



## Department of Psychiatry & Biobehavioral Sciences

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| <b>ORGANIZATION:</b> | UCLA, Department of Psychiatry and Biobehavioral Sciences |
| <b>SOP TITLE:</b>    | Purchasing Process                                        |
| <b>SOP VERSION:</b>  | 1.03                                                      |

**SOP Owner:** Director of Finance

**Approved by:** CAO

**Effective Date:** 10/1/26

**Last Reviewed:** 10/1/26

**Next Review:** 9/30/27

### Department Purchasing Process

#### 1. Purpose

The purpose of this Standard Operating Procedure (SOP) is to establish a consistent and documented process for creating, reviewing, approving, and submitting purchases of goods and services within the Department of Psychiatry and Biobehavioral Sciences. The procedures are intended to ensure appropriate authorization, availability, and allowability of funding, segregation of duties, and compliance with UCLA procurement requirements and retention of supporting documentation.

#### 2. Scope

This SOP applies to all Department of Psychiatry and Biobehavioral Sciences employees involved in requesting, reviewing, approving, or processing purchases of goods and services using departmental funds. The following procedures are designed to ensure financial accountability and all purchases must comply with applicable UCLA, UCLA Health, DGSOM, funding-source, and departmental requirements



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### 3. Roles and Responsibilities

| Role                                 | Primary responsibilities                                                                                                                                                          | Control restrictions                                                                                                                              |
|--------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Requestor</b>                     | Defines the business need; provides specifications, business purpose, vendor information, delivery timeline, funding information if known, and supporting documentation.          | May not approve the request or confirm receipt when the requestor also served as buyer, unless an independent documented review is assigned.      |
| <b>Preparer/Buyer</b>                | Reviews completeness; confirms the correct purchasing method; prepares and submits the requisition or approved order; maintains procurement documentation; monitors order status. | May not provide final business approval, approve the buyer's own transaction, or serve as the sole receiver and reconciler for the same purchase. |
| <b>Division Approver</b>             | Confirms the business need, reasonableness, operational priority, and appropriate departmental authorization.                                                                     | Must have appropriate authority and be independent of the requestor for the transaction.                                                          |
| <b>Fund Manager/Finance Reviewer</b> | Validates the FAU, funding availability, allowability,                                                                                                                            | Must not approve a funding determination prepared                                                                                                 |



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|---------------------------|----------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------|
|                           | accounting treatment, sponsor or donor restrictions, and completion of required approvals.                                             | solely for the reviewer's own purchase without an independent approver.                                                       |
| <b>Receiver</b>           | Confirms quantity, condition, and receipt of goods or satisfactory completion of services; reports discrepancies.                      | Should be independent of the buyer when practical and must not confirm receipt without direct knowledge or reliable evidence. |
| <b>Ledger Reconciler</b>  | Reviews posted transactions, credits, encumbrances, coding, and exceptions; follows up on discrepancies and documents resolution.      | Should not be the sole requestor, buyer, receiver, and reconciler for the same transaction.                                   |
| <b>Department Finance</b> | Maintains the control framework; monitors compliance; coordinates access reviews, training, exception tracking, and corrective action. | Monitoring should be performed by someone independent of the transaction under review.                                        |



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### 4. Process Overview

#### Step 1: Request Submission

The employee (Requestor) submits a purchasing request to the Preparer/Buyer for purchase request through the Department's intake method before making any commitment to the vendor.

The request must include, at minimum as applicable:

- Description and quantity of goods or scope of services
- Clear business purpose and justification
- Vendor information (if known)
- Quote or price estimate (if available)
- Requested delivery/service date
- Funding source or FAU (if known)
- Required approvals or justification associated with the proposed purchase
- Any other Supporting documentation required by UCLA procurement policy or the applicable funding source.

Incomplete requests will be returned to the Requestor for additional information before approving or processing.

The Preparer/Buyer, once all information is obtained, will forward the request to the applicable Division approver.

#### Step 2: Division Review

The Division Administrator or Authorized Reviewer evaluates the request to confirm:



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- The purchase has a legitimate University business purpose
- The goods or services are reasonable and appropriate for the stated business need
- Funding appears available and appropriate
- The requested item or service complies with UCLA Health and University procurement policies
- Required supporting documentation has been provided
- Alternative purchasing methods have been considered when appropriate

Following documented Division approval, the request will be submitted to the Finance Reviewer or designated Authorized Reviewer for funding review.

