

## Payment Request Usage List – Updated August 28, 2015

### PURPOSE

To identify specific commodities for which a Payment Request form may be completed and submitted to Payment Services' Specialty Team for payment processing. Note: When accepted by the payee, a P-Card may be used in lieu of a Payment Request form. Note that this list is to describe when a Payment Request is applicable. This is not a listing of expenditure types. See your PTA administrator for applicable expenditure types when listing the expense coding on the Payment Request form.

### APPLICABILITY

Regardless of dollar value, a Payment Request form is used for certain types of commodities for which a formal purchase order is not required or where negotiation by Purchasing Services adds no value. Commodities not identified on this Usages List must be processed via a Purchase Requisition, P-Card, or Travel Expense Report.

### CONDITIONS & RESTRICTIONS

- **Certificate of Insurance:** Any payee or its employee(s) that will provide a service to the Institute – on Caltech property – must provide, at their own expense, a certificate of insurance that must meet Caltech's insurance requirements and name Caltech as an additional insured. Reference section 12 (Insurance) of Section 1 – Commercial Items or Services Contract General Provisions at: <http://procurement.caltech.edu/documents/95-commercialitemsorservices.pdf>
- **Reportable Payees:** Any payee/payment reportable under IRS regulations will require review for possible inclusion in 1099 reporting at year end. These are generally individuals or sole proprietors. Employees are discouraged from paying these individuals directly with their own personal funds and later requesting reimbursement from the Institute. Doing so creates an "intermediary" payer situation. Instead, payments to individuals should be completed by the Institute to the individual directly. This preserves a clear 1099 reporting relationship. Employees may use their P-Card for these types of payments as the bank will administer 1099 reporting.
- **Contractual Relationships:** When payment commits the Institute to a contractual relationship, the contract must be reviewed and signed by the Purchasing Services Department.

Other restrictions/exceptions may apply. For questions, please call the Procurement Services Hotline at (626) 395-8900

PAYMENT REQUEST CATEGORY	DESCRIPTION
Artist Fees and Performers	Bands, singers and other performers, their agents, coaches, actors/actresses, human models, producers, rehearsals, musical arrangements, scores. <b>Exclusions:</b> Excludes security for events which requires a Purchase Order.
Apparel & Personalized Safety Gear	<b>Uniforms:</b> Custom fitted or personalized uniform apparel. This includes personalized uniforms, such as restaurant wait staff smocks, jackets, chef uniforms, safety uniforms, hospitality and maintenance services uniforms, personalized lab coats, etc.  <b>Athletic Apparel:</b> Custom fitted or personalized athletic apparel, shoes, protective athletic equipment, and supplies used by individuals in athletic competition and instruction.  <b>Safety Gear:</b> Safety shoes, prescription safety glasses and any other required safety apparel for which a person has to be personally fitted. <b>Exclusions:</b> Promotional clothing such as logo t-shirts, hats, scarves, jackets or other promotional materials which may be custom made but not custom fitted to an individual. Excludes professional uniform cleaning services. Use a Purchase Order.
Athletic Officials	Referees, timekeepers, officials, etc.
Child Care (limited policy)	Tax reportable reimbursement for childcare costs for professorial faculty while on travel on Caltech business, as approved by the Division Chair. Limits apply. See detailed policy at: <a href="https://hr.caltech.edu/documents/147-faculty_travel_on_cit_business.pdf">https://hr.caltech.edu/documents/147-faculty_travel_on_cit_business.pdf</a>

