UWI
ST. AUGUSTINE CAMPUS

PROCUREMENT REPORTING AND RECORDS MANAGEMENT

Presented by: The Procurement Unit

PROCUREMENT REPORTING

"A procuring entity shall submit to the Office no later than three weeks after the end of each quarter a report of all contracts awarded".

PPDPPA, Section 37

PROCUREMENT REPORTING

‘Procurement reporting is important as it allows an organization to demonstrate how its procurement activities deliver value for money, contribute to the realization of its broader goals and objectives, and provide a panoramic snapshot of the effectiveness of its procurement strategy’.

Source: https://www.datapine.com/blog/procurement-report

PROCUREMENT REPORTING

Preparation of Procurement Quarterly Reports to be submitted to the CPC

A quarterly report must be prepared for procurement activities.

Interim reporting will be required by the Procurement Executing Arm.

The report must be completed by the Head of the Procurement Executing Arm.

The Report must be submitted to the Procurement Unit for submission to the CPC.

Contents of the Quarterly Report

The report will address the following:

1. Status of ongoing projects for the previous quarter
2. Summary of procurement for quarter under review
3. Awarded procurement contracts for the quarter under review
4. Planned procurement for the next quarter
5. Recommendations to address:
   Variances | How to reduce unfulfilled contracts | How to effect lessons learnt

RECORDS MANAGEMENT

RECORDS MANAGEMENT

‘The procuring entity shall maintain an easily accessible and retrievable individual record for each procurement requirement, which shall be marked with the relevant procurement reference number’.

OPR Guidelines Record Keeping & Maintenance of Procurement Files

RECORDS MANAGEMENT

What is Records Management?

The efficient and systematic control of the creation, receipt, maintenance, use and disposal of all documents, files, invoices etc. relating to the organisation's activities.

WHO IS RESPONSIBLE FOR RECORD KEEPING?

WHO	RESPONSIBILITY
Procurement Unit	Auditing and advice
Faculties or Departments	Filing of all procurement related activities
Deans and Heads of Departments	Management and storage of files
Administrative Assistants/other staff	Physical filing and maintenance

