**Form F-4 Payment Request Instructions**

**Form Usage**

**Your responses to the questions will help to ensure this form is properly being used.**

An explanation to each question is provided here:

**The payment is required to be in a foreign currency, is for payroll, benefits, or debt and related payments.**

*This question is only applicable on the F4eft Treasury version.*

* The F4eft version should only be used for payments:
* That need to be made in foreign currency - EFT is preferred over Foreign Draft (paper check) since EFT eliminates mail delays. Send these to AP for review/setup and AP will forward to Treasury.
* For Payroll: send directly to Treasury at Cash\_Mgmt@ur.rochester.edu
* For HR benefits: send directly to Treasury at Cash\_Mgmt@ur.rochester.edu
* For debt service and related payments: send directly to Treasury at Cash\_Mgmt@ur.rochester.edu
* Under extraordinary circumstances, other payments can be made via EFT. If you think you need to send a payment directly to Treasury but have not submitted it to them in the past, you must consult with the Accounts Payable Manager or Treasury Office for EFT consideration.

**The payee is not an employee, or is an employee receiving a royalty, study subject payment, or performance fee.**

* Employees can properly receive royalty, study participation, and performance fees on the Payment Request form.
* A few other types of payments to employees may be allowable on this form but must be clearly explained in the Business Purpose or supporting documentation. In this situation you would mark “Disagree”.
* Reimbursements to employees for purchases/payments they have made must be submitted on a F3 Employee Expense Report.
* You should ask the person you are paying if they are an employee or student.

**The payee is not being paid for physician services.**

* Employee physicians are paid for services via Payroll. Nonemployee physician services must be paid via Purchase Order. See Purchasing's website for information on classification as an Independent Contractor (for which a PO would be required) versus not an Independent Contractor (physician services paid through Payroll): <https://www.urmc.rochester.edu/purchasing/how-to-purchase/purchase-orders.cfm#Consultant>
* Marking “Disagree” and utilizing this form to pay for physician services would be an indication of non-compliance.

**This payment is not for a capital purchase.**

* All capital purchases must be on Purchase Order. Items of equipment or furnishings that cost $1000 or more and a life expectancy greater than one year are considered a capital purchase. See UR's Capitalization policy for more details: <http://www.rochester.edu/adminfinance/finance/assets/pdf/CapPolicyGuidelines.pdf>
* See Purchasing's website for information about the capital PO process: <https://www.urmc.rochester.edu/purchasing/how-to-purchase/>
* Marking “Disagree” and utilizing this form to pay for capital items would be an indication of non-compliance.

