THE UNIVERSITY OF THE WEST INDIES

ST. AUGUSTINE, TRINIDAD AND TOBAGO, WEST INDIES

PROCUREMENT UNIT

Telephone: (868) 662-2002 ext. 85320, 85321, 85312 E-mail: Procurement@sta.uwi.edu

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MEMORANDUM

TO: Deans and Heads of Departments

FROM: Ms. Jillian Karan
          Procurement Services Manager and Secretary, Campus Procurement Committee

DATE: November 30, 2022

SUBJECT: **Updates to the Procurement Requisition (PR) Form and Further Guidance on the Requisitioning Process**

Reference is made to Campus-wide guidance issued on use of the Procurement Requisition (PR) Form, dated May 27, 2022. Further to the November 2022 meeting of the Campus Procurement Committee (CPC), amendments were made to the PR Form and the process. This correspondence seeks to introduce the updated form and provide further guidance on the requisitioning process in its entirety.

Amendments to the Procurement Requisition (PR) Form

The PR Form (the Form) currently in circulation (version dated May 11, 2022), has been amended for easier use, and is attached herein as Appendix 1. The noteworthy changes are outlined below.

1. The minimum value for use of the Form has been increased from TT$5,000 to TT$15,000. The Form will not be required for procurement activities below that new threshold. However, the Form will continue to be used for the purchase of fixed assets of all values.

2. The requirements for requesting use of a single/sole source vendor, which was previously addressed separately under the Sole/Single Source Justification Form, has been subsumed under the amended PR Form. Where a single/sole source method of procurement is planned, the PR Form alone will suffice to communicate the request for this approval, in the appropriate sub-section identified. This expanded content of the PR Form will replace use of the Single /Sole Source Justification Form, unless otherwise advised by the Procurement Unit.

3. The amended PR Form makes provisions for Emergency procurement undertakings, and is aligned to the recently approved Emergency Procurement Procedures. In this regard, the use of the PR Form to document emergency procurement activity allows for completion of the Form after the emergency has been abated.

4. The sections in the existing PR Form related to proposed Evaluation Criteria and prospective Evaluation Committee members have been removed to simplify its use without compromising the minimum details needed for its processing and approval. Notwithstanding the removal of these details from the Form, it is expected that:
   a. All evaluation criteria must be identified and finalized prior to soliciting quotes/bids/proposals.
   b. Suitable Evaluation Committee members must be identified in accordance with the Approved Tender Evaluation Committee Composition Guidelines, before starting evaluations.

We are currently working on digitizing the Form, and will advise the Campus community when it becomes available. The amendments are detailed on a simple process flow chart of the use and processing of the PR Form, included as Appendix 2.

Requisitioning Process for Procurement below TT$15,000

Notwithstanding the minimum value for use of the PR Form, procurement estimated below the TT$15,000 threshold still needs to be conducted with compliance to procedures, transparency, fairness and accountability, and must be sufficiently documented. To replace use of the PR Form, Faculties and Departments must request confirmation of funding from the Bursary via email and secure the approval of the respective Dean/Head of Department prior to engaging in the actual procurement activity. This will ensure verification of funding before seeking to procure and will reduce bottlenecking for the processing of PR Forms for purchases of nominal values.

Appendix 3 provides the minimum details required when requesting confirmation of funding from the Bursary. Additionally, a Quick Guide, detailing the procurement steps below the TT$15,000 threshold, is provided in Appendix 4.

Notwithstanding the aforementioned changes, the PR form is expected to be used before all procurement activity exceeding TT$15,000, except for emergency procurement or other exceptions as specified on the PR Form. While we are urging the wider Campus to migrate to application of the revised requisitioning process and forms immediately, we understand that there will be a period of learning and unlearning of related practices and behaviours. As such, please liaise with the Procurement Unit at Procurement@sta.uwi.edu if there is need for further assistance or clarification during this period of transition, and engage the dedicated Bursary representative assigned to your Faculty/Department where necessary. All templates mentioned above can also be accessed on the Procurement Unit's web page **https://sta.uwi.edu/procurement/**, along with the complete suite of procurement templates.

