

Request for Issuance of Check (RFIC)

Brief

Title:	Request for Issuance of Check (RFIC)
Publication date:	4/16/2013
Effective date:	3/23/2011

BRIEF

Policy Summary

This policy provides guidelines for payments or reimbursements to Berkeley Lab employees and/or payments to third parties for allowable goods and services using the Request for Issuance of Check (RFIC) process.

Who Should Read This Policy

Any Berkeley Lab employee seeking payment or reimbursement through the RFIC process

To Read the Full Policy, Go To:

The POLICY tab on this wiki page

Contact Information

[Accounts Payable Manager](#)

Policy

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POLICY

A. Purpose

This policy provides guidelines for payments or reimbursements to Lawrence Berkeley National Laboratory (Berkeley Lab) employees and/or payments to third parties for allowable goods and services using the Request for Issuance of Check (RFIC) process.

B. Persons Affected

Any Berkeley Lab employee seeking payment or reimbursement through the RFIC process

C. Exceptions

The RFIC process may not be appropriate in all circumstances.

D. Policy Statement

1. This policy applies to requests for payments of allowable goods and services that meet the requirements of the [Federal Acquisition Regulation \(FAR\), Subpart 31.201-2, Determining Allowability](#), as supplemented by specific clauses in the Department of Energy (DOE) [Acquisition Regulation \(DEAR\) Subpart 970.31, Contract Cost Principles and Procedures](#):
2. Prior to making any purchase, refer to the Procurement Department's Step-by-Step Buying Guide, which outlines the Laboratory mechanism for procuring goods and services, including:
 - a. eBuy
 - b. B2B
 - c. Division PCard
 - d. ePro
3. If an item is available through any of these mechanisms, the purchase should be made using that method. In addition, the following lists provide further information on the Laboratory Procurement process:
 - a. [Employee-Vendor Conflict of Interest](#)
 - b. [Restricted Items](#)
 - c. [Sensitive Items](#)
4. RFIC purchases that could have been made using one of the methods in the Step-by-Step Buying Guide may be considered an unauthorized commitment (see Procurement Standard Practices Policy 1.3, Ratification of Unauthorized Commitments).
5. If the following conditions are met, the use of an RFIC form to request payment for goods and services is appropriate and reimbursable:
 - a. Goods or services not directly billable to the Laboratory on a purchase order, or obtainable through eBuy, B2B, or the Division PCard programs
 - b. Purchase is consistent with Berkeley Lab's [Cost Allowability](#) policy requirements, which require that costs incurred be both reasonable and allocable
6. The following are examples of purchases for which the use of the RFIC form is generally appropriate; it is not intended to be a comprehensive list.
 - a. Annuitant/workers' compensation payments to the University of California (UC) via the Office of the Chief Financial Officer (OCFO)
 - b. Books/journals/subscriptions
 - c. Food service (Laboratory-hosted meetings or conferences)
 - d. Legal/attorney fees (via the Berkeley Lab Office of Laboratory Counsel)
 - e. Local lodging (direct bill) for affiliates, including Travel approval
 - f. Meetings or conferences registration fees (include trip number)
 - g. Memberships/dues/licenses
 - h. Passport and visa fees (backup documentation maintained via the Berkeley Lab International Researchers and Scholars (IRSO) Office)
 - i. Phone charges, Internet service
 - j. Publishing charges
 - k. Supplies
7. Completion of the RFIC Request
 - a. Use the most current version of the [RFIC form](#)
 - b. Do not place Personally Identifiable Information (PII) on the form. PII includes:
 - i. Social Security numbers
 - ii. Financial account numbers
 - iii. Driver's license numbers
 - c. Sufficient documentation must be submitted to support the request. Documentation is considered sufficient when it includes vendor name, item description, price, quantity, sales tax (if applicable), payment method, and delivery address.
 - d. For event-related costs (e.g., food service, transportation services, or room rentals), an event ID must also be provided.
 - e. Incomplete RFICs or the use of an outdated form will result in the RFIC being returned to the requestor.
8. Approvals
 - a. An RFIC must include the appropriate approval from the issuing division/department. The RFIC approver must be included in the Laboratory's [Signature Authorization System \(SAS\)](#) and cannot be the same individual as the payee.
 - b. Payments related to joint arrangements/multi-participant projects that exceed \$25,000 require the Purchasing Manager and the Controller's approval.
9. Required IRS and State Forms
 - a. Prior to issuing RFIC payments, the Accounts Payable Department must have up-to-date tax reporting information on file.

