

## PURCHASING

### 170.01 Contract Files (Duplicates)

Dates: 1965 -  
Volume: 12 Cu. Ft.  
Annual Accumulation: ½ Cu. Ft.  
Arrangement: Numerical

This record series contains the buyers' copies of all university contracts (all contracts over \$100,000 and all multi-year contracts). Also included is any related correspondence and backup documentation.

**Recommendation:** Retain in office for five (5) years after expiration of contract, then dispose of provided no litigation is pending or anticipated.

### 170.02 Bid Log Files

Dates: 1982 -  
Volume: ½ Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of log books listing the dates each bid was opened and the corresponding requisition number.

**Recommendation:** Retain in office for two (2) years, then dispose of provided no litigation is pending or anticipated.

### 170.03 Deposits on Bids in Escrow Files

Dates: 1985 -  
Volume: 2 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series documents the receipt and subsequent return of deposits submitted by vendors bidding on certain contracts. Included in these files would be copies of collection reports, cancelled checks, requests for quotations and duplicate invoice vouchers.

Also included in this record series are AMO 91 printouts and accounting ledgers both of which record all transactions occurring within the "Deposit of Bids in Escrow" account.

**Recommendation:** Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

#### **170.04 Sample Signature Books (Duplicates)**

Dates: N/A  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Alphabetical

These books contain sample signatures of all fiscal officers, temporary delegates, deans and vice-presidents and are utilized to verify the validity of signatures on various fiscal documents. Backup for these books are contained in the "Approved Signature Files" (item 170.23).

**Recommendation:** Retain in office for two (2) years following the date of expiration of each corresponding individual(s) signature authority, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

#### **170.05 State Comptroller Log Book Files**

Dates: 1980 -  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: By fiscal year

This record series consists of log books recording the dates which contractual obligation documents and State Comptroller copies of purchase orders are sent to the State Comptroller's Office.

**Recommendation:** Retain in office for two (2) years, then dispose of provided all relevant documents

have cleared the State Comptroller's Office and no litigation is pending or anticipated.

**170.06 Freight and Express Files (Originals and Duplicates)**

Dates: 1981 -  
Volume: 10½ Cu. Ft.  
Annual Accumulation: 1½ Cu. Ft.  
Arrangement: Alphabetical by vendor name,  
then Chronological

These files contain processed invoice vouchers, copies of original bills and any backup information for all express mail and freight received by the Purchasing Office. Also included in these files are records of incoming and outgoing shipments received during the year, AMO 90 and 91's (monthly printouts which illustrate the activity of various accounts during the period), monthly internal billings and a record of accounts which have been charged during each year.

**Recommendation:** Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**170.07 Purchasing Files (Originals)**

Dates: 1985 -  
Volume: 36 Cu. Ft.  
Annual Accumulation: 18 Cu. Ft.  
Arrangement: By fiscal year, then Numerical

These files contain the encumbrance control copy of all purchase orders, purchase requisitions, original copy "C" numbers (which serve as emergency requisitions), and corresponding change orders for the entire University. Also included in this record series, on microfiche are ledgers showing the amounts and dates issued for all requisitions and their corresponding purchase orders.

All original purchase requisitions and purchase orders are processed through Expediting and

Disbursements Office. Copies of original "C" numbers are maintained elsewhere within this office.

**Recommendation:** Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**170.08 Purchase Order Files (Buyer Vendor File Copies)**

Dates: 1981 -  
Volume: 55 Cu. Ft.  
Annual Accumulation: 13 Cu. Ft.  
Arrangement: Alphabetical by vendor name

This record series consists of the buyers' copies of all purchase orders issued by the university. Original purchase orders are maintained by the university's Purchasing Office.

**Recommendation:** Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**170.09 Bidder's Application Form (Originals)**

Dates: 1978 -  
Volume: 12 Cu. Ft.  
Annual Accumulation: 2 Cu. Ft.  
Arrangement: Alphabetical

This record series consists of applications submitted by businesses or individuals who wish to become eligible to bid on potential University contracts (supplying SIU with specific commodities, equipment, or services).

Information included on these applications would be: name, address, number of years in business; bank references; lists of officers and major interest holders; insurance statements; and commodity class (es) the business desires to bid on.

**Recommendation:** Retain in office for five (5) years

after attaining inactive status (after last bidding activity by the firm), then dispose of provided no litigation is pending or anticipated.