/jk

c.   Mrs. Andrea Taylor-Hanna - Campus Bursar and Chair, Campus Procurement Committee
        Mrs. Carolyn Gooding – Senior Financial Manager (Students and Receivables), Bursary
        Mrs. Mary Balbirsingh, Senior Financial Manager, (Special Projects), Bursary
        Mr. Kevin Kalloo, Financial Manager (Budgets), Bursary

attch.   (1) Procurement Requisition (PR)
         (2) Procurement Requisition Process Flow Diagram
         (3) Draft Email Correspondence for Confirmation of Funding
         (4) Quick Guide for Procurement Process below TT$15,000

Appendix 1 –
Revised Procurement Requisition Form

THE UNIVERSITY OF THE WEST INDIES

ST. AUGUSTINE, TRINIDAD AND TOBAGO, WEST INDIES
<XXXXXXXX UNIT/FACULTY OF XXXXX>
<Address>
Telephone: (868) 662-2002 ext xxxxx   E-mail: xxxx@sta.uwi.edu

PROCUREMENT REQUISITION (PR) FORM

This form must be used for all purchases above TT$15,000.00. Notwithstanding, this form must be used for the purchase of fixed assets of <u>all</u> values.

To: Prof./Dr/Mr./Mrs./Ms. _____
          Dean/Head of Department/Director/Budget Holder

From: _____

Date: _____

Subject: _____

Goods/Works/Services requested by: _____

<table>
<tr><td>

Use of this PR form does not apply to the following types of purchases:

		• **Utilities (water, electricity, telephone)**
•	**Bottled Water**	• **Stationery**
•	**Groceries**	• **Janitorial products**

NB. An email/memo correspondence must be used for the request & approval of the above items. <u>Items procured from Central Stores (CSS) must be done using the Requisition Book provided by CSS.</u>

</td></tr>
</table>

1.   Goods/Works/Services required

- Description of goods/scope of works or services (Attach full details of technical requirements (TOR, SOW, BOQ, etc. if available at the time of completing the PR)

  _____

  _____

- Justification for purchase:

  _____

  _____

- Deadline date for receiving goods/works/services _____

2.   Cost Estimate, Procurement Method and Supplier Listing

- Estimated cost of goods/works/service: TT$_____

- Method of Procurement: ☐ Open/Public   ☐ Selective
                                ☐ Sole/Single Source   ☐ Emergency Procurement

  (Sections 2.1 to 2.3 below to be completed based on the method of procurement selected here)

2.1 To be completed where Selective is the chosen method of procurement.

- Shortlist of proposed suppliers/contractors *(minimum of 3):*

  1. _____   2. _____   3. _____

  4. _____   5. _____   6. _____

- Source of supplier/contractor listing: ☐ Prequalified   ☐ Banner   ☐ Internet/Directory
  ☐ Other (please specify) _____

2.2 To be completed where Single/Sole Source is the chosen method of procurement

a. **From the list below, select the most appropriate basis for the single/sole source purchase:**
   ☐Product-specific   ☐Service-specific   ☐Brand-specific   ☐Vendor-specific

b. State the specific Supplier/Product/Service/Brand being single/sole sourced.

_____

c. **Justification for option(s) selected above:** Explain why the selected option is the only one that can satisfy your need. Give details of the functional and/or technical reasons for the product or service being sourced and/or the specific details of the expertise, experience and/or qualifications of the supplier that cannot be provided by an alternative source.

_____

_____

d. **List of alternative suppliers and/or products/services/brands considered.** List alternative sources that were considered and the reasons why each one was rejected or unable to meet specific needs. If other options were not considered, indicate the basis for not considering available alternatives.