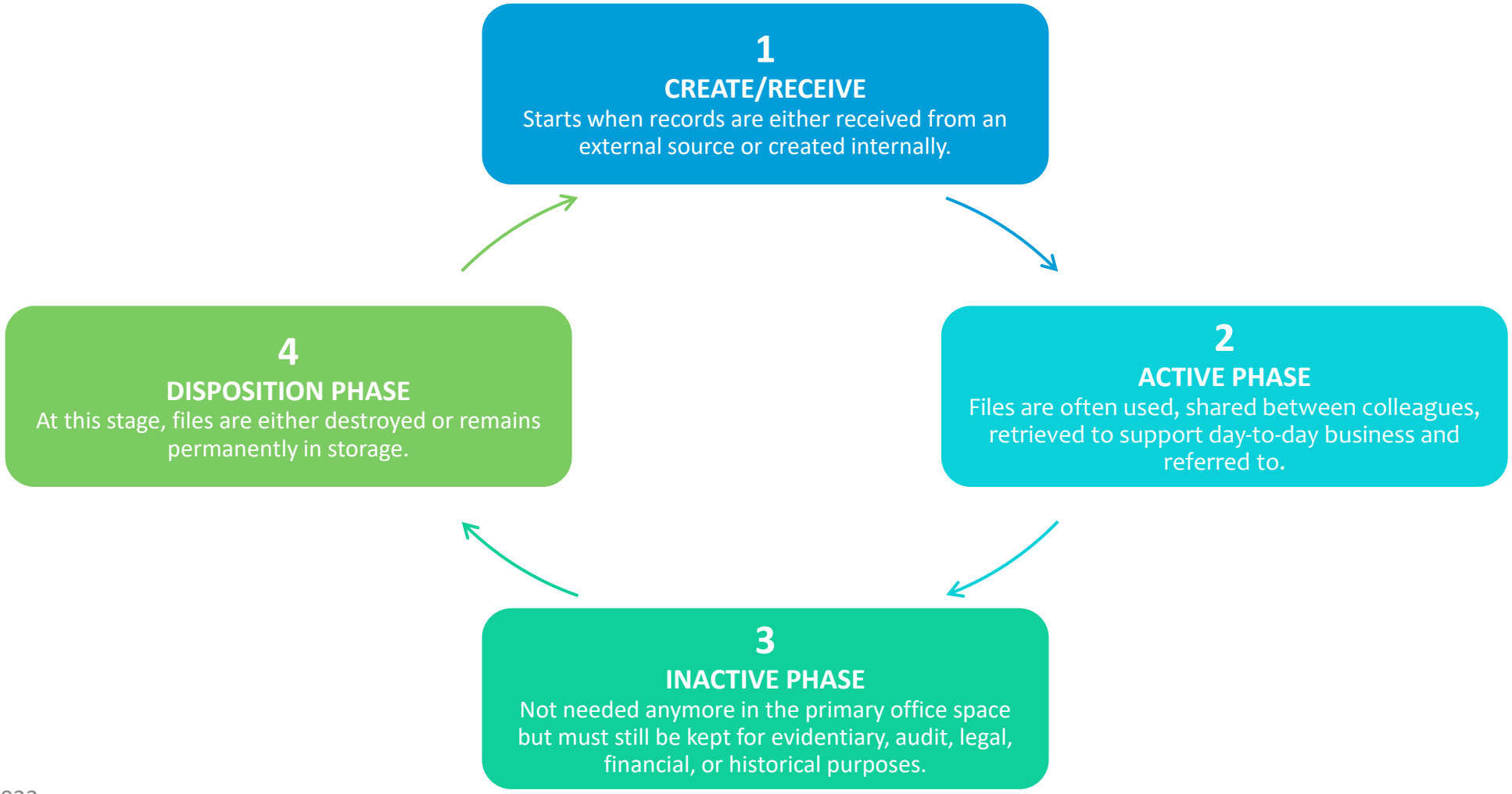
DOCUMENTS AND RECORDS

DOCUMENTS	A document is a content file that has information in a structured or unstructured format. It is an editable file.	These are “live” files currently being used in transactions
RECORDS	Records are historical files that provide “proof of existence.”.	It is either created or received by an organization in connection with business transactions or it can be used for compliance with legal requirements