**The payment is for one of the activities on the acceptable Payment Request listing provided in the Instructions.**

* Below is a list of activities for which one or more preferred purchasing methods exist (should not be submitted to Accounts Payable via F4 Payment Request):
* PO should be established for capital purchases.
	+ All capital purchases must be on Purchase Order. Items of equipment or furnishings that cost $1000 or more and a life expectancy greater than one year is considered a capital purchase. See UR's Capitalization policy for more details: <http://www.rochester.edu/adminfinance/finance/assets/pdf/CapPolicyGuidelines.pdf>
	+ See Purchasing's website for information about the capital PO process: <https://www.urmc.rochester.edu/purchasing/how-to-purchase/>
* PO should be considered for every contract/agreement at the time Purchasing is reviewing the contract/agreement.
	+ That is, if a contract is being established and you expect UR to make payments associated with the contract, it is expected that you involve Purchasing so that they may decide if they will create a Purchase Order for that activity at <https://www.urmc.rochester.edu/purchasing/how-to-purchase/>
* PO should be considered for purchases from suppliers that are already established in the purchasing system.
	+ If any department at UR has established a PO for the supplier we know that they will accept POs from UR and therefore other departments should establish a PO for their activity with that supplier.
	+ Contact Purchasing to see if the supplier you are working with is already registered/qualified.
* Pcard should be considered when the department has a P-Card.
	+ If the amount is less than $1500, your department has a Pcard, the payee accepts credit card payments, and the transaction is acceptable on the Pcard, then you should use your departmental Pcard to pay this amount.
	+ The Pcard policy contains information about purchases that are allowable on the Pcard as well as restrictions: <https://www.urmc.rochester.edu/purchasing/how-to-purchase/purchasing-card.cfm>
	+ If Pcard is not appropriate for this transaction, Purchase Order may still be a preferred option over F4 form. See Purchasing's website for information: <https://www.urmc.rochester.edu/purchasing/how-to-purchase/>
* PO should be considered for any activity that generates multiple invoices with a supplier.
	+ Multiple invoices are not generally associated with one-time purchases. Unless identified on the Acceptable Use list, this type of relationship would be better handled through a Purchase Order in order to provide additional protections for UR. If the activity you want to pay for is not on the Acceptable Use list and you have not previously submitted a requisition to create a purchase for this type of activity, please contact Purchasing to discuss the situation prior to completing any paperwork.
* Utilize System Contracts with suppliers for which System Contracts are in place so that standard invoicing is utilized instead of Payment Request.
	+ Purchasing maintains these master system agreements with: Fax Doctor, Stericycle, Up and Running, B&V Testing, Phoenix Equipment, Spectra Services, Micro Video, Mettler, Xerox, Ricoh, Champion, Pepsi, Cardinal Optifreight.
	+ Orders should be placed according to standard procedure for electronic (EDI810, SOLO/XML/FTP) or summary suppliers. Conforming orders are invoiced without Payment Request submission required by the department.
	+ A listing of suppliers for which EDI810 and XML invoices are utilized can be found on the UR Financials Resources site: <http://www.rochester.edu/adminfinance/urfinancials/presentations/electronic-invoice-listing/>
* Grant subcontract activities do not utilize the purchasing system but have contracts in place and are appropriately submitted without a Payment Request.
	+ Contact your ORACS Accountant for further information: <http://www.rochester.edu/adminfinance/finance/Departments/ORACS/index.html>
* Payroll should be used for compensatory payments to employees, student employees, and many student stipend payment programs.
	+ Student stipend payment programs include: McNair, REU, REACH, Research and Innovation Grant (RIG)/URG, Discovery Grant, LEND, and others .
	+ Contact Payroll <http://www.rochester.edu/adminfinance/finance/payroll/index.html> to see if the student you are trying to make a payment to should be paid through Payroll.
* Payments to UR employed physicians should be processed via Payroll. Payments to non-UR employed physicians should be on PO.
* Employee physicians are paid for services via Payroll. Nonemployee physician services must be paid via Purchase Order. See Purchasing's website for information on classification as an Independent Contractor (for which a PO would be required) versus not an Independent Contractor (physician services paid through Payroll) : <https://www.urmc.rochester.edu/purchasing/how-to-purchase/purchase-orders.cfm#Consultant>
* Before planning a purchase or expense, the department should also consider using the University’s Business Travel Account (BTA): If air or train transportation is involved, avoid anyone going out of pocket for those expenses by arranging travel with one of our approved agents.

**F4 Payment Request Acceptable Use List**

Below is list of acceptable Payment Request form usage. Please note that this is not an absolute list but a general guideline for Payment Request usage. Payment Request is generally only acceptable for one-time type of payments.

* Standard/Default Payment Terms for suppliers providing goods and services are Net 30 days from invoice date. When a deposit is needed to hold a reservation, payment can be made immediately by noting an appropriate Due Date on the F4 form and explaining in the Business Purpose that immediate payment is needed to hold a reservation.
* Pcard-acceptable transactions are allowable on F4 until the Pcard program is expanded at which time Pcard will be preferred over F4.

|  |  |  |
| --- | --- | --- |
| **Activity** | **Payment Terms** | **Acceptable on Pcard?** |
| Audio Visual Services | Net 30 | Yes, one-time service |
| Conference/Seminar registration | Immediate | Yes |
| Event Reservations | Net 30 | Yes |
| Flowers for business events/activities, not personal milestones (birthdays, funerals, engagements, weddings, birth, etc.) | Net 30 | Yes |
| Food and Beverage | Net 30 | Yes, on-site business meals |
| Honoraria/Guest Speaker  | Immediate | No |
| Insurance centrally managed by Budget Office or SMH Finance | Immediate | No |
| Department of Homeland Security - International Services Office | Immediate | No |
| Non-employee (includes guest speakers) travel expenses (i.e., lodging and transportation) | Immediate: when reimbursing non-employee Net 30: when paid to lodging/transportation supplier | No, but F2 airfare is available for non-employees |
| Off-site utilities (phone, cable/dish, internet, power/water) | Net 5 | No |
| Patient and insurance refunds for which automation/integration does not exist | Immediate | No |
| Payment must accompany notarized/official documentation (not thank you notes or normal correspondence) | Immediate | No |
| Performers/Entertainers (including DJs) one-time payments | Net 30 | No |
| Petty Cash replenishments | Immediate | No |
| Prizes and Awards  | Immediate | No |
| Professional/club/membership dues | Immediate | Yes |
| Publication costs | Immediate | Yes |
| Referees | Immediate | No |
| Refunds/Transfers to affiliates/foundations (Gift Office, banking activities) | Immediate | N/A |
| Revenue generating contract payments | Net 30  | No |
| Royalty payments  | Immediate | No |
| Stamps | Immediate | Yes |
| Student Account refunds/aid initiated by Bursar’s office | Immediate | No |
| Study Participation/Incentive Payments | Immediate | No |
| Subscriptions | Immediate | Yes |
| Tax/Assessment payments | Immediate | No |
| Western Institutional Review Board (WIRB) | Net 30 | No |
| Wegmans (including for example gift cards to study subjects and food and beverage) | Net 30 | Yes |
| Taxi, Uber, Lyft, RTS rider tokens, Valet service for events, Ambulance (not executive car/limo services which should be on purchase order) | Net 30 | No |