No.	Supplier	Product/Service/Brand	Reasons
1			
2			
3			

e. **Future Obligations (if any).** Will this purchase obligate The University to this vendor for future purchases (e.g., annual support/maintenance and/or future upgrade requirements)?   ☐ Yes   ☐ No

If yes, provide details on the duration of any potential commitments, as well as the estimated costs for such commitment).

_____

_____

2.3 To be completed where Emergency Procurement Procedures have been used (refer to Note 1 below)

a. Provide a brief explanation of the emergency situation which would have required use of this method of procurement.

_____

_____

b. Approval to proceed provided by the Financial Manager, _____ <include as appropriate, either Financial Manager, (Budgets), or (Students & Receivables or (Projects)> on (include date) _____

c. List of suppliers/contractors from whom quotations were sourced

1. _____   2. _____   3. _____

d. Attach confirmatory email or quotation(s) as provided by the selected supplier/contractor

3. **Procurement Executing Arm (PEA)***: Refer to Note 2 below for guidance on selection of appropriate PEA*
   ▪ Select the appropriate PEA for this procurement activity:
     ☐Own Faculty/Department/Unit   ☐CITS   ☐DFM   ☐CPO

   ▪ Justification for the PEA selected:

   _____

4. **Requisitioned by:** _____   _____   _____
                          Name (BLOCK LETTERS)   Signature   Date

5. Authorised by: Budget Holder (Dean/Head of Dept./Dir.) [required for all purchases of all values]

_____	_____	_____	_____
Name (BLOCK LETTERS)	Designation	Signature	Date

6. BUDGETARY APPROVAL [for completion by the requisite Financial Manager, Bursary]
NB: Refer to Note 4 below for guidance on the Financial Manager for submission of PR

_____	_____	_____	_____
Account Chargeable Confirmation of Funding	Name (BLOCK LETTERS) Financial Manager	Signature	Date

7. CPC CHAIR/ CAMPUS BURSAR/DEPUTY BURSAR APPROVAL
NB: Refer to Note 3 below for guidance on approval for procurement over TT$100,000

☐ Approved, please proceed with procurement execution
☐ Not approved (pending further information)

_____	_____	_____	_____
Name (BLOCK LETTERS)	Designation	Signature	Date

NOTES AND INSTRUCTIONS LISTED BELOW CAN BE EXCLUDED WHEN PRINTING AND PROCESSING THE PR FORM

NOTES

1. **Emergency Procurement**
   Emergency procurement is the **only** exception which allows for execution of a procurement activity before completing the PR Form. In this case, it is necessary to follow the Emergency Procurement Procedures to abate the emergency situation in the shortest possible time, and subsequently follow up with the necessary documentation inclusive of the completed PR Form and supporting documents (refer to Emergency Procurement Procedures for further details).

2. **Projects/Initiatives performed by the various Procurement Executing Arm (PEA):**

   ▪ Faculty/Department/Unit:
     o All procurement up to TT$400,000 in consultation with the Procurement Unit.
     o All procurement > TT$400,000 – via the Campus Projects Office or Division of Facilities Management.

   ▪ Campus IT Services:
     o All ICT procurement ≤ TT$400,000; purchase of all computers, printers, copiers, laptops and ICT equipment.
     o All ICT procurement > TT$400,000 via Campus Projects Office with technical support from CITS.
     o Faculty/Department/Unit to retain responsibility for purchasing of computer accessories.

   ▪ Division of Facilities Management:
     o Procurement relating to all roads, utilities (water, electrical, air conditioning, sewer), janitorial and landscaping of all values.
     o Maintenance of elevators, air conditioning systems of all values.
     o Procurement from other Faculties/Departments less than TT$400,000 on the request of the Dean/HOD.
     o All repairs above TT$400,000 on behalf of the User Department.
     o For all repairs less than TT$400,000:
       • User Department to retain responsibility once the expertise to manage all technical aspects resides within said department.
       • User Department to rely on DFM to execute where there is a lack of technical expertise within the said department.
   ▪ Campus Projects Office:
     o All procurement relating to projects managed by CPO.
     o All procurement from other faculties/departments exceeding TT$400,000.
     o Acquisition of elevators and central Plant air conditioning systems.

