Payment Request & Employee Reimbursement Forms
Topics

• Payment Services forms for non-PO purchases
• Payment Request Usages List
• How to complete forms in TechMart
• Preview of Invoice Workflow
Payment Services Forms

- For expenses that DO NOT require Purchase Orders
- Forms located on the Shopping Home page
- Some forms are for specific departments only
PTA Payment Request Form

Instructions page – link to the Payment Request Usages List. Refer to list for payment categories

<table>
<thead>
<tr>
<th>PTA Payment Request</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Form Number</td>
<td>1359825</td>
</tr>
<tr>
<td>Purpose</td>
<td>Check Request</td>
</tr>
<tr>
<td>Status</td>
<td>Incomplete</td>
</tr>
</tbody>
</table>

**Instructions**

**Caltech**

Complete this form and **attach all supporting documentation** to justify the request. Please refer to the Payment Request Usages List and Procedure located here: [http://procurement.caltech.edu/departments/cardquest/p-card](http://procurement.caltech.edu/departments/cardquest/p-card)

For a quick and easy form of payment, use the Caltech P-Card! For more information click here: [http://procurement.caltech.edu/departments/cardquest/p-card](http://procurement.caltech.edu/departments/cardquest/p-card)

If your request is for payment to a new supplier, enter "New Supplier" in the required Supplier section.

**For security reasons**, do not include documents with social security numbers. If documents contain a social security number, please redact the number prior to submission. If a W-9 is required for new supplier set up, please send the W-9 directly to Supplier Management by uploading securely at [https://pdropbox.caltech.edu](https://pdropbox.caltech.edu) or faxing to 626-666-3928.
### Payment Request Usage List

<table>
<thead>
<tr>
<th>Payment Category</th>
<th>Description</th>
</tr>
</thead>
</table>
| Child Care (limited policy)                   | Tax reportable reimbursement of childcare costs for faculty while on Caltech business travel as approved by the Division Chair  
Note: Limits apply. Contact Human Resources.                                                                                     |
| Contribution/Donations                        | Donations and financial support to reputable charitable organizations such as Pasadena Chamber of Commerce, United Way, Boys/girls Clubs, American Red Cross, etc.  
A charitable organization benefits public interest and is recognized as tax exempt under section 501(c) of the Internal Revenue Code |
| Financial Assistance for Students, Visitors,  | Scholarships, stipends, living and meal allowances, rent assistance  
Note: Payments are income tax reportable and may be subject to withholding.                                                          |
| External Affiliates                           |                                                                                                                                               |
| Food & Refreshments, Break Room Supplies      | Refreshments, break room/kitchen supplies (coffee, tea, drinking water, sugar, paper goods, cleaning supplies, etc.); includes drinking water, cooler/coffee machine rental, food for meetings or social events  
Exclusion: Meal reimbursements while on travel status must be submitted on a travel report via CardQuest. |
| Freight and Shipping                          | DHL Express, FedEx, United Parcel Service (UPS), United States Postal Service (USPS), trucking and freight services, etc. paid directly to the supplier; employees can be reimbursed for shipping costs with a valid business purpose |
| Gifts                                         | Payments for nominal gifts awarded to employees for the purposes of recognition, to increase morale or celebrate milestones; includes floral arrangements, plants, lunches, treats, snacks, etc.  
Exclusion: Cash or gift cards are reportable income to the recipient regardless of dollar value. Tangible gifts exceeding $75.00 and gift cards awarded to employees are tax reportable income and must be reported to Payroll Services. |
| Ground Transportation                         | Includes taxi, public transportation, car service for local trips, rideshare (Uber, Lyft)  
Exclusion: 1) Transportation while on travel status (car rental, airport shuttle, etc.) must be submitted on a travel report via CardQuest 2) Chartered buses, shuttles, or vans require a purchase order. |
| Honoraria                                     | Ex gratia payments for an individual’s participation as a guest speaker or panelist which are not part of a consulting agreement. An honorarium is a voluntary payment which means Caltech has no legal obligation to pay for the services. Employees cannot be paid an honorarium. Refer to Honorarium Policy on the Procurement Services website. |
| Human Subjects                                | Participation in scientific or medical testing and studies                                                                                   |

