PROCUREMENT
This training is provided to employees of the University of Alaska who wish to have a better understanding of the UAF Procurement process and how to incorporate it into Banner.

UAF Procurement & Contract Services office requires that new employees of UAF and rural campuses complete the Procurement & Banner Training in order to gain access to the Procurement Modules. This manual includes all the information that is covered in the training and is designed to be used independently outside of the classroom.

If, while using this manual, information you feel needs more explanation, or information that is not included but should be, please contact Shannon O'Kelley @ 474-6424 - slokelley@alaska.edu. User level input is important to the continuing development of training materials. Remember – this is YOUR training – help make it what it needs to be.

If you wish to view additional detailed instructions for other Banner Finance forms, visit the Statewide website at: http://www.alaska.edu/financial-systems/banner/
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Mission Statement

Procurement & Contract Services is dedicated to providing convenient, timely, and cost effective acquisition of goods and services on behalf of the campus community, support for collaborative research, and professional administration and monitoring of contracts and sub awards, while maintaining compliance with University of Alaska Board of Regents’ Policies, State of Alaska statues and federal regulations.

HOME
http://www.uaf.edu/procurement

- Community and Vendor Links
  - Staff and Faculty Information
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  - Staff Directory

- Procurement Information
  - ProCard & Travel Card Information
  - Procurement Forms, Memos and Policies
  - Procurement Officer Commodity List
  - Staff Directory
  - Subaward Templates
  - Vendor Agreements & Contracts

Bookmark Procurement’s Web page to remain up to date of posted information, learn who the specialist is for a particular product or service, and put a face to the name.
SETTING UP A PERSONAL MENU

A personal menu may be constructed to contain the forms and jobs that are most frequently used in day to day operations. The advantage of setting up the personal menu, ‘My Banner’, is for easy access to the forms and saves the time of navigation or the need to remember form names. The description of the form may be re-named as desired, clearly identifying the function of the form.

1. Type ‘GUAPMNU’ in the Go To field. <Enter>

   ![Personal Menu GUI](image)

   The cursor resides in the Object field.

2. Type FPIOPOV and press <Enter/Return>. Note the name “Purchase Orders by Vendor” appears in the Description field and is highlighted.

3. Press <Next Record> to go to the next line.

4. Type FPA2PUR and press <Enter/Return>. This time, while the description is still highlighted, type Call Number and press <Enter/Return>. This changes the name of the form to something that is more familiar with what you actually do in this form.

5. Press <Next Record> and continue entering the remaining form names (FPAREQN, FPARCVD, FOIDOCH) as shown below, each time pressing <Next Record> to continue to the next entry. These are forms you will be using for training and when you gain access to Banner PROD.

   ![Form Names](image)

6. Press <F10> or click the save icon, then press <Exit> (“Ctrl q” or ‘X’).

7. Log out of Banner and log back in. Double click on My Banner and your menu will appear.
FOM2PRF User Profile Edit

FOM2PRF is used to update a user’s department information profile. Only the user can update their profile, which will default the information into Banner entry forms such as FPAREQN and FPA2PUR. This prevents repetitive data entry by the user; however, defaulted information can be changed, if desired, on forms.

In the Go To… field, available from any Banner menu, enter FOM2PRF and press <Enter/Return>. The User Profile Edit Form is displayed.

1. **User ID:** The User Profile Edit Form displays the User ID of the person logged into the current Banner session. [Next Block]

2. **User Name:** Upon entry, the cursor resides in this hi-lighted field. The displayed name may be updated if the user desires. This does not officially change the user’s name, only how it displays on the forms.

3. **Organization:** This is the primary organization/departmental code for the user. <Search> is available and displays a list of organization codes from which to choose. This is not a required field.

4. **Phone:** Enter area code and phone number.

5. **Fax:** Enter area code and fax number.

6. **Email:** Enter a valid work-based email address

7. **Ship To:** <Search> is available and displays a list of addresses from which to choose. Contact the Procurement Office if an address needs to be added or updated.

8. **Commit** Save the record.

9. **Exit** from BANNER. Changes may be viewed with the next log-in.
PROCUREMENT METHODS

1. ProCard – $5,000.00 Limit – Goods & Services
   If you do not have a ProCard, complete the application at the following web site:
   http://www.uaf.edu/procurement/procard-travel-card-infor/procard-information/
   A link to instructions on how to properly fill out the form is also found on this page.
   Contact Helen Connor for additional information @ helen.connor@alaska.edu.
   For a copy of the ProCard Manual, go to http://www.uaf.edu/procurement/procard-information/manuals/.

2. Blanket Purchase Order (BPO) – $5,000.00 Limit – Goods and Services
   All UAF Blanket Purchase Orders begin with “BF”.
   A BPO is an agreement with a vendor that permits University departments to order items directly
   from the vendor. The UAF Procurement Office has created over 500 Blanket Purchase Orders to
   various vendors in Alaska and around the country. These BPO’s can be used for goods and
   services offered by the vendors, up to $5,000.00. The department utilizes them by creating a “call
   number” in Banner (FPA2PUR). This “call number” acts as the department’s “purchase order” and
   authorizes them to place their order with the vendor and have it shipped directly to the department.
   Once the goods are received, or the service is complete, the department notifies Accounts Payable
   (A/P) to authorize payment of the invoice. This is done via the Banner Receiving form, e-mail or fax.
   If the line item exceeds $2,500, the receiving must be done through Banner (FPARCVD); if under
   that amount and the department chooses not to do receiving in Banner, an e-mail or fax authorizing
   A/P to pay is fine.

3. Blanket Delivery Orders (BDO) – No $ Limit – Goods and Services
   All UAF Blanket Delivery Orders begin with “BFC”.
   The UAF Procurement Office has competed and issued contracts to various vendors for their goods
   and services in order to secure the best possible price. Some of these contracts have been
   processed as UNFUNDED Blanket Delivery Orders. Because a low competitive price has been
   established, there is no limit to the amount that can be spent on an individual “call number”.
   Blanket Delivery Orders are entered into Banner using the same method as a Blanket Purchase
   Order.

4. Limited Purchase Order (LPO) – $5,000.00 Limit – Goods and Services
   Limited Purchase Orders are limited to $5,000.00 for goods that are in stock only and services that
   take place within 24 hours. Goods may not be backordered on an LPO, and may not be used for
   lodging.
   Limited Purchase Orders are obtained by submitting a request form to the Procurement Office
   (available from the Procurement Office). Departments that wish to use LPO’s must come to the
   Procurement Office to pick them up. They must be regarded as “cash” and should be kept in a
   secured area.
   Orders may be called into a vendor or placed in person. Once the purchase has been made, the
   department must enter the information in Banner (FGAENCB) for processing and payment. Invoice
   dates must match the date of the LPO. Appropriate copies are sent with the receipt to Accounts
   Payable as quickly as possible, so payment may be made in a timely manner. “Receiving” is not
   required with LPO’s. LPO’s are audited by the UAF Procurement Department.
5. Requisitions – No $ Limit – Goods and Services

When goods and services cannot be obtained by one of the methods outlined above, a “Requisition” must be entered in Banner (FPAREQN). Requisitions are processed solely by the Procurement Office and do not give the department authorization to call an order in to a vendor. If a department has a need to receive something immediately, a call to the Procurement Office will expedite the processing of the requisition.

Requisitions are assigned a “Purchase Order” (PO) number by the procurement officers in Procurement. At UAF, this number is identified with an ‘FP’ identifier at the beginning of the document number: “FP123456” The buyer then processes a purchase order and phones, faxes or mails it to the vendor. It is the department’s responsibility to provide good, complete information to Procurement for prompt processing. This includes complete vendor information and detailed descriptions of the goods or services being requested. If there is backup (i.e. order forms, catalog pages, etc.) that would help Procurement better understand what is being requested, it should be emailed to Procurement (with the requisition number written on each page) within three days of submitting the requisition (see Page 23 for backup submission details). The buyer decides when goods should be delivered to Central Receiving and when it is appropriate for them to be delivered directly to the department. If goods have been delivered to Central Receiving, they will do the “receiving” on Banner for the department. If goods have been delivered directly to the department, and not paid for in advance (enclosing a check with the PO), the department must notify Accounts Payable that the items or services have been received and the invoice may be paid. This is done by the Banner Receiving process, e-mail or fax.

Requisitions that exceed the $5,000.00 small purchase limit may go out to “quote” or “solicitation”.

“Quotes” are issued for goods or services that total $5,000.01 - $99,999.99 and are available from multiple sources. This is an informal process that can take anywhere from a few days to a few weeks, depending on the request.

“Solicitations” are issued for goods and services that total $100,000.00 or more. This is a formal process that can take several months to complete. It is important for the departments to allow enough time for the Procurement Office to complete this process. Therefore, careful planning is necessary – particularly as the fiscal year end draws near.

Departments are encouraged to track the progress of their requisitions in FOIDOCH. If there are any questions concerning the requisition, the department should always contact the buyer who handles that particular commodity or service before contacting the vendor. In the event that a department does contact the vendor and a duplicate shipment is received, the department will be responsible for any costs incurred for returned items.