* It is best to specifically list the above description in the Business Purpose section along with any additional business purpose explanations/clarifications are appropriate.
* Other activities may be acceptable but require clear explanation in the Business Purpose section or supporting documentation. In this situation you would mark “Disagree”.

**Pcard**

* If the activity is acceptable on the Pcard, the amount is less than the transaction limit, the payee accepts credit card payment, your department has a Pcard, and your department won’t exceed your monthly maximum 🡪 then it is preferred that you use your Pcard to pay.
* The Pcard policy contains information about purchases that are allowable on the Pcard and limits <https://www.urmc.rochester.edu/purchasing/how-to-purchase/purchasing-card.cfm> (subscriptions, reprints, pamphlets, manuals, books - excluding textbooks, food/beverage for on-site UR business purposes, one-time repair or service, advance registration fees for workshop/seminar/convention/conference) as well as restrictions. Usually the restriction is due to existing contracts that should be utilized via PO to ensure UR gets the best price/terms: <https://www.urmc.rochester.edu/purchasing/how-to-purchase/purchasing-card.cfm#Card_Restrictions> (alcohol, animals, business cards, capital equipment, cash advances, computers, contracts - consultants, maintenance agreements, controlled substances/medications, eBay purchases, forms, furniture, hazardous materials, lodging/hotel/motel, any item for personal use, lease/rental of equipment, Food/beverage consumed off UR premises, medical suppliers, moving/storage/transportation services, items/activity where Purchase Order is in place, sales tax, services, split orders to remain within limit, travel and travel related, textbooks.)
* If Pcard is not appropriate for this transaction, purchase order may still be a preferred option over F4 form. See Purchasing's website for information: <https://www.urmc.rochester.edu/purchasing/how-to-purchase/>
* For this item we are prompting you to indicate why the Pcard could not be used. Indicate the appropriate letter response so that we can utilize this information when evaluating our procure-to-pay options.

**The total of my department's payments to this payee, including payments on other forms, is less than $25,000.**

* If payments are less than $25k, a contract is not required to be documented with this F4 form.
* Consider your full understanding of the relationship with the supplier. You do not have to find out what others are paying the supplier. There is no time period. If you expect that at some point in the next few years you will have paid the supplier $25k then you should mark “Disagree”.

**If you disagree, a contract exists and it is either attached or is stored (specify location of departmental contact)**

* + Where payments to a payee total $25,000 or more related to an agreement (event, activity, purchase), a written contract for the aggregate of the expenditures must be in place. A copy of the contract should be included as supporting documentation with this F4 form or indicate where or who has the contract.
	+ Marking “Disagree” is an indication that you are not in compliance and should contact Purchasing to clarify agreement/contract requirements.

**Supporting documentation for purchased goods/services is an invoice, not a quote or statement. If not purchasing goods/services, input “NA”. If Disagree, explain in the Business Purpose why an invoice cannot be obtained.**

* When payment is for goods or services, the supporting documentation includes an invoice. Quotes are generally not acceptable since suppliers tend to automatically send invoices when their systems generate the actual invoice. This could result in duplicate payment since the quote # will not match the invoice # and the systematic duplicate checking in our systems will not identify and reject this as a duplicate.
* Statements are generally not acceptable because suppliers tend to misapply our payments when they do not know specifically which invoices we are paying (which would have to be listed in the remittance portion of the payment). There can only be one invoice # per invoice entered in Workday, so statements with multiple invoices will most likely create problems. There are a few exceptions that must be discussed and agreed to in advance by an Accounts Payable Supervisor/Manager.