PAYMENT REQUEST CATEGORY	DESCRIPTION
Caltech Clubs /Affiliation Support	Payments to internal Caltech affiliated clubs and organizations.
Deposits	Deposit (collateral) payments. Examples: Security deposits, for equipment rentals, event venues, deposits for tables/chairs/party equipment, collateral necessary to establish new municipal utilities, patent deposits, etc. <b>Exclusions:</b> Security deposits for real estate purchases or leases including housing, building and warehouse rentals. Use a Purchase Order.
Catering Services	Payment to a company or an individual providing food, drink and food service. Typically at social events and in a professional capacity. <b>Exclusions:</b> Not applicable to federally funded projects. A Purchase Order is required for federally funded projects.
Contribution/Donations	Payment & donations to and financial support for reputable charitable organizations such as Pasadena Chamber of Commerce, Pasadena Police Foundation, United Way, Boys/Girls Clubs, American Red Cross, etc. A charitable organization is one that is organized and operated for purposes of benefit to the public interest and recognized as exempt under section 501(c) of the Internal Revenue Code.
Drinking Water	Delivered bottled drinking water, cooler rental & related supplies.
Events & Party Rentals	On and off campus events, trade shows, recruitment, expos designed to educate and communicate Institute business to the public. Includes venue rentals, booths, tables, chairs, food service, catering, event coordinators, set up costs, etc.
Fees for Licenses, Permits, Taxes	Licenses, permits, taxes and other governmental fees including customs fees. Payroll taxes, property and sales taxes paid to Federal and State agencies.
Financial Assistance for Students, Visitors, External Affiliates	Scholarships, stipends, living allowances. <b>Exclusions:</b> Some restrictions may apply. Individual payments will require review to determine applicability and possible tax reporting requirements.
Freight & Shipping paid by employees	Employee's reimbursement for ground, sea and air transportation services paid for by the employee with employee funds.
Food & Refreshments, Break Room Supplies	Refreshments, food, break room supplies (coffee, tea, sugar, paper goods, cups, cleaning supplies, etc.) <b>Exclusions:</b> Specifically excludes meals while on travel status. Please submit on a travel and expense report.
Gifts	Payments for nominal gift offerings, floral arrangements, plants, lunches, treats, snacks, etc. awarded to employees for the purposes of recognition, to increase morale, celebrate milestones, etc. <b>Exclusions:</b> Limits apply. Contact Human Resources for anything exceeding \$75.00 in value which is reportable under IRS regulations.
Ground Transportation	Includes taxi, public transportation & car service for local outings. <b>Exclusions:</b> Transportation while on travel status (car rental, airport shuttle, etc.) Please report this on a Travel Expense Report. Excludes chartered bus or vans which requires 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 payment made without Caltech recognizing itself as having any liability or legal obligation made to a person for their services provided in a volunteer capacity or for services which fees are not traditionally required. See Honorarium Policy: <a href="http://procurement.caltech.edu/policies_procedures">http://procurement.caltech.edu/policies_procedures</a>
Human Subjects	Fees paid to participants of scientific testing and studies.

PAYMENT REQUEST CATEGORY	DESCRIPTION
Instruction Fees	Fees paid to The California Institute of Technology Center for Technology and Management Education (CTME) contracted instructors to provide services such as teaching workshops and training.
Legal Services	Required payments to legal organizations by the Office of Technology Transfer (OTT), the Office of the General Counsel (OGC) and International Scholars Services (ISS).
Medical and Physician Services	Required payments for immediate medical treatment rendered. Includes employee drug screening, workers compensation clinics, employment related physicals, vaccinations, etc. <b>Excludes:</b> Payments for medical insurance premiums, reimbursement of medical insurance coverage. Contact Human Resources.
Memberships /Dues	Payments to external organizations to establish professional networking groups, association or goodwill alliance. This includes associations such as the Chamber of Commerce, Better Business Bureau, CPA's, Airline Clubs, etc.
Mileage Reimbursement	Requests for mileage which include local meetings/recreational events. Mileage reimbursement claims that include reimbursement for local meetings and conferences or recreational activities are applicable to be reimbursed via the Payment Request Form. <b>Exclusions:</b> Requests for mileage only - \$100.00 or less should be obtained from your petty cash custodian. Claims of \$100.00 or more, submit to the Travel Department.
Meetings & Conferences	Costs associated with on-campus and/or local meetings & conferences, including registrations, parking, etc. <b>Exclusions:</b> Not applicable for meetings & conferences while on travel status (where an overnight stay is required). Submit on a Travel Expense Report.
Petty Cash	Payments to Petty Cash Custodian including set-up and replenishment of petty cash funds.
Postage	Replenishment and reimbursement of U.S. postage.
Prizes and Awards	Recognition based on competition, achievement, performance or other noteworthy or exemplary criteria.
Recreational Activities/Entertainment	Amusement, diversion and social activities, including shows, dances, concerts, sporting events, firework displays, etc. <b>Exclusions:</b> Not applicable to federally funded projects. Use a Purchase Order.
Refunds	Returning funds previously received by the Institute to external organizations or individuals.
Relocations and Moving Expenses	Payments made directly to a third party or employees for moving and relocation expenses.
Royalties	Office of Technology requests for payments relating to patents, other payments related to copyright materials.
Subscriptions (Magazines, Newspapers)	Individual paper versions of magazines, periodicals, journals, newspapers. <b>Exclusions:</b> Online library access and digital subscriptions, software and licenses which requires a Purchase Order.
Utilities paid by employees	Caltech business related cable, satellite, internet, DSL, gas, electric, municipal water (DWP), telephone (land and cellular) services and gasoline credit cards (Shell, Mobil, Chevron, etc.) and gasoline purchased with cash paid for by the employee with employee funds. <b>Exclusions:</b> Bulk fuel and compressed gas purchases which require a Purchase Order.
Visiting Faculty Support	Payments to external organizations for salary and/or benefits of visiting non-employee faculty at Caltech.
<b>**For Payroll and H.R. Use only**</b>	
Payroll	Benefits, insurance, garnishments.
Tuition	Approved employee tuition payments.