Questions

The UAF Procurement & Contract Services office views all departments as customers. Departments are strongly encouraged to contact the procurement office with any questions concerning the procurement process. Phone numbers and e-mail addresses may be found on the Procurement web

http://www.uaf.edu/procurement/
FINDING A BPO/BDO NUMBER (FPIOPOV)

UAF Procurement has created hundreds of BPO/BDO’s with vendors all over the country. There are two (2) ways to determine if a BPO/BDO has been established for a vendor. One is using the Procurement web site: http://www.uaf.edu/procurement and navigate to: Staff and Faculty Information / Blanket Purchase Orders / BPO List. Because current information and searching capabilities exist in Banner, the preferred method of finding a BPO/BDO for a particular vendor is to use the Banner Form FPIOPOV.

PREFERRED METHOD******PREFERRED METHOD***PREFERRED METHOD

FINDING A VENDOR BY SEARCHING BANNER FORM FPIOPOV

1. Enter FPIOPOV in the Go To field & press <Enter/Return> - or - Using your My Banner menu, <Double-Click> on FPIOPOV.

2. <Search> & <Next Field> to Last Name field

3. Enter a unique part of the vendor name using the % as a wild card on both sides of your entry to ensure all possible query results. (Example: %godiva% will return all vendors with ‘godiva’ located anywhere in the name)

4. <Execute Query>

5. If the vendor exists, <Select> or double click on the desired vendor.

6. <Next Field> to the Fiscal Year field & clear the field <Delete>

7. <Next Block> If a BPO/BDO number exists, it will be towards the top of the list, starting with BF---- or, in the case of a contract, BFC---. Write the number down & <Exit> the form.

8. Punctuation is important. If you are not sure as to how the vendor is listed, be sure to only search on the portion of the name holding no punctuation.

9. If there is more than one vendor ID, and you chose one that did not show any BPO numbers, ROLLBACK to execute another query and choose another vendor ID number.

10. Sometimes there will be more than one BPO listed. Ensure there is a dollar amount in the AMOUNT field. If you do not know which one to use, give the procurement office a call.

11. For purposes of practice in Procurement & Banner Training, the following vendors have BPO’s established in TRNX only. Use the instructions for FPIOPOV above to find the BPO NUMBERS.

   Happy Day Flower Shop       Capital Office Systems   Godiva Chocolates
   Barnes & Noble Books       Bob’s Tire Warehouse     Acme Corporation
   Corporate Express

In order to utilize these Blanket Orders, you will need to obtain a system-generated Call Number in Banner prior to placing an order with a vendor.
CREATING A CALL NUMBER (FPA2PUR)

A Call is used by departments to place orders with pre-authorized vendors, and the Call Number acts as the department’s Purchase Order, authorizing them to place an order with the vendor and have it shipped directly to the department. The Call is completed by the department before an order is placed with a vendor, and must reference a Blanket Purchase Order (BPO) using the desired vendor. A BPO is an agreement with a vendor that permits University departments to order items directly from the vendor. The purchasing departments of each campus establish Blanket Orders with vendors. BPO’s can be viewed on the FPIOPOV form.

1. Enter **FPA2PUR** in the Go To field & press <Enter/Return> - or - Using the My Banner menu, **<Double-Click> on FPA2PUR**.

2. **<Next Block>** to allow the system to generate a PO number. The Document Information page displays where the cursor resides in the Blanket Order: field.
3. **Blanket Order**: – enter the Blanket Purchase Order number in the field.  
   <Next Field>

4. **Order Date**: – defaults the date the blanket order was created. Update to current date.  
   <Next Field>

5. **Delivery Date**: – enter desired date. <Next Field> to **Comments**: add data if desired.  
   <Next Block>

6. **Requestor/Delivery Information** – the cursor will reside in the **Requestor** field. Enter data that did not default from **FOM2PRF** or update as needed. <Next Block>
7. **Vendor Information** – confirm the expected Vendor is displayed. If this is not the desired Vendor, the Blanket Order number entered on the Document Information page is incorrect. Perform a <Rollback> to exit the form, obtain the correct Blanket Order number, and begin again. <Next Block> to the **Commodity/Accounting** block – or – add Document Text at this point if desired.

Ensure the Vendor is correct for the goods being purchased. Blanket Orders are issued to a specific Vendor. If the Vendor is incorrect, the correct Blanket Order must be found for the desired vendor. To do this:

Go To: FPIPOV Purchase Orders by Vendor which lists the Blanket Purchase Order associated with a specific Vendor. If more than one Blanket Order displays, ensure a dollar amount is displayed in the **Amount** field. To determine if one of the Blanket Orders displayed was created for a specific purpose, navigate to Banner form FPIPURR, and enter the Blanket Order number in the **Blanket Order** field. View the **ITEM** text for the Blanket Order, if present, for instructional information.

Text is not typically added with Calls, but the feature is available, if needed. Both DOCUMENT TEXT and ITEM TEXT are added by selecting the corresponding link from the Options Bar.

1. Upon initiation, the Procurement Text Entry form (FOAPOXT) is displayed. The Key block summarizes the Call and most fields are display-only. <Next Block> to navigate to the Document Text block.
2. Text block: The following fields are available:

   TEXT: The cursor will reside on the first line in the text field. Type the desired text to be included with the document or item. At the end of the text line,

   CLAUSE #: Does not require data. Allow default of null.

   PRINT: The Print option defaults to checked (yes).

   LINE: This field is automatically incremented by the system as the cursor is navigated to a new text line. The default increment is 10, as defined in the Key block.

3. <Next Record> to navigate to a new text line to enter additional information. 
   <Save> text and <Exit> the FOAPOXT form and return to the Vendor Information block on the Call form.
   <Next Block> to the Commodity/Accounting block.

4. Commodity/Accounting
   The Commodity information defaults from the Blanket Order, which is created with ONE Item only. When additional Items are added to a Call, errors will occur in other documents using the Call as the source, (such as an invoice). It is very important to NOT add additional Items to a Call. Allow the populated description to remain.

   A Call is set up with the Quantity equal to the total dollar amount to be spent, and the Unit Price equal to 1. Instead of ordering 1 item for $50, 50 items are ordered for $1. This is done by entering Quantity = 50. The Unit Price is permanently set to one, so the extended amount will reflect the Total Dollar amount expected to be spent.

5. Commodity & Description – Upon entry, the cursor resides in the Commodity field. Leave blank – the University of Alaska does not use this field. Allow the Description populated to remain. <Next Field>

6. Quantity – Enter the TOTAL DOLLAR AMOUNT of the order. <Next Field>

7. Extended: Ensure fields are populated, then <Next Block> to Accounting block.
8. **Accounting** block. The cursor will reside in the **Chart Of Account (COA)** field.

The COA, Fund, and Orgn codes will default from the Requestor/Delivery Information block of the form. Ensure this information is correct for the department paying for the item requested. Care should be taken when entering the accounting fields to ensure accurate budget reporting.

**Expenditure and Revenue Account Codes**

9. **COA** Verify B has populated the field. **<Next Field>**

10. **Yr** Verify the current Fiscal year has defaulted. **<Next Field>**

11. **Index** the University of Alaska does not use this field - leave blank **<Next Field>**

12. **Fund** If the defaulted Fund Code is incorrect, enter the desired Fund **<Search>** is available. **<Next Field>**

13. **Orgn** If the defaulted Organization Code is incorrect, enter the desired Orgn. **<Search>** is available. **<Next Field>**

14. **Acct** Enter the Account Code for the item purchased. Care should be taken to select the proper Account Code.

15. **<Next Block>** to the **Balance/Completion** block. **Make note of the Call Number.** Call numbers are generated by the system and will begin with ‘P0’

16. Click the **<Complete>** icon to forward the document to the posting process.

**Last Chance!!**

When completed, the Auto Hint Status Line will display the Document Number and process message of completed and forwarded to the Posting process.
REQUISITION PROCESSING

Use the Requisition form (FPAREQN) to request the purchase of goods or services that cannot be obtained by using other University purchasing methods: ProCard, Blanket Purchase/Delivery Orders or Limited Purchase Orders. Processed solely by the local purchasing office, Purchase Requisitions have no dollar limit.

It is the responsibility of the department to provide the Procurement Office with complete information on the requisition, as well as ensure the vendor has submitted a W9, so the purchasing agent may provide prompt processing. Before creating a Requisition in Banner, attention to all details concerning the order should be clearly outlined.

Items to consider before entering a Requisition into Banner:

1. Is the delivery date clearly stated? When does the product have to be here? If the delivery date is VERY soon, telephone the appropriate person in Procurement and ask if it is even possible for the item to be delivered by the delivery date.
2. Is this a RUSH? If so, use the “RUSHUAF” clause in Document Text.
3. Ensure all vendor Information is included(if not found in the data base):
   Name
   Address
   City/State/Zip
   Phone
   Fax
   Contact Name (if known)
   Tax ID
4. Will the order be a cash pay? Does a check need to accompany the purchase order? An order form will have this information.
5. How is it going to be shipped? UPS? USPS? FedEx? This is very important information for Procurement! Be sure to include a line for shipping on the requisition if applicable. If the cost of the item includes shipping, indicate that as well, so the Procurement Office will not have to call and ask.
6. All requisition backup will be sent to Procurement via email. The email address is: 
   uaf-pcs-backup@alaska.edu.
   Instructions for backup are found in the requisition entry instructions on Page 23.
7. Departments are responsible for obtaining the W-9 for both new vendors and any vendor that does not have one on file in Banner. Instructions for determining this are included in the Requisition instructions.
8. Description of items MUST be complete. If the end user is ordering ‘t-shirts’, for instance, there is more to the description than that. Ensure the colors, sizes, styles, etc. are defined.
9. Proper formatting of the line items is critical to the timely processing of your requisition. In fact, requisitions that do not contain appropriate information are subject to cancellation and re-entry.
10. What accounting numbers will be needed? Will all costs be paid with one FOAPAL? What is the proper account code for the product?
11. Does the department’s budget have available funds to cover the cost of the product? (FGIBAVL)

Use the form FOIDOCH to track documents associated with a requisition and FGIENCD to view the detailed activity of the purchase order assigned.
NEW PROCEDURE

To make better use of our procurement spend data, it is necessary that we be able to quickly identify specific commodities and equipment we have purchased by querying Banner. In order to make the queries useful, the methodology used by requisitioners and procurement officers for entering descriptive data on commodity line items and line item text in Banner must be consistent. In other words, part numbers, model names, nouns, and other descriptive adjectives need to be in the same place on our requisitions and purchase orders. Therefore, beginning immediately, the following protocol is to be used when entering requisitions and purchase orders for commodities and equipment into Banner.