**Responses of “AU” are appropriate to the below questions if activity is on the F4 Acceptable Use list. Otherwise you must respond appropriately.**

**My department does not expect to do further business with this payee.**

* If the department is in a relationship of ongoing activity such that future purchases/payments are expected, a Purchase Order should be established. If you mark “Agree” or “AU” then skip the “If Disagree” prompt.

**If you disagree we are working with Purchasing to establish a Purchase Order with this payee, but we need to get this invoice paid on time. If Disagree to this prompt explain in the Business Purpose why an invoice cannot be obtained.**

* + If you are expecting to do further business with the payee, we understand that you may have open invoices that are past due or coming due. Please document that you are working with Purchasing to establish a PO by including that in the Business Purpose section or providing a copy of an email showing your communications with Purchasing about a PO.
	+ If Purchasing has waived the opportunity to create a PO, then written support attached to this F4 will support that position (e.g., email from Purchasing).
	+ If you will cease doing business with the supplier in 3 months or less and the amount of remaining activity will be less than $2,500, you may use the F4 for remaining activity but you must document this in the Business Purpose section.
	+ Keep in mind that Pcard is preferred for amounts under the transaction limit ($1500).
	+ See Purchasing's website for information: <https://www.urmc.rochester.edu/purchasing/how-to-purchase/>

**If not AU, if payment is not for services enter “G”. Otherwise: Payment is for services and the Independent Contractor policy has been reviewed to determine that it is appropriate not to pay the payee via Payroll, Purchasing has determined a Purchase Order is not necessary, and that the appropriate Independent Contractor paperwork is attached as supporting documentation. If Disagree to this prompt then explain in Business Purpose section why you feel this transaction should be acceptable on F4.**

* Input “AU” if you are paying for activity on the Acceptable Use list.
* Input “G” if you are paying for the purchase of goods or other activity that is not services.
* For payments for services, the department must be familiar with the Independent Contractor policy guidance located on the Purchasing website: <https://www.urmc.rochester.edu/purchasing/consultants/index.cfm>
* Some payees being paid for services must be paid through Payroll.
* If you believe the payee to be an Independent Contractor, it is best to work with Purchasing to establish a Purchase Order.
* If Purchasing is not creating a PO it is important to understand if that is because the payee should be paid through Payroll or if they are just not going to create a PO.
* If Purchasing is just not creating a PO, be sure to include the appropriate Independent Contractor paperwork (see this site for more information: <https://www.urmc.rochester.edu/purchasing/consultants/index.cfm> )
* Selecting “Disagree” would be an indication that the payment is for services AND you have not reviewed the policy, it should be paid via Payroll, a PO should be used instead, or that the Independent Contractor paperwork is not included. You must explain why you feel the F4 form is appropriate for this payment.

**Payee Information**

**Payee type**: This form cannot be used for all payments. It is important to know if the payment is to a student or employee so that further compliance considerations can be evaluated. You must select the type of payee we are paying:

* Select "Non-employee, Non-student" if the payee is not employed at the University and is not a student at the University.
* Select "Student" if the payee is a University of Rochester student.
* Select "Employee" if the payee is an employee of the University of Rochester or one of its affiliates/subsidiaries.
* Select both "Student" and "Employee" if the individual is both a UR student and UR employee.

**Payee**: The payee is the name of the person or company (supplier) that you want to be paid.

* Do not include professional designations for people, such as MD, PhD or Dr.
* Make sure the payee you put in this field matches the supporting documentation, otherwise you should explain in the Business Purpose section or on the support why we should be making the payment payable to a different name.
* If you have previously paid the payee and know their Supplier ID, it is helpful to include the Supplier ID in the Payee name field as an extra assurance we are talking about the same payee.
* Note the UR Financials field that the Payee appears in is called Supplier/Supplier Name.

**Payee address**: The payee's address is always required.

* The information in this field should be the "remit to" address provided by the payee/supplier. Make sure the address you put in this field matches the remit to address provided in the supporting documentation, otherwise you should explain in the Business Purpose section or on the support why we should make the payment to a different address.
* For taxable reportable payments, you must provide their permanent home address. If the check needs to be mailed to a different address, note both addresses with the appropriate notation of "Mail to" or "Tax Reporting".

**Invoice Date**: Enter the date of the invoice used as supporting documentation.

* Do not enter anything in this field if the payee has not provided an actual invoice.