- Do not confuse with Oracle Expenditure Types
- Purchases not on the Usage List must be submitted on another form (After-the-Fact or Spot Buy)
- Travel expenses for employees and visitors must be submitted via CardQuest (airfare, hotel, etc.)
Step 1 – Details

- Free-form field defaults with the TechMart template name. Delete text and enter Payee/Supplier Name.
- Labeling the Supplier Name field assists the Specialty Team in identifying requests. Do not skip field.
- Save and go to the next step
Step 2 – Supplier Name & Address

- Enter partial name in Supplier field and list of values appear
- Linked to Oracle Supplier database for existing suppliers. Be careful of selecting similar supplier or individual names
- Skip Shipping and Handling fields
- Verify and select Remit-To Address (if more than one)
Step 2 – Employee Record

- Records are linked to Oracle HR and employees are responsible for updating their personal information via Caltech Access account. Note: Payroll direct deposit is not linked to Oracle AP. Employees must enroll separately with Payment Services.

- Select the correct employee name to avoid paying the wrong individual. Refer to department next to the name.

- Addresses are not visible and defaults as “Provisional.” Employee information is confidential.
Step 2 – New Supplier

- Enter “New Supplier” if payee is not listed on the database
- Remember to enter the name in “Details” section even if new payee pending Oracle set up
- Skip Shipping and Handling fields
- Remit-To Address defaults to “New Supplier.” The address field is on the Questions Section.
Step 3 – Questions

• Complete all questions to prevent form request errors

• Select the most applicable payment category

• Do not confuse with Oracle Expenditure Types

Questions - PTA Payment Request Information

On This Page
Request Type (2)
Payment Information (13)
Disposition of Payment (1)

Request Type

If you can't find a usage category that covers your purchase from the below drop process an Employee Reimbursement or After-the-Fact request.

Please choose the best usage category for this request *
Questions – Payment Category

• Use the dropdown list to select Payment Category. Refer to Usage List on the Procurement Services website

• If not listed, submit on either Employee Reimbursement or Supplier After-the-Fact Form

• Optionally, use P-Card to pay the supplier (if accepted)
Questions - Payment Info

- Invoice Number – Enter invoice number if provided by supplier. If none, enter PR+MMDDYY (date of submission)

- Account Number – leave blank if not applicable

- Amount – invoice amount due to supplier or employee

- Invoice Date – enter supplier’s invoice date or today’s date
Questions - Payment Info

• Description/Justification – enter reason for payment; information should be relevant to the payee

• Text will populate in Oracle as the Invoice Description

• Description will be printed on the check or EFT/ACH notification with limited characters

• Currency field defaults to USD. Do not change.
Questions – Tax Reporting

• For goods, food, utilities, mileage, etc., select “Not reportable income.”
• For Service, Honorarium, Royalty, Prize/Award, select appropriate category from the dropdown list
• Important to specify foreign or US payees
Questions – Tax Reporting

• If paying income, additional tax reporting questions are listed.

• The answers determine the type of tax forms necessary and if withholding is applicable.
Questions – Special Notes

Entertainment Category:

Caltech Policy requires purpose, date, and list of attendees. Enter information on this field or attach a list.

Special Instructions:

Internal notes for Specialty Team such as due date, rush, Will Call, etc.
Questions – New Supplier

• Click “Yes” to create a new supplier or update an existing record.

• Enter supplier information (name, address, email, phone #, etc.)

• Specialty Team member will submit request to Supplier Management to create/update supplier record.
Questions – Disposition of Payment

- Select check or direct deposit
- Provide FedEx and USPS forms by campus mail or drop off to MC 103-6, if applicable. Mail Services cannot mail checks without forms.
- Oracle default payment disposition supersedes the method selected
- Contact Specialty Team to confirm, if needed
- Payees may sign up for direct deposit. Forms are available on the Procurement Services website.
Step 4 – PTA Codes

- Select PTA and E-Type
- Default PTA in your profile is displayed
- Multiple PTA’s can be added to your profile to quickly select account(s)
- Click “Edit” to change or split PTA or E-Type
PTA Codes – by Percent

• Select “Add Split” for multiple PTAs. For best results, use “% of Qty” to allocate by percentage.
• To assist with allocation, use “Show Monetary Calculations” to view amounts.
PTA Codes – by Amount