**170.10 "C" Number Logs**

Dates: 1983 -  
Volume: 7 1/2 Cu. Ft.  
Annual Accumulation: 2 1/2 Cu. Ft.  
Arrangement: By fiscal year

This record series contains the university's copies of "C" Number Logs which are records of local, emergency, or nominal (under \$250) cost purchases. "C" Number Logs are utilized in the same manner as purchase requisitions.

**Recommendation:** Retain in office for three (3) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**170.11 Requisition/Order Logs**

Dates: 1979 -  
Volume: 4 Cu. Ft.  
Annual Accumulation: 1 Cu. Ft.  
Arrangement: By fiscal year

This record series consists of log books documenting all orders passing through the Purchasing Office. File series data includes: the date the order was received, date of the purchase order, purchase order number, description of the item, cost of the item and the vendor's name.

**Recommendation:** Retain in office for three (3) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**170.12 Student Payroll Administration Files**

Dates: 1977 -

Volume: 1½ Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series contains student worker time sheets and duplicate records of the student worker budget for the Purchasing Office.

**Recommendation:** Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

### **170.13 Insurance Verification Files**

Dates: 1983 -  
Volume: 10½ Cu. Ft.  
Annual Accumulation: 2½ Cu. Ft.  
Arrangement: Alphabetical by vendor

These files are created and maintained in order to verify that certain vendors have the correct insurance which is required of them before performing their services for the university.

Included in these files would be: Certificates of Insurance; Notices of Cancellation of Insurance and Insurance Certificate Check-lists.

**Recommendation:** Retain in office for five (5) years after the termination of vendor's contract and/or insurance, then dispose of provided no litigation is pending or anticipated.

### **170.14 Bond Verification Files**

Dates: 1982 -  
Volume: 1½ Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Alphabetical by vendor

These files are created and maintained in order to verify that certain required vendors have obtained an indemnity bond.

Included would be the indemnity bond itself and an indemnity bond checklist.

**Recommendation:** Retain in office for five (5) years after the termination of contract and/or return of bond, then dispose of provided no litigation is pending or anticipated.

**170.15 Sales of Items for Income Files**

Dates: 1984 -  
Volume: 1 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of bid organizing files utilized whenever the university puts some money (e.g. motor vehicles, office equipment, timber) up for sale. Included in these files would be: Requests for Quotations; sealed bids received from bidders; and a photocopy of the check received from the successful bidder.

**Recommendation:** Retain in office for five (5) years, then dispose of provided no litigation is pending or anticipated.

**170.16 IPHEC Bidletting Files (Duplicates)**

Dates: 1982 -  
Volume: 2 Cu. Ft.  
Annual Accumulation: ½ Cu. Ft.  
Arrangement: Numerical by purchase order number

This record series created and maintained to coordinate biddletting through the Illinois Education Consortium (IPHEC), which is an organization of several universities and colleges which have bound together to participate in a collective purchasing program. (The powers, duties, and responsibilities of the IPHEC will be taken over by the Board of Governors effective July 1, 1987.)

Included in these files would be: Requests for Sealed Bids; bid quotations sent in by vendors; general bidletting reference material; and correspondence with vendors and the IPHEC.

**Recommendation:** Retain in office for five (5) years, then dispose of provided no litigation is pending or anticipated.

**170.17 Test Report Files (Duplicates)**

Dates: 1978 -  
Volume: 4½ Cu. Ft.  
Annual Accumulation: ½ Cu. Ft.  
Arrangement: By category, then by item number

This record series consists of Test Reports for food to be purchased by the university. These reports indicate which brands of specific food items have been approved for University use by the Food Services Unit. The originals of these reports are maintained by the Food Services Unit.

**Recommendation:** Retain in the office until revised or superseded, then dispose of.

**170.18 Purchasing Department Printouts (Duplicates)**

Dates: 1990 -  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of printouts (i.e. daily, monthly, year-end) received by the Purchasing Department from the Office of General Accounting for use in the department's business operations (i.e. account reconciliation's, activity reports) including:

**A. Open Commitment Status Printouts** - Lists by account number the funds encumbered for each University account as of a particular date (i.e., requisitions, purchase orders, GIRs, and "C" numbers). It is used to determine current remaining balance of encumbrances and status of orders.

