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Chapter 1

Introduction

This is an overview of Purchasing Department procedure. Please refer to Lincoln University Policy 12.81, Methods and Procedures, for additional information on the Procurement of Goods and Services.

- A. **Purchasing Department Mission.** The responsibility of purchasing goods and services for Lincoln University rests with the Purchasing Department. The mission of the Purchasing Department is to:

Purchase Quality Goods and Services in a Timely and Efficient Manner Consistent with Sound Purchasing Practices, University Policies, and State Regulations; and to Provide Assistance, Direction and Education Regarding the Purchasing Process to Faculty, Staff and Students of Lincoln University Who Need and Expect Promptness, Courtesy, Professionalism and Accurate Information.

- B. **Responsibilities.** The Purchasing Department has been charged by the University administration with the authority and responsibility for the following:

1. Acquiring and delivering equipment, supplies and services for all departments of the University in an economical, expeditious and reasonable manner in accordance with University Purchasing Policies;
2. Identifying qualified vendors and developing and maintaining good business relationships with them;
3. Providing assistance to departments in preparing specifications and in the analysis of bids received;
4. Awarding contracts and ensuring vendor performance and compliance; and
5. Providing the University's departments with the necessary information to ensure compliance with purchasing policies and procedures.

- C. **Organization.** The Purchasing Department is under the administrative supervision of the Vice President of Administration and Finance.

1. **Director of Purchasing:** The Director of Purchasing is responsible for planning, directing and coordinating all functions related to the purchase of goods and services for the University. The director is also responsible for insurance and risk management, central shipping and receiving, central stores, inventory control, and records management for the Purchasing, Shipping and Receiving areas.

2. **Buyer:** Buyer receives direct supervision from the Director of Purchasing and is primarily responsible for the procurement of goods and services. The buyer is responsible for the following activities:
 - a. Evaluating the University's needs and making recommendations for the establishment of campus-wide contracts;
 - b. Preparing formal bid documents including requests for proposals and assisting in the evaluation of responsive bids;
 - c. Verifying requisition pricing and processing purchase orders; and
 - d. Troubleshooting vendor problems including delivery delays, the repair or return of goods, cancellation of orders, and order changes.

3. **Purchasing Clerk:** The Purchasing Department Purchasing Clerk is primarily responsible for the following activities:
 - a. Building and maintaining vendor bid files;
 - b. Seeking informal bid responses from vendors and evaluating informal bids for price, quality and compliance with departmental requirements;
 - c. Verifying requisition pricing and processing purchase orders; and
 - d. Trouble-shooting vendor problems including delivery delays, repair or return of goods, cancellation of orders, and changing orders.

4. **Shipping and Receiving Supervisor:** The Shipping and Receiving Supervisor receives direct supervision from the Director of Purchasing. The supervisor has the following areas of responsibility:
 - a. Distributing goods received through purchase orders to the appropriate University departments;
 - b. Tagging non-expendable property (items valued at \$250 or more or those valued at less but considered "sensitive" in nature) and logging these items to individual departments;
 - c. Performing ongoing inventory audits of departmental non-expendable property;
 - d. Coordinating the distribution and disposal of surplus property;
 - e. Maintaining the University's central stores;
 - f. Maintaining gasoline stores for University vehicles; and

- g. Records management for the Shipping and Receiving area.
- 5. **Supply Clerk:** The Supply Clerk receives goods from vendors and is responsible for distributing goods received through purchase orders to the appropriate University departments.
- D. **Purchasing Department Contacts.** The Purchasing Department staff may be contacted at the following address, telephone or facsimile numbers:

Shipping, Receiving and Supply
1002 Chestnut Street
Jefferson City, MO 65101

Purchasing Director	(573) 681-5415
Purchasing Department	(573) 681-5418 and (573) 681-5417
Shipping and Receiving Department	(573) 681-5419 and (573) 681-5416
Fax number	(573) 681-5420

E. **Purchasing Code of Ethics.**

The following Purchasing Code of Ethics was adapted from the Code of Ethics advocated by the National Association of Educational Buyers (NAEB). This Code of Ethics applies to all authorized departmental purchasing representatives as well as staff.

1. Give first consideration to the objectives and policies of my institution.
2. Strive to obtain the maximum value for each dollar of expenditure.
3. Decline personal gifts and gratuities.
4. Grant all competitive suppliers equal consideration insofar as state or federal statute and institutional policy permit.
5. Conduct business with potential and current suppliers in an atmosphere of good faith, devoid of intentional misrepresentation.
6. Demand honesty in sales representation whether offered through the medium of a verbal or written statement, an advertisement or a sample of the product.
7. Receive consent from the originator of proprietary ideas and designs before using them for competitive purchasing purposes.
8. Make every reasonable effort to negotiate an equitable and mutually agreeable settlement of any controversy with a supplier; and/or be willing to submit any major controversies to arbitration or other third party review, insofar as the

established policies of the institution.

9. Accord a prompt and courteous reception insofar as conditions permit to all who call on legitimate business missions.
10. Cooperate with trade, industrial, and professional associations and with governmental and private agencies for the purpose of promoting and developing sound business methods.
11. Foster fair, ethical and legal trade practices.
12. Counsel and cooperate with NAEB (National Association of Educational Buyers) members and promote a spirit of unity and a keen interest in professional growth among them.

Chapter 2

Procurement

- A. **Introduction.** The primary responsibilities of the Purchasing Department are to:
1. Process requisitions initiated by authorized departmental staff by verifying pricing, assigning a purchase order numbers, serving as liaisons with departments when prices have increased and routing purchase orders to appropriate vendors;
 2. Review informal bid responses from vendors and evaluate responses for price, quality and compliance with departmental requirements;
 3. Prepare formal bid documents and evaluate responsiveness to bids for price, service, quality and compliance with University requirements;
 4. Bid and award blanket contracts for items and services which are determined, by the Purchasing Department, to be in common usage;
 5. Serve as a focal point for delivery, repair and return of goods, cancellation of orders and changes in orders; and
 6. Develop and maintain vendor contacts.
- B. **Unauthorized Purchases.** All obligations for the purchase of goods and services for the University shall be performed through an official purchase order number issued by the Purchasing Department. No employee may obligate the University for any purchase of goods or services without a valid purchase order number. Any employee who commits the University to a purchase, sale, lease or other arrangement without proper authorization may be personally liable for the transaction. Additionally, repeat offenders may be subject to suspension of their department's purchasing authority.
- C. **Guidelines for Procurement Processing.** Even though the Purchasing Department is responsible for most aspects of procurement, it is important for departmental staff to understand some of the basic guidelines used for procurement.
1. The Director of Purchasing reserves the right to require bidding of any and all purchases of equipment, supplies or services when this is determined to be in the best interest of the University.
 2. Informal price quotes may be pursued for purchases of goods or services valued at less than \$3,000 at the discretion of the Director of the Purchasing

Department or designated Purchasing staff.

3. Informal bids are required for purchases of goods or services valued at or above \$3,000 but less than \$25,000. Informal requests for prices may be obtained by the departments in the form of quotations. However, the Purchasing Department staff may obtain additional quotations or verify the quotations received by the departments. Departments must forward any quotations they have received to the Purchasing Department, referencing the requisition number after having entering the requisition into the Datatel system.
4. Formal bids are required for goods and services valued at or above \$25,000. All formal requests for prices submitted in the form of bids or proposals for materials, services and equipment must be made by the Purchasing Department.
5. The purchase of goods or services that exceed \$100,000 in price must be approved by the Board of Curators and the President before a contract can be awarded.
6. All professional, personal, consulting and social services contracts must be approved by the University President prior to the issuance of a purchase order number. If the value of the contract exceeds \$100,000, it must have the approval of the President of the Board of Curators'.
7. All formal bid requests must be posted and advertised by the Purchasing Department for examination by prospective bidders.
8. When a bid document designates a product by name of the manufacturer or vendor or by any proprietary or trade name followed by an "or approved equal" clause, the standard products of other manufacturers may be accepted. However, the bidder must supply sufficient information with the bid that will enable the University to determine that the product is equal (in design, strength, durability, usefulness, efficiency, quality and convenience) to the product specified in the bid document.
9. Departments may not request "no substitutes" on a requisition unless the item requested is needed to interface with existing equipment and other products are not compatible. This is referred to as a "single feasible source". Unique supplies and equipment documented as a single feasible source may be purchased without solicitation of bids, awarded and executed by the Purchasing Director within the above limits.
10. Purchase orders and contracts may be amended or changed by submitting a request to the Purchasing Department. Departments may not conduct negotiations with contractors to change prices, quantities, specifications, etc.

Please refer to the section titled Changes to Orders and Contracts for more detail.

11. The Purchasing Department will bid and award blanket contracts for items and services, which are determined, by the Purchasing Department, to be in common usage.
12. The Purchasing Department will require that statewide contracts be used for the purchase of items when, considering price and other essential factors, this is determined to be in the best interest of the University.
13. The Purchasing Department may enter into agreements with other governmental and not-for-profit organizations with the intent of gaining economy of scale in purchasing agreements and purchasing cooperatives.
14. Standard Terms and Conditions, as is applicable to specifications, bid requests, purchase orders and contracts, shall be approved by the director of Purchasing and the Office of the General Counsel.