**Non-Invoice Date**: If there is no invoice, enter the date the expense was incurred, date of service, or other relevant date. For study participants, enter the date of the (most recent) visit for which they are being paid.

**Due Date:**

* Use this field for EFT payments because it is important to clearly indicate the due date of these types of payments.
* Important: UR's default payment terms for supplier invoices is Net 30 days meaning UR will pay the amount 30 days from the invoice date. Net 30 is our standard payment term for Purchase Order activity. Since Purchase Orders are preferred over F4 for supplier activity, Net 30 is the default on F4s as well.
* Use this field if the payee is a supplier and payment is required before UR's standard payment terms of 30 days from Invoice Date. Enter the date you would like the payment made and explain/justify the shortened payment terms in the Business Purpose.
* It is not sufficient to say that the payee expects immediate payment because everyone would want their payment sooner rather than later if given the option. There must be a real threat to service or delivery to dictate quicker payment than Net 30. Usually, exceptions are only negotiated or granted for rare special situations.
* Deposits to hold reservations can be paid immediately and should be noted with an appropriate Due Date along with an explanation in the Business Purpose section that the deposit is required immediately (by the Due Date) to hold the reservation. The balance due on subsequent invoices should be paid Net 30 from the invoice date.

**Payment for services**: Only respond to this section of questions if the payment is for services.

* Please see the policies on the Finance web site <http://www.rochester.edu/adminfinance/finance/policies/index.html> for guidelines on submitting Form W9 with your form when the payment is for services performed (including research subject payments and prizes/awards).

**Citizenship/Residency**

* For proper IRS reporting, you must indicate whether the payee, or the beneficiary of the payment, is a US Citizen or a Permanent Resident or not (is a Nonresident Alien). For US citizens you should obtain a W9. Some feel a less awkward way of asking the citizenship-residency question is if they have or could complete a W9 form. If the payee is not certain what that form is you could show it to them and explain that US citizens complete the form to certify they are providing their valid social security number. If the payee indicates they do not have one, then you should proceed according to nonresident alien handling.

 **If Yes**, mark the box and indicate whether a W9 has been previously sent to A/P or not.

* + Select either
		- Yes: a W9 has previously been sent to AP,
		- NO: you are attaching a W9 for the payee to this Payment Request or
		- NO: the payee is a study participant and will not receive $275 or more during this calendar year for this study.
			* If the No/study participant option/box was selected, then indicate the year-to-date payment total to the payee. See the Payments to Research Subjects for Incentives/participation policy for more details: <http://www.rochester.edu/adminfinance/finance/assets/pdf/ResearchSubjectPayments.pdf>

**If No**, mark the box and send the payee's email address to the AP Nonresident Alien Tax Administrator as well as provide it on the F4 form in the space provided.

* If you are not sure who the AP Nonresident Alien Tax Administrator is, then send the payee's email address to AccountsPayable@finance.rochester.edu
* **Invoice Number:** Enter the invoice number from the invoice used as supporting documentation. Do not write INV or # or any characters that are not part of the actual invoice number as it appears on the payee's invoice.
* For study participants, enter the date of their visit for which they are being paid. If the payee is getting payment for multiple visits on a single F4, use the most recent visit date. This helps to better ensure duplicate checking programs will stop a potential duplicate payment.
* The standard/universal method for suppliers to apply our payments to them correctly is to utilize the invoice # they provide on their invoice. Most times this is the only piece of information they need to apply our payment to them correctly so please ensure accurate Invoice Number is provided.

**Header Memo:**

* If there is no invoice number or no invoice to get a number from, the account number the payee has assigned to us can be used since this is the best way for the payee to determine where to apply the payment when they receive it. However, if you expect to make multiple payments to this payee that is an indication that a Purchase Order might be preferred (see *PO should be considered for any activity that generates multiple invoices with a supplier*).
* Otherwise provide a description that will help the payee understand what the payment is for. This information will appear in the Header Memo on your UR Financials transaction as well as in the remittance info provided on check payments.
* Please limit your entry in this field to 20 characters maximum, more can be used if necessary.
* Remittance details for Payment Request invoices to the payee include: Invoice date or date of service (Invoice Date field), Invoice Number if provided, Header Memo (if provided), and Total Amount for invoice.

**EFT Reference**:*This question is only applicable on the F4eft Treasury version.*

* Enter the invoice number from the invoice used as supporting documentation.
* Otherwise, the account number the payee has assigned to us is used in the description since this is the best way for the payee to determine where to apply the payment when they receive it.
* If neither of these exist, use a description that the payee will understand and be able to figure out what we are paying them for. Please limit your entry in this field to 20 characters maximum.
* For EFT payments, ONLY the EFT Reference info is passed to the payee in the electronic payment file. Please be sure the information in this field is sufficient for the payee to know how to apply the entire paid amount.