Commodity & Equipment Purchases

Part number first surrounded by two pound characters (ex. ##12345-B##), then brand, model, noun, other descriptive words such as size or color, and optional components, quote and/or contract reference, invoice requirements (ex. GACINV), award no. and CFDA (if applicable)

Example:

##GV546A8##, HP P2480, LCD Monitor,

24-inch, No Integrated Speakers, with 3-year Parts and Labor Warranty.

Per attached quotation no. XXXXXXX

Thank you for your efforts and your patience as we get this in place.

Regards,

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CREATING A REQUISITION (FPAREQN)

1. Enter **FPAREQN** in the **Go To** field & press **<Enter/Return>** - or - Using the My Banner menu **<Double-Click>** on FPAREQN.

2. Upon entry into the form the cursor resides in the **Requisition** field. Leave blank to allow the system to assign the next available Requisition number – or if retrieving a requisition in process, enter the document number of the incomplete Requisition. **<Search>** is available. **<Next Block>** to the **Requestor/Delivery Information** key block.

3. **Requestor/Delivery Information** – The cursor will reside in the **Order Date** field. Allow defaulted current date to remain. **<Next Field>**
4. **Delivery Date** – enter the date that the order needs to be received. <Next Field> to Requestor field.

5. Enter data in the Requestor/Delivery Information block not defaulted from the FOM2PRF form. Data may be updated. <Next Field>

6. **COA** – enter B if not populated <Next Field>

7. **Organization** – enter org number <Search> available <Next Field>

8. **Email** – enter email address <Next Field>

9. **Phone** – enter phone number <Next Field>

10. **Fax** – enter fax number Next Field>

11. **Ship-To** – enter your department code <Search> available <Next Field>

12. **Attention To** – is a required data entry field<Next Block> to Vendor Information block
13. The cursor will reside in the **Vendor ID** field. Enter a valid Vendor ID, or initiate `<Search>` and select **Entity Name/ID Search (FTIIDEN)**

When a search is requested, the form FTTIDEN is displayed and is automatically initiated in query mode. The cursor resides in the ID NUMBER field. *<Next Field>* to search on **Last Name**.

*<List> & <Next Field>* to **Last Name** field

14. Enter a **unique part** of the vendor name using the `%` as a wild card. *<Execute Query>*

This search using the wildcard `%` on either side of the unique criteria will return all vendors with the word “godiva” in the Vendor’s Name

It is each department’s responsibility to obtain a W-9 for new vendors, or if a W-9 does not exist for current vendors. The **W9** field on the form FTTIDEN indicates the date of the vendor’s W9 submission. If this field is empty, the department must request a W9 from the vendor, and include it with the backup before the purchase order may be completed.
15. **<Select>** the desired Vendor to populate the Requisition Form –or– If the vendor does *not* exist, exit this form. Enter NEWVEND as the Vendor ID and enter NEWVEND (Clause) information in Document Text. This Clause will prompt for all pertinent information, so a Vendor file may be created. Details for Document Text follow in a later step.

16. When the selected vendor populates the **Vendor Information** block, the default address may not be correct for this order.

17. Click **<Search>** next to the **Sequence** field to open the list of addresses. If a specific vendor address does not exist, add the information to the Document Text – details for Document Text follow in a later step.

18. **<Double-Click>** on the **Address Type** field. The selected address will populate the **Vendor Information** fields.
ADDING DOCUMENT TEXT

At this point in the requisition entry process, document text may be added to the requisition to transmit additional information concerning the order. **Procurement requires document text** for topics such as: back-up documents, delivery requirements, vendor information….any data that will assist the purchasing department to process the order efficiently.

A Modify Clause is specialized preformatted text that may be imported into the requisition at either the Document or Item level. Clauses are created to eliminate the need for repeatedly entering identical data and to prompt data entry for consistent formatting purposes. Several Modify Clauses are described in the following pages and instructions for their use. If there is a need for a new Modify Clause, please contact Helen Connor for assistance. helen.connor@alaska.edu

1. Choose **Document Text** from **Options** menu at the top – or – <Right-Click> the mouse and choose from displayed selection. Upon initiation, the Procurement Text Entry form (FOAPOXT) is displayed. The **Key Block** contains core elements of the Requisition.

2. The cursor will reside in the **Modify Clause** field, where a preformatted text clause may be entered <Search> is available. <Insert Record> (F6) will populate the form with the desired clause.

1. **Text** block
   The following fields are available:

   **TEXT:** The cursor will reside on the first line in the text field. Type the desired text to be included with the document or item. At the end of the text line, <Next Field> to navigate to Clause field

   **CLAUSE #:** Clause information is not required and is an optional field.

   **PRINT:** The Print option defaults to checked (yes). <Next Field>.

   **LINE:** This field is automatically incremented by the system as the cursor is navigated to a new text line. The default increment is 10, as defined in the Key block.

2. <Next Block> to the **Text** area and enter additional information. This may include additional vendor information, shipping method, whether or not backup is being sent to procurement etc. Use the down arrows to navigate to a new text line for additional information. When all information has been entered:

3. <Save> text and <Exit> FOAPOXT form and return to Call form.

   The cursor is returned to the **Vendor Information** page.
<Next Block> to Commodity/Accounting page. Upon entry, the cursor will reside in the Commodity field. Do not type in this field. <Next Field>

19. **Description** enter a complete description of the item. Enter as much of the description as the 50 characters allowed in this field will accommodate. Item text will be used to complete the description to be printed on the requisition form. If no additional room is required, continue to Step 20.

If more than 50 characters are required, Choose Item Text from Options menu. The Procurement Text Entry form (FOAPOXT) is displayed, where the Key Block contains core elements of the Requisition. The cursor will reside in the Modify Clause field, where a preformatted text clause may be entered in the Modify Clause field. <Insert Record> will populate the form with the desired clause. <Search> is available. <Next Block> will place the cursor on the first Line in the Text field, where description of the Requisition Item may be continued.

The Commodity Description field contains the data entered previously in the Requisition Description field. Text added in the Item Text field after that point will display without a break on the printed form.
20. **<Next Field> U/M** Enter the appropriate code. Remember, there are many different units of measure for various items. **<Search>** is available to find the appropriate unit.

21. **<Next Field> Quantity & Unit Price** Enter the desired quantity and the price for the item. The system will calculate the extended dollar amount.

22. **<Next Field>** to display **Extended** amount. **<Next Block>** to **Accounting Block**

23. **Accounting block** The cursor will reside in the COA field. Ensure the information displayed is correct for the department paying for the item requested. Care should be taken when entering the Acct (account) field to ensure accurate reporting. **Expenditure and Revenue Account Codes**

24. **COA** Verify B has populated the field. **<Next Field>**

25. **Year** Verify the current Fiscal year has defaulted. **<Next Field>**

26. **Index** The University of Alaska does not use this field - leave blank **<Next Field>**

27. **Fund** If the defaulted Fund Code is incorrect, enter the desired Fund **<Search>** is available. **<Next Field>**

28. **Orgn** If the defaulted Organization Code is incorrect, enter the desired Orgn. **<Search>** is available. **<Next Field>**

29. **Acct** Enter the Account Code for the item purchased.

30. If more accounting lines must be entered to equal the Commodity Line Total for this item, enter **<Next Record>** to insert additional FOAPAL lines.

31. If there are additional items to enter on this Requisition, choose **<Previous Block>** to return to the beginning of the **Commodity** portion of the screen. **<Next Record>** and repeat steps 19-30.
32. When all line items have been entered, <Next Block> to Balancing/Completion block. **MAKE NOTE OF THE REQUISITION NUMBER.**

<table>
<thead>
<tr>
<th>Input</th>
<th>Commodity</th>
<th>Accounting</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved Amount</td>
<td>3,599.95</td>
<td>3,599.95</td>
<td>3,599.95</td>
</tr>
<tr>
<td>Discount Amount</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Additional Amount</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Tax Amount</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
</tbody>
</table>

Complete: ☑  In Process: ☑

33. Click the **Complete** icon to forward the document to the posting process.

**LAST CHANCE!!**

When completed, the Auto Hint Status Line will display the Document Number and process message of completed and forwarded to the Posting process.

Starting in FY12 all requisition backup must be sent to Procurement by email as per the following instructions.

The requisition number must be noted on all pages.

Note, there is a 25MB size limitation. Please contact us if there is any issue or you need assistance.