D. **Informal Bidding.** Requisitions for items valued at less than \$3,000 may be informally bid at the discretion of the Purchasing Department Director. Informal bids are required for purchases valued at \$3,000 but less than \$25,000. A written informal bid is referred to as a “Request for Quotation,” (RFQ).

1. The informal bid process is conducted by contacting at least three (3) suppliers. Contacts may be made by telephone, mail, facsimile machine, email or by performing a catalog comparison. A target date and time for bid submission is given to prospective bidders. Any quotation received by the Purchasing Department after the target date and time have passed may be evaluated at the discretion of the Purchasing Director, provided an award has not already been determined and a purchase order processed.
2. Informal bid deadlines are set at the discretion of the Purchasing Director; however, sufficient time must be allowed for vendors to prepare and submit quotations.

E. **Formal Bidding.** Formal bidding is required for any goods or services that are valued at \$25,000 or more. Formal bids may be conducted by either the competitive sealed bid or a competitive sealed proposal method. A formal bid is usually made in the form of an Invitation for Bid (IFB) for commodities or services.

1. All requests for formal bids are posted in the Purchasing Department office for view by the vendor community. In addition, formal bids are advertised in at least two daily newspapers of general circulation for at least five (5) days prior to bid opening.

2. Formal bids have a stated opening date and time. Bids received after the stated bid closing date and time are considered late bids and will not be opened or evaluated for award.
3. Formal bids require a minimum of 15 working days from opening until closing unless circumstances require special handling. A minimum of 20 working days is required when the bid is complicated and vendors require more time for preparing responses.
4. Bid responses received within the bid time frame are first evaluated for responsiveness. Some bids may be declared non-responsive if they do not meet mandatory conditions of the bid.
5. Responsive bids are evaluated by a committee consisting of three people designated by the department. Evaluation is usually based on price, experience, expertise and performance as stated in the bid document. The bidder receiving the highest number of points is generally recommended for award of the contract.
6. Bids with a value of \$100,000 or more may be recommended by the committee but require the approval of the Board of Curators prior to bid award.
7. Bids may be canceled prior to award when this is determined to be in the best interest of the University.
8. A purchase order must be issued by the Purchasing Department prior to the contractor beginning work.
9. Approved Equal may be used when a product is designated in a bid document by the name of the manufacturers or vendor or by any proprietary or trade name. The standard products of other manufacturers may be accepted provided that the bidder has supplied sufficient information with his/her bid to enable the University to determine that the product bid is equal (in design, strength, durability, usefulness, efficiency, quality and convenience for the purposes intended) to the product designated in the bid document.
10. The University reserves the right to waive informalities in bids and proposals and to reject any and all bids and proposals received with or without cause.
11. An IFB, RFP or RFQ may be canceled prior to award when it is determined to be in the best interests of the University. The reasons for cancellation shall be made part of the bid file.

F. **Evaluation Process:**

1. **Evaluation Criteria.** Bids will be evaluated based on the lowest and best price. Informal bids and formal bids based on cost only, may be evaluated by

the Purchasing Director or designee. Formal bids using subjective evaluation criteria shall require evaluation by an evaluation committee.

2. **Preference for Missouri Products and Missouri Firms.** A preference will be given to materials, products, supplies, provisions and all other articles produced, manufactured, made or grown with the State of Missouri or items supplied by a Missouri firm provided they can be secured without additional cost over foreign products or the products of other states. A Missouri firm shall be defined as a firm incorporated in the State of Missouri or a firm that maintains a regular place of business within the state.
3. **Preference for United State Products.** A preference will be given for the purchase of products manufactured, assembled or produced in the United States when they may be secured without additional cost over foreign products and the quality is suitable for the purpose intended. The University may request and obtain vendor certification on American made products when appropriate.
4. **Non-Discrimination in the Bid Evaluation Process.** The Lincoln University shall award all contracts and purchase orders on a fair and equitable basis. The University shall not discriminate against any business enterprise, including any owned or operated by women, minority group members, or socially or economically disadvantaged individuals. An effort shall be made by the University to assist all vendors in learning how to do business with the University. In addition, vendors shall be rotated in the solicitation for bids to insure an equal opportunity for all interested parties in receiving bids.
5. **Selection of Evaluation Committee.** For purchases over **\$25,000** (equipment or services), an evaluation committee is selected.
6. **Evaluation Committee Meetings.** The evaluation committee will meet and discuss the facts and relative merits of each proposal. The Director of Purchasing, or designee, shall act in the capacity of committee chair to oversee the evaluation process and shall not be a voting member.
7. **Bid Award.** Award shall be made to the responsive and responsible bidder whose bid or proposal is most economical for the purpose intended according to the criteria set forth in the solicitation and in accordance with “guidelines for evaluation of bids” developed by the Purchasing Department.

Chapter 3

Requisitions and Purchase Orders

- A. **Introduction.** The purchase of goods and services begins online with the completion of a Datatel requisition. Requisitions are entered into the Datatel Colleague Finance Module by designated departmental initiators. Once the requisition is approved and submitted to the Purchasing Department, a purchase order number is assigned and the goods or services are procured.
- B. **Guidelines for Requisition Processing.** The following guidelines should be kept in mind during the preparation of a requisition for goods or services.
1. No employee may obligate the University for any purchase of goods or services without a valid purchase order number. Employees may be subject to disciplinary action and be held personally liable for the cost of any goods and services purchased without a valid purchase order number.
 2. Lincoln University is exempt from Missouri State sales tax. When an employee purchases items in person, he/she must present a sales tax exemption letter to the supplier. The employee is responsible for insuring that no sales tax is charged. Employees will not be reimbursed for any Missouri State sales tax paid.
 3. Lincoln University employees may not use University funds for personal or private use.
 4. Purchases of like items shall not be split between two or more requisitions in order to circumvent the bidding process.
 5. Many commonly used items may be purchased through an established statewide contract or through an established Lincoln University blanket contract. The Purchasing Department reserves the right to secure an item at a lesser cost from a statewide or blanket contract unless the department provides sufficient justification for using a particular vendor.
 6. Goods or services may be acquired from a single feasible source if the rationale is thoroughly documented and justified in writing and is sent to the Purchasing Department to support the requisition. Final determination of single feasible source requirements rests with the Director of Purchasing.
 7. Lease/Lease with Purchase or Rental requests, with the exception of property leases and rentals, must be submitted to the Director of Purchasing for approval prior to the completion of an agreement.
 8. Service and maintenance agreements on items such as facsimile machines, copiers and printers are available through statewide contracts. These

maintenance agreements must be evaluated prior to the completion of an agreement for such service. If the needed maintenance is not available on a statewide contract, a contract may be established between a department director and a contractor; however, the contract may not be longer than twelve (12) months in duration. Leases, lease with purchase and rentals requests, with the exception of property leases and rentals, must be submitted to the Director of Purchasing for approval prior to entering into any agreement.

9. Capital improvements and purchases that require a prevailing wage determination are bid, awarded and executed by the Facilities Planning and Design Department.
10. Requests to obtain temporary clerical and laborer services from outside sources shall be acquired through statewide contracts to obtain these services or through an LU contract, if in effect. The lowest priced vendor shall be contacted first to determine if a qualified individual is available for the required time frames needed. If the lowest priced vendor cannot fulfill the request, the next lowest priced vendor may be contacted and so on. Once a vendor has been located that can provide the service, a purchase requisition is required. Under no circumstances may an individual begin working without a properly executed purchase order in place.

C. **Pricing.** Departments should check with vendors for “FOB Destination” pricing estimates for goods or services. Vendors may quote the shipping charges separately or include the charges in the prices of the items. Items may be priced through telephone quotations, faxed quotations or catalog pricing. Departments should ensure that they are using current catalogs. Either contacting the vendor or the Purchasing Department may confirm this. Departments are encouraged to check the statewide contract listing which is available on the State of Missouri web site at www.oa.state.mo.us as well as on the Lincoln University Purchasing Department web site, at www.lincolnu.edu/~purchase/.

Note: When a requisition contains information quoted by a vendor, the initiator must include the date, the price quoted, the name of the person providing the quote, and the name of the person who obtained the quoted information. Pricing may need to be confirmed by the Purchasing Department prior to placing an order. In the event that pricing quoted by the vendor is 10 percent or more higher than of the total provided on the requisition, the Purchasing Department will contact the departmental authority and request an amendment to the requisition. At that time the department may:

- a. Alter the request in order to lower the total,
- b. Increase the request by submitting a requisition to amend the order, or
- c. Cancel the request.

- D. **Funding.** All requisitions for materials, supplies, services and contracts must be approved by the appropriate University authorities. Authorities have been designated for each department, and approval limits have been created in the Datatel system.
- E. **Datatel Requisitions.** A requisition is the method which should be used for most purchase requests. Departmental personnel must enter the purchase order data directly into the Datatel system instead of preparing manual requisitions. Please refer to the “Requisitioning Instructions”, for detailed instructions.
- F. **Purchase Order Processing.** The Purchasing Department staff uses the following procedure to process requisitions:
1. The Purchasing Department will determine if a requisition should be processed as a purchase order or blanked purchase order. (In most cases, the term purchase order maybe used to refer to both types unless otherwise specified).

The following requisitions will be processed as purchase orders:

- ♦ Any requisition for specific items which most will be accepted by the Shipping and Receiving Department, even if the items will be delivered to a location other than the warehouse.