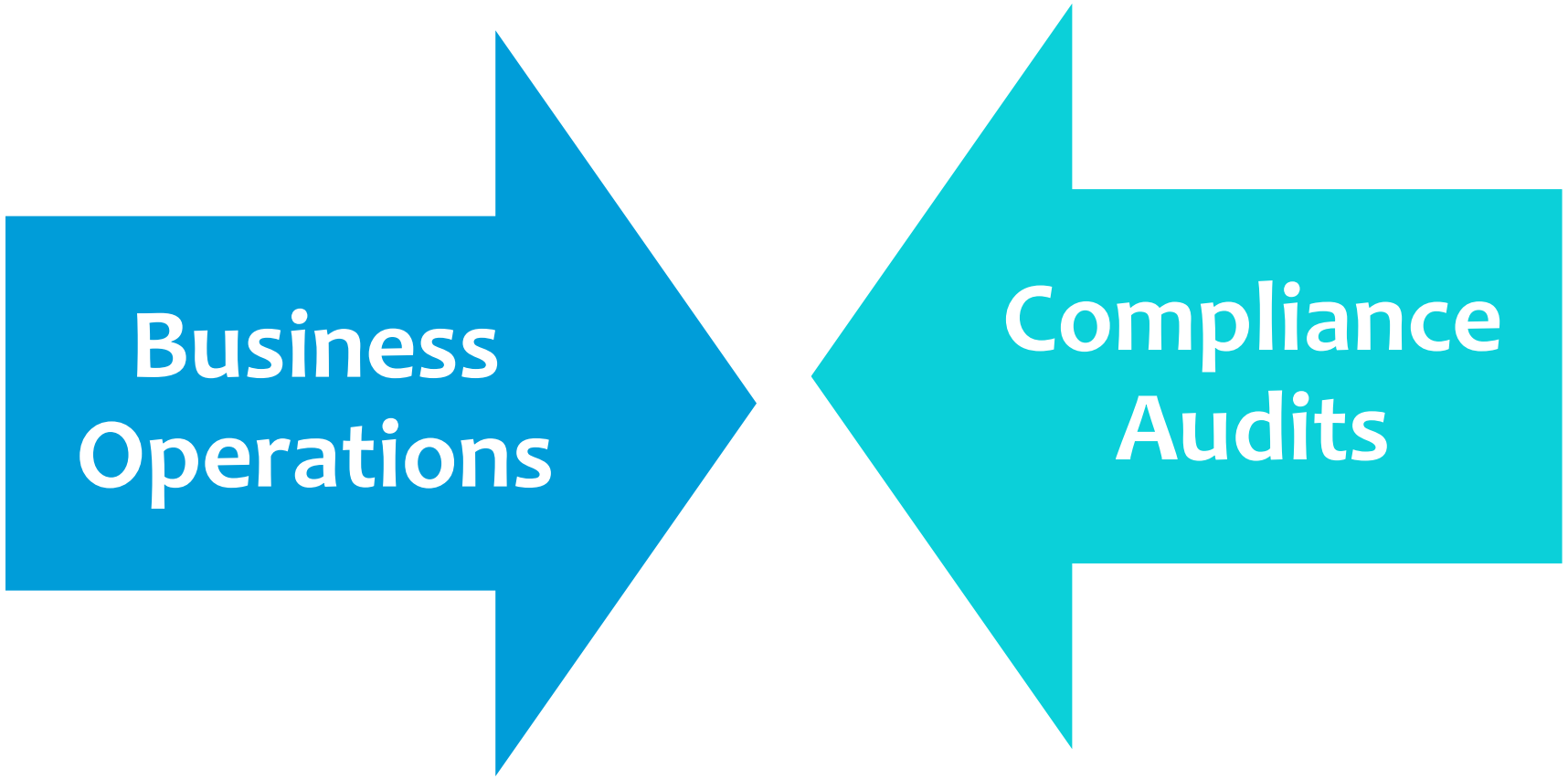
NB: All records are documents but not all documents are records. Many records start out as documents and then become records when they are finalized.

TYPES OF DOCUMENTS AND RECORDS

LIFECYCLE OF RECORDS



IMPORTANCE OF RECORDS MANAGEMENT



STORAGE OF DOCUMENTS AND RECORDS

- Documents and records relating to a specific activity are stored together as files
- A file is an organized collection of records stored in one unit, identified by a filename.
- A file can be stored manually in a folder or box or electronically (e.g. computer/cloud/USB)

PROCUREMENT FILING

To allow for Accountability, Transparency and Integrity, each procurement activity must be supported by a file that documents the procurement process and entails:

- ❑Signatures on key documents,
- ❑Bidding documents,
- ❑Evaluation reports and approvals, with clear justifications for decisions made, thus leaving a clear audit trail of the actions and decisions taken.

SO HOW DO WE TURN THIS

INTO THAT

CREATION OF PROCUREMENT FILES

What procurement records should be conserved?

- All information that can affect the course of proceedings, should be conserved.
- Record management is an important part of contract administration hence, key contract information should always be kept updated in files to provide a comprehensive source of information.