The following forms are required and payment can be delayed until they are received:

- i. LBNL W-8 Substitute Foreign Vendor Registration **or** LBNL W-9 Substitute Domestic Vendor Registration
 - ii. California State Withholding Exemption Certificate Form 590 (California resident) **or** Form 587 (California nonresident)
- b. Contact the Accounts Payable vendor desk (vendordesk@lbl.gov) to determine if the required forms from the Internal Revenue Service (IRS) and state are already on file for a specific vendor.

E. Roles and Responsibilities

Role	Responsibility
Division Staff	Review the RFIC policy to determine if the item qualifies for payment using an RFIC form Complete the RFIC form, including the appropriate approvals. The approver must be granted an appropriate level of signature authority in the Laboratory's Signature Authorization System (SAS) . Submit the RFIC form, with appropriate documentation for payment (e.g., original itemized receipts or itemized invoices that include vendor name, item description, price, quantity, sales tax [if applicable], payment method, and delivery address). Summarized receipts or invoices are not acceptable.
Accounts Payable	Reviews the RFIC form and supporting documentation Obtains vendor payee tax information from the payee, if warranted Obtains OCFO approvals, as appropriate Prepares payment

F. Definitions/Acronyms

Term	Definition
eBuy	The Laboratory's electronic commerce ordering system for purchasing low-value catalog items. eBuy allows Laboratory personnel to purchase items directly from a supplier's Web catalog.
B2B	Business-to-business electronic commerce that allows direct purchasing via a catalog through a designated Web site, filling in an online order form, or by sending the supplier a standard fax form without going through the Procurement Department.
Conflict of Interest	Contract 31, Clause I.66, <i>Organizational Conflicts of Interest</i> , ensures that the UC Regents (and employees) are not biased because of financial, contractual, organizational, or other interests that relate to the work under the Contract, and that there is no unfair competitive advantage over other parties due to the performance under the Contract.
Division Pcard	A Berkeley Lab-issued credit card used by division representatives to make low-value purchases as allowed by Procurement policy.
ePro (eProcurement)	An online ordering source that is part of the PeopleSoft/Oracle Financial Management System (FMS) and is used for processing the Laboratory's purchases via the Procurement Department.
Restricted Item	An item that has been prohibited for purchase per contract with DOE. Such items require additional justification and are only authorized through procurement.
Sensitive Item	An item that requires special control and accountability, regardless of value, due to susceptibility of unusual rates of loss, theft, misuse, national security, and export control considerations. These items include, but are not limited to, weapons, ammunition, explosives, classified property, laptops, computers, personal digital assistants, other information technology equipment, and removable components with memory capability.

G. Recordkeeping Requirements

None

H. Implementing Documents

Document Number	Title	Type
11.01.019.001	Employee-Vendor Conflict of Interest List	Guidance List
11.01.019.002	Off-Site Training Request Form	Form
11.01.019.003	Restricted Items List	Guidance List
11.01.019.004	Sensitive Items List	Guidance List
11.01.019.005	Request for Issuance of Check Form	Form
11.01.019.006	Procurement Standard Practices 1.3, Ratification of Unauthorized Commitments	Procedure

I. Contact Information

Accounts Payable Manager

J. Revision History

Date	Revision	By whom	Revision Description	Section(s) affected	Change Type
4/16/2013	1.1	Bothe	Review completed 3/1/13, no changes	Pub & Next Review dates	Minor
1/2/2012	1	Jeppson	Reformat for wiki	All	Minor

Document Information

DOCUMENT INFORMATION

Title:	Request for Issuance of Check (RFIC)
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Revision number	1.1
Publication date:	4/16/2013
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Policy Area:	Accounting

RPM Section (home)	Financial Management
RPM Section (cross-reference)	11.50
Functional Division	OCFO
Prior reference information (optional)	RPM, Chapter 11, Section 11.50

Source Requirements Documents

- FAR 31.2012, *Determining Allowability*, Subpart 31.2 — *Contracts with Commercial Organizations*
- DOE Acquisition Regulation (DEAR) Subpart 970.31, *Contract Cost Principles and Procedures*

Other Driving Requirements

Document Number	Title	Type
11.07.004.000	Cost Allowability Policy	Policy
11.03.002.000	Event Policy	Policy

Implementing Documents

Document Number	Title	Type
11.01.019.001	Employee-Vendor Conflict of Interest List	Guidance List
11.01.019.002	Off-Site Training Request Form	Form
11.01.019.003	Restricted Items List	Guidance List
11.01.019.004	Sensitive Items List	Guidance List
11.01.019.005	Request for Issuance of Check Form	Form
11.01.019.006	Procurement Standard Practices 1.3, Ratification of Unauthorized Commitments	Procedure

Other References

Document Number	Title	Type
05.07.000.000	Conflict of Interest – General	Policy