The following types of requisitions will be processed as blanket purchase orders:

- ♦ Blanket encumbrances
- ♦ Maintenance contracts
- ♦ Utilities
- ♦ Travel reimbursements
- ♦ Common carrier
- ♦ Phone services
- ♦ Lodging
- ♦ Cash advances
- ♦ Registrations

If a requisition is questionable, it should be processed as a blanket purchase order if it does not contain specific items to be accepted. Chapter 4 contains more information regarding blanket purchase orders.

2. The Datatel system is used to process the requisitions into purchase orders. Purchase order numbers are assigned automatically by the Datatel system upon completion.
3. Information contained in the requisition is verified for accuracy. If changes or additions are required, the changes will be made by the Purchasing Department and will be shown on the purchase order.

4. Requisition prices, including shipping and handling charges may be verified by the Purchasing Department. Informal price quotations or bids may also be taken if savings can be realized for the department.
5. Requisition pricing may have to be adjusted in accordance with an informal bid pricing or when prices have changed. **Note:** Authorized departmental staff will be notified of any price increase that exceeds 10 percent of the total requisition price. The department has the option to amend the requisition, reduce the quantity of goods or services being requested, or cancel the requisition.
6. Once the information is verified a purchase order is processed and printed. The following steps generally apply:
 - a. The original purchase order is mailed or faxed to the vendor by the Purchasing Department.
 - b. A copy of the purchase order is kept in the Purchasing Departments files.
 - c. Departments can view completed purchase orders in the Datatel System by using the RINQ (Requisition Inquiry) screen and entering the requisition number and then “drilling” into the PINQ (Purchase Order Inquiry) or BING (Blanket Purchase Order Inquiry) screen.

Note: The original purchase order will not be sent to the vendor by the Purchasing Department if the department has requested that the purchase order be hand-carried to the vendor.

- G. **Changes to Orders and Contracts.** Any and all changes to a purchase order or contract, including contract renewal must be submitted to the Purchasing Department so that an official change order, contract amendment or renewal can be issued. Departments wanting to purchase additional items, substitute items, or otherwise change an existing purchase order must contact the Purchasing Department prior to contacting the vendor. An official change order will be issued to the vendor by the Purchasing Department to insure proper payment is made for actual items received that the correct items are received and that the proper prices are charged.

Departments may not conduct negotiations with contractors to change prices, quantities, specifications, etc.

- H. **Changes to Encumbrances.** Departments may change a blanket purchase order by submitting a requisition to amend the purchase order. The requisition may either lower or raise the encumbrance.

- I. **Cancellation of Orders.** Requests for cancellation of a purchase order must be submitted through the Purchasing Department. Depending upon the circumstances, the following actions will occur:
1. **Requisition Entered/No Purchase Order Processed.** The Purchasing Department cannot process a pending or unapproved requisition. The department should then have the appropriate persons authorize the requisition or correct the requisition in the Datatel System.
 2. **Purchase Order Processed/Product Not Shipped.** The Purchasing Department will notify the vendor to cancel the order if a purchase order has been processed but shipment has not occurred. Vendors usually do not charge unless the product is custom and some work has begun on the order. In this case, the department may be liable for some portion of the purchase order value.
 3. **Product Shipped But Not Delivered to the Department.** The Purchasing Department will return the product to the vendor if it has been received at Shipping and Receiving but not delivered to the department. The vendor may charge restocking fees normally ranging from 15 to 25 percent of the total value of the item purchased, which will be charged back to the department that placed the order.
 4. **Product Delivered to the Department.** The Purchasing Department will return the product to the vendor even if it has already been delivered to the department. The department must repack the item in its original container and arrange to have it returned to Shipping and Receiving for shipment back to the vendor. The vendor may charge restocking fees normally range from 15 to 25 percent of the total value of the item purchased, which will be charged to the department that placed the order.
- J. **Order Delays.** Orders may be delayed for a variety of reasons. When a department has not received an order as expected, the first step is to contact the Purchasing Department to determine when the order was placed and if the Purchasing Department has received correspondence from the vendor explaining a delay. If the order has been placed and there is no explanation for a delay in delivery, a member of the Purchasing Department staff will contact the vendor to determine why the delay has occurred.

It should be noted that the Purchasing Department staff routinely makes follow-up telephone calls to vendors on outstanding orders older than 60 days. If an order has not been shipped and the department has not contacted the Purchasing Department to express a continued need for the item, the Purchasing Department reserves the right to close the purchase order, as stated on the purchase order document. The funds from the purchase order will return to the department's budget, and the department may reorder from a different vendor.

- K. **Procurement Card***. The Purchasing Department shall administer, distribute and monitor procurement cards for making small purchases not exceeding a total of **\$250.00**. The procurement card may be used in lieu of petty cash or “call sheets”. Departments using the procurement card should contact a minimum of three (3) vendors to obtain price quotes for items purchased with the procurement card. The procurement card shall not be used for purchases for personal use; 1099 reportable personal services; travel expense; liquor; office supplies from vendors other than the statewide contractor or items available through LU supply; and any item currently available on a Lincoln University contract.

***Note: Procurement cards are not yet available for use.**

- L. **Purchasing University Services and Goods.** Departmental staff may purchase goods and/or services from other Lincoln University Departments such as the Lincoln University Print Shop. Departments must submit a manual requisition to secure these types of goods and services.

Chapter 4

Special Purchasing Requests

Introduction. Purchase of goods and services begins with the completion of a requisition in the Datatel system. Requisitions are initiated by a designated departmental purchasing authority. However, there are special purchasing methods the department may wish to use.

- A. **Equipment Demonstrations.** Vendors may demonstrate equipment to departmental personnel. Such demonstrations usually occur when a department is considering purchasing an expensive piece of equipment or wishes to have a demonstration of a highly technical piece of equipment before making a commitment to purchase it.

Demonstrations will be held strictly at the convenience of departmental personnel. Vendors will be notified that the University will in no way commit to the purchase of the equipment and that the appropriate bidding process must prevail before the equipment may be acquired. Prior clearance from the Purchasing Department is required before an equipment demonstration may take place.

If equipment is left in the department, vendors must be informed that they leave the equipment at their own risk. The University will not assume responsibility for the equipment other than to exercise normal and usual care.

Caution: Demonstration of equipment is not the same as receiving “goods on approval”. This practice is not acceptable and the employee will be at risk of disciplinary action should they commit the university to an expense before securing a purchase order.

- B. **Blanket Purchase Orders.** Departments that have a need to purchase goods and services on a routine basis from the same supplier and who do not wish to submit a requisition each time the need arises, may use a Blanket Purchase Order. General guidelines for each process are provided below.

Note: Determination of which process to use is at the discretion of the Purchasing Department based on the following:

If the vendor provides a service that is 1099 (An income tax reporting form required by the U.S. government for many types of payments made to persons and non-corporate entities) reportable, a blanket purchase order is required. This usually occurs when the vendor is charging for time and materials and the exact amount of the order being placed is unknown at the time the request is made (e.g. repairs).

1. **Requesting a Blanket Purchase Order:** Departmental staff will use the on-line requisition process to request a blanket purchase order. The same information is required on the requisition for a blanket purchase order as for a regular purchase order:
 - d. Name and address of the vendor;
 - e. Type of services or items being ordered;
 - c. Estimated dollar amount for the total transactions anticipated for the fiscal year;
 - d. The names of all authorized purchasers.

2. **Purchasing Items with a Blanket Purchase Order:** Only authorized purchasers are allowed to place and order. The authorized purchaser must notify the vendor of the purchase order number under which the purchase is being charged. **Note:** Multiple departments may have blanket purchase orders with the same vendor. The vendor must be notified of the correct blanket purchase order number used to ensure accurate billing. The blanket purchase order number is required on each vendor's invoice.

The vendor should not invoice the department directly. The vendor should submit an invoice directly to the Accounts Payable Department. If a department receives an invoice, they must send it to Accounts Payable as soon as possible.

3. **Adjusting a Blanket Purchase Order:** Usually toward the end of the fiscal year, the department may need to adjust the Blanket Purchase Order by either unencumbering funds or adding to the encumbrance. To increase an existing blanket purchase order the department should submit a requisition, however decreasing the funds already encumbered by a blanket purchase order is done by closing that particular BPO and starting a new one. Please call the purchasing department for further information.

D. **Petty Cash.** Petty cash is available for employees who need to purchase inexpensive items, locally, and who have not been approved to use a procurement card*. Petty cash funds are used for emergency purchases where time and convenience do not allow for the normal purchasing process. Petty cash purchases may not exceed \$39.99 per item and the total petty cash purchase order request may not exceed \$100.00. A request for petty cash will only be approved in situations when it is more timely or convenient to use petty cash rather than the normal purchasing process. A Petty Cash Request form is filled out, approved and submitted to the Controller's office. Approved petty cash receipts and unused cash must be returned within five working days from the date the cash was issued.

Lincoln University is tax exempt and will not reimburse for sales tax.

If you do not have a copy of Lincoln University's tax-exempt letter, please pick one up at the Cashier's Office. The Petty Cash Request form is available on the Lincoln web site at: <http://www.lincolnu.edu/~control/index.htm> .

