



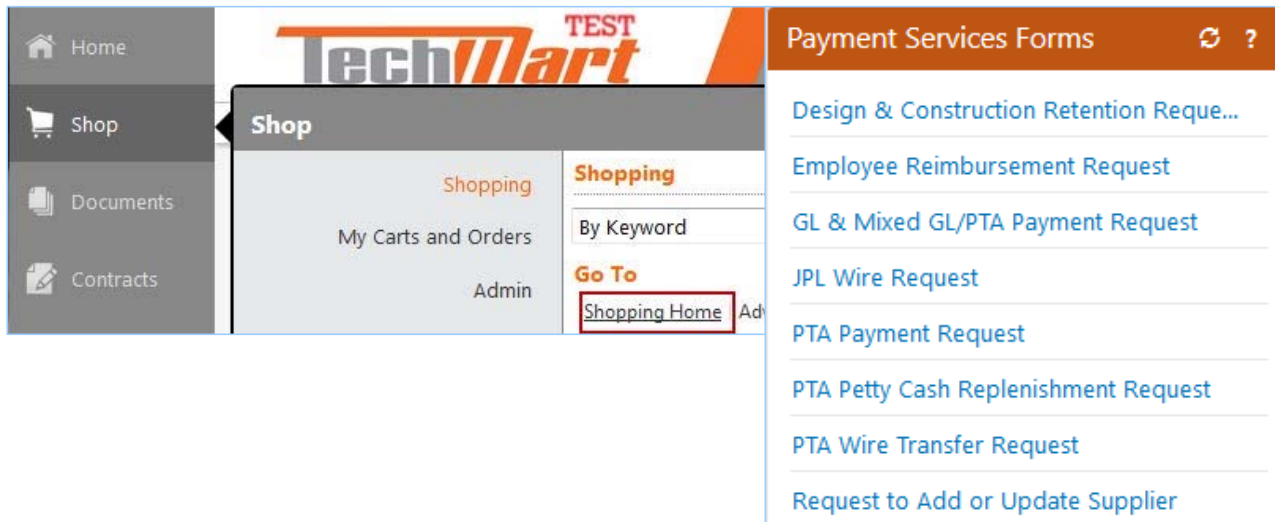
# Payment Request & Employee Reimbursement Forms

# 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



The screenshot displays the TechMart website interface. On the left, a navigation menu includes 'Home', 'Shop', 'Documents', and 'Contracts'. The main content area features the 'TechMart' logo with a 'TEST' tag, a 'Shop' button, and links for 'Shopping', 'My Carts and Orders', and 'Admin'. A 'Go To' section contains a dropdown menu with 'Shopping Home' selected and highlighted by a red box. To the right, a 'Payment Services Forms' dropdown menu is open, listing the following options: 'Design & Construction Retention Reque...', 'Employee Reimbursement Request', 'GL & Mixed GL/PTA Payment Request', 'JPL Wire Request', 'PTA Payment Request', 'PTA Petty Cash Replenishment Request', 'PTA Wire Transfer Request', and 'Request to Add or Update Supplier'.

# PTA Payment Request Form

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

PTA Payment Request	Instructions	Request Actions ▾   History
Form Number <b>1359825</b>	<b>Caltech</b>	
Purpose <b>Check Request</b>	Complete this form and <b>attach all supporting documentation</b> to justify the request. Please refer to the Payment Request Usages List and Procedure located <a href="#">here</a> .	
Status <b>Incomplete</b>	For a quick and easy form of payment, use the Caltech P-Card! For more information click here: <a href="http://procurement.caltech.edu/departments/cardquest/p-card">http://procurement.caltech.edu/departments/cardquest/p-card</a>	
<b>Instructions</b>	If your request is for payment to a new supplier, enter "New Supplier" in the required Supplier section.	
Details ✓	<b>For security reasons</b> , 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 <a href="https://pdropbox.caltech.edu">https://pdropbox.caltech.edu</a> or faxing to 626-666-3928.	
Supplier ✓		
Questions ✓		
Codes ✓		
Additional Information ✓		
Attachments ✓		
Review and Submit		

