or Internal Audit performing periodic reviews.

For more information on related internal controls review McMaster University policies and procedures, specifically Cash Control Policy <http://www.mcmaster.ca/bms/policy/finance/cash%20control.pdf> and Policy for Acceptance of Payment Cards <http://mcmaster.ca/bms/pdf/PaymentCardPolicy.pdf> .