PROCUREMENT FILE CONTENT

According to section 4 of the PPDPP (Record of Proceedings) Regulations; 'where appropriate, the record shall contain the original and copies, of all information, document and communication related to that procurement proceeding, including, but not limited to the following information that is not contained in the proposed procurement plan:

- (a) the document indicating approval to execute the various stages of the procurement
- (b) the complete bidding document
- (c) a description of the object of the procurement;
- (d) a list of each participating supplier or contractor and his qualification
- (e) the reason for limiting participation, where participation is limited
- (f) any request for clarification and the relevant response
- (g) the reason for the cancellation of bids, where the bids are cancelled

PROCUREMENT FILE CONTENT cont'd

- (h) a statement of the reason for choice of the procurement method;
- (i) The tender price
- (j) A summary of the evaluation of submissions, including the reason for the rejection of an abnormally low bid;
- (k) a decision to conduct a procurement without a standstill period and the reason for the decision;
- (l) A decision to suspend the standstill period
- (m) The signed contract
- (n) the decision of the Office pursuant to its review and the reasons for the decision; and
- (o) Such other information required by the Office

RFQ/RFP/ITT FILE FORMAT

MAIN FILE FOLDER – File Number and Name

Stage 1 - PROCUREMENT PLANNING

Stage 2 - INVITING QUOTATIONS AND TENDERS

Stage 3 – EVALUATION AND AWARD

Stage 4 – CONTRACT MANAGEMENT

- File numbers should correspond with the RFQ/RFP/ITT number
- Include working files, (draft or working documents or templates for the actual procurement activity) where possible
- RFQ files do not need to be filed according to stages
- Documents should be filed with the most recent document to the top
- File checklist should be included
- Electronic files must mirror hard copy files

FILE NUMBERING FORMAT

Recommended file numbering format for RFQ/RFP/ITTs.

RFP/dept/001/2020

- File numbers should run consecutively
- File numbers should restart for a new financial year

RFQ/RFP/ITT FILE FORMAT

STAGE 1 PROCUREMENT PLANNING	STAGE 2 INVITING QUOTATIONS AND TENDERS	STAGE 3 EVALUATION AND AWARD	STAGE 4 CONTRACT MANAGEMENT
• Approved Procurement Requisition • Approval to Issue RFP/RFQ • Specifications/Scope of Works • Other documents where necessary	• Final RFQ/RFP/ITT • Clarification questions • Addenda/Bulletins • Registers • Other documents where necessary	• Bid Evaluation Report • Approval to award • Letter of award • Notice to unsuccessful bidders • Negotiation report (if applicable) • Other documents where necessary	• Signed contract • Signed Letter of Award/Acceptance with T&C • Service/Maintenance Agreement • Delivery Notes • Invoices • Progress reports • Performance evaluation report

BINDING AND STORAGE OF FILES

RFP/ITT

- Should be filed individually or per procurement activity
- IXL binders or large 2/3 ring binders should for bulkiness
- Stages should be separated using file separators with tabs
- File minute sheet or checklist should be at the front of the file for easy referencing
- Folders should clearly display RFP/ITT number and name on the front of the folder
- Store hard copy folders in file cabinets or drawers

RFQ

- Binders can be used for bulky files or multiple files
- Hanging file folders can be used for smaller files
- Binders with multiple files should be labelled in accordance with the month(s) it was generated
- Hanging file folders with only one record should be labeled with the RFQ number and name
- Store hard copy folders in file cabinets or drawers

BINDING AND STORAGE OF FILES

CLOSING A FILE

- A file is considered closed when there are no more files to be added to the folder. This can signify the end of the procurement activity or the file is full.
- The date the file was closed should be written on the file checklist.
- If the file is full, a new file should be opened to continue storing records accordingly.
- The date the new file was opened should be recorded on the file checklist.
- Ensure to have all files stored together

RFQ FILE FORMAT

MAIN FILE FOLDER

- All records for the procurement file can be placed in individual manila folders or multiple files stored in binders
- Records would not need to be labeled according to stages
- Records should be placed in file in the order they occurred
- Checklist should be fastened to the file for easy referencing

NB: RFQs above $100k should be filed according to RFP/ITT format

BINDING AND STORAGE OF FILES

‘Procurement records shall be kept for a minimum period of seven (7) years following completion or termination of the contract or cancellation of the procurement proceedings’.

