

## Documentation Guidelines for Purchasing and Payment Activities

**Function:** Accounts Payable  
**Procedure:** Review for Request for Goods, Services, or Payment  
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### Guideline Recommendations

This document may be used as a guideline for documenting purchasing and accounts payable activity on Research Foundation administered projects.

### Purchasing and Supplier (Vendor) Files

Files(s) containing supplier (vendor) and purchasing documentation must be maintained at operating locations. Operating locations are encouraged to maintain files on an award basis. Operating locations can also maintain additional files such as files for specific suppliers (vendors).

**Note:** Operating locations can combine purchasing and supplier records with accounts payable records in a supplier record file.

### Disclosure of Purchasing Documentation

Office of Management and Budget Circular A-110 requires that procurement documents (e.g., solicitations) be made available upon request when certain conditions exist. Refer to section .44e in [A-110 Excerpts - Procurement Standards](#) for specific conditions and requirements.

### Documentation Guidelines

Each operating location is responsible for the development and maintenance of records that document procurement and payment activity. While the content and structure of the file(s) may vary at individual operating locations, these records should include sufficient and relevant purchasing and payment documentation to support decisions made or actions taken. Depending on the type of expenditure and/or dollar amount, there may be additional documentation necessary for compliance with federal and sponsor requirements. Refer to the "Additional Information" section of this document.

### Purchasing Documentation

Purchasing documentation should include the following:

- Approved requisition;
- Sponsor approval of specific purchases;
- Basis for vendor selection;
- Competitive price solicitation or bidding (Refer to the "Solicitation Documentation" section of this procedure for more information);

- Single/sole source justification;
- Suspension and debarment form;
- Cost or price analysis;
- Approved purchase authorization;
- Basis for award cost or price;
- Copies of vendor contracts and subcontracts; and
- [NYS Executive Order 127 documentation](#) (if applicable).

Note: To ensure permanent backup in our business applications, documents may be attached in Oracle – see [Attachments in the Purchasing Module](#) process help document.

### **Payment Documentation**

Payment documentation should include:

- An invoice, receipt, or equivalent documentation for expenditures that includes the amount, date, place, business relation, purpose, and parties involved, where applicable; and
- An approved payment authorization.

Note: A receipt of the goods and services documentation may be attached in Oracle – see [Attachments in the Purchasing Module](#) process help document.

### **Solicitation Documentation**

Documentation for all solicitations should generally include the same information, with additional requirements for the solicitation of sealed bids or proposals.

#### **Verbal Bids or Proposals**

Documentation for the solicitation of verbal bids or proposals should include the following:

- Purchasing agent name;
- Supplier name;
- Date of contact;
- Item description;
- Quantity;
- Price;
- Delivery date and other terms of purchase; and
- Reason for vendor selection.

#### **Written Bids or Proposals**

Documentation for the solicitation of written bids or proposals should include the same information as that required for verbal bids or proposals, which should be found in copies of the solicitation and vendor responses.

#### **Sealed Bids or Proposals**

Documentation for the solicitation of sealed bids or proposals should include the same information as that required for written bids or proposals, with the following additional requirements:

- Minutes of the meeting in which the bids are opened; and
- Documentation of the evaluation process (with the reason for vendor selection).

## Additional Documentation

Certain types of expenditures have additional review and documentation requirements. The following table identifies types of expenditures and indicates where additional information on the topic can be found:

For more information on . . .	Refer to . . .
Miscellaneous Income	<a href="#">Requirements for Miscellaneous Income Payments to U.S. Citizens and Resident Aliens</a>
Independent Contractors	<a href="#">Engaging Independent Contractors</a>
Honoraria	<a href="#">Honoraria Policy</a>
RF-owned vehicles	<a href="#">Personal Use of Research Foundation Vehicles</a>

## Record Retention

Refer to [Record Retention: Account Expenditure Records](#) for policy and guidelines on record retention.

## Change History

Date	Summary of Change
September 6, 2022	Updated link to <a href="#">Personal Use of Research Foundation Vehicles Procedure</a> .
December 27, 2016	Added attachment documentation, updated links, and updated the wording in Purchasing and Supplier (Vendor) Files.
December 2, 2003	Updated to add NYS Executive order 127 under Purchasing Documentation section
May 2, 2002	Replaces PP-A-32 from Purchasing/Payment Manual

### Feedback

Was this document clear and easy to follow? Please send your feedback to [webfeedback@rfsuny.org](mailto:webfeedback@rfsuny.org).