**Recommendation:** Retain in office until superseded by new printout, then dispose of.

**B. Daily Diagnostic Printout** - Lists those encumbrances entered onto the Financial Accounting System from the previous day's batching. The printout is used to verify the budget balance availability (BBA) needed to process purchase requisitions, purchase orders, change orders, and "C" Numbers. It is also used to check the accuracy of the entries of requisitions, purchase orders, change orders, and "C" Numbers.

**Recommendation:** Retain in office for six (6) months, then dispose of.

**C. Numeric Chart of Accounts Printout** - Lists the current accounts of the university. It is used to verify the account title and account number.

**Recommendation:** Retain in office until superseded by new printout, then dispose of.

**D. Fiscal Officers and Designates By Account Printout** - Lists the Fiscal Officer and Temporary Delegates for every University Account. It is used to verify Fiscal Officer or Temporary Delegate authorization on purchase requisitions.

**Recommendation:** Retain in office until superseded by new printout, then dispose of.

**E. Orders Issued Statistical Report By Buyer Printout** - Gives the total number and total dollar amount of purchase orders issued by each buyer, during the past month. The printout also gives the grand total and amount of purchase orders issued for the university. It is used to complete the Purchasing Department's Activity Report and the Buyer Activity Report for each month.

**Recommendation:** Retain in office for six (6) months, then dispose of.

**F. Outstanding Requisitions by Buyer Printout** - Lists all outstanding requisitions for each buyer as of the end of each month. It is used to complete the Purchasing Department's Activity Report and the Buyer Activity Report for each month.

**Recommendation:** Retain in office for six (6) months, then dispose of.

**G. Accounts Payable Report Printout** - Lists, for each account all encumbrances which are still outstanding as of the end of the fiscal year. It is used to determine the university's Total Accounts Payable.

**Recommendation:** Retain in office for two (2) years, then dispose of.

**H. Blanket Order Status Printout** - Lists, for each account, all blankets/purchase authorizations which are still open for the fiscal year. It is used to adjust the remaining balance of the blankets/purchase authorizations.

**Recommendation:** Retain in office for two (2) years, then dispose of.

#### **170.19 Purchasing Department Microfiche (COM)**

Dates: 1990 -  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of copies of microfiche (i.e. daily, periodical) received by the Purchasing Department from the Office of General Accounting for use in the Department's business operations (i.e. account reconciliations) including:

**A. Open Commitment Status Microfiche** - Lists by account number the funds encumbered for each University account as of a particular date (i.e., requisitions, purchase orders, GIRs, and "C" numbers). It is used to determine current remaining balance of encumbrances and status of orders.

**Recommendation:** Retain in office until superseded by updated microfiche copy(s), then dispose of.

**B. Alpha Chart of Accounts Microfiche** - Lists alphabetically by account title, the current accounts of the university.

**Recommendation:** Retain in office until superseded by updated microfiche copy(s), then dispose of.

**C. Numeric Chart of Accounts Microfiche** - Lists numerically by account numbers, the current accounts of the university.

**Recommendation:** Retain in office until superseded by updated microfiche copy(s), then dispose of.

**D. Vendor List Name and Numeric Identification Microfiche** - Lists vendors used by the university (alphabetically by vendor name and numerically by identification number). This application is entered by the Purchasing Department and SIU Foundation.

**Recommendation:** Retain in office until superseded by updated microfiche copy(s), then dispose of.

**170.20 GIR (General Improvement Request) Files (Duplicates)**

Dates: 1981 -  
Volume: 3/4 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of General Improvement Requests which are received periodically from the Physical Plant for encumbrances on the Financial Accounting System. These files consists of the pink copy of the GIR and the corresponding Change Encumbrance Form (General Improvement Requests are entered in the Financial Accounting System through use of Change Encumbrance Forms). The files also include correspondence (i.e., memos from the Physical Plant to increase/decrease/cancel

GIR encumbrances) and related documentation. Original GIR's are maintained by the Physical Plant.

**Recommendation:** Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**170.21 Current Account Files (Duplicates)**

Dates: 1980 -  
Volume: 1 1/2 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Numerical by account

This record series consists of New Account Request Forms which are received periodically from the General Accounting Office. These forms provided the correct account title, account number assignment, and fiscal officer. The files consist of New Account Request forms and any corresponding Account Title Changes. The originals are maintained by the General Accounting Office.

