

STANDARD OPERATING PROCEDURE:

9.0 RECORDS MAINTENANCE

This procedure is in accordance with Procurement and Payment Policy [20.1.11](#).

Introduction

UPS recognizes the significance of optimal records management, and strives to ensure that any procurement-related record management policy complies with federal, state, and other regulatory guidelines and is compliant with Rutgers' policy 30.4.5 Records Management which can be found in the Rutgers University [Policy Library](#).

These guidelines include:

- Retaining records according to established Records Retention Schedules
- Maintaining active and inactive records in appropriate storage equipment and locations
- Preserving records of historical significance
- Protecting sensitive information using secure methods of recordkeeping and disposal
- Identifying and protecting vital records
- Discarding records that are no longer required

Procedure Outline

- 9.1 Record Retention
- 9.2 Open Public Records Act
- 9.3 Audits
- 9.4 Special Reports

Definitions

Standard Operational Procedure (SOP): A set of instructions that functionally describes the key procedures.

Procedures

9.1 Record Retention

Records, regardless of the format in which they are created, must be retained for a designated period of time and may only be disposed of in accordance with the approved retention and disposition schedule. This schedule depends on the administrative department. UPS retains records for seven years. If international standards apply, records are retained for ten years. This guideline also applies to any procurement-related documents that units may have.

UPS records are stored at the following location:

[Rutgers University Records Management](#)

Business and Administrative Service
7 Kilmer Road, Edison, NJ
Livingston Campus

Federally funded awards may have longer retention records, depending on the purchase. UPS (and the unit if applicable) must contact the [Office of Research and Sponsored Programs](#) for those requirements.

UPS, where applicable, maintains records sufficient to detail the history of procurements. Units should retain similar documentation, where appropriate.

These records include, but are not necessarily limited to the following:

- Rationale for the method of procurement
- Selection of contract type
- Contractor selection or rejection
- Basis for the contract price

9.1.1 Document Destruction

As per the university policy, records can be legally destroyed at the end of their active lives if there are no audit, legal, fiscal, regulatory or historical reasons for the preservation of the records.

Confidential records within UPS are destroyed via any of the following formats:

- Pulping
- Shredding
- Incineration
- Electronic deletion

9.2 Open Public Records Act (OPRA)

UPS complies with the State of New Jersey Statue N.J.S.A 47:1A-1, to uphold transparent practices. To access documents within UPS, an OPRA request should be completed by visiting the [Rutgers University Open Public Records Request Center](#).

When UPS receives a request for documents from the department of Ethics and Compliance for an Open Public Records Request:

- 1) The Chief Procurement Officer (CPO) and/or the Director of Strategic Sourcing assigns a confidential aide to research and retrieve all pertinent documents per the written OPRA request.

- 2) Only the information that is requested on the OPRA will be extracted, compiled and provided.
- 3) The Office of Ethics and Compliance retrieves and reviews the documents to ensure the information provided is accurate. If additional information is needed and/or any question regarding the transmittal arise, the office of Ethics and Compliance contacts the confidential aide.

9.3 Audits

UPS and the units may be subject to internal and external audits to review documentation related to the procurement transactions, including but not limited to solicitation documents, Waiver of Bid justifications, and contracts to ensure compliance with federal policies and university policies. UPS has assigned appropriate personnel to ensure that records are in accordance with federal, state and university requirements.

If an audit is required or enacted, the Chief Procurement Officer (CPO) and/or the Director of Strategic Sourcing will be advised.

The CPO and/or the Director will delegate personnel to compile the appropriate information for the auditors and/or give the role of "Auditor" to the auditors in RU Marketplace.

9.4 Special Reports

Professional Services Providers

UPS must provide a report of any Professional Service Provider, with an annual spend of \$150,000 or greater, to the Board of Governors of Rutgers, The State University of New Jersey. The report is presented at the Audit Committee of the Board of Governors meeting during the first part of the new calendar year, typically in January.

The Chief Procurement Officer (CPO) and/or the Director of Strategic Sourcing compile the list of these providers during the course of each calendar year and submit to Audit and Advisory Services at the end of the year, in December, in preparation for the January meeting.

References

Revisions

Effective Date	Approver	Change Reference	Issue #
06/2023	M. Gower		3

