

Documentation/Records Management

Extract from
Manuals - Public Procurement Act, 2003 (Act 663)

1.10 DOCUMENTATION/RECORDS MANAGEMENT

1.10.1 Documentary Records

Documentary records, both in print or electronic format, are essential for efficient and effective management of activities, provide evidence in support of decisions and actions taken, and provide an audit trail for verification of transparency, accountability and effectiveness. Efficient records management is essential to ensure effective storage, retrieval and use with due regard to security, integrity and confidentiality.

All officers shall ensure they obtain, retain and maintain appropriate documentation supporting the activities for which they are responsible.

Senior officers involved in approval or authorisation shall ensure that any transactions they approve or authorise are backed by appropriate supporting documentation.

1.10.2 Filing/Record Management System

Procurement Units have a general responsibility for maintaining Procurement Dossiers and Contracts Registers, but each Procurement Entity must ensure that complete documentation is maintained in respect of all procurement activities and for contracts and agreements entered into.

Responsibility for the official maintenance of record files, authority to access files, and co-ordination of management and follow-up actions must be clearly defined in each Procurement Entity to avoid:

- partial and incomplete records being held by several different departments and individuals;
- unauthorised access to records; or
- failure to take any necessary action at the right time.

1.10.3 Procurement Unit Records Management

All documents regarding a particular procurement shall be kept for future reference and monitoring and control purposes. The recommended filing structure for a record of procurement shall include the following documentation:

- Original Request from Originating Officer
- Correspondence with Originating Officer
- Correspondence with Suppliers, Contractors and Consultants/ (pre-order only)
- Internal Correspondence within Procurement Unit
- Requests for Expressions of Interest
- Shortlist or Advertisement
- Tender documents and Specifications/Terms of Reference
- Correspondence with suppliers relating to Tender
- Tenders, Quotations or Pro-forma invoices received
- Tender opening records

- Record of Tender Securities and release
- Evaluation Report
- Submission to the relevant authority & Minutes of proceeding
- Notice of Contract Award and publication
- Contract/Purchase Order & Acknowledgement of receipt
- Delivery/Executions Documentation
- Inspection and Acceptance Reports
- After sales warranty and performance claims
- Copy of Record of Commitment of Funds (A&EI Form)
- Copy of Invoices or Certificates
- Copy of Payment Vouchers
- Record of Retentions and release
- Performance Security and release.