

## Purchasing Records

This section contains retention and disposal policies for University administrative records in the Purchasing area. Policies apply equally to paper and electronic records.

Records listed in this section serve the business purpose of documenting all stages of the process of purchasing goods or services for University use. In addition to the purchase order or agreement, this section includes other records that inform, support, or justify the various stages of the purchasing process. Examples of such records are those that document authority to commit the University to the purchase, or provide evidence that due diligence (competitive bidding, etc.) has occurred. Also included are records that assist in finding the right source and price and in determining inventory re-orders, and in making claims for items not received. This section also includes records documenting the physical movement of goods to and through the University, including intra-university redistribution of what is purchased, such as through the "storehouse" function.

This section does not include purchase of goods for public resale, e.g., through auxiliary business enterprises such as bookstores. See the section on Accounting for accounts payable records generated by the purchasing process. Employee travel reimbursement records are covered in the Accounting section.

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## **1. Purchase of Supplies & Services (other than Independent Contractors' services)**

Records in this group serve the function of documenting the details of purchases of services and goods including inventorial equipment by the University. The group includes but is not limited to: purchase requisitions, requests, and agreements; purchase orders (including blanket PO's); change orders, exceptions and cancellations; and other related documentation and correspondence. Also included: documentation relating to employees' authority to purchase. Please see group 8 within Purchasing for "standing" orders.

**Retain 5 years**

## **2. Purchase of Services - Independent Contractors**

This group contains records of Personal/Professional Services Contracts between the University and independent contractors for professional, specialized, educational, creative, or custodial services. This group may include but is not limited to: contracts with terms and conditions; addenda and exhibits; selection and justification statements; input forms authorized signature sheets; contractor selection statements; certificates of compliance with tax laws; statements as to availability of local service; statements as to whether minority services available; contract change orders; bids and agreements; performance bonds; instructions to bidders; advertisements for bids; working papers; expense claim records; and related documentation and correspondence. This group does not include research-related contracts: please refer to Section 13 - Research.

**Retain 5 years**

## **3. Planned Purchasing Program**

Records in this group pertain to the Planned Purchasing Program (PPP) and include: agreements, terms & conditions, amendments and supplements product descriptions, and contact information (internal and vendor). Also included are any request for, and approvals of, exceptions to PPP agreements. Records of orders executed under the PPP should follow guidelines for purchase orders as with any other purchase (see group 1).

**Retain 5 years after expiration of agreement**

## **4. Receiving Records**

This group documents the receipt of equipment, supplies, and other items and services from vendors and includes: packing slips; shipping and container lists; bills of lading, and documentation of claims for non-receipt and/or damage.

**Retain 5 years**

## **5. Storehouse (and other Internal Distribution) Supporting Records**

Records in this group support the resale or redistribution of supplies, consumables, etc. within the University. The group includes but is not limited to: catalogs, listings, price lists, and sales data.

**Retain 3 years**

## **6. Supplies Inventory**

This group documents the quantity and value of supply items. Inventory held by Storehouse as well as departments/units is included. Records may include but are not limited to: activity reports; cost - and value reports; departmental supplies inventory forms; supply lists and ledgers; and other related reports, documentation, and correspondence.

**Retain 5 years**

## **7. Inventory of Drugs & Controlled Substances**

Records in this group document the purchase and inventory of drugs and controlled substances held by units for clinical, instructional, and research uses. These records include but are not limited to: certificates/licenses documenting investigators' authority to purchase; daily inventories; and detailed inventory logs.

**Retain 3 years after expiration of certificate**

## **8. Serials/Standing Orders**

These records document the receipt and payment history for serial or standing orders. Typically the libraries do the purchasing and such orders are distinguished from other purchase orders because of the open-ended activity. Records may include but are not limited to: purchase orders; receiving records; periodical check-in cards; shelf list cards; payment cards; cancellations; and related documentation.

**Retain 5 years after cancelled or superceded**

## **9. Vendor Data**

This group includes records used for quick reference of vendor data. Records may include but are not limited to: reports containing vendor numbers, payee names, invoice numbers, and amounts; extra copies of purchase orders or requisitions; packing slips; promotional and advertising materials; product specification sheets; address and contact information; and related documentation and correspondence.

**Retain 5 years**

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