- To allocate costs by amount, use “Amount of Price” from the drop-down menu
- Enter amounts per PTA or E-Type
- If your profile has a default PTA, misc. invoice lines will not appear (discounts, tax, shipping, handling, etc.).
PTA Codes – by Amount

- Without a default PTA, TechMart requires manual entry for other invoice fields such as discounts, tax, shipping, handling, etc.
- For best results, setup profile with a default PTA for Payment Requests or allocate cost by percentage
PTA Codes – No default

- Workaround for not having a default PTA
- Select “% of Qty” and enter percentage. Click save.
- After saving, change to “Amount of price” and enter amounts
- This step allows bypassing of the manual entry of tax, shipping, handling fields, etc.
Step 5 – Additional Info

• For most users, this section will be blank or limited selection.
• For Facilities Services, enter AiM Work Order Number.

![Other Information Table]

- Dept Code: 21B
- Other Information:
  - Receiving Tolerance: Option 1
  - AiM Work Order: 
  - Subcontract Final Invoice?: 
  - Bring into Oracle on hold?: 
  - Financial approval wet signature attached?: 
  - Will call?: 
  - Wire ready for posting?: 

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Step 6 – Attachments

- Attach invoice, receipts or other supporting documentation.
- Click “Add Attachment” and upload documents from your computer.
- Enter a name in the Title field and click browse. Save changes when finished. Click “Save” twice.

**Note:** Original records must be retained by the requestor in accordance to the Caltech Record Retention Guidelines. For more information, please see the [Guidelines](#) and [Schedule](#).
Step 7 – Review and Submit

- Review if all required fields have been completed (green check)
- Correct or complete missing sections (marked with red X)
- Click “Submit” when finished.
Form Approval

- Check request status by querying the Form Number or go to Documents > My Forms.
- Submitted requests will have form status “Under Review” until audited and approved by a Specialty Team member.

After Form Approval, a voucher is created in Invoice Workflow.
Invoice Approval

• Once the invoice is created, it stops in the Invoice Workflow for final review and approval (sales/use tax, withholding, etc.)
• The next step is Financial Approver.
• After FA, invoice is exported to Oracle for payment according to the due date.
• To review Invoice Workflow, click the “Approvals” tab.
Workflow Steps

• “Approvals” tab displays the status of the voucher (invoice) and each step completed.
• The Financial Approver must be set up in your TechMart profile.
• There may be other workflow stops depending on the type of payment or supplier (Withholding Review, Wire Review, etc.)
Employee Reimbursement

• Available methods to order and pay for goods and services:
  ✓ TechMart Catalog Suppliers
  ✓ Spot Buy
  ✓ Declining Balance PO
  ✓ P-Card

• If an expense is NOT on the Payment Request Usage List, a Purchase Order is required for the commodity. Reimbursement for unauthorized purchases are submitted on the Employee Reimbursement Form.

• Reimbursements are processed with a reasonable explanation. All requests require justification and Financial Approver regardless of amount.

• Requests must have receipts with proof of payment (credit card, bank statement, ApplePay, PayPal, etc.).

• Do not combine receipts with sales tax, without tax, and nontaxable. Separating receipts prevent over-charging use tax to the PTA.
Employee Reimbursement

- Completing the form consists of similar steps as the PTA Payment Request Form. Refer to previous section.

- Preparer must state the business purpose for the reimbursement.

- Reasonable description must be provided.
Employee Reimbursement

- Additional justification is required for bypassing established Procurement Services procedures.

- Provide an explanation how the policy violation will be prevented in the future.
Resources

Employee Direct Deposit Form
http://forms.caltech.edu/Procurement/emp_direct_deposit_authorization_form.pdf

Supplier EFT Form
http://forms.caltech.edu/Procurement/supplier_direct_deposit_authorization.pdf

Expenditure Type Training
http://finance.caltech.edu/documents/541-what_is_allowable_final_.pdf
Contact Info

Specialty Team
Tanya Cormarkovic – x8101
Hazel Hall – x3689
Monique McMillan – x3097
Tess Perez – x2855

Email: SpecialtyTeam@caltech.edu
System Support: TechMartHelp@caltech.edu