1. Address the email to uaf-pcs-backup@alaska.edu.
2. Subject is the Requisition number (R and all 7 digits as assigned by Banner). **DO NOT** type anything else on this line.
3. Attachments need to be PDF files
4. Attachments should be separated and named as follows:
   a. Backup
   b. W-9
5. You do not need to type any message in the email

Complete instructions may be found on the Procurement web site: http://www.uaf.edu/procurement/links-for-staff-and-facul/
TWO EXAMPLE CLAUSES FOR USE IN DOCUMENT TEXT

RUSHUAF When a requisition must be processed quickly and the product received within two weeks, using this clause clearly indicates to the Purchasing Department a critical date must be met. Document text will appear at the top portion of the printed requisition. <Insert Record> (F6) to populate form with clause text. <Next Block> to enter additional text in the Text block.

Be sure to use <Insert Record> (not <Next Block>), when a clause is selected, else the clause text will not be entered into the form. If <Next Block> is mistakenly used, perform a <Rollback> to return to the Key block of the text form and select the clause again as defined above.

RUSHUAF The inserted record displays an indistinct RUSH message. However, RUSH! is very apparent when printed. Document text displays before the items on the printed form.
NEWVEND – Use this clause to alert the Procurement Department of a Requisition using a new vendor that does not exist in Banner, or uses a new address that is not under an existing vendor. Procurement will use this information to enter the vendor into the database, so the next time the vendor is required, it will be available for selection.

Go to “Document Text” and type “NEWVEND” in the “Modify Clause” field. <Insert Record>(F6) Click down in the “Text” area and fill in the blanks.

A clause may be updated as needed. As shown here, the Vendor’s information is added to the existing New Vend clause. Mouse click in the line to be updated and <Arrow Right> or <Arrow Left> to the desired insertion point.

The NEWVEND information will print on the Requisition form in a format easily read by the Procurement Department for entry into Banner.
CLauses for Use in Line Item Text

Guest Speaker
Clause: SPEAKER

Type “Guest Speaker” on the description line of the Requisition. Select “Item Text” and type “SPEAKER” in the “Modify Clause” field. <Insert Record> (F6) <Next Block> to the Text block and fill in the blanks.

Honorarium
Clause: HONORAR

Type “Honorarium for (what did the recipient do for UAF)” on the description line of the Requisition. If more space is needed, continue in Item Text. Select “Item Text” and type “HONORAR” in the “Modify Clause” field. <Insert Record> (F6) <Next Block> to the Text block and continue the description if need be. Fill in the date of the letter being sent to the recipient. Determine if the recipient is a US citizen or not and indicate it on the requisition.

Lodging
Clause: LODGING

Type “Lodging for (person’s name)” on the description line of the Requisition; or, in the case of a large group, type “Lodging for the participants of the (name and date of event). In the case of a small group, type “Lodging for the following people:” and list the names in Item Text.

Select “Item Text” and type “LODGING” in the “Modify Clause” field. <Insert Record> (F6) <Next Block> to Text block and fill in the blanks. Determine if the guests are US citizens. Do not do a lodging PO for employees.

List the names of the people in the small groups at the BOTTOM of the clause text and renumber the lines so they print at the top of Item Text. (This will not appear in this order unless you exit the text area and go back in) To separate the names from the remaining text. See example below:

Care must be used when renumbering lines that each line of text is assigned a unique Line number.
**Membership**
Clause: MEMBER

Type “Membership” on the description line of the Requisition. Select “Item Text” and type “MEMBER” in the “Modify Clause” field. Press “Insert Record”. Click down in the “Text” area and fill in the blanks. Be sure to include members mailing address in the “Member” section of the text.

**Registration**
Clause: REGISTRA

Type “Registration” on the description line of the Requisition. Select “Item Text” and type “REGISTRA” in the “Modify Clause” field. <Insert Record> (F6) <Next Block> to the Text block and fill in the blanks.

**Subscription (New)**
Clause: SUBNEW

Type “Subscription” on the description line of the Requisition. Select “Item Text” and type “SUBNEW” in the “Modify Clause” field. <Insert Record> (F6) <Next Block> to the Text block and fill in the blanks.

**Subscription Renewal**
Clause: SUBRNW

Type “Subscription Renewal” on the description line of the Requisition. Select “Item Text” and type “SUBRNW” in the “Modify Clause” field. <Insert Record> (F6) <Next Block> to the Text block and fill in the blanks.

**Requisition for goods or services related to grant funding:**

If the encumbrance is related to a grant using restricted funds with a sensitive acct code, the grant technician will require supporting information to ensure the encumbrance meets the requirements of the grant. Include the following information in document text:

1. Name of Traveler
2. Destination
3. Dates of travel
4. If an RFN is en-route, please notate
5. How was the travel listed in the proposal
6. Purpose of the travel (eg, name of conference)
7. Describe reason of encumbrance change
**Requisition Form**

**Requisition No:**

**Purchase Order No:**

**Date Entered:**

**Req Type:** PO CO CP DP

**Ship Via:** UPS 2nd Day

**Required Delivery:** 2 weeks

---

### Suggested Vendors

<table>
<thead>
<tr>
<th>Name</th>
<th>Address</th>
<th>Contact</th>
<th>Phone</th>
<th>Fax</th>
<th>Tax ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>Troxell Comm.</td>
<td>7981 168th Ave Redmond, WA 98052</td>
<td>Stewart White</td>
<td>888-245-1085</td>
<td>800-546-8465</td>
<td>86-4562-89</td>
</tr>
</tbody>
</table>

**Comments/Special Instructions:**

This is a RUSH!! *(use RUSHUAF clause)*
Backup sent via email
Ship UPS 2nd Day
Vendor does not take credit cards

---

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>Qty</th>
<th>Unit</th>
<th>Price</th>
<th>Extended Price</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Sony Camcorder, Handycam DCR-DVD7 with 10X Optical 120X Digital Zoom</td>
<td>5</td>
<td>Ea</td>
<td>699.99</td>
<td>3,499.95</td>
</tr>
<tr>
<td>2</td>
<td>Estimated Shipping/Handling</td>
<td>1</td>
<td>Frt</td>
<td>100.00</td>
<td>100.00</td>
</tr>
</tbody>
</table>

**Total** 3,599.95

**Accounting**

<table>
<thead>
<tr>
<th>Fund</th>
<th>Org</th>
<th>Acct</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>103010</td>
<td>50098</td>
<td>4011</td>
<td>3,599.95</td>
</tr>
</tbody>
</table>

*Remember to use the “RUSHUAF” clause when your order needs to be processed quickly.*
Requisition Form

Requisition No:
Purchase Order No:
DateEntered:

Req Type: PO CO CP Ship Via: Required Delivery: 6/30/14 (Always the last day of the event)

Suggested Vendors

Name: Univ of California - Los Angeles
Address: Television/Film Department
10920 Wilshire Blvd.
Los Angeles, CA 90024-6503
Contact: Steven Spielberg
Phone: 800-451-0087 Fax: 800-646-9521
Tax ID:

Comments/Special Instructions:
Registration form being sent intercampus mail

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>Qty</th>
<th>Unit</th>
<th>Price</th>
<th>Extended Price</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Registration for &quot;Writing for the Big Screen&quot;</td>
<td>2</td>
<td>ea</td>
<td>3,500.00</td>
<td>7,000.00</td>
</tr>
<tr>
<td></td>
<td>June 26-30, 2012 for Shannon O'Kelley &amp;</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Shayne Bowers in Los Angeles, CA</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total 7,000.00

Accounting

<table>
<thead>
<tr>
<th>Fund</th>
<th>Org</th>
<th>Account</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>103010</td>
<td>50098</td>
<td>3661</td>
<td>3,500.00</td>
</tr>
<tr>
<td>173014</td>
<td>50262</td>
<td>3661</td>
<td>3,500.00</td>
</tr>
</tbody>
</table>

This requisition is for the registration of a class. Often times registrations, memberships and subscriptions costs may be put on the department’s ProCard, but for those vendors that do not accept the card a Requisition will need to be completed.
Requisition Form

Requisition No: 
Purchase Order No: 
Date Entered: 

Req Type: PO CO CP 
Ship Via: Fed Ex 
Required Delivery: 06/30/13 

Suggested Vendors

Name: Acme Industrial Hardware
Address: 3501 Lathrop St 
Fairbanks, AK 99701
Contact: Pablo Picasso
Phone: 907-451-0087 
Fax: 907-451-9521
Tax ID: 91-1147331

Comments/Special Instructions:
Must be Pittsburg paint 
Brand name justification sent intercampus mail

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>Qty</th>
<th>Unit</th>
<th>Price</th>
<th>Extended Price</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Paint, Latex Enamel, Pittsburg #9-510##</td>
<td>300</td>
<td>Gal</td>
<td>14.25</td>
<td>4,275.00</td>
</tr>
<tr>
<td></td>
<td>Interior Latex Pure Performance in One-Gallon Plastic Containers</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Primer, Seal Grip, Pittsburg 17-21 in One-Gallon Plastic Containers</td>
<td>150</td>
<td>Gal</td>
<td>14.25</td>
<td>2,137.50</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
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<td></td>
</tr>
</tbody>
</table>

Total 6,412.50

Accounting

<table>
<thead>
<tr>
<th>Fund</th>
<th>Org</th>
<th>Account</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>103010</td>
<td>50098</td>
<td>4151</td>
<td>6,412.50</td>
</tr>
</tbody>
</table>
Requisition Form

Requisition No:
Purchase Order No:
Date Entered:

 Req Type: PO CO CP DP | Ship Via: | Required Delivery: 6/30/13

### Suggested Vendors

<table>
<thead>
<tr>
<th>Name</th>
<th>Address</th>
<th>Contact</th>
<th>Phone</th>
<th>Fax</th>
<th>Tax ID</th>
</tr>
</thead>
</table>
| Hyatt Regency Hotel | 1333 Bayside Highway 
Los Angeles, CA 94010 | Evana Trump | 650-347-1234 | 650-896-2655 | 91-1147331 |

### Comments/Special Instructions:

Backup sent via email

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>Qty</th>
<th>Unit</th>
<th>Price</th>
<th>Extended Price</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Single Room for Dana Harris</td>
<td>5</td>
<td>day</td>
<td>85.00</td>
<td>425.00</td>
</tr>
<tr>
<td></td>
<td>Arriving: June 25, 2012</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Departing: June 30, 2012</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Confirmation #1234567 TA# TA091170</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Deluxe Suite for Susan Hanson</td>
<td>10</td>
<td>day</td>
<td>125.00</td>
<td>1,250.00</td>
</tr>
<tr>
<td></td>
<td>Arriving: June 20, 2012</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Departing: June 30, 2012</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Confirmation #7654321 TA# TA082749</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total 1,675.00

### Accounting

<table>
<thead>
<tr>
<th>Fund</th>
<th>Org</th>
<th>Account</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>50098</td>
<td>2010</td>
<td>103010</td>
<td>1,675.00</td>
</tr>
</tbody>
</table>

Remember to NEVER use an LPO for lodging, refer to the next page for Procurement guidelines when doing lodging for a department.
LODGING

Due to the volume of requisitions and the time-sensitive nature of lodging, it is important to include all of the pertinent information on the requisition so a purchase order can be processed as soon as possible. Once the purchase order is complete, it is faxed to the hotel to save time and ensure confirmation of the reservation.

IT IS THE DEPARTMENT’S RESPONSIBILITY TO CONTACT THE HOTELS TO RESERVE, CANCEL, OR CHANGE RESERVATIONS. Most hotels will charge for “no shows,” so departments must contact the hotel as soon as possible for cancellations to avoid being charged. If there is a change to the purchase order, email the changes requested to the email address listed below. In addition, many out-of-state hotels, particularly in larger cities, do not accept purchase orders; so always inquire before processing a requisition to save time and avoid canceling purchase orders.

It is common to receive requisitions with no names or dates for the lodging. All requisitions for lodging should include the following information:

- Name of person(s). If the lodging is for a group, then list the name of the group or meeting/conference on the requisition. It is not necessary to list all of the names of the entire group on the requisition; however, a list of names must be sent to the hotel by the department before the lodging dates.
- Dates. Include the “check-in” and “check-out” dates. If the guest will be arriving late, then include “late arrival” on the requisition.
- Confirmation # if applicable.
- Include the TA # if applicable.
- If a deposit is required, include the amount on the requisition.

Backup Generally, backup is not needed for lodging; however, for groups or large parties, there is usually an agreement, quote, or a confirmation letter. Fax the backup to 474-7720 as soon as the requisition is entered with the requisition number on the backup.

Hotel Taxes The University does NOT pay hotel taxes for hotels located in Alaska, so ensure the rate quoted is the tax exempt rate. Hotel taxes are paid by the University for out-of-state hotels.

What Is Covered Unless noted otherwise, all purchase orders are for LODGING ONLY. All incidental purchases such as movies, dry cleaning, room service, alcohol, etc., are the responsibility of the travelers. If meals are listed on the purchase order, then they cannot be claimed on the TA. For questions about travel and what is authorized, contact Dale Anderson at 474-2413.

If you have questions about lodging, contact Denise Moe at 474-7374 or email denise.moe@alaska.edu.

When entering a lodging requisition, type “LODGING” in the Modify Clause field in Item Text. <Insert Record> (F6) <Next Block> to the Text area and fill in the blanks.
HONORARIUMS

An honorarium is a gift for services for which no fee has been set or agreed upon in advance. It is generally a “thank you” gift as a token of appreciation. Any verbal or written agreement in which the University of Alaska will be obligated to pay for services or expenses is a contractual service, which must be processed in accordance with procurement regulations. A legal claim to payment by the recipient is not an honorarium but a contractual service. An honorarium cannot be used if an agreement has been made to reimburse for travel or other expenses. Contact the phone number below for questions.

Due to IRS requirements, the following information is required for processing honorariums:

• Honorariums for employees are NOT processed through procurement. This includes any individual no longer working for the University, but have received a check during the calendar year. Employee honorariums are processed through payroll.

• Verify the citizenship of each honorarium recipient. A SOCIAL SECURITY NUMBER ALONE DOES NOT DETERMINE U.S. CITIZENSHIP. For non-U.S. citizens, have the individual fill out the UA Taxable Status Determination Form. The type of visa and the country of origin determine whether the person is qualified to receive the honorarium and whether tax withholding is required. For more information, contact Shayne Bowers at x6426 prior to entering the requisition to determine eligibility. Other IRS forms will need to be filled out.

• A social security number or Tax Identification Number is required for ALL honorariums for US citizens and resident aliens (those with “green” cards). Please have these individuals complete a W-9. This form can be found at the following link:


• A home address is required. For certain circumstances the person may not want the check mailed to their home address; however, the home address must be in Banner.

• A letter to the honorarium recipient or some other form of backup documenting the reason for the payment must accompany each honorarium requisition. The letter should indicate what the person did to receive the honorarium.

When entering an honorarium, type “HONORAR” in the Modify Clause field in Item Text. <Insert Record> (F6) <Next Block> to the Text area and fill in the blanks.
The receiving process is used to record receipt of goods ordered. If the cost of an item exceeds $2,500, receiving is required before an invoice may be paid in the Banner system. Since receiving is optional on line items under $2,500.00, Accounts Payable must be notified by another method in order to approve payment of an invoice. An email or a signed, dated fax to the A/P clerk that handles the vendor will be sufficient to approve payment on goods received. Confirm the Purchase Order, Line Item, Invoice number, and amount to be paid.

1. Enter FPARCVD in the Go To field & press <Enter>
   -or-
   Using the My Banner menu, <Double-Click> on FPARCVD.

2. Enter NEXT in the Receiver Document Code field.<Next Block>

3. The cursor will reside in the Receiving Method field of the Receiving Header block.

Be sure to write the Receiving Document Code on the invoice or packing slip.

4. There are no required fields in the Receiving Header block, but if there is specific information for Accounts Payable that is out of the ordinary, select from the Options Menu, or right-click your mouse to select View Receiving Text, which will display the General Text Entry form. Enter desired text, or <Next Block> to Packing Slip block.
a. Click in the **Text** area and enter the appropriate information for Accounts Payable.  
<Save> & <Exit> the form.

5. The cursor will reside in the **Packing Slip** field of the Packing Slip block.

6. Enter the Invoice Number faxed from A/P or, if using this Receiving Document to authorize multiple payments on this order, enter the Receiving Document Code (*Yxxxxxxx* from the top of the form).  <Next Field>

7. **Bill of Lading:** Enter **Partial** if only a portion of the order is received, or **Final** if the entire order has been shipped or is the **Final** shipment to complete an order.  <Next Block>

   **NOTE** – a **Final** indicator informs Accounts Payable that no other items are expected for this Purchase Order.  The remaining funds will be liquidated to the appropriate budget, and the Purchase Order will be closed.  (This may be verified via FGIENCD Detail Encumbrance Activity.)

8. The cursor will reside in the **Purchase Order** field of the Purchase Order block.

9. Enter the Call Number (Pxxxxxxx) or Purchase Order Number (FPxxxxxx).  <Next Field>

The following pages describe how to use the:

**Receive All Items**, option when the first shipment received will complete a Purchase Order or Call

And

**Receive Partial** option when more than one shipment is required to complete the Purchase Order or Call.
RECEIVE ALL ITEMS

1. **Receive All Purchase Order Items** is available for receiving on a Purchase Order or Call for the first time only. Choose **Receive All Purchase Order Items** from Options menu – or – `<Right-Click>` mouse to select from Options displayed.  
   `<Next Block>` to the **Commodity** block.

2. The **Commodity** block is displayed, where the cursor will resides in the **Item** field.  
   `<Next Item>` to the **Current** field and update the amount if necessary.

3. `<Next Record>` if additional Items are on the Purchase Order and must be received.

4. `<Next Block>` to Completion block.

**Receive All** on a Purchase order – Document Number begins with ‘FP’

total ITEMS ordered populates Current field

- The Scroll Bar indicates more than one Item has been received on a Purchase Order. Ensure the correct amount is received for each Item.

**Receive All** on a Call - Document Number begins with ‘P0’

total DOLLAR AMOUNT ordered populates Current field

- When the **RECEIVE ALL** option is selected, the **FINAL RECEIVED**, **CURRENT**, and **U/M** fields are populated.
5. Click the Complete icon.

The Hint Status Bar displays the Receiver Document number:

***NOTE***

Record this number on any paperwork being sent to Accounts Payable.

If receiving is done from an original Invoice, record the Receiving Document number (‘Y’ number), sign it, and send it to Accounts Payable. Accounts Payable will not require other documentation.

If there is more than one accounting line being paid on shipment, indicate clearly to Accounts Payable how much should be paid for each FOAPAL.
When receiving is entered for a **partial shipment**, choose **Select Purchase Order Items** from Options menu at the top – or – **<Right-Click>** mouse to select from Options displayed. The Receiving Goods PO Item Selection form will display.