**Recommendation:** Retain in office for one (1) year following the date of expiration of the corresponding account(s), then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**170.22 Discontinued Account Files (Duplicates)**

Dates: 1980 -  
Volume: 3 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Numerical by account

This record series consists of Discontinued Account Notices which are received periodically from the General Accounting Office. The files consist of the Discontinued Account Notices and the corresponding New Account Request Forms. The originals are maintained by the Office of General Accounting.

**Recommendation:** Retain in office for one (1) year following the date of expiration of the corresponding account(s), then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**170.23 Approved Signature File (Duplicates)**

Dates: 1980 -  
Volume: 6 Cu. Ft.  
Annual Accumulation: 1/2 Cu. Ft.  
Arrangement: Alphabetical by last name

This record series consists of Temporary Delegation of Fiscal Officer Authority forms, New Account Request Forms, and Fiscal Officer Change Forms. This file provides backup for signature authorization for fiscal officers and their temporary delegates. The originals are maintained by the Office of General Accounting.

**Recommendation:** Retain in office for two (2) years following the date of expiration of the corresponding delegation(s), then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**170.24 Visitor Sign-In Books (Originals)**

Dates: 1972 -  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of books which visiting vendors must sign upon visiting the Buyers of the Purchasing Department.

**Recommendation:** Retain in office for two (2) years, then dispose of.

**170.25 System Correction Files (Originals)**

Dates: 1991 -

Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of system correction forms (i.e. Change Requisition, Change Encumbrance, "C" EC 55). These forms are generated by the Purchasing Department to correct transactions in the Financial Accounting System.

**Recommendation:** Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**170.26 Automatic "C" Number Cancellation File**

Dates: 1992 -  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of computer printouts of "C" numbers which are removed from the Financial Accounting System.

**Recommendation:** Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**170.27 Insufficient "C" Number Files (Duplicates)**

Dates: 1986 -  
Volume: 3/4 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of a log which records the "C" Numbers which fail BBA (Budget Balance Availability) and memos received from the Controller's Office regarding action to be taken.

**Recommendation:** Retain in office for two (2)

years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**170.28 Departmental Activity Reports (Originals)**

Dates: 1982 -  
Volume: 3/4 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of the original Buyer Activity Reports and the Purchasing Department Activity Reports which are generated internally by the Purchasing Department. The reports show volume in quantity and dollar amount of requisitions received and purchase orders issued by the Purchasing Department. The reports also show the various expenditures incurred by the Purchasing Department for each month. Reference copies of reports are retained in the Offices of the Director and Assistant Director of Purchasing.

**Recommendation:** Retain in office for five (5) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**170.29 Office of the Comptroller Obligation Year-To-Date Activity Reports (Duplicates)**

Dates: 1988 -  
Volume: 3/4 Cu. Ft.  
Annual Accumulation: Negligible  
Arrangement: Chronological

This record series consists of Obligation Activity Reports which are received from the Office of General Accounting. The reports list all obligations filed with the State Comptroller's Office and the current balances remaining. They are used to resolve any discrepancies between the records of SIU-C and the State Comptroller's Office.

**Recommendation:** Retain in office for two (2) years, then dispose of provide all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**170.30 Furniture and Computer P-card (Procurement Card) Request Forms (Originals)**

Dates: 2005 -  
Volume: 5 Cubic Feet/1.5 GB  
Annual Accumulation: 1 Cubic Feet/300 MB  
Arrangement: Numerical

This record series consists of P-card request forms that are used to make authorized purchases from approved vendors using the University P-card. Forms are requests for purchases of furniture and computers from approved vendors. Purchases are restricted to transactions of \$3500.00 or less and require a buyer's approval. These are the only two types of University P-card transactions that require this request form for purchases. Forms contain type of budget purpose, requesting department, object code, fiscal officer signature, date, price, vendor, requestor information, P-cardholder name, and purchasing officer approval signature.

**Recommendation:** Microfilm and scan hard copy document as received. Retain hard copies for one (1) year, then dispose of providing all audits have been completed and no litigation is pending or anticipated. Retain scanned images and microfilm for ten (10) years, then dispose of microfilm and delete scanned images providing all audits have been completed and no litigation is pending or anticipated.