



## E-Procurement Bulletin



P u b l i c P r o c u r e m e n t A u t h o r i t y

### STANDARD RECORDS KEEPING FOR PUBLIC PROCUREMENT MANAGEMENT

#### Inside this issue:

- ◆ Standard Records Keeping for Public Procurement Management—Page 1
- ◆ Online Activities : Page 2
- ◆ Effective Documentation And Records Keeping Of Tendering Processes –Page 4
- ◆ Challenges & Benefits Of Procurement Records Keeping - Page—6
- ◆ Improving Procurement Record Keeping With eProcurement-Page 7

The memories of men, they say are too frail a thread to hang history on that is why it is essential for organizations and institutions to adhere to prescribed records management procedures in order to ensure effective and easy referencing. The International Organization for Standardization (ISO 15489) clearly shows how organizations can systematically and effectively improve its record keeping. Sections 27 & 28 of the Public Procurement Act, 2003 (Act 663) also enjoins all procurement entities to maintain records of procurement proceedings containing details of Tender Invitations, Tender Openings, Evaluation Reports and Approvals as well as records of Contract Management.

Contrary to the expectations of the law, the 2007, 2008 & 2009 public procurement assessment exercise conducted by the PPA, revealed that a significant number of procurement records in various MDA's & MMDA's were largely sketchy and fragmented. It is against this backdrop that the PPA being the regulatory body responsible for the implementation of the Procurement law-Act 663 is in collaboration with the Public Records and Archives Administration (PPRAD-Ghana) to develop standard guidelines in a form of a Procurement Records Keeping Manual to assist Entities keep proper records of their procurement activities.

Adherence to the principles of standard records management in the practice of public procurement, holds a number of derived benefits. Some of these include an indication of professionalization, improved decision-making and policy formulation based on reliable information as well as heightened accountability in the public procurement process. For instance, Section 28 (6) of Act 663 clearly specifies how a well maintained records system could encourage institutions of states such as the PPA, Auditor-General's Office, and Ministry of Finance & Economic Planning as well as officials of Development Agencies to conduct effective verifications and reviews of procurement activities that take place within the public sector.

Furthermore, standard procurement records management of procurement activities can further consolidate the gains of Ghana's public procurement reforms and increase public trust and confidence in the process. It will also contribute to the promotion of government policies such as the Right to Information Bill which will soon (*we are told*) receive legislative backing.

*The onus therefore lies with all of us as public procurement practitioners and public officials to let this happen as we contribute to our quota to the building of a Better Ghana. Let us rise up to the occasion and "be that change we want to see"- Mahatma Ghandi.*

