

**PCH PURCHASING RECORDS**

**PCH1 Delegation of Purchasing Authority**

Delegated Purchase Authority means the transfer of purchasing authority from the Chief Purchasing Officer, or the Purchasing Agent, to another state official in accordance with the provisions and limitations of Chapter 37-2 of the General Laws of Rhode Island and regulations set forth in the state procurement regulation. Records document delegation of authority to make certain purchases and acquisitions of supplies, services and construction for the state. (State Procurement Regulation 2.2.3.1.1.)

Retention: Retain twenty (20) years or until superseded, whichever is later.

**PCH2 Agency Purchasing Authority Lists**

Director/Chief Executive of each user agency annually submits to the Chief Purchasing Officer for approval a list of agency officials designated to have authority to act on behalf of the agency. Approved list is placed on file at the Department of Administration Offices of Purchases, Accounts and Control and Budget. (State Procurement Regulations 1.4.3.1 and 2.2.3.1.5)

Retention: Retain twenty (20) years or until superseded, whichever is later.

**PCH3 Reports - Sole Source, Emergency, and Small Purchases**

State statute requires that the Purchasing Agent compile annually a report of procurement actions that used sole source, emergency, and small purchase contracts methods during the preceding fiscal year. The summary includes name of each contractor, and the amount and type of each contract. (State Procurement Regulation 1.4.1.3.1 RIGL § 37-2-37)

Retention: Retain ten (10) years.

*Note: For other reports, see also GRS15 and GRS1.6.*

**PCH4 Reports – Reports on Price and Cost Trends**

Chief Purchasing Officer reports to General Assembly at least every three years on current costs, prices, trends and possible savings through improved practices. (RIGL § 37-2-58)

Retention: Permanent

*Note: For other reports, see also following record series in General Records Schedule: GRS1.5 and GRS 1.6.*

**PCH5 Reports – Transaction Summary Reports**

State law requires that Department of Administration maintain records of all purchases and sales made under its authority, and make periodic summary reports of these transactions to the Chief Purchasing Officer, the Governor, and the General Assembly. (State Procurement Regulation 1.4.1.1 and RIGL 37-2-54(9))

Retention:

- a) **Reports** Permanent
- b) **Transaction Records** Retain ten (10) years or one (1) year after audit, whichever occurs sooner.

*Note: For other reports, see also following record series in General Records Schedule: GRS1.5 and GRS 1.6.*

**PCH6 Reports – Recycled Products**

Chief Purchasing Officer is required to report annually to the general assembly on progress in compliance on tonnage use of recycled materials. (State Procurement Regulation 5.4.6.5 and RIGL § 37-2-76)

Retention: Permanent

*Note: For other reports, see also following record series in General Records Schedule: GRS1.5 and GRS 1.6.*

**PCH7 Bidders/Suppliers/Vendor Lists.**

Chief Purchasing Officer maintains Master Price Agreement lists and bidder lists. These lists consist of names and addresses of Division of Purchasing - approved suppliers of various goods and services from whom agencies can solicit bids, proposals, and quotations. Bidder lists may consist of Registered Suppliers, Unregistered Suppliers, and Emergency Response vendors. (State Procurement Regulations 4.4.4. 4.4.3.1, 4.4.3.2, and 9.6.5)

Retention: Retain until updated, superseded, or obsolete.

**PCH8 Purchase Order Contract Files**

Files consist of records documenting the purchasing process. Records span initial agency purchase requisition order for goods and services, purchase order, and final close of contract. Purchase Orders are contracts or formal agreements with a vendor (s) for the purchase or disposal of supplies, services, construction, or any other items. These records document the bid process, where there is one, and terms of agreement with selected vendor (s).

Other documentation in each contract file depends on purchase method (e.g., reverse auction, competitive negotiation, request for professional services, sole source, etc.) as

well as progress of bid, legal issues, contract execution, kinds of services, and monetary value. Documentation may include, but is not limited to, the following: agency purchase requisition order, with plans and specifications for service or product; bid preparation records (which may include notice of interest to vendors, request for proposals, documentation of posting of bid invitations in required locations, Invitation to Bid documents, list of recommended vendors, bid preparation instruction sheets, product and service specifications, bid list of parties who downloaded bid from Department of Administration website, pre-bid conference, vendor attendance sign-in sheets, correspondence between Office of Purchasing and agency(ies) and between Office of Purchasing and vendors, vendor bids and proposals, bidder protest records, vendor surety bond documentation, and selection justification documentation. File may also contain change request records and documentation related to breach of contract disputes. Finally, files involving architectural and/or engineering services may contain recommendations from the Architectural and Engineering Consultant Services' Selection Committee along with Chief Purchasing Officer's letter of approval.

Retention:

**a) Cancelled Bids**

Retain three (3) years from the opening date.

**b) Unsuccessful Bids**

Retain five (5) years from the Purchase Order issue date.

**c) Purchase Order Contract Files**

Retain ten (10) years from the end of the contract.

*Note: The Department of Transportation retains all documentation pertaining to the management and execution of transportation-related design and construction projects. This includes records kept to account for the management and expenditure of funds as well as files pertaining directly related to administration, design, engineering and execution of projects. Transportation also retains a variety of purchasing-related records. Original signed contracts are filed with the Division of Purchasing and the Department of Transportation. Various records documenting the bidding and contract award process reside within Division of Purchasing contract files as well as in Department of Transportation files.*

**PCH9 Architectural, Engineering, and Consultant Services Selection  
Committee – Minutes of Meetings**

This committee is part of the Division of Purchasing. It meets to review vendor bids responding to state Requests for Proposals and Letters of Interest. It reviews and evaluates those vendor proposals with architectural and/or engineering component selected by agencies, and makes recommendations to the Chief Purchasing Officer. Committee reviews only projects above a certain established value (over \$20,000 in 2007).

Retention: **See GRS 1.7 Minutes of Meetings**

**PCH10 Architectural, Engineering, and Consultation Services Selection  
Committee Files**

Files consist of copies of technical evaluations for each purchase action submitted to the committee as well as associated correspondence and supporting documentation.

Retention: Retain ten (10) years after contract fulfillment or termination, or one year after audit, whichever is later.

**PCH11 Notices of Non-Performance Records**

Records of formal complaints submitted to Office of Purchasing by state agencies. Records include documentation of vendor deviation (s) from contract performance requirements and written justifications for complaint. Records depend on course of case. Records may include agency written complaints and justifications, Office of Purchasing investigative reports, written decisions, notices of non-performance, contract amendments, change orders and related correspondence. (State Procurement Regulation 8.8.)

Retention: Retain for ten (10) years after termination of contract or legal action, whichever is later.

**PCH12 Certificates of Records Destruction**

Certification of Records Destruction forms (PRA003) signed by the authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable schedules. (RIGL §§ 38-1-10, 38-3-6(j), and 42-8.1-10.)

Retention: Permanent.