***Note:** Procurement cards are not yet available for use.

1. **Prohibited Petty Cash Purchases:** The following items may *not* be purchased or paid for with petty cash funds. This list is not all-inclusive and all petty cash purchases are subject to review and approval by the Controller's Department. Please contact the Controller's Office if you need additional instructions or clarifications.
 - a. Postage stamps or postcards;
 - b. Items purchased from University departments or units;
 - c. Personal services or personal items such as flowers, candy, food, beverages, liquor etc.
 - d. Long-distance telephone calls;
 - e. Services rendered by an employee;
 - f. Items regarded as a travel expenses e.g. gasoline, meals, and parking fees;
 - g. Missouri State sales tax;
 - h. Fines or penalties; and
 - i. Contractual services.

The use of petty cash funds is a privilege extended by the University for the convenience of its staff. Abuse and failure to comply with established procedures will result in the revocation of the privilege for an individual and/or department.

- E. **Internal Purchases.** Internal purchases are defined as purchases of goods or services from a Lincoln University department, such as Printing Services. Departments requiring these services must submit a manual requisition. Please contact the applicable department for more information
- F. **Contracting for Professional, Personal, Consulting and Social Services.** The requisition process will be used for all contractual services.

1. **Definitions.** The following definitions will be used to determine if a requested service fits into the professional, personal, consulting or social services category.
 - a. **Professional Services:** services rendered by an independent contractor who has professional training in a field of knowledge. This category includes, but is not limited to, lawyers, doctors, dentists, veterinarians, architects, engineers, landscape architects, accountants, and claims adjusters.
 - b. **Personal Services:** service rendered by individuals that requires the use of creative or artistic skills. This category includes but is not limited to, graphic artists, sculptors, musicians, photographers and writers. The Personal Services category may also include highly technical or unique individual skills or talents such as, but not limited to, paramedics, therapists, handwriting analysts, foreign representatives and expert witnesses for adjudications or other court proceedings.
 - c. **Consulting Services:** services rendered by an individual or firm who possess specialized knowledge, experience, and expertise. Consultants investigate assigned problems or projects and who provide counsel, review, design, develop, analyze or advise in formulating or implementing programs or services or improvements in programs or services, including but not limited to, such areas as management, personnel, finance, accounting, planning or data processing.
 - d. **Social Services:** service rendered by any person, firm, corporation, or organization in furtherance of the general welfare of the citizens of the State of Missouri.
2. **Purchases above \$5,000.** Most purchases of professional, personal, consulting and social services valued at or above \$5,000 but less than \$25,000 do not need to be bid. However, an online requisition must be completed for all purchases and a competed, approved and appropriately signed Contract and Letter of Certification (see Chapter 9) must also be forwarded to the Purchasing Department. The Purchasing Department should be consulted prior to the preparation of the Contract and Letter of Certification if the department is in doubt about whether to use competitive bidding for a service.

- G. **Temporary Services.** Departments must consult and use statewide contracts for temporary services before attempting to secure services from any other sources. Copies of the current statewide contracts are available from the Purchasing Department and are posted on the LU Purchasing Department's web site. Each statewide contract lists all pertinent information needed to obtain temporary help. Departments are advised to check the statewide contract listing each time temporary help is needed in order to be certain the latest contract information is being used.

1. **Time Frames.** The process to obtain temporary help must be started as soon as the need is identified. Under no circumstance may an individual begin working without a properly executed purchase order in place. Contractors require a minimum of one (1) week advance notice to fill a job order. The Purchasing Department requires a minimum of three (3) working days to process a requisition for services.
2. **Identification of Minimum Level of Service Required.** The department should determine the minimum level of service needed to satisfy the position requirements. This can be ascertained by reading the title and descriptions of each level of worker in the statewide contract.
3. **Vendor Contact.** Authorized departmental personnel may contact the lowest priced contractor in the Jefferson City area to determine if an individual is available who meets the department's minimum requirements for the time period needed. If the lowest-priced contractor cannot provide an individual, the department may contact the next lowest-priced contractor and so on until either a qualified individual is found or the department determines that no statewide contractor can meet the department's needs. If this is the case, contact the Purchasing Department for assistance. The Purchasing staff will conduct a telephone bid. No other source should be contacted without first consulting with the Purchasing Department.
4. **Requisition Preparation.** The department must prepare and submit a requisition whenever temporary services are required. The requisition must include the following:
 - a. Vendor name and address;
 - b. Statewide contract number, if applicable;
 - c. Job description for the personnel required, e.g. Clerk Typist II;
 - d. Dates required;
 - e. Cost per hour;
 - f. Total anticipated number of hours and cost for the time specified; and
 - g. If the lowest-priced vendor will not be used, state the reason why. For example: "Manpower was unable to provide an individual for the dates required per (name of contact person)."
5. **Purchase Order.** The Purchasing Department will process the purchase order and notify the contractor, providing them with the purchase order number either over the telephone, fax or via the mail.
6. **Orders Cancellation.** Contractors usually require a minimum of twenty-four (24) hours notice to cancel a request for temporary help. Failure to provide the

required notice results in a penalty payment to the contractor typically for the cost of two (2) hours of service. The penalty will be assessed against the department's budget. For these reasons, the department must notify the Purchasing Department of cancellations as soon as possible so that the change order may be processed.

- H. **Emergency Purchases.** An emergency condition is statutorily defined as a situation in which:

“There exists a threat to life, property, public health or public safety or when immediate expenditure is necessary for repairs to state property in order to protect itself against further loss of, or damage to, state property, to prevent or minimize serious disruption in state services or to ensure the integrity of state records.”

Emergency purchases may be made only by the Purchasing Department or by departments that are most likely to encounter emergency situations and have secured prior authorization from the Director of the Purchasing Department.

Chapter 5

Receipt of Goods & Services

- A. **Introduction.** All items ordered by the Purchasing Department, with the exception of library books and subscriptions will be received by Shipping and Receiving unless otherwise noted on the Purchase Order by the Purchasing Department. If a department wants an item to be delivered to a location other than Shipping and Receiving, it should be clearly stated on the requisition giving the reason for the alternate delivery site. Additionally, the Purchasing Department may designate an alternate delivery site if an item is heavy, bulky or difficult to transport.
- B. **Orders Placed with a Purchase Order.** All items purchased with an official purchase order will be received at the Shipping and Receiving building, unless otherwise specified.
1. Items will be inspected, accepted, tagged (if required) with a Lincoln University Property Control number and delivered to the ordering department.
 2. If the item is delivered directly to the department by the vendor, the department is responsible for contacting the Shipping and Receiving Supervisor when the item arrives. If the item requires inventory tagging, the department must make arrangements with the Shipping and Receiving Supervisor to receive a property tag.
 3. At the time the Shipping and Receiving Department delivers an order to the department that placed the order, it must be again be inspected for damage, accuracy and completeness and then sign for the order.
 4. Once an order is delivered and accepted by the department that placed the order, the Shipping and Receiving must accept the order in the Datatel system. The Datatel system will then allow the Accounts Payable Department to match the invoice to the order and issue a check to the vendor.
- C. **Orders Placed Using the Blanket Purchase Order.** All items purchased using a blanket purchase order are either picked up by the ordering department or delivered directly to the department by the vendor. If the department receives the invoice with the shipment or when picking up the order, the order must be signed to show proof of receipt and the invoice must be submitted to the Accounts Payable Department for payment.
- D. **Orders Placed with Procurement Card* or Petty Cash.** Items purchased with the procurement card or petty cash are either picked up by the ordering department or delivered to them directly by the vendor. The original receipt for the item(s) must be provided to the Cashier's Office.
- *Note: Procurement cards are not yet available for use.**

E. **Return of Items.** Departments wishing to return an item for any reason must take the following steps depending on the purchase method used. **Note:** Many companies charge a restocking fee (usually 15 to 25 percent of the total cost of the item) and many will not accept returns after 30 days. Items must be returned as quickly as possible to avoid these problems. For additional information, refer to Cancellation of Orders in Chapter 3. If purchased through:

1. Purchase Order Issued by the Purchasing Department: The department must contact the Purchasing Department. The Purchasing Department will make arrangements with the vendor for the proper return of the item in exchange for credit, replacement or substitution.
2. Petty Cash, Procurement Card* or Blanket Purchase Order: The department must make arrangements directly with the vendor for proper return for credit, replacement or substitution.

***Note: Procurement cards are not yet available for use.**

F. **Repair of Items.** When an item requires repair, the steps that need to be taken depend on whether or not the item is under warranty.

1. **Warranty Items.** If an item is under warranty, the department should contact the vendor from which the item was purchased to make arrangements for the return and repair of the item. The company will issue a return authorization number and a “call tag” (authorization for pickup). Returns must be shipped by common carrier (for example, United Parcel Service). The carrier will need proper pick-up instructions. The Shipping and Receiving Supervisor must be contacted to determine if the item may be picked up at the Mail Room, Shipping and Receiving Building, or a departmental office.
2. **Non-Warranty Items.** If an item is not under warranty, the department may contact the original supplier or other vendors to solicit repair pricing information. The Purchasing Department staff is available to assist departments in locating a suitable repair vendor.

The department must prepare and submit a requisition and a purchase order must be issued prior to authorizing any non-warranty repair. The department’s requisition must include the make, model and serial number of the item to be repaired in addition to a brief description of the problem.

Note: if a repair is urgently needed, please contact the Purchasing Department for instructions.