*Rhoda Ewurabena Appiah  
Principal Public Affairs Officer  
PPA*



## Online Activities

### List of entities that have submitted their 2011 Procurement Plans online As At March, 2011

- |   |  |
|---|--|
| 1. Accra Academy Sec. Sch.                                      | 45. Ghana Broadcasting Corporation                           |
| 2. Accra Metropolitan Assembly                                  | 46. Ghana Civil Aviation Authority                           |
| 3. Accra Polytechnic  | 47. Ghana Cocoa Board  |
| 4. Achimota Hospital  | 48. Ghana College of Physicians and Surgeons                 |
| 5. Achimota Sec. Sch.   | 49. Ghana Free Zones Board                                   |
| 6. Adenta   | 50. Ghana Grid Company Ltd.                                  |
| 7. Ashaiman Municipal Assembly                                  | 51. Ghana Health Service                                     |
| 8. Atua Government Hospital                                     | 52. Ghana Highway Authority                                  |
| 9. Bank of Ghana  | 53. Ghana Immigration Service                                |
| 10. Berekum Tr. College   | 54. Ghana Institute of languages                             |
| 11. Bolgatanga Polytechnic                                      | 55. Ghana Institute of Management And Public Administration  |
| 12. Bulk Oil Storage and Transportation                         | 56. Ghana Integrated Financial Management Information System |
| 13. Bureau of National Investigations (BNI)                     | 57. Ghana Investment Fund For Electronic Communications      |
| 14. Cape Coast Metro  | 58. Ghana Investment Promotion Council                       |
| 15. Centre for Scientific Research Into Plant Medicine          | 59. Ghana Library Board                                      |
| 16. Commission on Human Rights and Administrative Justice       | 60. Ghana National Fire Service                              |
| 17. Controller And Accountant General Dept                      | 61. Ghana National Petroleum Corporation                     |
| 18. Council for Law Reporting                                   | 62. Ghana Police Service                                     |
| 19. Council for Scientific and Industrial Research              | 63. Ghana Ports And Harbours Authority                       |
| 20. Council for Technical and Vocational Education and Training | 64. Ghana Prisons Service                                    |
| 21. Dangme West District Assembly                               | 65. Ghana Railways Corporation                               |
| 22. Dental School   | 66. Ghana Revenue Authority                                  |
| 23. Department of Children                                      | 67. Ghana Shippers Council                                   |
| 24. Department Of Urban Roads                                   | 68. Ghana Standards Board                                    |
| 25. Driver and Vehicle Licensing Authority                      | 69. Ghana Statistical Service                                |
| 26. Dunkwa District Hospital                                    | 70. Ghana Tourist Board                                      |
| 27. East Akim   | 71. Ghana Trade Fair Company Limited                         |
| 28. Economic and Organised Crime Office                         | 72. Ghana Water Company Limited                              |
| 29. Effa Nkwanta Regional Hospital                              | 73. Ghana-India Kofi Annan Center of Excellence              |
| 30. Effiduase District Hospital                                 | 74. Grains And Legumes Development Board                     |
| 31. Effutu Municipal  | 75. Ho Polytechnic   |
| 32. Electoral Commission  | 76. Institute Of Professional Studies                        |
| 33. Enchi Tr. College   | 77. Internal Audit Agency                                    |
| 34. Energy Commission   | 78. Juaben District Hospital                                 |
| 35. Environmental Protection Agency                             | 79. Judicial Service   |
| 36. Export Development and Investment Fund                      | 80. Kade Government Hospital                                 |
| 37. Foods and Drugs Board                                       | 81. Koforidua General Hospital                               |
| 38. Forestry Commission   | 82. Koforidua Polytechnic                                    |
| 39. Ga East   | 83. Komfo Anokye Teaching Hospital                           |
| 40. Ga West (Ga)  | 84. Korle bu Teaching Hospital                               |
| 41. Ghana Academy of Arts And Sciences                          | 85. La Polyclinic  |
| 42. Ghana Airports Company Limited                              | 86. Lands Commission   |
| 43. Ghana Atomic Energy Commission                              | 87. Ledzokuku-Krowor   |
| 44. Ghana Audit Service   | 88. Local Government Service Secretariat                     |
|   | 89. Maamobi Polyclinic                                       |



