



Requests for Issuance of Check (RFIC)

Lawrence Berkeley
National Laboratory

Financial Policies and Procedures

Part I

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Primary contact:	Manager, Accounts Payable

Summary

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

This policy is applicable to all Laboratory staff seeking payment through the RFIC process. The RFIC process may not be appropriate in all circumstances.

Policy

This policy applies to requests for payments of allowable goods and services that meet the requirements of the Federal Acquisition Regulations (FAR), Subpart 31.201-2, *Determining Allowability* ([FAR 31.201-2](#)), as supplemented by specific clauses in DOE Contract 31DEAR Subpart 970.31, *Contract Cost Principles and Procedures* ([DEAR 970.31](#)).

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:

- eBuy
- B2B
- Division PCard
- ePro

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:

- [Employee-Vendor Conflict of Interest](#)
- [Restricted Items](#)
- [Sensitive Items](#)

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](#)).

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If the following conditions are met, the use of an [RFIC](#) form to request payment for goods and services is appropriate and reimbursable.

- Goods or services not directly billable to the Laboratory on a Purchase Order, or obtainable through eBuy, B2B, or the Division PCard programs.
- Purchase is consistent with the [Cost Allowability](#) Financial Policy requirements outlined in §11.23 of the OCFO Policies; which requires that costs incurred be both reasonable and allocable.

The following provides examples of purchases where the use of the RFIC form is generally appropriate; it is not intended to be a comprehensive list.

- Annuitant/workers' compensation payments to UC (via CFO Office)
- Books/journals/subscriptions
- Food service (Lab-hosted meetings or conferences)
- Legal/attorney fees (via Laboratory Counsel Office)
- Local lodging (direct bill) for guests-include Travel approval
- Meetings or conferences - Registration fees (include trip no.)
- Memberships/dues/licenses
- Passport and visa fees (backup documentation maintained via the Laboratory IRSO Office)
- Phone charges, internet service
- Publishing charges
- Supplies

Procedures

Completion of the RFIC Request

1. Use the most current version of the [Request for Issuance of Check](#) form
2. Do not place Personally Identifiable Information (PII) on the form. PII includes:
 - a. Social Security numbers
 - b. Financial account numbers
 - c. Driver's license numbers
3. 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.

For event-related costs (e.g., food service, transportation services, or room rentals), an event ID must also be provided. Incomplete RFICs or the use of an outdated form will result in the RFIC being returned to the Requestor.

Approvals

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.

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Payments related to joint arrangements/multi-participant projects which exceed \$25,000, require the Purchasing Manager and the Controller's approval.

Required IRS and State Forms

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 can delay the payment process until received:

- LBNL W-8 Substitute - Foreign Vendor Registration **or** LBNL W-9 Substitute - Domestic Vendor Registration
- California State Withholding Exemption Certificate - Form 590 (CA Resident) **or** Form 587 (CA Nonresident)

Contact the Accounts Payable vendor desk (vendordesk@lbl.gov) to determine if the required forms from the IRS and State are already on file for a specific vendor.

Roles and Responsibilities

Division Staff

- Reviews the RFIC policy to determine if the item qualifies for payment using an RFIC form.
- Completes 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 \(SAS\)](#).
- Submits the RFIC form, with appropriate documentation for payment; i.e., 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 CFO approvals, as appropriate
- Prepares payment

Related Documents

- [Conflict of Interest Policy](#)
- [Cost Allowability Policy](#)
- [Employee-Vendor Conflict of Interest List](#)
- [Food and Beverage Policy](#)

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- [Meetings \(Lab-Hosted\) Policy](#)
- [Offsite Training Request Form](#)
- [Restricted Items List](#)
- [Request for Issuance of Check Form](#)
- [Sensitive Items List](#)

Contacts

- Manager, Accounts Payable

Glossary

- **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 on-line 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, Organizational Conflicts of Interest, ensures that the Regents (and its 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.
- **ePro (eProcurement):** An online ordering source which is part of the PeopleSoft/Oracle Financial Management System (FMS) and is used for processing the Laboratory's purchases via the Procurement Department.
- **Division Pcard:** LBNL issued credit card used to Division Representatives for the purpose of purchasing low-value purchases as allowed by Procurement policy.
- **Restricted Item:** An item that has been prohibited for purchase per contract with DOE. These items require additional justification and are only authorized through procurement.
- **Sensitive Item:** Items that require 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.