# Payment Request Usage List

Payment Category	Description
Child Care (limited policy)	Tax reportable reimbursement of childcare costs for faculty while on Caltech business travel as approved by the Division Chair <b>Note: Limits apply. Contact Human Resources.</b>
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, External Affiliates	Scholarships, stipends, living and meal allowances, rent assistance <b>Note: Payments are income tax reportable and may be subject to withholding.</b>
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 <b>Exclusion: Meal reimbursements while on travel status must be submitted on a travel report via CardQuest.</b>
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. <b>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.</b>
Ground Transportation	Includes taxi, public transportation, car service for local trips, rideshare (Uber, Lyft) <b>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.</b>
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

PTA Payment Request		Details	
Form Number	1614457	Payee/Supplier name *	ERNE MERCADO   ment Request
Purpose	Check Request	Purpose	Check Request
Status	Incomplete	Template Title	PTA Payment Request
Instructions		Form Type	PTA Payment Request
<b>Details</b>			

## 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)

### Supplier

Supplier *	<input type="text" value="mercad"/>	
	<div style="border: 1px solid gray; padding: 2px;"><p>Mercado, David(Electrical Shop)</p><p>MERCADO, EDUARDO</p><p>MERCADO, ERNESTO dba HOSTING YOUR AFFAIR</p></div>	
Shipping Fee Type *		
Shipping *	<input type="text" value="0.000"/>	
Handling Fee Type *	<input type="text" value="Flat Fee"/>	<b>Remit-To Address</b>
Handling *	<input type="text" value="0.000"/>	Remit-To Address * <input type="text" value="REMIT-HARBOR CI (Primary Ren"/> Ernie Mercado, Account Rep

## 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.

Supplier	
Supplier *	RAMIREZ, GUILLERMO(Payment Ser <a href="#">Supplier Search</a>
Shipping Fee Type *	Flat Fee
Shipping *	0.000
Handling Fee Type *	Flat Fee
Handling *	0.000
Remit-To Address	
Remit-To Address *	PROVISIONAL (Primary Remittar PROVISIONAL. Employee (See Oracle) Pasadena, CA 91125



## 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.

Supplier	
Supplier *	<input type="text" value="New Supplier"/> <a href="#">Supplier Search  </a>
Shipping Fee Type *	<input type="text" value="Flat Fee"/>
Shipping *	<input type="text" value="0.000"/>
Handling Fee Type *	<input type="text" value="Flat Fee"/>
Handling *	<input type="text" value="0.000"/>
Remit-To Address	
Remit-To Address *	<input type="text" value="New Supplier"/>

## 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

Request Type

Please choose the best usage category for this request ★

Gifts

Ground transportation (local only)

Honoraria

Human subjects

Instructor fees for CTME

Legal services

Medical and physician services

Meetings and conferences

Membership dues

Mileage (no overnight stay)

Petty cash

Postage

- 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)

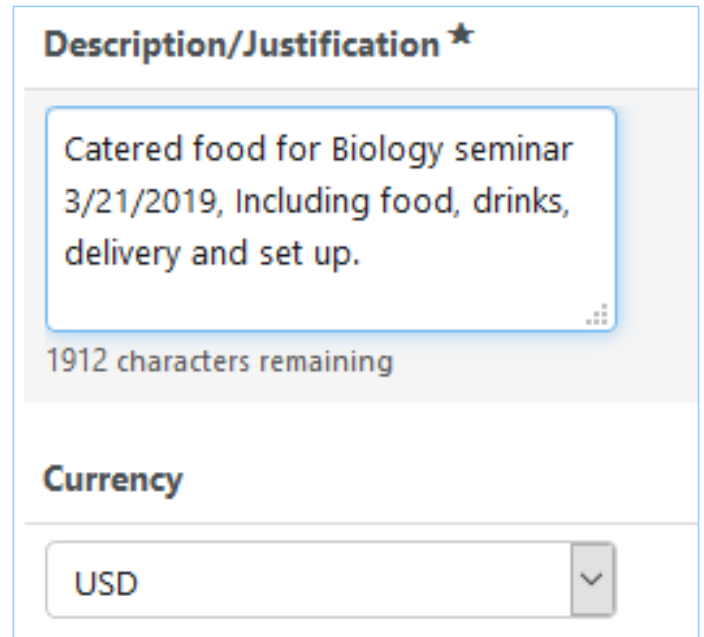
# Questions - Payment Info

<b>Invoice Number</b> ★
<input type="text"/>
<b>Account number (i.e. utilities, freight, customer account number)</b>
<input type="text"/>
<b>Amount</b> ★
<input type="text"/> ▲ ▼
<b>Invoice Date</b>
<input type="text"/> 📅
mm/dd/yyyy

- 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.