**Purchase Order** – Document number begins with ‘FP’, may display **more than one** Item.

**Call** – Document number begins with ‘P0’, will display **only one** Item.

1. Select the Item(s) to be received. **<Save>** and **<Exit>** this form. Answer “**YES**” to ‘**Close This Form?**’ prompt.

2. The cursor is returned to the **Purchase Order** block of Receiving Goods form. **<Next Block>** to Commodity block.
3. Upon entry, the cursor resides in the **Item:** field. <Next Field> to the blank **Current** field.

4. Enter the **dollar amount** (on a call) you wish to receive or Enter the **Item quantity** (on a purchase order). <Save> & <Next Block> to Completion block.

**Receive Partial on Purchase Order**

If there are multiple lines to receive on a Purchase Order, enter <Next Record> to access the additional items. Update quantity received.

The scroll bar indicates more than one Item received for this Purchase Order.
Receive Partial on a Call

A.

The **Ordered** field displays the dollar amount or Item quantity entered in the **Quantity** field of the Call number.

The **To Date Received** and **To Date Accepted** amounts will update to the total amount received including the **Current** amount just entered.

The **Final Received** indicator defaults as unchecked when the **Receive Partial** option is used.

B.

The scroll bar will indicate one Item received for this Call.

**IMPORTANT**

If there is more than one accounting line being paid on a **Partial** shipment, indicate clearly to Accounts Payable how much should be paid for each **FOAPAL**.
5. Click the **Complete** icon.

The Hint Status Bar displays the Receiver Document number:

![Image ofHint Status Bar](image)

**NOTE**

Record this number on any paperwork being sent to Accounts Payable.

If receiving is done from an original Invoice, record the Receiving Document number ('Y' number), sign it, and send it to Accounts Payable. Accounts Payable will not require other documentation.

If there is more than one accounting line being paid on a **Partial** shipment, indicate clearly to Accounts Payable how much should be paid for each FOAPAL.

Receive **All** cannot be done after a **Partial** receiving has been done.
The Document History Form (FOIDOCH) is used to track and review the status of a Finance document such as a Requisition, Purchase Order, Call, Receiving Document, or Invoice as well as other associated documents. General Encumbrance information cannot be viewed via this form. Use FGIENCD instead. Please note that the Document History Form is an inquiry-only form used to review information. Changes may not be made to any documents via this form.

1. Enter FOIDOCH in the Go To: field & press <Enter/Return>  
   - or-  
   Using the My Banner menu, <Double-Click> on FOIDOCH.

2. Enter the **Document Type** from the list below. General Encumbrances cannot be viewed via FOIDOCH. **<Next Block>**
   - Requisition: REQ  
   - Purchase Order: PO  
   - Call Number: PO  
   - Invoice: INV  
   - Receiving: RCV  
   - Check: CHK


4. Enter the **Document Code** type from the list below. <Search> is available to find desired document.
   - Requisition: Rxxxxxxx  
   - Purchasing Order: FPxxxxxx  
   - Call Number: Pxxxxxxx  
   - INV: Ixxxxxxx  
   - Receiving: Yxxxxxxx  
   - Check: Hxxxxxxx (for Fairbanks campus FC is the Bank Code)
5. **<Next Block>** to go to Detail block.

6. The document requested will be displayed along with any other documents relating to it. Navigate from block to block by using **<Next Block>** and **<Previous Block>** or mouse click on the desired block.

7. View any document by navigating to the document number and pressing **<F3>** or the appropriate selection from the Options menu.

8. To view requisitions, purchase orders, invoices, press **<Next Block>**

9. When finished, **<Exit>** to return to FOIDOCH

10. To view checks, enter the bank code FC (for Fairbanks & Statewide) and press **<Next Block>**

11. A document with no status indicator is INCOMPLETE.

12. To query another document, choose **<Roll Back>**. The cursor will return to the Document Type field.

13. To exit this form, choose **<Exit>**.

***To locate the procurement officer assigned to your requisition, select the related PO, and **<Page Down>** to view the Buyer Code and Name.
DETAIL ENCUMBRANCE ACTIVITY (FGIENCD)

1. This inquiry-only form displays all transactions posted against an encumbrance. General Encumbrances, Requisitions, Purchase Orders, and Call documents can be viewed. This is a great form to quickly view the current status and activity of an encumbrance.

2. Enter FGIENCD in the Go To: field & press <Enter/Return> - or - Using the My Banner menu, <Double-Click> on FGIENCD

Key Block

3. The cursor resides in the ENCUMBRANCE field. Enter the document number <Search> is available. <Next Block> to populate the form and move to Detail Block.
All information is display-only. The following Encumbrance header information is provided.

<table>
<thead>
<tr>
<th><strong>DESC:</strong></th>
<th>Description of the Encumbrance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>STATUS:</strong></td>
<td>O (Open) or C (Closed)</td>
</tr>
<tr>
<td><strong>TYPE:</strong></td>
<td>E (Encumbrance), P (Purchase Order), or R (Requisition)</td>
</tr>
<tr>
<td><strong>DATE EST:</strong></td>
<td>Date Established (DD-MON-YYYY)</td>
</tr>
<tr>
<td><strong>BALANCE:</strong></td>
<td>Balance available on the Encumbrance</td>
</tr>
<tr>
<td><strong>VENDOR:</strong></td>
<td>Vendor to which this encumbrance is issued</td>
</tr>
<tr>
<td><strong>ITEM:</strong></td>
<td>The specific commodity for which information is being displayed</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td><strong>SEQUENCE:</strong></td>
<td>The specific accounting line for the Item which information is being displayed</td>
</tr>
<tr>
<td><strong>FISCAL YEAR:</strong></td>
<td>The fiscal year for the encumbrance</td>
</tr>
<tr>
<td><strong>COMMIT IND:</strong></td>
<td>Commitment Indicator – C (Committed – prior fiscal year transactions that have rolled into the new fiscal year) or U (Uncommitted – current fiscal year transactions or restricted funds transactions that rolled from a prior fiscal year)</td>
</tr>
<tr>
<td><strong>COA:</strong></td>
<td>Chart of Accounts for the item/seq of the encumbrance, this value is always B</td>
</tr>
<tr>
<td><strong>INDEX:</strong></td>
<td>The University of Alaska does not use</td>
</tr>
<tr>
<td><strong>FUND:</strong></td>
<td>Fund code for the item/seq of the encumbrance</td>
</tr>
<tr>
<td><strong>ORGN:</strong></td>
<td>Organization code for the item/seq of the encumbrance</td>
</tr>
<tr>
<td><strong>ACCT:</strong></td>
<td>Account code for the item/seq of the encumbrance</td>
</tr>
<tr>
<td><strong>PROG:</strong></td>
<td>Program code for the item/seq of the encumbrance</td>
</tr>
<tr>
<td><strong>ACTV:</strong></td>
<td>The Activity field is blank in most instances</td>
</tr>
<tr>
<td><strong>LOCN:</strong></td>
<td>The Location field is blank</td>
</tr>
<tr>
<td><strong>PROJ:</strong></td>
<td>The Project field is blank</td>
</tr>
<tr>
<td><strong>ENC:</strong></td>
<td>The total encumbered amount for the item/seq of the encumbrance</td>
</tr>
<tr>
<td><strong>LIQ:</strong></td>
<td>The total liquidated amount for the item/seq of the encumbrance</td>
</tr>
<tr>
<td><strong>BALANCE:</strong></td>
<td>The balance available for the item/seq of the encumbrance</td>
</tr>
</tbody>
</table>
QUICK ENTRY SHEET FOR CALL NUMBERS

1. Navigate to FPA2PUR.

2. Leave the Purchase Order field blank to allow the system to assign a call number.

3. Enter the Blanket Purchase Order number in the “Blanket Order” field.

4. Leave the ‘Order Date’ field clear and enter today’s date.

5. Leave the ‘Delivery Date’ – enter a date.

6. To Requestor/Delivery Info block. Enter your name in the ‘Requestor’ field if it did not default. If correct information is displayed, skip steps 7-12 and proceed to step 13.

7. To ‘COA’ – enter “B” if it did not default.

8. To ‘Organization’ – enter org number.

9. To ‘Email’ – enter email address.

10. To ‘Phone’ – enter phone number.

11. To ‘Fax’ – enter fax number.

12. To ‘ShipTo’ – enter your department code.

13. To Vendor Information block – verify correct vendor is displayed.

14. To Commodity/Accounting block.

15. To ‘Quantity’ field – enter TOTAL DOLLAR AMOUNT OF ORDER.

16. To display extended amount.

17. To Accounting block – if ‘COA’ did not default, enter “B”.

18. To enter the ‘FUND’, ‘ORGN’, and ‘ACCT’ fields. Accept the ‘PROG’ field default. Enter the amount. Add additional accounting lines when necessary.

