

*Approved by Director: Dr. Guy Vallaro***A. PURPOSE:**

To procure such items and services as needed by the Division of Scientific Services to meet and support the normal operating requirements of the laboratory system.

**B. RESPONSIBILITY:**

Individual Unit personnel initiate the purchase process for items required in their unit, under the overall guidance of the unit supervisory personnel. The administrative staff performs processing of purchasing paperwork. It is the responsibility of the individual unit to ensure that the purchasing coordinator is provided with the correct information for the specific item needed.

The Quality Section is responsible to ensure that the appropriate personnel (scientific and/or administrative) have a list of approved vendors from which the purchase of critical items can be made.

Deputy and Assistant Directors are responsible to ensure that purchasing paperwork is correctly completed and forwarded to the appropriate channels.

Laboratory Administrative Manager is responsible to oversee the purchasing and grant application process for the laboratory.

All employees: Are responsible to utilize the proper channels to request needed materials and to use approved vendors for the purchase of all critical items. Additionally they are responsible to properly document the receipt of supplies received.

Any employee involved in the purchasing of critical materials (instruments, reagents, other) is responsible to use an approved vendor or to take action to obtain approval for a new vendor.

**C. DEFINITIONS:**

**Purchasing Coordinator:** anyone (however titled) assigned to the task of preparing DPS-33 documents for purchasing and to the task of tracking the orders. The Purchasing Coordinator also fills out CO-17 forms (Vendor Invoice for Goods or Services) and other similar forms. This is usually an office assistant, secretary or administrative assistant.

**Critical items:** any item that will affect the quality of testing performed.

**Approved vendors:** vendors of supplies or services whom are either:

ISO 17025 or equivalent certified or

Have completed a laboratory survey to demonstrate their ability to provide products or services that meet the requirements of the laboratory.

**Service:** this can be a repair of an instrument or a verification/validation of equipment such as balances or hoods that will demonstrate that they are in proper working condition.

**D. PROCEDURE:**

1. In general; an individual will identify the need to purchase an item or service, and will communicate this to the Unit Lead or their designee.
  - a. Items for Purchase:
    - i. A request of items will be created with exact specifications that are deemed critical, the quantities requested, and the approved vendor from which the purchase should be made. This list is provided to the purchasing coordinator. Top Management, based on the urgency of the request, availability of funding, and the cost of the needed item will determine the specific purchasing protocol. The order may then be placed either by the purchasing coordinator or the unit designee.
  - b. Services for Purchase:
    - i. When the need for service is identified, the unit lead or a member of the Quality Section will inform management and then contact the approved vendor and arrange for the service. Arrangement for payment will be made as in section 3 below.
2. Approved Vendors:
  - a. Administration will maintain a list of approved vendors. This list may also be maintained in Qualtrax through a workflow. Vendors on this list can be used for the purchase of critical items and services. If a product or service is required that is not provided by a vendor on the list, the individual requesting the item must work with the administrative staff (designee) to gain such approval prior to purchasing the item.
  - b. Vendors are considered automatically approved if they are ISO 17025 accredited or similar (i.e. ISO Guide 34) and the scope of their accreditation meets the needs of the laboratory (i.e. a vendor that is accredited to calibrate DOT road scales may not be accredited to calibrate analytical scales).
    - i. If a vendor is not on the approved vendor list it must first be determined if they can supply the item or service needed to the specifications required. If not automatically approved by their scope of accreditation (as stated in 2.b), the vendor will be supplied with a questionnaire (See GL-6:1). Upon satisfactory review of the completed questionnaire, the vendor can be added to the approved vendor list by a Deputy Director, Assistant Director, member of the Quality Section, or the Director.

ii. Documentation of approval is maintained with the approved vendor list.