**Forwarding Information**

You must choose how you want the payment handled.

**Default**: (Preferred) Default Payment Type of ACH or Check Mailed Directly to payee.

* This is the preferred payment type and is an indication you want us to pay the payee with whatever has been established as the default/standard payment type.

**ACH**: Mark this box if payee's banking info is provided and you are not sure if they are set up for ACH, but want them to receive ACH.

* ACH is an electronic payment method that is preferred over other payment types.
* Select this box if you have included the banking info for UR to complete an ACH transaction. Sometimes suppliers will include their banking info on their invoices. Otherwise you probably need to ask the supplier for their banking information. It is the department's responsibility to verify with the payee they have the correct banking data for an ACH (CCD+ format).
* Please note that converting existing suppliers or setting up new suppliers for ACH payments requires a 2 week waiting period to ensure we can successfully transmit an ACH payment to the payee.
* Because it is our preferred payment type, once AP confirms a payee with the ACH Payment Type, it is set as the default for future payments.

**Enclosure**: There is no charge for this standard process since there are still many types of payments for which it is beneficial to include an enclosure so that the payee understands what they are receiving the check payment for.

* Be sure to include the enclosure in the supporting documentation and clearly mark which items should be in the enclosure. That is, don't leave it up to AP staff to decide what should be mailed with the check.
* Also, if you have included something as supporting documentation and that page or pages should also be an enclosure, then include an extra copy, otherwise AP staff have to make a copy of the supporting documentation to scan and save for retrieval and this could lead to lost paperwork and/or delayed processing.
* Enclosures will not be sent when electronic payment (e.g., ACH) is utilized.

**Mailed to**: Select this if you must have the check returned to a department for distribution.

* Please note this is least preferred and goes against the internal controls we have in place to protect the University.
* Be sure to fill in the name and intramural address of the person the check needs to be mailed to. Also, a blue envelope with the name and address printed on the front should be attached to the F4 and documentation.
* In 2014, a committee of divisional finance representatives agreed to the following acceptable mail back reasons:

 –       Patient related insurance refunds –       Payment must accompany notarized/official documentation –       Human Resources gratuity payments (only submitted to AP by HR) –       Payee has a foreign address

 –       Prize/Award payments, only if handed to the recipient at ceremony

* If your mail back request is for one of the above, put the acceptable mail back reason in the space provided.
* If your mail back request is for any other reason, you must get divisional finance approval for the mail back, otherwise (if the mail back is not properly authorized by divisional finance) we will mail the payment directly out.

**Picked up**: Select this if you want to be contacted to pick up the check when it is ready.

* Be sure to indicate the name and phone number of the person to contact for check pick up. This information should also be written on the blue envelope submitted with your Payment Request and documentation.
* In addition, a complete Accounts Payable Request Form - Special Handling section should be submitted on top of the F4 with a non-GR FAO designated for the $30 fee to be charged.
* While you can write the non-GR FAO for the $30 fee on the F4 form, it is important to include the Special Handling form ON TOP of the F4 form because that is what makes your F4 form stand out from others. If you do not attach the Special Handling form on top, your F4 will be intermixed with others and possibly delayed or not handled properly.

**Rush**: Select this if you've attached an Accounts Payable Request Form - Special Handling indicating you would like a rush and have designated a non-GR FAO charge the $30 fee.

* While you can write the non-GR FAO for the $30 fee on the F4 form, it is important to include the Special Handling form ON TOP of the F4 form because that is what makes your F4 form stand out from others. If you do not attach the Special Handling form on top, your F4 will be intermixed with others and possibly delayed or not handled properly.
* Note that only one $30 fee would apply if you are both requesting a rush and want to pick up your check.

**Accounting Distribution**

**Total Amount**: If you are not entering data into this worksheet electronically, enter the total amount. If you are entering data into this worksheet electronically, you do not need to enter anything, completing the next section will automatically total the check amount for you.