The screenshot shows a web form with two main sections. The top section is titled "Description/Justification" with a star icon. It contains a text input field with the text "Catered food for Biology seminar 3/21/2019, Including food, drinks, delivery and set up." Below the text field, it indicates "1912 characters remaining". The bottom section is titled "Currency" and features a dropdown menu with "USD" selected and a downward arrow icon.

## 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

Is payment for service, royalty, prize/award, honorarium, childcare, misc. tax reportable income? \*

N/A – not reportable income  
Service provided within CA  
Service provided outside CA, but within the US  
Service provided outside the US  
Prize/award  
Royalty payment (foreign supplier) – copyright usage within CA  
Royalty payment (foreign supplier) – copyright usage outside CA, but within the US  
Royalty payment (foreign supplier) – copyright usage outside the US  
Royalty payment (US supplier) – original work created in CA  
Royalty payment (US supplier) – original work created outside CA

# Questions – Tax Reporting

▼ Tax Reporting/Withholding Information
Is payee a US citizen/entity? ★
<input type="radio"/> Yes <input type="radio"/> No
Is payee a Caltech student/employee? ★
<input type="radio"/> Yes <input type="radio"/> No
Is payee a California resident or entity located in California? ★
<input type="radio"/> Yes <input type="radio"/> No
Do you expect to pay this payee more than \$1,500 per calendar year? ★
<input type="radio"/> Yes <input type="radio"/> No

- 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.

If you are using the expenditure type "Entertainment", please provide a list of attendees names below or in the attachments section.

TechMart Lunch Mtg 4/30/19  
Hazel Hall  
Tess Perez  
Guillermo Ramirez

1931 characters remaining

## Special Instructions:

Internal notes for Specialty Team such as due date, rush, Will Call, etc.

### Special instructions/note to processor

Rush. Contact Tess at x2855 for check pickup.

1955 characters remaining



# 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.

Is this request for a new supplier or does a change need to be made to an existing supplier?  
★

Yes     No

If new supplier, please provide supplier name, address, phone number and contact name. If change to an existing supplier, such as a remit address change, please provide details of the change.

2000 characters remaining

# Questions – Disposition of Payment

▼ **Disposition of Payment**

How should the payment be delivered? ★

US Postal Mail

US Postal Mail with attachments

Fed Ex (air bill required)

Fed Ex with attachments (air bill required)

Direct deposit

- 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

**Codes** Form Request Actions ▾ | History | ?

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Accounting Codes

LINE	Project	Task	Award	Expenditure	Organization	
	FIN.00006	1.1	GB.000007	Supplies - Allocable	Caltech	<input type="button" value="edit"/>
	PURCHASING&PAYMENT SERVICES	1.1	AVP/CONTROLLER	Supplies - Allocable	Caltech	

# 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.

**Accounting Codes**

LINE	Project	Task	Award	Expendi			
FIN.00006		1.1 [PURCHASING]	GB.000007	Supplies - Allocabl		21	
	Select from profile values... Select from all values...	Select from profile values... Select from all values...	Select from profile values... Select from all values...	Select from pro Select from al			add split remove
FIN.00006		1.1 [PURCHASING]	GB.000007	Supplies - Allocabl	lues... es...	(525.00 USD)	remove
	Select from profile values... Select from all values...	Select from profile values... Select from all values...	Select from profile values... Select from all values...	Select from pro Select from al		79	remove add split
					lues... es...	(1,975.00 USD)	
						Split Total 100% (2,500.00 USD)	add split
					values	show monetary calculations	

Save Cancel

20

# 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.).

**Codes**

Accounting Codes

LINE	Project	Task	Award	Organization	Amount	Actions
	FIN.00006 PURCHASING&PAYMENT SERVICES	4.2 [SMALL BUSINESS PROGR] SMALL BUSINESS PROGR	GB.000007 AVP/CONTROLLER	Caltech	50.00	add split remove
				Caltech	50.00	add split remove