### Step 3: Funding Authorization

The Finance Reviewer or other delegate reviews the request to confirm:

- Appropriate funding source and Correct FAU
- Availability of funds
- Allowability of the expense against the proposed funding source
- Appropriate financial coding
- Completion of required departmental approvals

Requests that do not meet these requirements will be returned to the Requestor and/or Preparer for correction before the purchase proceeds.



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No purchase may proceed until required departmental and financial approvals have been documented.

### Step 4: Order

Only after all required authorization has been obtained, will the Preparer/Buyer or other designated individual review and input all requested information into BruinBuy Plus (or other purchasing methods) for ordering. Employees may not commit University funds, direct a vendor to begin work, place an order, or otherwise create a financial obligation on behalf of the University before required approvals and procurement requirements have been completed.

Please follow UCLA Purchasing guidelines ([Campus Purchasing | Purchasing & Accounts Payable](#)) and BruinBuy Plus procedures ([BruinBuy Plus Hub](#)) accordingly.

### Step 5: Receipt of Goods or Services

The requestor or other appropriate individual will confirm that goods have been received or services have been satisfactorily performed, as applicable. Any discrepancies, damaged or missing goods, incomplete services, or other issues will be reported promptly to the Preparer/Buyer and resolved in accordance with UCLA procedures.

Documentation of receipt or completion will be maintained when required by the applicable procurement process.

All orders will be reviewed by mandatory PAN Reviewer within the two-day requirement.



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### **Step 6: Invoice Review and Payment Support**

Before invoice approval, the Invoice Approver or AP Reviewer confirms that the invoice is supported by the approved purchase and receipt or service-completion evidence. Differences in vendor, price, quantity, scope, tax, payment terms, or accounting must be resolved and documented. Duplicate invoices and invoices for goods or services not received must not be approved.

### **Step 7: Ledger Reconciliation and Closeout**

The Ledger Reconciler reviews posted charges, credits, encumbrances, and coding within the Department's normal reconciliation cycle. Discrepancies, stale encumbrances, duplicate charges, missing credits, and unresolved exceptions are documented and followed through resolution. Purchase records must remain readily retrievable for audit and management review.

## **5. Internal Controls**

To maintain financial accountability, divisions must ensure:

- Segregation of duties between requestor and approver.
- Department authorization must be obtained and documented prior to a requisition being created or University funds are committed.
- Verification of documented business purpose.
- Funding availability and allowability must be verified prior to purchase.



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- Compliance with all relevant UCLA policy and procedures ([Policies & Procedures | Purchasing & Accounts Payable](#))
- Supporting documentation for the departmental review must be retained with the division records. Financial approval through BruinBuy Plus does not replace departmental approval requirements.

### 6. Exceptions and After-the-Fact Purchases

Purchases made or commitments entered into without required prior approval are considered exceptions to this SOP and must not be treated as routine purchasing activity.

Any after-the-fact purchase or other exception must be promptly reported to the applicable Division Administrator and Department Finance. The circumstances and business justification must be documented, and any required corrective or additional approval actions must be completed in accordance with applicable UCLA requirements. Repeated or material exceptions may be escalated to the Director of Finance and/or CAO for review and corrective action.

### 7. Documentation of Department Approval

Prior to requisition creation, the Division Administrator or Authorized Reviewer must provide documented approval. Documentation may consist of:

- Email approval
- Signed Department purchasing request form



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- Electronic signature approval

The BruinBuy Plus Preparer must either:

1. Attach the approval documentation to the requisition, or
2. Maintain the documentation in divisional procurement records for audit purposes.

### 8. Monitoring and Compliance

Department Finance will periodically monitor compliance with this SOP. Monitoring may include review of a sample of purchasing transactions to confirm:

- Documented departmental approval occurred prior to purchase;
- Appropriate business purpose was documented
- Required supporting documentation was retained
- Appropriate funding review occurred
- Segregation of duties was maintained
- Applicable purchasing procedures were followed.

Identified exceptions will be documented and communicated to the applicable Division Administrator. Material, repeated, or unresolved exceptions will be escalated to the Director of Finance and CAO, as appropriate.



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### 9. SOP Review

This SOP will be reviewed at least annually by the Director of Finance and CAO and updated as necessary to reflect changes in departmental operations, UCLA procurement requirements, financial systems, or identified control risks.

Any revisions to the SOP will be communicated to users during the monthly Administrators Work Group (AWG) meeting, with updated documentation included.

All SOPs are available on the Semel/Psych Finance website  
(<https://finance.semel.ucla.edu/#>).