**Company / Spend Category / FAO:**

* Enter the UR Financials Company, Spend Category and FAO to be charged. The total of the URF distributions must equal the total amount of the payment.
* If you cannot fit all your distributions on the form, attach a spreadsheet with the distribution listed and write "see attached" on the form.
* If you have more than 10 distribution rows, contact the Accounts Payable email box AccountsPayable@finance.rochester.edu to discuss providing an excel file that we can use to upload the invoice.
* Please be sure that you have supplied us with valid, active account information otherwise payment to the payee will be delayed.
* For questions about acceptable Spend Categories run View Spend Categories URF0876 which identifies SCs appropriate for Supplier Invoice Usage as well as those associated with 1099 MISC reporting.

**Bank Details**

*This section is only applicable on the F4eft Treasury version.*

**Currency**: This field is only applicable to the Treasury version of the form.

* Please enter the type of currency you would like the payment made in. For example, use "USD" for United States Dollar or "CAD" for Canadian Dollar.

**Name on Bank Account**: Please enter the name of the bank account since the name on the bank account may differ from the payee noted above.

**Bank Name**: Please enter the name of the Payee's bank.

**Bank Address:** Please enter the address of the Payee's bank.

**ABA**: Please enter the ABA of the US bank, if the payee has provided instructions from the US. If you would like funds sent outside the US, you would need a SWIFT Code or CHIPS number.

**A/C**: Please enter the Account Number of the US bank, if the payee has provided instructions from the US. If you would like funds sent outside the US, you would be looking to provide an IBAN (International Bank Account Number) instead.

**IBAN**: This stands for International Bank Account Number and should only be filled out if the payee has provided banking instructions from outside the US.

**SWIFT/CHIPS:** Please enter the SWIFT Code or CHIPS number, if the payee has provided instructions from outside the US.

**Intermediary Bank:** Please enter any of the ABA, A/C, IBAN or SWIFT/CHIPS if you are aware of an Intermediary Bank. Most of the time, this will be blank.

**Other**: If there is "for further credit" or "FFC" information, such as an account number, please enter it here.

**Certification**

The following questions are intended to guide the Requestor and Approver through the considerations regarding whether University funds are being spent in accordance with various policies.

**Does the payee have access to Protected Health Information?**

* If Yes, has a Business Associate Agreement been obtained?
* If the payee has access to Protected Health Information, a Business Associate Agreement **must** be in place, ***UNLESS*** a URMC Privacy Officer has determined that a BAA is not required.  If a URMC Privacy Officer (<https://sites.mc.rochester.edu/departments/hipaa/faqs-resources/hipaa-privacy-officers-and-security-officials/>) has made the determination that a BAA is not required, please note the name of the Privacy Officer on the form.
* If you have concerns about protected health information or related concerns, contact a Privacy Officer at the above link.
* If the payee had access to PHI but you don't have a BAA or don't know if there is a BAA in place, contact a Privacy Officer.

**Is this payment necessary for the conduct of University business?**

* The payment should be necessary for the conduct of University business and not be of a personal or unnecessary nature.
* For example: Engagements, Weddings, Birth, Adoption, Death/Funerals are all personal events not business activities. Flowers/gifts/parties/food, etc. for these occasions are NOT business expenses.

**Is this payment allowable to the accounting codes (FAO and Spend Category) listed above?**

* Some charges are not acceptable on certain types of FAOs. We have programmed validations in UR Financials to catch those that are absolutely not appropriate.
* In other situations, the charge may or may not be allowable depending on the facts of the situation.
* Therefore it is important for you to have a good understanding of your FAO and any rules or restrictions.
* Additionally, proper Spend Category usage is important to classifying and reporting our expenses accurately.
* Run View Spend Categories URF0876 which identifies SCs appropriate for Supplier Invoice Usage as well as those associated with 1099 MISC reporting.
* There are also Tools available on the UR Financials website: <http://www.rochester.edu/adminfinance/urfinancials/> for definitions and roll ups of FAOs and Spend Categories.

**Is this payment fair and in the best interests of the University?**

* The payment must be fair and in the best interest of the university; not to the benefit of an individual or business over another.
* The payment should not be unfairly benefitting the payee over another equally-qualified supplier.
* The payment should not involve excessive rates, fees, or charges that are not fair for UR to be paying, compared to other rates/fees charged to other customer.

**Is there a conflict of interest per the University's policies with respect to this expenditure?**

* There must not be any conflict of interest per the UR policies, see <https://www.rochester.edu/working/codeofconduct/IIa.html>

**Mark “NA” if any of the below questions are not applicable.**

**If the amount is more than $25,000 pursuant to this Payment Request, a written contract for the aggregate of the expenditures exists?**

* Where payments to a payee total $25,000 or more related to an agreement (event, activity, purchase), a written contract for the aggregate of the expenditures must be in place. A copy of the contract should be included as supporting documentation with this F4 form.
* “NA” is appropriate when you do not expect to pay the payee $25k+.