G. **Surplus Property.** Departments wishing to dispose of items considered surplus property must coordinate with the Shipping and Receiving Supervisor. Departments may not dispose of non-expendable property without prior authorization from the Shipping and Receiving Supervisor. The department with the surplus must correctly fill out and submit a Property Inventory and Change Form Report, to Shipping and Receiving. A request to move the item(s) to the warehouse must also be coordinated

with the Shipping and Receiving Supervisor and the Building and Grounds Department. The item(s) will be removed from the department's inventory listing when the transfer to Shipping and Receiving is complete.

The Shipping and Receiving Supervisor will make surplus property available for reallocation to a other departments on campus, arrange for the sale (either through sealed bid or auction), disposition through state surplus property, or disposal of unusable items.

University employees may purchase surplus items by submitting a bid when items are offered to the general public through the sealed bid or auction process.

- H. **Property Control - Tagging.** All items valued at or above \$1000.00 or less than \$1000.00 but considered "sensitive" in nature must be identified with a Lincoln University property tag and recorded on the department's inventory. This procedure is in accordance with the policy, "Accounting for Non-Expendable Property in Missouri State Agencies," set forth by the Office of the State Auditor. The Shipping and Receiving Supervisor is responsible for tagging property and recording it in the department's inventory listing. Departments are responsible for tracking all inventory items and must submit a Transfer of Property Form to the Shipping and Receiving Supervisor when an inventory item is transferred or surplus. This form is available on the Purchasing Department's web site.

- I. **Inventory Control - Annual Audits.** An annual physical inventory of all non-expendable property is conducted on an on going basis. Department directors are accountable for all items listed on their inventory and are responsible for identifying the location of each item. The inventory value of any items not accounted for during the physical inventory will be charged to the respective department's budget. A current list of departmental inventory may be obtained by contacting the Shipping and Receiving Supervisor.

Chapter 6

Travel

For the most current Travel Policy, please see the Lincoln University website, WWW.lincolnu.edu/~control/.

Note: Each department may have other specific guidelines. The following procedure lists the general steps recommended by the Finance Committee.

1. Separate requisitions must be completed for each of the following that apply to your trip. The reason for this is that generally, separate vendor specific checks must be issued by Accounts Payable to pay for each type of item:

- Registration
- Hotel/Lodging
- Airline Tickets
- Transportation
- Reimbursable Expenses to the Traveler
- Cash Advance

Registration Requisitions – The requisition description must note the conference dates and name of the traveler. After a requisition has been completed, the requisition number must be noted on the registration form. A copy of the form must then be forwarded to both Purchasing and Accounts Payable. Requisitions cannot be processed if the form is not received. **Note: Do not combine registration with travel reimbursements if the registration is to be paid in advance or a check is to be issued for the traveler to take with them to the conference.**

Hotel/Lodging – The requisition must contain the hotel address information, the dates of lodging, the name of the traveler(s) and the confirmation number if available. If written confirmation is available, such a confirmation, the requisition number is to be written on the document and then forwarded to both Purchasing and Accounts Payable. If no such document is available, a Request for Check form must be submitted to Accounts Payable so that a check can be processed. **Note: Do not combine lodging with travel reimbursements if the lodging is to be paid in advance or a check is to be issued for the traveler to take with them to the hotel.**

Airline - airline requisitions, the travel itinerary must be entered in the "printed comments" field of your requisition. Be sure to list all connecting flights

5/21/02 10:06 am
Depart (or Arrive): STL

Airline: AA
Flight: 2600

The requisition description must list the travel dates the name of the traveler and the destination. DINERS CLUB is the appropriate vendor to use for all airline requisitions. Gina Roesner, Travel Liaison, will be a policy class approval for airline requisitions and she must be listed as a next approver on all airline travel requisitions. Ms. Roesner must also receive the original travel itinerary documents. She will book the flight once the traveler's Department Head/Director has approved the requisition and a purchase order number has been assigned.

Reimbursable Expenses - Reimbursable expenses requisitions will have ONE line item with multiple account numbers for that line item. In the description area of the line item put "Travel Reimbursement" and then the dates and location of the trip on the following lines of the description and ANY possible account numbers that will be needed for reimbursable expenses must be entered with their respective expected expense amounts. When the traveler returns from a trip, he/she must fill out a Travel Expense Voucher with the proper requisition number noted on it. This document, along with all of the original receipts, must be forwarded to Accounts Payable. Accounts Payable will then issue a check to the traveler for their reimbursable expenses for the trip.

Cash Advances – Cash advances will ONLY be issued to employees who are traveling with students, or traveling internationally. A list of the students must be sent to Accounts Payable. Employees who are traveling alone must use the reimbursable expenses method and will not receive funds until they return from a trip. Requisitions for cash advances must state “Cash Advance” on the first line of the item description. The following lines must list the dates of travel and the destination. The object code 6550 must be used for all amounts on all cash advance requisitions. Cash advances are requested by submitting a Request for Check form to Accounts Payable.

Employees must return any unused funds and all original receipts within one week from their return. Unused funds must be returned to the Cashier’s Office and deposited into the account from which the cash advance was paid. The employee must then attach the cashier’s receipt, along with all original receipts from the trip, to a completed Travel Expense Voucher and submit it to Accounts Payable.

Note: Even if a cash advance is approved and prepared it will not be released to an employee who has a prior outstanding cash advance. If employees fail to resolve cash advance issues in a reasonable amount of time, their payroll checks may be deducted for the amount in question. Questions regarding cash advance procedures or issues may be directed to the Accounts Payable Manager.

Chapter 7

Call Sheet Procedures

A. **Purpose:**

The Call Sheet procedure has been established to enable departments to secure goods by submitting a pre-determined encumbrance requisition to the Purchasing Department. The predetermined encumbrance is usually submitted for items that will be repetitively ordered from the same vendor throughout the year. The predetermined encumbrance may be for any amount; however, it is subject to bid requirements.

For local, small repetitive purchases, less than \$250, the department should first consider using the procurement card* as an alternative. If the department does not use the procurement card or the vendor does not accept it, the encumbrance requisition may be initiated.

Please direct your questions and comments to the Lincoln University Purchasing Department.

Copies of Call Sheets are to be distributed as follows:

Yellow - Purchasing Department
White - Vendor
Goldenrod - Accounts Payable
Pink - Department

***Note: Procurement cards are not yet available for use.**

B. **Restrictions:**

The following restrictions apply to the Call Sheet procedures:

1. If the department requests an encumbrance in excess of \$3,000, it must be informally bid out by the Purchasing Department or be covered under a statewide contract.
2. Purchases in the amount of \$250 or more must be requested through the Purchasing Department. Departmental staff must contact the designated Purchasing Department representative to initiate the Call Sheet on their behalf.
3. Only the specific items listed on the Call Sheet may be purchased from the vendor.

C. **Responsibilities:**

The correct use of the Call Sheet process is incumbent on the individual Department Area Head. The Purchasing Department will monitor the process to ensure items being purchased are in compliance with the Purchase Order. Any violation of this procedure by departmental staff will result in the revocation of the use of the Call Sheet process. The department will then be required to submit a requisition to the Purchasing Department for each purchase requested.

D. **Procedures.**

The following sections will outline the procedures for: initiating a call sheet requisition, making purchases under \$250.00; making purchases over \$250.00; repairing and submitting call sheet logs, and tagging property.

E. **Initiating a Call Sheet Requisition.**

A call sheet requisition is a request for an encumbrance of funds based on what the department needs from a specific vendor, usually for an entire fiscal year. The requisition is completed using on-line requisitioning procedures (see Chapter 2 of the Purchasing Department Procedures for additional information). Once the requisition is received in the Purchasing Department, a Purchase Order number is assigned. This number must be used for all future call sheet purchases as well as noted on each of the vendor's invoices. The designated Purchasing Department staff will establish a call sheet file and provide it to the department. A copy of the call sheet file is maintained in the Purchasing Department.

A call sheet requisition request may be increased or decreased if necessary. The Purchasing Department will modify the purchase order, thereby changing the encumbered amount. It is the department's responsibility to maintain records regarding the encumbrance balance.

F. **Call Sheet Purchases Under \$250.**

After the pre-determined encumbrance requisition is processed by the Purchasing Department, a purchase order number is assigned. The Purchasing Department establishes a file and provides it to the department. At this point, the designated departmental employee will be asked to estimate the number of call sheets required throughout the year. The department will be provided with a supply of "numbered" call sheets based on this estimate. **Note:** additional call sheets may be requested at any time by contacting the Purchasing Department.

1. When making purchases from a local vendor, the departmental staff will take the following steps:

- a. The Lincoln University Call Sheet (PUR-001) will be completed by the department.
 - b. The designated departmental employee will take the call sheet to the vendor and pick up the item(s);
 - c. The vendor is expected to sign the call sheet and retain the white original copy.
 - d. The vendor should issue an invoice to the department at the time the item(s) is picked up.
 - e. The departmental employee must verify that the invoice and call sheet pricing are exactly the same matches the call sheet pricing.
 - f. The departmental employee must note the purchase order number and the call sheet number on the invoice. The invoice and call sheet is given to the Area Head.
 - g. The Area Head should review the call sheet and approve the item(s) purchased, or the work order, if applicable.
 - h. The department will distribute the call sheet to the appropriate departments as follows: goldenrod copy and the invoice to Accounts Payable; yellow copy to the Purchasing Department; and, retain the pink copy in the departmental call sheet file. ***Invoices must be submitted to Accounts Payable immediately to ensure timely payment.***
 - i. The Purchasing Department will review the call sheet for completeness and suitability of the purchase.
2. When purchasing items from a statewide contract or when the vendor is not local, the following steps will be taken:
- a. The departmental employee will call or fax the vendor to place the order, giving the vendor the purchase order number and call sheet number. The vendor must be instructed to include both numbers on the packing slip and the invoice.
 - b. The vendor should be given instructions to ship the item(s) directly to the department.