19. To Balance/Completion block – WRITE DOWN THE CALL NUMBER.

20. Click the ‘Complete’ icon to forward the document to the posting process.
QUICK ENTRY SHEET FOR REQUISITIONS

1. Navigate to FPAREQN.

2. Leave the ‘Requisition’ field blank (system will assign a requisition number). <Next Block>

3. Enter ‘Delivery Date’ (required field). <Next Field>

4. Enter ‘Requestor’ information, including ‘Name’, ‘Phone’ and ‘Organization Code’. <Next Block>

5. Enter ‘Ship To’ code or choose from <List>. <Next Block>

6. Enter ‘Attention To’ (required field). <Next Block>

7. Choose <List> to search for vendor. If vendor is found, select address code and seq # for vendor. If vendor is not found, leave blank and enter vendor name and address in <Document Text> for Procurement. <Next Block>

8. If there are comments for Procurement, click the <Document Text> link in Options menu at the top. <Next Block>

9. To navigate to ‘Commodity/Accounting’ block and enter values for ‘Description’, ‘U/M’, ‘Quantity’ and ‘Unit Price’. <Next Block>

10. If additional space is required to enter commodity description, click <Item Text> link in Options menu, enter additional text, <Save> and <Exit>. <Next Block>


12. To enter more commodity items select <Previous Block> and <Next Record> (‘Item’ number will be blank) and repeat steps 8 through 11. <Next Block>

13. When all commodity and accounting data has been entered choose <Next Block> to move to the Balancing/Completion block. <Next Block>

14. Click the ‘Complete’ icon to forward the document to the posting process.
QUICK ENTRY SHEET FOR RECEIVING CALL NUMBERS

1. Go to FPARCVD.


4. To enter and additional information that A/P may need in order to process payment, click on ‘View Receiving Text’ and type a message in the text area, <Save> and <Exit>.

5. <Next Block> to ‘Packing Slip’ field – enter Invoice #, if known, or the Receiver Document Code (the ‘Y’ number of the document you are creating),

6. <Next Field> to ‘Bill of Lading’ – enter ‘Partial’ or ‘Final’.

7. <Next Block> to ‘Purchase Order’ – enter the call number (this will begin with ‘P0’), <Next Field>.

8. If the order was received complete on the first shipment select ‘Receive All Purchase Order Items’ under the Options menu and continue to Step 11.

9. If only part of the order was received, select ‘Select Purchase Order Items’ under the Options menu.

10. Double-click in the ‘Add Item’ box to the right of the line item(s) you are receiving (may select multiple line items), <Save> and <Exit> and answer “YES” to ‘Close This Form?’ prompt.

11. <Next Block> to ‘Commodity’ block, <Next Field> to the ‘Current’ field and enter the dollar amount you wish to pay, <Next Field>.

12. <Next Block> to the ‘Completion’ block, click ‘Complete’.

***NOTE***

If receiving is done from an original Invoice, record the Receiving Document number (‘Y’ number) on the invoice, sign and date it, and send it to Accounts Payable. Accounts Payable will not require other documentation.
QUICK ENTRY SHEET FOR RECEIVING PURCHASE ORDERS

1. Go to FPARCVD.


4. To enter additional information that A/P may need in order to process payment or for OGCA grant information, click on ‘View Receiving Text’ and type a message in the text area, <Save> and <Exit>.

5. <Next Block> to ‘Packing Slip’ field – enter Invoice #, if known, or the Receiver Document Code (the ‘Y’ number of the document you are creating).

6. <Next Field> to ‘Bill of Lading’ – enter ‘Partial’ or ‘Final’.

7. <Next Block> to ‘Purchase Order’ – enter the PO number (this will begin with ‘FP’), <Next Field>.

8. If the order was received complete on the first shipment select ‘Receive All Purchase Order Items’ under the Options menu and continue to Step 11.

9. If only part of the order was received, click on ‘Select Purchase Order Items’ under the Options menu.

10. Double-click in the ‘Add Item’ box next to the line item(s) you are receiving (may select multiple line items), <Save> and <Exit> and answer “YES” to ‘Close This Form?’ prompt.

11. <Next Block> to ‘Commodity’ screen, <Next Field> to the ‘Current’ field and enter the item quantity you wish to pay, <Next Field>. When there are additional Items to receive, enter <Next Record> and repeat this step.

12. <Next Block> to go to the ‘Completion’ block, click ‘Complete’.

***NOTE***

If receiving is done from an original Invoice, record the Receiving Document number (‘Y’ number) on the invoice, sign and date it, and send it to Accounts Payable. Accounts Payable will not require other documentation.
University of Alaska

Independent Contractor Status Determination Form

Except as noted in the following paragraph, this form is required to be completed for all contracts with individuals for which treatment as an independent contractors is requested. The form is also required for contracts with partnerships and other non-incorporated businesses for which the services to be performed will be completed exclusively by a specific individual.

Completion is not required for contracts with entities such as corporations, governmental agencies, professional organizations, or other colleges or universities which have provided the required employer identification number. Nor is completion required for contracts with individuals engaged as guest speakers or performers who provide one-time nonrecurring services and who are not otherwise employed by the University.

Requesting departments may complete this document in abbreviated form and without requiring the contractor applicant signature, if clear and convincing evidence supporting independent contractor determination is attached.

Section A (To be completed by the prospective contractor):

1. Name: ____________________________________________________________

2. Address: _________________________________________________________
   _________________________________________________________________
   _________________________________________________________________
   _________________________________________________________________

3. Type of business (sole proprietorship, partnership, etc.): _________________

4. Social security or employer ID number: _________________________________

5. Business License No.: Alaska ______________________ Other: ______________

6. Which business income and employer tax returns were filed for the prior year (Forms 1040 Sch. C, Form 1065, Form 941, etc.)? ____________________________________________

7. Number of years the business has been active? __________________________

8. Do you maintain a business listing in the telephone directory? ____________

9. Do you advertise or otherwise hold yourself out to the public to provide similar services (if yes, describe how)? ________________________________

10. Do you maintain your own shop or office? ______________________________
Independent Contractor Status Determination Form

11. Do you have a significant financial investment in your business (if yes, describe)? ____________________________________________________________

12. Describe your primary business activities: ____________________________________________________________

13. List five other companies or customers for whom you provide or have provided similar services:

   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________

14. What percent of your estimated revenues for the next twelve months will be received from the University? ______

15. What unreimbursed expenses will be incurred by you in doing this work? ________________

16. Have you previously been employed by the University, as an employee, to provide similar services? ____________________________

17. Are you currently an employee of the University (if yes, the number of hours worked per week or number of credit hours taught)? ____________

18. Attach a certificate of insurance (if not available, describe in detail the workers compensation and general, professional and auto liability coverages maintained, including limits of coverage and the name and phone number of the agent or broker who can verify coverages):

   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________

19. Describe the work to be performed for the University: ____________________________________________________________

   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________
Independent Contractor Status Determination Form

Section B  (To be completed by a University representative)

1. Attach a copy of the proposed contract (if not, explain why a draft contract is not available):

2. Will charges for the services be based on hourly, weekly, lump-sum, or other rates?

3. How frequently will payments be due?

4. Is a particular individual expected or required to perform the work personally?

5. Will the applicant provide instruction to University students (if yes, credit, non-credit, or continuing education credit)?

6. How frequently or regularly will the applicant perform these services for the University?

7. Will the services be performed on the University’s or the applicants business premises?

8. What tools, equipment, materials and supplies are required to perform the work and who will provide them?

9. What clerical or other support services are required and who will provide them to the applicant?

10. Who will hire, direct and pay for any helpers or substitutes which the applicant may require?

11. Does the University have the right to direct or give instruction on how to do the work or to change how the work will be done?

12. Does the applicant have a risk of incurring a loss in the performance of these services, other than lost time of the principal worker?

13. Describe contract termination procedure and potential liabilities, if terminated before completion of work:
Independent Contractor Status Determination Form

Contractor and departmental certification:

I certify that to the best of my knowledge the above listed information is true, correct and complete. I authorize the University to use this information for determination of independent contractor status and to release such information to the Internal Revenue Service and auditors of the University and its programs.

Contractor:

Signature ___________________________ Date ___________________________

Requesting Department:

Signature ___________________________ Date ___________________________

Waiver of insurance requirements:

If a certificate of insurance which meets the University’s requirement for independent contractors is not attached and the exposure to loss is substantially limited by the nature of the work performed or other coverage, the requirement may be waived by the Statewide Director of Risk Management or his/her designee by signing below.

Approved: _______ Disapproved: _______

Signature ____________________________________________________________________________

SW Director of Risk Management or Designee

Date ___________________________

Determination:

Independent contractor status determination, (if not approved, indicate primary reasons for non-approval):

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

Approved: _______ Disapproved: _______

Signature ____________________________________________________________________________

Administrative Vice Chancellor, Controller or Designee

Date ___________________________
UNIVERSITY OF ALASKA

SHORT FORM CONTRACT FOR GUEST SPEAKERS OR PERFORMERS

This agreement becomes effective when accepted and signed by the authorized Purchasing official.

CONTRACT NUMBER: ___________________  SSN/Tax ID: ___________________
(to be completed by Purchasing)

NAME & ADDRESS OF CONTRACTOR: (Contractor may not be a current UA employee.)  NAME & ADDRESS OF UA DEPARTMENT:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

THIS AGREEMENT, entered into by the University of Alaska and the Contractor named above, documents the understanding of the parties. (This form must be signed and dated by the Contractor before it is submitted to Purchasing.)

1. SCOPE OF SERVICES: (one-time, non-recurring) The contractor shall perform all services described below for the amount stated:

☐ GUEST SPEAKER  Topic: ____________________________ (Topic must be shown for a Guest Speaker)
☐ PERFORMER

[DEPARTMENT MUST CHECK ONE BOX ABOVE & FILL ALL BLANKS BELOW TO COMPLETE THIS SECTION]

Event: ____________________________  Date: ____________________________
Location: ____________________________  Time: ____________________________

Contractor agrees to provide the following equipment/items for this agreement:

________________________________________________________________________

University agrees to provide the following equipment/-items for this agreement:

________________________________________________________________________

2. COMPENSATION: Contractor will be paid a lump sum amount not to exceed $__________. Total compensation includes all costs related to the scope of services, including but not limited to: ____________________________ (i.e., travel, phone calls, hand-out materials).