Add alternate distribution for: Discount

Document subtotal: 100.00 USD Split Total: 100.00 USD

recalculate / validate values

# 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

Codes							Request Actions	History	?
<b>Accounting Codes</b>									
LINE									
	Project	Task	Award	Expenditure	Organization	% of Qty	<input type="button" value="edit"/>		
	FIN.00006 PURCHASING&PAYMENT SERVICES	4.2 [SMALL BUSINESS PROGR] SMALL BUSINESS PROGR	GB.000007 AVP/CONTROLLER	Supplies - Allocable Supplies - Allocable	Caltech Caltech	<b>50%</b>			
	FIN.00006 PURCHASING&PAYMENT SERVICES	4.2 [SMALL BUSINESS PROGR] SMALL BUSINESS PROGR	GB.000007 AVP/CONTROLLER	Supplies - Allocable Supplies - Allocable	Caltech Caltech	<b>50%</b>			
DISCOUNT									
	Project	Task	Award	Expenditure	Organization	<input type="button" value="edit"/>			
	<i>no value</i>	<i>no value</i>	<i>no value</i>	<i>no value</i>	<i>no value</i>				
TAX1									
	Project	Task	Award	Expenditure	Organization	<input type="button" value="edit"/>			

# 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.

The screenshot shows the 'Accounting Codes' interface with a table of entries. The table has columns for Project, Task, Award, Expenditure, and Organization. Two rows are visible, each with a dropdown menu for 'Amount of Price' and a dropdown for '% of Qty'. The 'Amount of Price' dropdown is set to 'Amount of Price' and the '% of Qty' dropdown is set to '% of Qty'. The 'Amount of Price' dropdown is highlighted with a red box.

Project	Task	Award	Expenditure	Organization	Amount of Price	% of Qty
FIN.00006	4.2 [SMALL BUSINESS				50.00	50
FIN.00006	4.2 [SMALL BUSINESS				50.00	50

Document subtotal: 100.00 USD Split Total 100.00 USD

## Step 5 – Additional Info

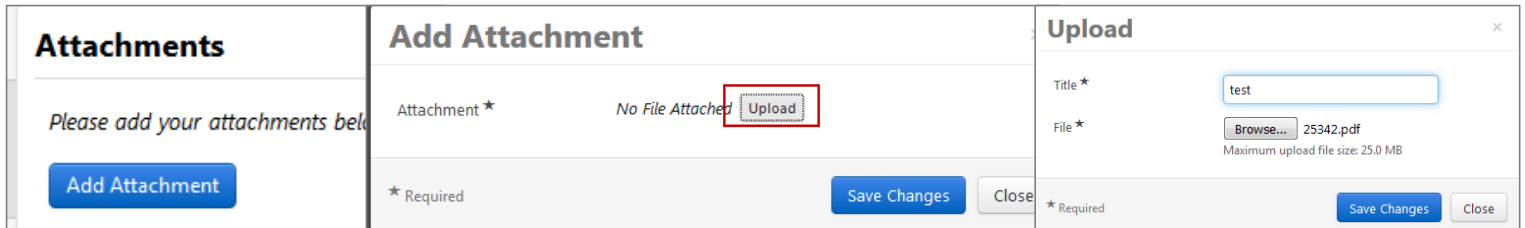
- For most users, this section will be blank or limited selection.
- For Facilities Services, enter AiM Work Order Number.

Dept Code	21B
	<a href="#">Select from profile values...</a>
	<a href="#">Select from all values...</a>
<b>Other Information</b>	
Receiving Tolerance	Option 1
	<a href="#">Select from all values...</a>
AiM Work Order	
Subcontract Final Invoice?	<input type="checkbox"/>
Bring into Oracle on hold?	<input type="checkbox"/>
Financial approval wet signature attached?	<input type="checkbox"/>
Will call?	<input type="checkbox"/>
Wire ready for posting?	<input type="checkbox"/>



## 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.



The screenshot displays three panels of a web interface. The left panel, titled "Attachments", contains the text "Please add your attachments below" and a blue "Add Attachment" button. The middle panel, titled "Add Attachment", shows a form with a label "Attachment \*", the text "No File Attached", and a red-bordered "Upload" button. Below the form is a "\* Required" label and "Save Changes" and "Close" buttons. The right panel, titled "Upload", shows a form with a "Title \*" field containing "test", a "File \*" field with a "Browse..." button and "25342.pdf" text, and a note "Maximum upload file size: 25.0 MB". Below the form is a "\* Required" label and "Save Changes" and "Close" buttons.