Note: if for some reason, the department wants the item(s) delivered to the Shipping and Receiving office, it is imperative that the entire call sheet (minus the vendor copy) be taken immediately to the Shipping and Receiving Supervisor. Staff in Shipping and Receiving may not accept any orders without proper paperwork in hand.

Once received in the department, the item(s) should be inspected and checked against the call sheet request. The Area Head should sign the call sheet verifying receipt of all items at the time of delivery to the department.

G. **Purchases of \$250 or More**

The designated Purchasing Department staff will prepare the call sheet on the department's behalf when the purchase price for the item(s) is \$250 or more. When the department requires such a purchase, the department must put its request in writing and direct it to the Purchasing Department. If time is of the essence, these requests may be faxed or hand delivered. Once the call sheet is prepared by the Purchasing Department staff, the department will be notified and the call sheet can be picked up.

H. **Property Tags.**

Even if an item is valued under \$1000.00, it might be considered "sensitive" in nature "Sensitive" items require a property tag and include equipment such as hand tools, cameras, computer equipment, lab and scientific equipment. Calculators and most office equipment are not considered sensitive. To obtain a property tag, the department must bring the item to the Shipping and Receiving office for proper tagging or contact Shipping and Receiving if the item is too large to be hand-carried. Shipping and Receiving staff may come to the department to tag the item.

I. **Call Sheet Logs.**

The department must keep a log of all call sheets used. The log must include the following information:

- a. Date issued to the vendor;
- b. Name of the departmental person who requested the call sheet;
- c. Name of the vendor issued to, or if voided, the word "void" is indicated;
- d. Purchase order number for which the call sheet is used to purchase against; The dollar value of the purchase (Note: this must match the call sheet amount);
- e. Work order number, if applicable.

A copy of the departments call sheet log must be sent to the Purchasing Department no later than the first working day after the month the call sheet(s) was used to make a purchase. If a call sheet has been voided, the void should be noted on the log and the entire call sheet document should accompany the log report.

Note: the call sheet log does not need to be forwarded to the Purchasing Department if no call sheets were used in the month.

Chapter 8

Lincoln University Letter of Certification

- A. **Purpose of the Letter of Certification.** The purpose of the Letter of Certification is to:
1. Identify the reasons for initiating the contract;
 2. List alternatives considered;
 3. Provide the method or reason for the selection of the contractor; and
 4. Attest that:
 - a. No Lincoln University employee is qualified or available to perform the service;
 - b. A selection process has been used;
 - c. The fee charges are appropriate;
 - d. The services are not available from a prior or existing contract; and
 - e. The contract has been prepared in accordance with applicable Lincoln University Rules and Regulations, State and Federal guidelines and other appropriate regulations.
4. **Signatures for Approval on a Letter of Certification.** The Letter of Certification must include the following signatures prior to submission to the Purchasing Department:
- a. The requestor;
 - b. The coordinator (or appropriate Dean or Vice President);
 - c. The Director of Sponsored and Institutional Research (if applicable);
 - d. The Director of Cooperative Research or Extension (if applicable).

**LINCOLN UNIVERSITY
LETTER OF CERTIFICATION**

DATE: ____/____/____

DEPARTMENT: _____

ACCOUNT NUMBER: _____

ADMINISTRATION & FINANCE USE ONLY

CONTRACT # _____

CONTROL # _____

PO # _____

VENDOR# _____

BUDGET OFFICE: _____

DATE: _____

This is to certify that the attached contract between

Name of Contractor

Mailing Address of Contractor

and Curators of Lincoln University, Jefferson City, Missouri, in the amount of _____ has been prepared in accordance with the Rules and Regulations of Lincoln University, and applicable State and Federal guidelines and regulations, as appropriate. This contract covers the period _____.

Give purpose or state need of contractual service (state specific service to be performed)

List the names of all (contractors) considered: _____

Give method or reason for selection of the above Contractor:

We the following certify that:

Either no employee of the University is qualified and available to perform the services requested by the proposed contractor, or the services requested are not readily performed by persons who are employed by the University on a continuing basis.

A selection process has been used to secure the qualified applicant available.

The fee charged is appropriate considering the qualifications of the Contractor, the normal charges, and the nature of the service to be rendered.

The services are not available as a product of a prior or existing professional, personal, social or consulting service contract.

_____ has been designated to monitor the work done by the Contractor and to provide for:

- a. The assignment of specific University personnel to serve as a liaison, when applicable;
- b. The periodic review of interim reports or other performance indicators to date, if applicable;
- c. The ultimate use of the final product or services, when applicable.

Funding source has been indicated by the account number above.

_____ Requestor	Date: ____-____-____
_____ Coordinator	Date: ____-____-____
_____ Director of Personnel	Date: ____-____-____
_____ Vice President, Administration and Finance	Date: ____-____-____
_____ Director, Sponsored & Institutional Research (If applicable)	Date: ____-____-____
_____ CES/CSRS Director (If applicable)	Date: ____-____-____

Chapter 9

Lincoln University Contract Form

Purpose:

The Contract Form is completed for purchases of professional, personal, consulting and social services valued at \$5,000 or greater. The only authorized agents of the University to execute contracts for services are the President of the University and the President of the Board of Curators when the contract exceeds \$50,000.

- A. **Lincoln University Contract Requirements for Professional Services:** Contracts for consulting agreements or professional services may be negotiated by the individual department requiring the service. "Professional Service" shall be defined as those services provided by an individual(s) who performs professional, personal, consulting and social services. All requisitions submitted for such services must be accompanied by an official Lincoln University Contract and Letter of Certification and must be signed by the President. A valid purchase order must be in effect prior to services being performed
1. **Contract Form.** The contract form must have signatures of both the requestor and the contractor and will be reviewed and approved for completeness and conformity by the University Counsel and the Vice President for Administration and Finance. **Note:** The only University agents authorized to execute contracts for services are the President of the University, for contracts less than \$50,000.00 and the President of the Board of Curators, when the contract exceeds \$50,000.00.
 2. **Procedures for Completing the Contract Form.** The following information must be included on the contract form:
 - a. Date of the contract;
 - b. Contract period;
 - c. Contractor's name and billing address;
 - d. Definition of the services to be provided;
 - e. Maximum fee and payment schedule;
 - f. The contractor's Federal Tax Payer Identification Number/Social Security Number;
 - g. Terms of the contract.

3. **Initiating a Requisition for Contract Services.** An online requisition must be submitted with the Letter of Certification and the Lincoln University Contract.
 - a. The requisition must be approved by the necessary coordinators for the specified funding source.
 - b. After a requisition is completed, the initiator must note the requisition number on the contract and letter of certification and forward them to the Office of the Vice President of Administration and Finance. The Vice President will review the packet and obtain signatures from the University Counsel. The Vice President for Administration and Finance will sign and forward the contract packet to the President with his/her recommendation for approval. If the contract exceeds \$50,000.00, the President will obtain approval of the Board of Curators.
 - c. After all approvals and signatures have been obtained, the contract packet will be returned to the Vice President for Administration and Finance to be assigned a Contract Number, and a copy of the packet will be forwarded to the Purchasing Department for processing. The Purchasing Department obtains a purchase order number and route a copy of the Contract and Letter of Certification to the contractor authorizing him/her to proceed with work. The original contract will then be forwarded to Accounts Payable for use as payment documentation.
4. **Contract Evaluation Form.** No later than ten (10) working days after completion of the terms of the contract, the designated contract monitor must evaluate the work performed by the contractor and file a completed Contractor Evaluation Form (See Chapter 10).
5. **Payment to the Contractor.** Standard accounting procedures and invoice processing will be followed. An invoice is the only acceptable method of documentation for companies and businesses. A time sheet must be used for individuals if they do not have invoicing systems. The time sheet must be completed if a check is issued prior to the completion of the contract.
 - a. **Time Sheets.** When necessary and applicable, and in accordance with the terms of the contract, a properly completed Contractor Time Sheet may be completed and submitted in lieu of invoices from an individual contractor. Payment will not be issued until this form has been completed and attached to each request for payment. **Note:** The contractor must also include the purchase order number on the time sheet or invoice.
 - b. **Approval of Invoices.** The contract monitor is responsible for approving invoices submitted by the contractor prior to the invoices being submitted to Accounts Payable for payment.

6. **Violations.** Ample time must be allowed for the completion of the entire contract process. Employees who allow services to be performed prior to the issuance of a purchase order are in violation of the University Purchasing Policy and they may be held personally responsible for any costs or invoices submitted for payment.

Instructions for Completion:

The contract form is completed in accordance to the following instructions. Departments must not use a different form unless prior approval from the University Counsel is obtained in writing. Then it is signed by both the requestor and the contractor. The signed contract and accompanying Letter of Certification are forwarded to the Vice President for Administration and Finance where they are reviewed and submitted to the University Counsel. Once their reviews are complete, it is forwarded to the University President for signature. The original copy is retained by the Vice President of Administration and Finance and a copy is sent to the Purchasing Department for purchase order processing. A manual requisition must be completed and submitted with the Contract and Letter of Certification.