3. **Approval Authorities and corresponding limits for approval of PR Forms**

Approval Authority for PR Form	Role of approver based on Value of Expenditure/ Procurement
Dean/HOD/Director/Budget Holder	As first approver for all purchases of all values

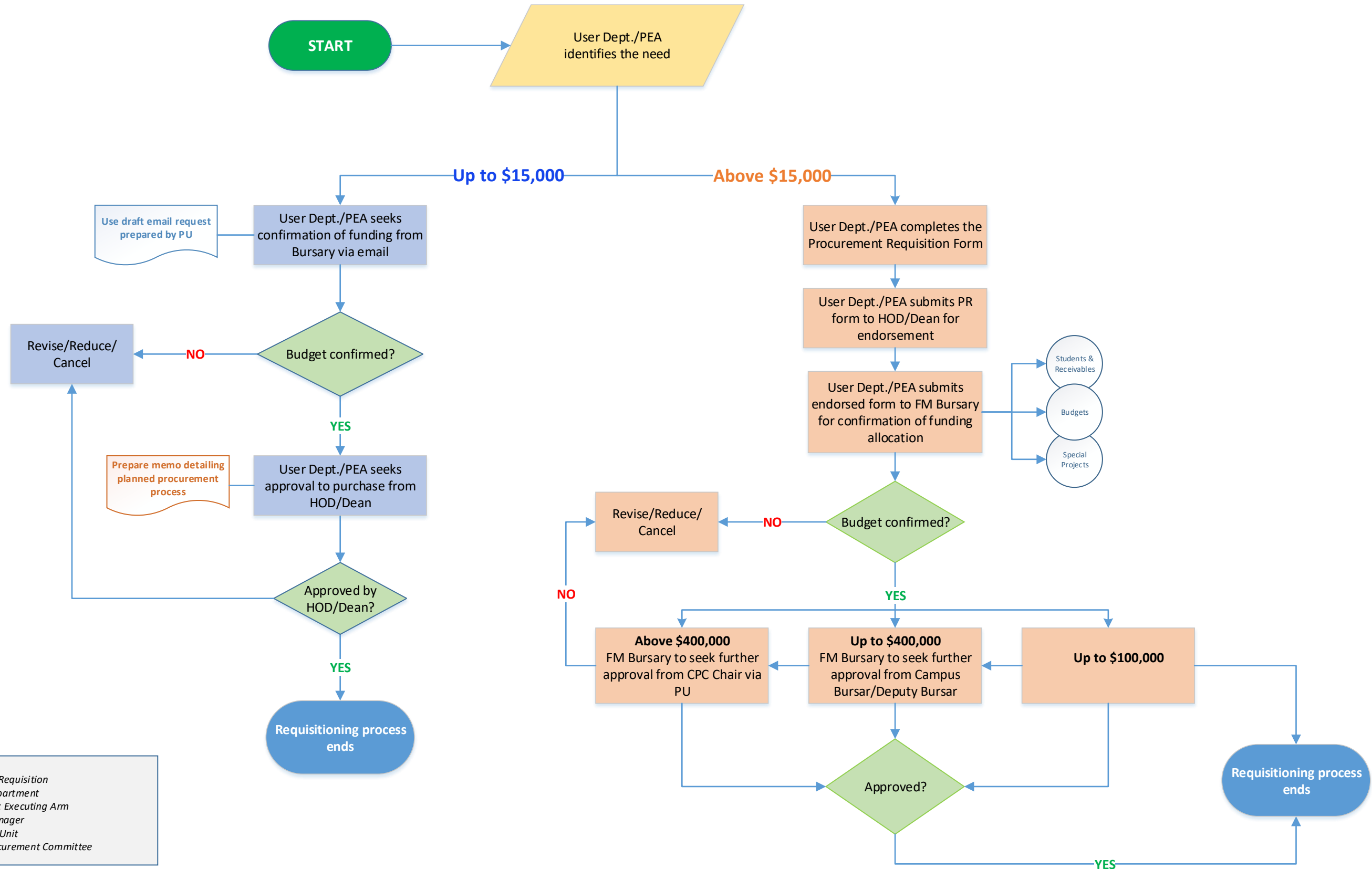| Financial Manager	Identification of funding for procurement of all values
Deputy Bursar/Campus Bursar	Approval of all purchases above TT$100,000 and up to TT$400,000
Chair, on behalf of Campus Procurement Committee (CPC)	Approval of all purchases above TT$400,000
SECTION 5 OF THE PR FORM MUST BE APPROVED BY THE HOD BEFORE BEING FORWARDED TO THE BURSARY OR CPC	