Source: Procurement Regulations, Section 5(3)

FILE STORAGE

- Closed files can be transferred to the Archives and Records Management Department for safe keeping and handling or kept within the User department

- Files should be kept in a dry place and stored in a way to prevent damage

- Files should be stored to allow for easy access or retrieval

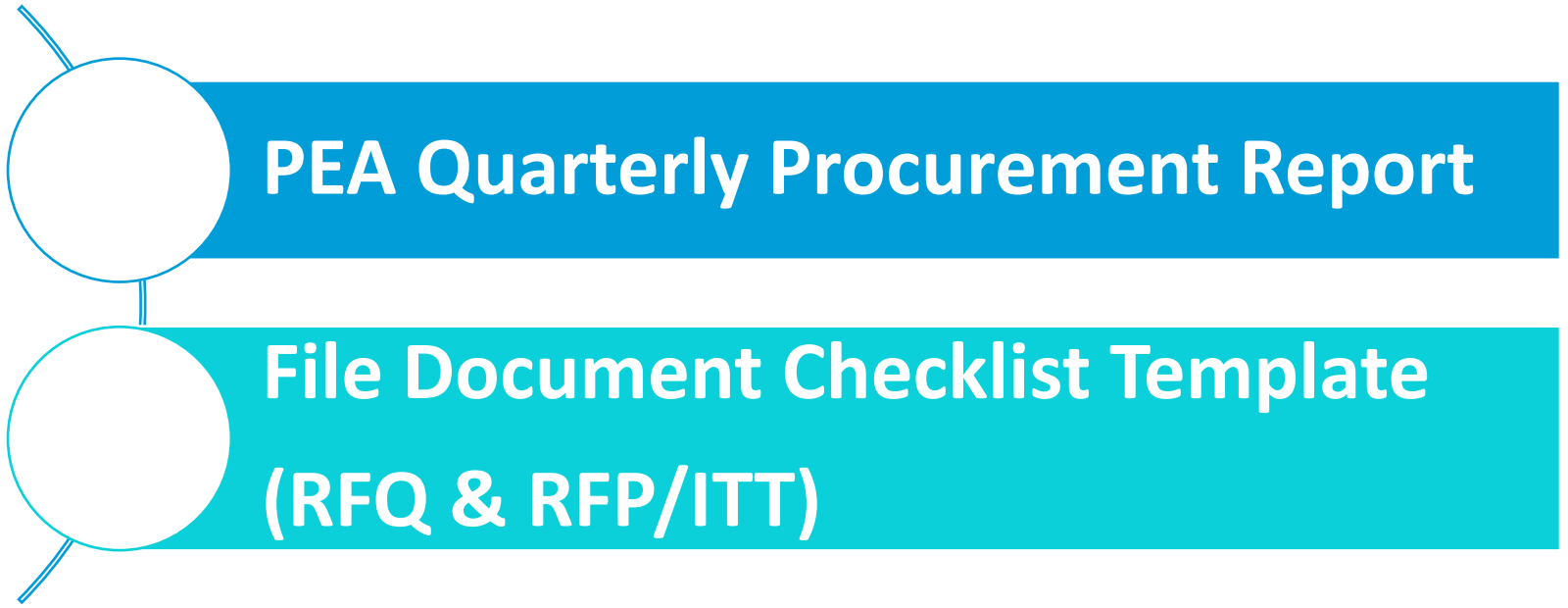
FILE MOVEMENT

- The personnel responsible for filing should monitor and control the movement of files.

- This is to prevent files from being destroyed, misplaced, mixed up amongst other files, or information being accessed by and disseminated to unauthorised persons.

- A movement of records or file register should be created to ensure proper accountability.

Templates


PEA Quarterly Procurement Report
File Document Checklist Template
(RFQ & RFP/ITT)

QUESTIONS