- 1) **Date:** enter the date of the contract.
- 2) **Contractor Name:** enter the contractor's name.
- 3) **Contractor Address:** enter the contractor's billing address.
- 4) **Service:** describe the services that will be provided.
- 5) **Fee:** enter the maximum contracted fee.
- 6) **Payment Schedule:** enter the payment schedule.
- 7) **Federal Tax Identification Number:** enter the contractor's federal tax identification number or social security number whichever is applicable.
- 8) **Contract Period:** enter the beginning and ending dates of the contract.
- 9) **Signatures:** enter the required signatures. Note: the requestor and contractor must sign the contract form before it is submitted to the Vice President of Administration and Finance.

CONTRACT

Be it known, that on this day 1, 19__, Curators of Lincoln University, hereafter sometimes referred to as the University and 2, whose address is 3, hereafter sometimes referred to as Contractor, do hereby enter into contract under the following terms and conditions:

1. Contractor hereby agrees to furnish the following services: 4

2. In consideration of the services described above, the University agrees to pay to Contractor a maximum fee of \$ 5. Payment will be made only on approval by the University President. If progress and/or completion of the reasonable satisfaction of the University is obtained, payments are scheduled as follows: 6

3. This contract may be terminated by the University upon ten (10) working days written notice.

4. Upon completion of this contract, or if terminated earlier, all records, worksheets or any other materials related to this contract shall become the property of the University.

5. Contractor hereby agrees that the responsibility for payment of taxes from the funds received under this agreement shall be said Contractor's obligation identified under Federal Tax Identification Number 7.

6. Travel expenses, when applicable, shall be reimbursed according to the Lincoln University Travel and Travel Reimbursement Policy as published in Lincoln University Rules and Regulations 12.30 and 12.31.

7. Contractor shall not assign any interest in this contract and shall not transfer any interest in same (whether by assignment or novation), without prior written consent of the University, provided, however, that claims for money due or to become due to the Contractor from the University may be assigned to a bank, trust company or other financial institution without such prior written consent. Written notice of any such assignment or transfer shall be furnished promptly to the University.

8. It is hereby agreed that any accounts of Contractor which relate to this contract may be audited as deemed appropriate by the University. 9.

This contract shall begin: Date: 8 Time: and shall terminate: Date: Time:

10. Contractor agrees to abide by the requirements of the following as applicable: Title VI and VII of the Civil Rights Act of 1964, as amended by the Equal Opportunity Act of 1972, Federal Executive Order 11246, the Federal Rehabilitation Act of 1973, as amended, the Viet Nam Era Veteran's Readjustment Assistance Act of 1974, Title IX of the Education Amendments of 1972, the Age Act of 1972, and Contractor agrees to abide by the requirements of the Americans with Disabilities Act of 1990.

11. Any act of discrimination committed by Contractor, or failure to comply with these statutory obligations when applicable, shall be grounds for termination of this contract.

12. Contracts prepared for a dollar amount which exceeds \$50,000 shall require the approval of the Lincoln University Board of Curators. NO CONTRACT SHALL BE VALID UNTIL ALL APPROPRIATE APPROVALS HAVE BEEN OBTAINED.

Thus done and signed at Jefferson City, Missouri on the day, month and year first written above. 9

Requestor Date Vice President, Administration and Finance Date President Date President, Board of Curators Date Contractor Date

Chapter 10

Lincoln University

Contract Evaluation Form

Purpose:

The Contract Evaluation Form is used to evaluate the contractor's abilities and quality of service. The form is completed by the designated contract monitor and must be submitted no later than ten (10) working days after the completion of the contract. The form must be completed before final payment may be provided to the contractor.

No later than ten (10) working days after completion of the terms of the contract, the designated contract monitor must evaluate the work performed by the contractor and file a completed Contractor Evaluation Form filed with the Vice President for Administration and Finance. This document is will be used to ensure accountability and to provide a means to evaluate requests for subsequent contracts with the same contractor. **Note:** Final payment will be coordinated between the Accounts Payable Department and the Office of Administration and Finance. However, the payment will not be approved until the evaluation form is completed and on file.

Instructions for Completion:

Completion of the form is self-explanatory. The evaluation form is filed with the Vice President of Administration and Finance and final payment is coordinated between that office and the Accounts Payable Department.

**LINCOLN UNIVERSITY
CONTRACT EVALUATION FORM**

CONTRACT # _____

PO # _____

Beginning and Ending Dates of Contract:

From: ___/___/___ To: ___/___/___

Name of Contractor: _____

Date of Evaluation: _____

PLEASE USE THE RATING CODE BELOW TO APPRAISE THE CONTRACTOR.

RATING CODE

SCALE

- | | |
|---|---------------------------------------|
| 4 | Above Average (Noticeably Competent) |
| 3 | Average (Satisfactory) |
| 2 | Marginal (Fair) |
| 1 | Below Average (Clearly Poor) |
| 0 | Unsatisfactory (Would Not Hire Again) |

RATING

PERSONAL ATTRIBUTES

_____	Appearance
_____	Attendance
_____	Initiative
_____	Dependability
_____	Professionalism

BASIC TECHNICAL SKILLS

_____	Ability to analyze problems
_____	Achieved work objectives
_____	Management of time
_____	Written communication
_____	Oral communications

OVERALL PERFORMANCE

_____	Accuracy, reliability of work
_____	Deliverable products (were they usable, delivered on time)

(Please note additional comments on separate page)

Evaluator

Date

Approved By

Date

MUST BE ATTACHED TO FINAL INVOICE OR REQUEST FOR FINAL PAYMENT

Chapter 11

Lincoln University

Professional, Personal, Consulting and Social Services

Time Sheet

Purpose:

A time sheet is completed by an individual contractor in lieu of an invoice. It is used to properly document the amount of the contractor's time spent in accordance with the terms of a Lincoln University contract. Payment will not be issued to the vendor until the time sheet is completed and submitted with each request for payment. This form should not be used for companies and businesses.

Instructions for Completion:

The form is completed by the contractor. It is self-explanatory; however the contractor must ensure he/she has included the purchase order number on the form. The time sheet accompanies the contractor's request for payment.

**LINCOLN UNIVERSITY
PROFESSIONAL, PERSONAL, CONSULTING AND SOCIAL SERVICES
TIME SHEET**

CONTRACT _____

PO _____

Vendor Name: _____

Date(s) of Service: _____

Time Period of Services: _____

I hereby certify that services were rendered by me on the date(s) and the time period as specified above.

Contractor

Date

TIN/Social Security

University Coordinator

Date

This form must be submitted to Accounts Payable upon completion of contractual services and prior to final payment.

Appendix

Requisition Instructions

Requisitions

Requisitions offer a means for departments to enter purchasing requests directly into Colleague. These documents can be created with only partial information, and later completed by purchasing office staff. Requisitions are subject to approvals, and then automatically pulled into purchase orders. Please allow 2 - 3 working days after the requisitions is marked as "approved" for the purchasing staff to complete your purchase order.

When it is determined that goods or services are to be purchased, the on-line **requisition** form should be completed. The requisitioning process is made up of two steps: checking for available budget and entering the requisition. The following are the screens that will be used to accomplish these two steps.

ACBL - GL Account Balance Inquiry is used to check available budget

REQM - Requisition Maintenance is general information applicable to the entire order (You fill in the information).

RQIL - Requisition Item List is a summary screen listing all items on the requisition (This is an auto-fill screen, you do not enter anything on this screen).

RQIM - Requisition Item Maintenance is where one (1) item description is placed, as well as the general ledger account number to which this item is to be charged to.

Lincoln University requires online approval of requisitions. Online approvals are defined by general ledger account structure and by individual authority within the institution.

Creating Requisitions

Step A - REQM (Requisition Maintenance)

Lookup bar

1. At the **lookup bar**, enter "A" to add a requisition or enter a lookup search string to review a pending requisition (See requisition lookup shortcuts). Colleague will assign your requisition a number automatically.
2. **Requisition Date:** Date requisition is added to the system, defaults to the current date.
3. **Initiator:** Enter your user ID.
4. **Desired Date:** The date materials are needed (Optional).
5. **Maintenance Date:** Indicates the last date on which this requisition affected the general ledger. Cannot be entered when you are creating a requisition (Skip this field).

6. **Vendor ID:**

- ♦ If you know the Vendor number, type this number into the Vendor ID field. The name, address, city, state, and zip code fields will automatically populate.
- ♦ If you do not know the Vendor number, you may look up the Vendor using the Vendor Lookup Shortcuts. Enter these shortcuts into the Vendor ID field. You will get a resolution screen. From this, choose the vendor you wish to use. This will automatically populate the name, address, city, state, and zip code fields. If the vendor you wish to use cannot be found, go to the next option below.
- ♦ If you would like to use a vendor that is not already assigned a vendor number and listed in Colleague, type the vendor name, address, city, state, and zip code in the appropriate fields provided. The purchasing office will add them to the approved vendor list or contact the department to determine another possible vendor.

7. **Currency:** Skip this field.

8. **Ship To:** Always verify Ship To Code. Type "..." to pull up list of codes. Default is set to Shipping and Receiving Main Campus.

