

**PURCHASING
EXPEDITING SECTION**

200.01 Monthly Expediting Report Files

Dates: 1983 -
Volume: 3/4 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological

This record series contains the monthly report prepared by the Expediting Section, showing the number of purchase orders received, completed or open at the end of the month as well as the total number of items shipped and received by Central Receiving.

Recommendation: Retain in office for two (2) fiscal 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.

200.02 Monthly "C" Number Report Files

Dates: 1985 -
Volume: 3 Cu. Ft.
Annual Accumulation: 1 Cu. Ft.
Arrangement: Chronological

This record series contains the monthly reports of the contingency ("C" number) accounts which are available to university departments for local, emergency or nominal cost (under \$250) purchases so that purchase orders do not have to be written for these items. The report shows lists all "C" numbers given to each department and shows all "C" number accounts which are sixty (60) days past due. If not vouchered within the grade period, the account is cancelled.

Recommendation: Retain in office for two (2) fiscal 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.

200.03M Blanket Purchase Order Files

Dates: 1986 -
Volume: 7½ Cu. Ft.
Annual Accumulation: 3 3/4 Cu. Ft.
Arrangement: Numerical by account number

This record series contains the "blanket purchase orders" which many university departments use to make small purchases against an account balance figured into the budget in order to avoid writing separate purchase orders for less expensive items or services. A "blanket" is effective for one (1) fiscal year and can be written for a specific vendor or any vendor.

Recommendation: Retain in office for one (1) fiscal year, then microfilm and dispose of hard copy documentation by shredding. Retain record series microforms for six (6) years, then dispose of provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

200.04 Purchase Order Files

Dates: 1977 -
Volume: 6 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Numerical by account number

This record series contains the purchase orders for all university purchasing transactions. This file is microfilmed immediately after the order is completed, then the paper copies are shredded. The hard copy is retained for the past fiscal year if the order remains open. Since the department works to close out all accounts by the end of the fiscal year, this volume is negligible.

Recommendation: Retain the paper copy of the purchase orders until the order is completed, then microfilm and dispose of paper by shredding. Retain record series microforms for six (6) years, then dispose of.

200.05 Request for Taxpayer Identification Number and Certification (Originals)

Dates: 1988 -
Volume: 1 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Alphabetical

This record series consists of original request for taxpayer identification number and certification which include vendor or person name, address, and taxpayer identification number.

The Northern Illinois University Office of Vice President for Business and Operations maintains like tax files for six (6) years per Application 89-23, item 170.08

Recommendation: Retain in office for one year, then microfilm and dispose of hardcopy. Retain microfilm for five 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.

200.06 End of the Year IRS 1042-S Files

Dates: 1995 -
Volume: 10 Cu. Ft.
Annual Accumulation: 1 ½ Cu. Ft.
Arrangement: Alphabetical

This record series consists of documents that contain information regarding international nonresidents. These individuals have provided services to the Southern Illinois University Carbondale and are being reimbursed or have received non qualified scholarship, stipend, or fellowship. These files include following documents: Contractual Service Vouchers, 8233 Tax Treaty, and Foreign Persons US Source Income Subject to Withholding Forms 1042S.

The IRS requires withholding agents to retain a copy of the information returns filed with the IRS or have the ability to reconstruct the data for at least three (3) years after the reporting due date (Source IRS Instruction Sheets for completing form 1042-S).

Recommendation: Retain hardcopy in office for three (3) years after the reporting due date, then scan and dispose of hardcopies by shredding. Retain information entered on electronic media for an addition 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. (All computer/digital media maintenance and preservation procedures are to be fully applied. If equipment and programs which provide access to the database(s) involved are updated or replaced, the existing data must remain accessible in the success successor format for the duration of the approved retention period.

200.08 Successful Bidder Application Files (Originals and Duplicates)

Dates: 2002 -
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Alphabetical

This record series consists of successful bidder files submitted by vendors seeking the opportunity to provide SIU-C with goods, services, and building construction. Files also contain correspondence, vendor company information sheets, bidder application forms, resumes, information on major projects completed in the last five years, commodity's class forms, and product-service classification forms.

Recommendation: Retain in office for one year, from award date, then microfilm and dispose of hard copies. Retain microfilm for an additional ten (10) years, from award date, then dispose of providing no litigation is pending or anticipated and providing all audits have been completed under the supervision of the Auditor General, if required.

200.09 Unsuccessful Bidder Application Files (Originals and Duplicates)

Dates: 2002 -
Volume: Negligible
Annual Accumulation: Negligible

Arrangement: Alphabetical

This record series consists of unsuccessful bidder application files submitted by vendors seeking the opportunity to provide SIU-C with goods, services, and building construction. Files also contain correspondence, vendor company information sheets, bidder application forms, resumes, information on major projects completed in the last five years, commodity's class forms, and product-service classification forms. These files contain documents for bids and proposals that were not accepted by the university.

Recommendation: Retain in office for four (4) years, from the award date, 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.

200.10

Business Enterprise Program for Minorities, Females, and Persons with Disabilities Ethnic Status Forms(Originals)

Dates: 1995
Volume: 12 Cubic Feet
Annual Accumulation: 1 Cubic Foot
Arrangement: Alphabetical

This record series consists of forms used by the Purchasing Department of SIU-C to verify the ethnic status of vendors (composed of minorities, females, and disabled individuals) who sell goods and services to the university pursuant to the Business Enterprise for Minorities, Females, and Persons with Disabilities Act (30 ILCS 575 et seq.)(2004 State Bar Edition). Ethnic status forms include company/individual names, feir/social security numbers, date of birth, address, gender, ethnic background information, and disability status.

The Illinois Enterprise Business Program promotes the economic development of businesses owned by minorities, females, and persons with disabilities. The Act is designed to encourage state agencies to purchase needed goods and services from such businesses. All vendors who wish to participate under the program must complete the verification process. The business must be 51 percent owned and controlled by a minority, female, or person with a disability.

The Illinois Department of Central Management Services maintains "Vendor Certification Files" for six years per approved State Records Application 06-17, item 1.

Recommendation: Retain in office for one (1) year from date of verification form, then microfilm and destroy hard copies. Retain microfilm for an additional five (5) years, and then destroy.