4. Financial Managers and Source of Funds Oversight

For purchases below TT$400,000, once the Dean/Head/Budget Holder has approved, the PR Form should be submitted to one of the Financial Managers below, as determined by the proposed source of funding involved:

- Students Amenities Funds, Halls of Residences, Guild of Students –Senior Financial Manager (Students and Receivables), Bursary
- Self-financing programme funds and funding for other special projects –Senior Financial Manager (Special Projects), Bursary
- Campus Grants Committee (CGC) Funds and other funds managed by Financial Manager (Budgets) , Bursary.

5. Selection of the Evaluation Criteria and Members of the Evaluation Committee:

For all procurement estimated to exceed TT$400,000, the PR Form being submitted for approval must be supported by a list of the proposed Evaluation Committee Members (Refer to Approved Guideline for Composition of Tender Evaluation Committee for further details).

Appendix 2 -
Procurement Requisitioning Process

PROCUREMENT REQUISITIONING PROCESS

START

User Dept./PEA identifies the need

Up to $15,000

Above $15,000

Use draft email request prepared by PU

User Dept./PEA seeks confirmation of funding from Bursary via email

User Dept./PEA completes the Procurement Requisition Form

User Dept./PEA submits PR form to HOD/Dean for endorsement

Students & Receivables

Budgets

Special Projects

User Dept./PEA submits endorsed form to FM Bursary for confirmation of funding allocation

Revise/Reduce/Cancel

NO — Budget confirmed?

YES

Prepare memo detailing planned procurement process

User Dept./PEA seeks approval to purchase from HOD/Dean

Revise/Reduce/Cancel

NO — Budget confirmed?

YES

Approved by HOD/Dean?

YES

Requisitioning process ends

NO

Above $400,000
FM Bursary to seek further approval from CPC Chair via PU

Up to $400,000
FM Bursary to seek further approval from Campus Bursar/Deputy Bursar

Up to $100,000

Approved?

YES

Requisitioning process ends

KEY:
PR – Procurement Requisition
HOD – Head of Department
PEA – Procurement Executing Arm
FM – Financial Manager
PU – Procurement Unit
CPC – Campus Procurement Committee

Procurement Requisition Flow Chart, Prepared by UWISTA PU, Version 1.0, November 30,2022

Appendix 3 –
Draft Email for Funding Approval

Draft Email for Funding Approval

Subject: Funding Approval for (Insert name of Procurement Activity)

Dear (Insert name of Bursary staff)**,**

We write to request funding in the amount of (insert amount requested). The **(Insert Department Name)** is about to commence a procurement activity for **(insert name of goods/works/service)**. This is necessary because **(state reason/s for purchase).** The proposed vendors are:

1.
2.
3.
4.

We want to proceed with (list which vendor), given that **(state reasons for using ONE vendor)**. ***This sentence can be included only when one vendor is being engaged, and it should be omitted if multiple vendors are being used.***

The estimated cost of this activity is **(state estimated cost),** and funding approval is being requested to proceed.

Regards,

xxx

QUICK GUIDE

STEPS FOR PROCUREMENT VALUED UP TO TT$15,000

Instructions: to be used for all procurement valued up to TT$15,000, excluding petty cash purchases. All procurement above this value must utilize the Procurement Requisition (PR) Form.