3. TERMS OF PAYMENT: [TO BE COMPLETED BY THE DEPARTMENT]

☐ Payment to the contractor within 30 days upon receipt of invoice, payable after performance is verified by the department.
☐ Payment to the contractor within 10 days after completion of the engagement.
☐ Payment to the contractor upon close of the engagement.

4. INDEMNIFICATION AND HOLD HARMLESS AGREEMENT: To the fullest extent permitted by law, the Contractor shall defend, indemnify, and hold harmless the Contracting Agency, its Board of Regents, officers, and employees from and against any and all loss, expense, damage, claim, demand, judgment, fine, charge, lien, liability, action, cause of action or proceedings of any kind whatsoever (whether arising on account of damage to or loss of property, or personal injury, emotional distress, or death) arising directly or indirectly in connection with the performance or activities of the Contractor hereunder, whether the same arises before or after completion of the Contractor’s operations or expiration of this contract, except for damage, loss, or injury resulting from the Contractor’s gross negligence or willful misconduct.

5. TERMINATION: This contract may be terminated at no cost to either party upon ________ DAYS ADVANCE WRITTEN NOTICE. (30 unless otherwise indicated)

6. OTHER: Contractor is an independent contractor and will pay all applicable state, local and federal taxes associated with this agreement. This agreement is the complete & exclusive understanding of the parties. Time is of the essence in this agreement.

The following attachments are a part of this agreement:

CONTRACTOR

By: ____________________________  (Signature)
Name & Title: ____________________________  (Type or Print)
Date: ____________________________

UNIVERSITY OF ALASKA

By: ____________________________  (Procurement Officer Signature)
Name: ____________________________  (Type or Print)
Date: ____________________________

APR 94
CERTIFICATION OF NEED FOR RESTRICTIVE SPECIFICATION

UAF relies upon the expertise of its faculty to conduct academic instruction of students in order to provide quality education. It also relies upon the expertise of its research community to conduct quality research.

To these ends, whenever a faculty member, or a Primary Investigator or Project Director, has determined that only a particular item or service is suitable for use in the classroom, or suitable for a research project, brand name or sole source procurement is both appropriate and justified.

Purchase Requisitions for such items or services must specify that no substitute is acceptable and must be accompanied by a Certification of Need for Restrictive Specification Form, completed and signed by the faculty member, Primary Investigator, or Project Director.

If more than one supplier exists for a specified brand, competition must still be sought in accordance with all applicable laws and regulations. For services, certification by the faculty member, Primary Investigator, or Project Director that no other known source for the required services exists is justification for proceeding with sole source procurement. This determination only applies to items or services to be used in direct support of academic instruction or sponsored research.
UNIVERSITY OF ALASKA FAIRBANKS
CERTIFICATION OF NEED FOR RESTRICTIVE SPECIFICATION
FOR RESEARCH OR CLASSROOM USE

Department: ________________________________________________

Purchase Req. No. ___________________________ Est. Value $ _________________________

If for supplies or equipment:

Manufacturer(s) & Model No.(s) _________________________________

Purchase Description: _______________________________________

________________________________________________________________________

If for services:

Only known source(s) of services: ________________________________

Description of Services: _________________________________________

________________________________________________________________________

The item(s) or service(s) listed herein will be used as indicated below:

☐ Academic application in the classroom
☐ Direct support of sponsored research

Class/Course or Research Project Name: ________________________________

________________________________________________________________________

The Faculty Member, Principal Investigator, or Project Director signing below certifies that only the item(s) or service(s) specified in this purchase request is suitable for the intended application, and no substitute is acceptable.*

__________________________________________ Date ________________
Signature

Type Name and Title __________________________________ Telephone Number

*If the department has determined that their need can be met by a specified list of vendors, competition will be limited to those vendors only.
**Part I  Taxpayer Identification Number (TIN)**

Enter your TIN in the appropriate box. The TIN provided must match the name given on Line 1 to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see how to get a TIN on page 3.

Note: If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

**Part II  Certification**

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below).

Certification instructions: You must cross out item 2 above if you have been notified by the IRS that you are subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN. See the instructions on page 4.

**Sign Here**

<table>
<thead>
<tr>
<th>Signature of U.S. person</th>
<th>Date</th>
</tr>
</thead>
</table>

**General Instructions**

Section references are to the Internal Revenue Code unless otherwise noted.

**Purpose of Form**

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien) to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

Note: If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester’s form if it is substantially similar to this Form W-9.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.

The person who gives Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States is in the following cases:

- The U.S. owner of a disregarded entity and not the entity.
The U.S. grantor or other owner of a grantor trust and not the trust, and
The U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

**Foreign person.** If you are a foreign person, do not use Form W-9; instead, use the appropriate Form W-8 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

**Nonresident alien who becomes a resident alien.** Generally, only a nonresident alien may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a “saving clause.” Exceptions specified in the saving clause may permit an exemption from tax to continue for certain periods of income even after the recipient has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

**Example.** Article 19 of the U.S.-China income tax treaty allows an exemption from tax on certain types of income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if he or she stays in the United States beyond the specified period. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 19 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exemption (under paragraph 2 of the first Protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

**What is backup withholding?** Persons making certain payments to you must withhold 28% of such payments. This is called “backup withholding.” Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

**Payments you receive will be subject to backup withholding if:**

1. You do not furnish your TIN to the requester.
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details).
3. The IRS tells the requester that you furnished an incorrect TIN.
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See the instructions below and the separate instructions for the Requester of Form W-9.

**Penalties**

**Failure to furnish TIN.** If you fail to furnish your correct TIN to a requester, you are subject to a penalty of $50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

**Civil penalty for false information with respect to withholding.** If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a $500 penalty.

**Criminal penalty for falsifying information.** If you willfully falsify certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**Misuse of TIN.** If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

**Specific Instructions**

**Name**

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

**Solo proprietor.** Enter your individual name as shown on your income tax return on the “Name” line. You may enter your business, trade, or “doing business as (DBA)” name on the “Sole proprietor name” line.

**Limited liability company (LLC).** Check the “Limited liability company” box only and enter the appropriate code for the tax classification (“D” for disregarded entity, “C” for corporation, “P” for partnership) in the space provided.

For a single-member LLC (including a foreign LLC with a domestic owner) that is disregarded as an entity separate from its owner under Regulations section 301.7701-3, enter the owner’s name on the “Name” line. Enter the LLC’s name on the “Business name” line.

For an LLC classified as a partnership or a corporation, enter the LLC’s name on the “Name” line and any business, trade, or DBA name on the “Business name” line.

**Other entities.** Enter your business name as shown on your federal tax documents on the “Name” line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the “Business name” line.

**Note.** You are requested to check the appropriate box for your status (individual/solo proprietor, corporation, etc.).

**Exempt From Backup Withholding**

If you are exempt, enter your name as described above and check the appropriate box for your status, then check the “Exempt from backup withholding” box in the line following the business name, sign and date the form.
Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

**Note:** If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

**Exempt payees.** Backup withholding is not required on any payments made to the following payees:

1. An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(3).
2. The United States or any of its agencies or instrumentalities.
3. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities.
4. A foreign government or any of its political subdivisions, agencies, or instrumentalities.
5. An international organization or any of its agencies or instrumentalities.

Other payees that may be exempt from backup withholding include:

- A corporation.
- A foreign central bank of issue.
- A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States.
- A futures commission merchant registered with the Commodity Futures Trading Commission.
- A real estate investment trust.
- An entity registered at all times during the tax year under the Investment Company Act of 1940.
- A common trust fund operated by a bank under section 584(a).
- A financial institution.
- A middleman known in the investment community as a nominee or custodian.
- A trust exempt from tax under section 664 or described in section 4947.

The chart below shows types of payments that may be exempt from backup withholding. The chart applies to the exempt recipients listed above, 1 through 15.

<table>
<thead>
<tr>
<th>IF the payment is for . . .</th>
<th>THEN the payment is exempt for . . .</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interest and dividend payments</td>
<td>All exempt recipients except for 9</td>
</tr>
<tr>
<td>Broker transactions</td>
<td>Exempt recipients 1 through 13. Also, a person registered under the investment Advisers Act of 1940 who regularly acts as a broker.</td>
</tr>
<tr>
<td>Barter exchange transactions and partnership dividends</td>
<td>Exempt recipients 1 through 5</td>
</tr>
<tr>
<td>Payments over $500 required to be reported and direct sales over $5,000</td>
<td>Generally, exempt recipients 1 through 7</td>
</tr>
</tbody>
</table>

**Part I. Taxpayer Identification Number (TIN)**

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see How to get a TIN below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see Limited liability company (LLC) on page 2), enter the owner's SSN or EIN. If the owner has one. Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

**Note:** See the chart on page 4 for further clarification of name and TIN combinations.

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office or get this form online at www.ssa.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by visiting www.irs.gov/businesses and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting www.irs.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradeable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

**Note:** Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

**Caution:** A disregarded domestic entity that has a foreign owner must use the appropriate Form W-8.

**Part II. Certification**

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 4, and 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). Exempt recipients, see Exempt From Backup Withholding on page 2.

**Signature requirements:** Complete the certification as indicated in 1 through 5 below.

1. **Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.

2. **Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.