3. Purchasing Methods:

- a. In general, supplies can be obtained through purchase orders, ePro requisitions, blanket purchase orders, use of a purchasing card (state credit card) or through the DESPP quartermaster. Funding sources are not limited to general funds or reimbursable funds such as grants.
- i. **Purchase orders:** obtained by submitting a request through an ePro requisition. This request is forwarded for approval through administration to headquarters and the Department of Administrative Services (if the request involves an IT related item).
- ii. **ePro Requisition:** electronic submission of purchasing requests. Allows tracking of status of the request and payment issued. Also allows tracking of purchase orders issued and status of the approval status of requisitions.
- iii. **Blanket Purchase orders:** obtained as above. These are PO's set up for vendors that may be used repeatedly throughout the year. These PO's set aside funds that are anticipated to be used with the vendor throughout the fiscal year.
- iv. **Purchasing Cards:** specific employees have purchasing cards assigned to them. When an item is needed, usually on an emergency basis, the purchasing card can be used to facilitate the purchase. Specific guidelines are set forth by the State of Connecticut for the use of these cards. The DESPP Purchasing Department is responsible to explain the proper use of the card. It is the responsibility of the cardholder to comply with those regulations.
- b. Purchasing Critical Items:
- i. Unit designees will give the request (i.e. email or written) of needed materials to the Unit Lead or their designee. The Unit designee may maintain a copy of the list for their records until the required items are received. The request should include (for critical items), the vendor/manufacturer name, item name/description, catalogue number, quantity and price (if available). The request should include the Unit that this is going to and if it involves equipment. If the order is for an accessory for a currently owned item, the CT tag number should be supplied.
- ii. The Section Deputy Director, Assistant Director or other designee will review the request and approve/deny the purchase and determine the proper method of purchasing (PO or P-Card).
- iii. Once approved and the payment method determined, the order is given to the purchasing coordinator to complete the order.

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- (a) If a PO is required an ePro Requisition will be completed by the purchasing coordinator and forwarded to headquarters purchasing for a PO number.
- (b) If a P-card or blanket PO is used, the purchase coordinator or designee can communicate with the company to complete the purchase.
- c. When the laboratory receives the items, it is the responsibility of the unit designee to ensure that the items received are of the quality requested. Concentration, volume and any other critical detail of the purchased item (which can affect testing) will be included in the verification. If the unit designee finds something received that was not intended, he/she will alert the technical lead of the unit. (Example: if a grade A serological pipette is ordered ensure that what is received is a grade A serological pipette.)
  - i. To indicate that the item is acceptable, an appropriate notation is made next to the item designation on the packing slip, and the packing slip is signed and dated to indicate items received. The appropriate notation can be a check mark next to the item or other similar mark or notation.
  - ii. Return the checked, signed and dated packing slip to the purchasing coordinator for filing.
  - iii. All chemicals/reagents should be marked with the date received.
  - iv. Items as required by DESPP purchasing may need a CT DESPP bar code label for asset inventory purposes. An asset inventory audit of all tracked items takes place in conjunction with the Asset Control Section of DESPP, as designated by the Department.
    - (a) Items that do not have an asset control tag, but are involved in the analytical case results will be uniquely identified by individual the units. This may include items such as repeat pipettes.
- d. When critical items have been verified as acceptable they must be stored in a manner as to not negatively affect their suitability for use.
  - i. Individual units may require specific testing to prove suitability of the purchased items prior to use; this is detailed in unit specific SOPs.
- e. Purchasing Services:
  - i. When the need for service is identified (whether it is an annual check of a specific item or due to the need for a repair) the Unit Lead or Quality Section member will contact management to inform them of the need and to determine the proper payment method.
  - ii. The Unit Lead, Deputy Director, Assistant Director, Quality Section member or their designee will contact the approved vendor and arrange for the service.

- iii. Once the service is performed the vendor contact designee will obtain a receipt for the service performed.
  - (a) For instrument repair - the person requesting the repair will document the repair in the instrument maintenance log or binder for the instrument. The invoice, repair order or other such document provided by the vendor will be signed and dated to indicate the service was performed and then given to the purchasing coordinator, the laboratory unit may maintain a copy for their records.
  - (b) For annual maintenance (hoods, balances, masses, pipettes) the person requesting the service, generally this will be a member of the Quality Section, will document the validation/verification for the item(s). The signed and dated invoice, repair order or other such document provided by the vendor will be forwarded to the purchasing coordinator. A copy may be maintained within the units(s) as documentation of the service. Note when possible, services for annual validations/verifications will be grouped together for efficiency, therefore multiple copies of the service record may be maintained within multiple units.
  - (i) Individual units may require specific performance checks on instruments to determine if the maintenance work completed was suitable for the needs of the unit. Guidance for these performance checks is detailed in unit specific SOPs.
- 4. Purchasing Non-Critical Items:
  - a. Purchasing of non-critical items is done in the same manner as critical items however; the unit designee is not required to verify what is received; this can be performed by the purchasing coordinator or by the person the supply was purchased for.
  - b. Upon receipt of the supplies or materials, all packing slips, annotated as described above, will be forwarded to the purchasing coordinator. If needed, the unit that purchased the item may keep a copy of the packing slip for their records. The purchasing coordinator will maintain a file of the packing slips for a minimum period of five years.
- 5. Shipping
  - a. For laboratory purchases, shipping fees should be included with the total cost represented on the quote from the company.