**The citizenship/residency question was discussed with the Payee?**

* Some people are wary of asking a payee's citizenship/residency. However it is required to ensure the UR is properly deducting taxes if required by the IRS and reporting appropriately.
* See Citizenship/Residency guidance above. Some feel a less awkward way of asking the citizenship-residency question is if they have or could complete a W9 form. If the payee is not certain what that form is you could show it to them and explain that US citizens complete the form to certify they are providing their valid social security number.
* “NA” is appropriate if the payment is not tax reportable.

**If electronic payment is being requested, signers of this Payment Request have verified electronic funds transfer instructions with payee?**

* If an electronic payment is being provided by the department (first time ACH, all EFT requests), the department verified the banking /electronic fund transfer info with the payee.
* Sometimes suppliers will include their banking info on their invoices. Otherwise you probably need to ask the supplier for their banking information. It is the department's responsibility to verify with the payee they have the correct banking data for an ACH (CCD+ format).
* “NA” is appropriate if you have requested anything other than "…banking info provided…and want them to receive ACH".

**Business Purpose**

* In this field you need to explain how the payment is in support of University business.
* Sometimes the situation is straightforward and a description of what is being paid for is sufficient. For example, if the request is to pay for a conference registration then the business purpose should say the topic of the conference and what employee is attending.
* Otherwise, you need to provide a more detailed explanation of how the items or services are used in the course of performing University business.
* Be sure to include any other supporting explanations/clarifications to any of the form usage or certification questions or other information that explains the situation. As a reminder, additional notation may be needed for:
	+ The payment is required to be in a foreign currency, is for payroll, benefits, or debt and related payments.
	+ The payee is not an employee, or is an employee receiving a royalty or study subject payment.
	+ The purchase is less than $1500 and the payee accepts credit card payments, but my department does not have a Pcard or the transaction is not acceptable on Pcard.
	+ My department does not expect to do further business with this payee.
	+ The payment is not for services; or if the payment is for services, the Independent Contractor policy has been reviewed to determine that it is appropriate not to pay the payee via Payroll, Purchasing has determined a Purchase Order is not necessary, and that the appropriate Independent Contractor paperwork is attached as supporting documentation.
	+ The payment is for one of the activities on the acceptable Payment Request listing provided in the Instructions.
	+ Mail back

* Please do not include protected health information on the form such as what study a person participated in. In this situation it is sufficient to generally reference "study participation" or similar.

**The certification statement is a statement of compliance with above mentioned policy topics.**

* Employees should only sign the form if they agree to the certification statement.
* If in the course of reviewing the certification statements you determine a "Disagree" is appropriate, then the payment should not be made. Do not sign the certification and do not submit the form to Accounts Payable.
* Contact Office of University Audit, Office of Counsel, or other superior manager if you have concerns about the payment being requested.

**Requested by**: Print the name of person requesting the payment be made.

**Title**: Print the title of the Requestor.

**Phone Number**: Phone number of the Requestor (xxx-xxxx).

**Requestor's Signature**:Signature of the Requestor. Signatures must be original, photocopied/faxed signatures are not acceptable.

**Date**: Date of the Requestor's signature. (mm/dd/yy)

**Next-level/Supervisor/Approver**

* Print the name of the Approver. The Approver must be the "next-level"/supervisor to the Requestor if payment is to suppliers. In all situations, the "next-level"/supervisor is an individual authorized/responsible for the FAO (or Hierarchy/Cost Center) to which the payment is being charged.

**Title**: Print the title of the Approver.

**Approval Signature**

* Signature of the Approver. Signatures must be original, photocopied/faxed signatures are not acceptable. Areas with Requestors and Approvers in different locations must plan accordingly to ensure signatures are original. That is, you should plan ahead knowing that originals need to be mailed between offices in order for originals to get on the forms and then be sent to AP. If you feel this is unnecessarily burdensome, consider a discussion with your Departmental/Divisional Finance office to determine or arrange acceptable alternate approver(s).

**Date**: Date of the Approver's signature. (mm/dd/yy)

**Phone Number**: Phone number of the Approver (xxx-xxxx).

**Department**: Department for which the request is being completed.

**Intramural address (box #)**: Intramural address (box number) of the Requestor

**Reviewed by**:This field is for Finance use only

Revised 1/26/2018