**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.

**Review and Submit** Form Request Actions ▾ | History | ?

✓ Required Fields Complete

Section	Progress
<a href="#">Supplier</a>	✓ Required Fields Complete
<a href="#">Questions</a>	✓ Required Fields Complete
<a href="#">Codes</a>	✓ Required Fields Complete
<a href="#">Additional Information</a>	✓ Required Fields Complete
<a href="#">Attachments</a>	✓ Required Fields Complete

[< Previous](#)   [Add to Favorites](#)   [Submit](#)

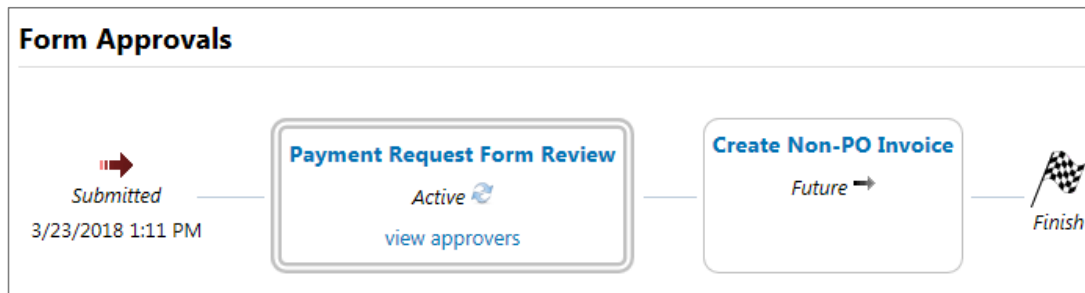


# Form Approval

- 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.

Review and Submit	<b>PTA Payment Request v3</b>
	Form Number <b>112112</b>
	Purpose <b>Check Request</b>
<b>Form Approvals</b>	Status <b>Under Review</b>

- 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.

Invoice Number	<b>V111590</b>	Supplier Account No.
Supplier Invoice No.	<b>PR062519</b>	
Supplier Name	<b>ANDERSON, KYLE RYAN</b>	
<b>Buyer Invoice</b>   Approvals   Matching   Comments   Supplier Messages   Attachments (1)   History		
<b>Summary</b>   General   Discount, Tax, Shipping & Handling   Codes		
<a href="#">Hide header</a>		
<b>General</b> ?		
Invoice Type	Invoice	<input type="button" value="edit"/>

# 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.)

Invoice Number **V111590** Supplier Account No. Available Actions **Mark as In Process** **Go**

Supplier Invoice No. **PR062519**

Supplier Name **ANDERSON, KYLE RYAN**

Buyer Invoice **Approvals** Matching Comments Supplier Messages Attachments (1) History

**Submitted**  
Cindy De  
Mesa  
7/1/2019  
3:54 PM

**Payment Request Invoice Review**  
Approved ✓  
✓ Tatjana Cormarkovic

**Form Financial Approval**  
Approved ✓  
✓ Dimitris Sakellariou

**OK to Pay**  
Completed ✓

**Auto-Close PO**  
Completed ✓

Completed  
7/3/2019  
8:27 AM

# 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

**What was the business purpose of this reimbursement? \***

2000 characters remaining

**Reimbursement Amount (total amount to be reimbursed) \*** ⓘ

- 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.

**▼ Acknowledgement & Justification**

I understand that reimbursements, which are unauthorized orders, do not adhere to Caltech's Policies and Procedures. ★

Yes     No

Enter justification for deviation from Procurement Policies and Procedures. ★

2000 characters remaining

Explain how reimbursements will be avoided in the future. ★

2000 characters remaining



# Resources

## **Employee Direct Deposit Form**

[http://forms.caltech.edu/Procurement/emp\\_direct\\_deposit\\_authorization\\_form.pdf](http://forms.caltech.edu/Procurement/emp_direct_deposit_authorization_form.pdf)

## **Supplier EFT Form**

[http://forms.caltech.edu/Procurement/supplier\\_direct\\_deposit\\_authorization.pdf](http://forms.caltech.edu/Procurement/supplier_direct_deposit_authorization.pdf)

## **Expenditure Type Training**

[http://finance.caltech.edu/documents/541-what\\_is\\_allowable\\_final\\_.pdf](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](mailto:SpecialtyTeam@caltech.edu)

System Support: [TechMartHelp@caltech.edu](mailto:TechMartHelp@caltech.edu)