9. **Ship Via:** (Optional Field) Type "..." to pull up the list of codes.

10. **Terms:** Skip this field.

11. **F.O.B.:** Skip this field.

12. **Commodities:** Skip this field.

13. **Approvals:** Skip this field as it is the next to the last step to finish the requisition. *See important note at step 40. Approvals should be put in last, if you put in approvers prior to completing the requisition, the requisition will be sent to their approvals box even if you are not finished.*

14. **Buyer:** Skip this field.

15. **Expiration Date:** Skip this field.

16. **AP Type: This is a Required Field.** Use AP Type of "A" - Vouchers Payable.

17. **Inventory Store:** Skip this field.

18. **Line Items:** Detail (F2) to get to **RQIL** screen.

Step B - RQIL (Requisition Item List)

Requisition: _____ Status: _____ Status Date: _____
Vendor.....: _____

	Description	Quantity	Estimated Price	Extended Price	Tax
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					

Taxes	Amounts	Item Total	0.00
1		Tax Total	0.00
2		Req Total	0.00

Controller Description: _____ No Values

This is a summary screen listing all items on the requisition. **This is an auto-fill screen.** You do not enter any information on this screen.

Detail (F2) on the shaded box beside the Description line 1 on the **(RQIL)** screen to access the Requisition Item Maintenance **(RQIM)** screen.

Step C – RQIM (Requisition Item Maintenance)

The screenshot shows the 'REQM-Requsition Maintenance' window. At the top, there are tabs for 'REQM-Requsition Maintenance', 'RQIL-Requsition Item List', and 'RQIM-Requsition Item Maintenance'. Below the tabs is a blue header with 'Requisition:', 'Status:', and 'Status Date:'. The main area contains various input fields: 'Vendor Name' (with a dropdown), 'Commodity', 'Stock No', 'Description' (with two lines and arrows), 'Est Price', 'Quantity', 'Unit of Issue', 'Trade Disc Amt', 'Trade Disc Pct', 'Extended Price', 'Work Order/Type' (dropdown), 'Tax Codes' (with a dropdown), 'GL Account No', 'Percent', 'Quantity', 'GL Amt', 'Proj ID', 'Desired Date' (calendar icon), 'Fixed Asset' (dropdown), 'Vendor Part', 'Form/Box/Loc' (dropdown), and 'Comments' (with a dropdown). At the bottom, there is a 'Controller Description' field with the text 'No Values'. The Windows taskbar at the bottom shows the Start button, several open applications (Inbox, Microsoft Office, Datatel, Manual), and the system clock showing 8:35 AM.

19. **Commodity:** Skip this field.
20. **Stock No.:** Skip this field.
21. **Description:** Use this field to enter a description of the item being ordered. Only one (1) item can be entered per RQIM screen. Description line 2 is for extended descriptions that will not fit on first line.

Please see insert for recommended descriptions for supply orders, travel reimbursements, registrations, lodging, etc. By using the recommended descriptions, your requisition will be processed faster.

If you intend for your requisition to be turned into a Blanket Purchase Order, type “BPO” or “Blanket Purchase Order” in the first line of the description. Use the remaining lines to describe the purpose of the Blanket Purchase Order.

If you have attachments that need to go with the requisition you are entering, please fax those attachments to the Purchasing Department with the Requisition number written on the top. Purchasing will then provide this information to Accounts Payable.

22. **Est. Price:** Price of item.

23. **Quantity:** Number of items to order.
24. **Unit of Issue:** Type "... " in this field to bring up the list. Indicate whether the item is sold in pairs, boxes, cartons, etc.
25. **Trade Discount:** Skip this field.
26. **Trade Discounts Pct.:** Skip this field.
27. **Extended Price:** Calculated field.
28. **Work Order/Type:** Skip this field.
29. **Tax Codes:** Skip this field.
30. **GL Account:** Type in GL account number to charge or enter "... " department # "... " to pull up your authorized general ledger accounts. Select the proper GL account number to charge the item to.

DO NOT USE ACCOUNTS LABELED "UMBRELLA". These requisitions will never be processed as a purchase order.

NOTE: Equipment purchases must be \$1000 or greater to use the object codes beginning in 63. If the item is less than \$1000 please use object codes beginning in 66.

NOTE: If your requisition relates to a project or grant, you will be prompted to select the project or grant to charge the expense to. This project number will then appear in the Proj ID field.

NOTE: A shortcut for multiple items requisitions: If you want to charge item 2, for example, to the same general ledger account number as item 1, insert the @ symbol in the "GL Account No" field. The @ symbol always brings up the last entry in that field.

31. **Percent/Quantity/GL Amt:** Defaults to 100%. If a line item is to be distributed to multiple GL account numbers, fill in appropriate amount in percent, quantity, or GL amount field for each line.
32. **Desired Date:** To specify delivery date for this item only (Optional Field).
33. **Fixed Asset:** Skip this field.
34. **Vendor Part:** Skip this field
35. **Form/Box/Loc:** Skip this field.
36. **Comments:** Skip this field. Put comments on the REQM screen (see number 38 below).

If this is the only item you wish to order, do "F9". This will bring you to the RQIL screen, showing the summary of the items ordered.

If more than one item is ordered, do "F10" to bring back a blank screen for the next item. Do this for each item to be ordered. After all items have been entered, do "F9". This will bring back the RQIL screen, showing the summary of items ordered.

Do "F9" again to bring back the "REQM" screen. Line item on the "REQM" screen will have the number of items ordered.

37. **Printed Comments:** Skip this field. Put comments on the Comments field (see number 38 below). This field will be used by the Purchasing Department.

38. **Comments:** Below are items to put in the Comments Field.

- ♦ Deliver to information (name, campus phone #, campus address)
- ♦ Information regarding the item being purchased.
- ♦ Special order specifications
- ♦ Notes to Purchasing (i.e. "...item has already been received. Please do not reorder")
- ♦ Notes about attachments (fax attachments to Purchasing with requisition number on the top).

39. **Priority:** Skip this field.

40. **Approvals:** You must enter the next approver prior to marking the requisition as done. To enter the next approver, detail (F2) in the Approvals field. In the Next Approvals section enter the login ID of the person who would next approve the document, or use the lookup (...) to search for approvers. You must enter a valid approver. If no approver is entered, the requisition will not get approved and will not be turned into a purchase order. Entering an approver sends the document to the approvers APRN screen so that the next approver will be notified of requisitions pending their approval.

If your requisition is related to any of the following purchases, use the appropriate login ID in the Next Approver field as stated below. This is in addition to the approval login ID set up for each department. Your requisition will not be processed into a purchase order if this step is not completed.

<u>Item Purchased</u>	<u>Login Code</u>
Computer Equipment, Software, and Supplies	HECK... or MCHE...
Airline Travel/Common Carrier	ROES...
Capital or Building Improvements	GASS...
Sponsored Grants and Contracts (with the exception of federal appropriations)	BUFO... and JAMI...

41. **Requisition Done: YOU MUST ENTER APPROVALS BEFORE YOU MARK THIS FIELD "Y" FOR DONE. THIS FIELD MUST BE MARKED "Y" BEFORE REQUISITION CAN BE PROCESSED INTO A PURCHASE ORDER.**

IMPORTANT: MAKING CHANGES TO A REQUISITION

Requisitions cannot be changed once they are referenced as a Purchase Order (Requisition Status P).

If a requisition has already been approved, the approvals MUST be deleted prior to making any changes to the line item(s) and requisition must be re-approved.

The requisition status is displayed on the screen header. Requisition Statuses are as follows:

1. **Requisition Status U** - Unfinished. A need is determined and an on-line requisition has been initiated but not marked as finished.
2. **Requisition Status N** - Not Approved. A finished requisition that is waiting approval.
3. **Requisition Status O** - Outstanding. A finished and approved requisition. Purchasing processes the outstanding requisition into a purchase order and sends it to the vendor.
4. **Requisition Status P** – A purchase order has been created.

Section Review

Unfinished requisition must have a date, an initiator and at least one line item with a description, price, AP type, and GL account number.

Finished requisitions must have approvals and the “Requisition Done” field must = Y.

When entering multiple line items use @ to pull up the last GL number used.

A line item can be distributed to multiple GL account numbers.

Requisitions cannot be maintained (changed) once they are referenced on a Purchase Order (requisition status = P), unless the purchase order is voided.

Requisition Lookup Shortcuts

- ♦ To search by vendor ID# ;V 786
- ♦ To search by Vendors Complete Name Corporate Express
- ♦ To search by initiator's name ;IN John Smith
- ♦ To search all Outstanding requisitions ;S O
- ♦ To search by requisition date ;DA 07/15/02
- ♦ To bring up last requisition @

Vendor Lookup Shortcuts

- ♦ To select a vendor by Vendor ID# 786
- ♦ To search by Vendors Complete Name DATA COMM
- ♦ To search by part of vendor's name (min of 2 letters) DA
- ♦ To search by person's name JOE SMITH or SMITH, JOE

RINQ: Requisition Inquiry

- ♦ Determine the status of your requisition
- ♦ Determine the PO or BPO number

PINQ: Purchase Order Inquiry and BINQ: Blanket Purchase Order Inquiry

- ♦ Determine the status of your PO or BPO
- ♦ Determine if vouchers have been created and payments made