STEP	DESCRIPTION	AREA OF RESPONSIBILITY
	Procurement Requisitioning Process: Steps 1-5	
1	User Faculty/Department (Procurement Executing Arm, PEA) identifies need for goods/works/services.	Faculty's/Department's Admin. Asst. or Purchasing Rep.
2	PEA emails respective Bursary Budgetary Clerk/Accounting Assistant requesting confirmation on availability of funds (Budgets, Students and Receivables or Special Projects). Email to briefly summarize the following: • Description of goods/services/works required • Justification for purchase • Estimated value of goods/services/works • Any details on possible funding sources	Faculty's/Department's Admin. Asst. or Purchasing Rep.
3	Relevant Bursary Section responds to PEA confirming the availability of funding.	Bursary Section: Budgets, Student and Receivables Special Projects
4	Based on confirmation of funding received, prepare and submit to Dean/HoD a brief memo requesting approval to proceed with procurement, including the following details: • Description of goods/services/works required • Justification for purchase • List of prospective vendors to be invited (minimum of three) • Justification for single/sole source (where applicable) • Estimated value of goods/services/works • Attach Bursary's email confirmatory email on availability of funding. NB: This step is important as the approved memo and supporting data will be used as a basis for the Bursary's approval of the purchase order in Step 10 below	Faculty's/Department's Admin. Asst. or Purchasing Rep.
5	Memo to proceed with the procurement is approved.	Dean/HOD
	Solicitation process	
6	Prepare RFQ document/ email solicitation correspondence and issue to a minimum of three (3) prospective vendors as specified in approved memo in Step 4 above. **NB:** i. A minimum of three (3) vendors must be invited to submit quotations (unless the single/sole source procurement method is being utilized) which must also be sufficiently justified as part of Step 3 above.	Faculty's/Department's Admin. Asst. or Purchasing Rep.

Process to be used for procurement valued up to TT$15,000
Prepared by the Procurement Unit
Version 1, September 2022

STEP	DESCRIPTION	AREA OF RESPONSIBILITY
6 cont'd	ii. All quotations received should be evaluated even where The UWI receives less than 3 quotations in response to the request. It is important that evidence of The UWI-issued RFQ to each vendor be included as part of Steps 7 and 9 below for transparency and auditing purposes. iii. **The UWI does not accept verbal quotations**. All requests for quotations and receipt of same must be communicated in writing (via email or physical copy). Verbal inquiries on prices must be followed by at least an email confirmation of the final price and other details discussed.	
	Evaluation, Award and Purchase Order process: Steps 7-11	
7	Evaluate all quotations received, utilizing the simple Evaluation Report template which can be found on the Procurement Unit's webpage. Submit final evaluation report with recommendation for preferred vendor for approval by Dean/HOD.	Faculty's/Department's Admin. Asst. or Purchasing Rep.
8	Evaluation report is approved.	Dean/HOD
9	Prepare Purchase Order (PO) and submit to Bursary for processing. Attach the following supporting documents: • Approved Memo from Step 4 above • RFQ or copy of email request from Step 6 above • Quotations from vendors • Approved evaluation report.	Faculty's/Department's Admin. Asst. or Purchasing Rep.
10	PO is approved.	Bursary
11	Submit PO to vendor for delivery of goods/services/works.	Faculty's/Department's Admin. Asst. or Purchasing Rep.
	Receipt of goods/services/works and payment of vendor: Steps 12-15	
12	Goods, services, works delivered or received.	Vendor
13	Receive invoice and process for payment.	Faculty's/Department's Admin. Asst. or Purchasing Rep.
14	Vendor receives payment.	Bursary
15	File all documents: • Approved memo • RFQ or email requesting quotations • Quotations received • Approved evaluation report • Approved PO • Invoice.	Faculty's/Department's Admin. Asst. or Purchasing Rep.

Process to be used for procurement valued up to TT$15,000
Prepared by the Procurement Unit
Version 1, September 2022