- |   |   |
|---|---|
| 90. Mamprobi Polyclinic   | 136. Nyinahin District Hospital                                 |
| 91. Medical School  | 137. OFFICE OF THE PRESIDENT - MAIN                             |
| 92. Minerals Commission   | 138. Office of the Regional Health Directorate – Ashanti Region |
| 93. MINISTRY OF COMMUNICATION                                   | 139. Office of the Regional Health Directorate – Eastern Region |
| 94. MINISTRY OF CULTURE And CHIEFTAINCY                         | 140. Osu Klottey Submetro DHMT                                  |
| 95. MINISTRY OF EDUCATION                                       | 141. Parliament   |
| 96. Ministry of Employment and Social Welfare                   | 142. Peki Training College                                      |
| 97. MINISTRY OF ENERGY  | 143. Pharmacy Council   |
| 98. Ministry of Environment Science and Technology              | 144. Public Procurement Authority                               |
| 99. MINISTRY OF FINANCE AND ECONOMIC PLANNING                   | 145. Public Utilities Regulatory Commission                     |
| 100. MINISTRY OF FOOD And AGRICULTURE                           | 146. Registrar Generals Department                              |
| 101. MINISTRY OF FOREIGN AFFAIRS AND REGIONAL INTEGRATION       | 147. Ridge Hospital   |
| 102. MINISTRY OF HEALTH   | 148. School of Allied Health Sciences                           |
| 103. Ministry of Information                                    | 149. Shama  |
| 104. MINISTRY OF JUSTICE AND ATTORNEY GENERAL                   | 150. Shama-Ahanta East Metropolitan Assembly                    |
| 105. MINISTRY OF LANDS, FORESTRY And MINES                      | 151. SIC Life Company Limited                                   |
| 106. MINISTRY OF LOCAL GOVERNMENT AND RURAL DEVELOPMENT         | 152. Social Security and National Insurance Trust (SSNIT)       |
| 107. MINISTRY OF ROADS AND HIGHWAYS                             | 153. South Dayi District Assembly                               |
| 108. MINISTRY OF THE INTERIOR                                   | 154. St. Joseph's Tr. College                                   |
| 109. MINISTRY OF TOURISM And DIASPOREAN RELATION                | 155. St. Mary's Secondary School                                |
| 110. Ministry of Transport                                      | 156. St. Monica Training College                                |
| 111. MINISTRY OF WATER RESOURCES, WORKS And HOUSING             | 157. Students Loan Trust Fund                                   |
| 112. Ministry of Women and Children Affairs                     | 158. Suhum Government Hospital                                  |
| 113. Mount Mary College   | 159. Sunyani General Hospital                                   |
| 114. Mpohor Wassa East  | 160. Sunyani Polytechnic  |
| 115. Narcotics Control Board                                    | 161. Sunyani West   |
| 116. National Accreditation Board                               | 162. Takoradi Polytechnic                                       |
| 117. National Board for Professional And Technical Examinations | 163. Tamale Polytechnic   |
| 118. National Board for Small Scale Industries                  | 164. Tema Metropolitan Assembly                                 |
| 119. National Cardiothoracic Centre                             | 165. Tema Sec. School   |
| 120. National Commission on Culture                             | 166. Tetteh Quarshie Memorial Hospital                          |
| 121. National Development Planning Commission                   | 167. Twifo Praso Health Assistants Tr. Sch.                     |
| 122. National Film and Television Institute                     | 168. University Ghana School of Pharmacy                        |
| 123. National Health Insurance Authority                        | 169. University Of Cape Coast (UCC)                             |
| 124. National Identification Authority                          | 170. University Of Ghana (UG)                                   |
| 125. National Insurance Commission                              | 171. University of Ghana Business School(UGBS)                  |
| 126. National Lottery Authority                                 | 172. University Of Science And Technology (KNUST)               |
| 127. National Petroleum Authority                               | 173. Volta River Authority                                      |
| 128. National Population Council                                | 174. Wa Polytechnic   |
| 129. National Road Safety Commission                            | 175. Water Resources Commission                                 |
| 130. National Service Secretariat                               | 176. Wesley Girls High Sch.                                     |
| 131. National Theatre of Ghana                                  | 177. West African Examination Council                           |
| 132. National Vocational Training Institute                     | 178. Western- Regional Co-ordinating Council                    |
| 133. Noguchi Memorial Institute                                 | 179. Wiawso Tr. College   |
| 134. Non Formal Education Division                              |   |
| 135. Nsawam Government Hospital                                 |   |

**The Authority urges all other entities who have not submitted their plans as yet to emulate the example of**



# EFFECTIVE DOCUMENTATION AND RECORDS KEEPING OF TENDERING PROCESSES

## INTRODUCTION

In procurement management, lack of proper and effective documentation and records keeping can have negative consequences which may lead to litigation, suspicion, corruption, imprisonment etc.

It is against this background that the Public Procurement Authority (PPA) is by virtue of its functions, required to ensure that all procurement entities comply with Section 28 of the Public procurement Act, 2003 (Act 663). The Section 28 requires Entities to maintain good records of all procurement proceedings.

Documentary records, both in print and electronic formats, are essential for efficient and effective management of procurement activities. Records provide evidence in support of decisions and actions taken in the procurement process, and, provide an audit trail for verification of transparency, accountability and adherence to Act 663. Efficient record management is essential to ensure effective storage, retrieval and use with due regard to security, integrity and confidentiality. It is therefore imperative that all procurement transactions must be properly authorised and fully supported by proper documentary evidence/ records.

Procurement records must provide evidence enough to show consistency and adherence to the provisions of Act 663.

## MAINTENANCE OF PROCUREMENT RECORDS

Procurement Units should therefore have the general responsibility of maintaining search records including all folders and contracts register. The management of an entity should sup-

port the procurement unit in ensuring that complete documentation is maintained in respect of all procurement activities and for contracts and agreements entered into.

## TYPES OF PROCUREMENT RECORDS

Procurement records can either be print or electronic. It can be in the form of reports, minutes of meetings, pictures, samples or specimen etc.

Procurement records should be structured and filed according to the contract package, type of procurement and the method applied. The various methods applied for the various types of procurement and the associated documentation should be filled together.

## RECORDS OF PROCUREMENT PROCEEDINGS

The records should contain the essential information on the procurement of Goods, Works and Services. Such information may include Vender/Suppliers name, contact details, evaluation decision, prices, etc.

## BENEFITS OF EFFECTIVE DOCUMENTATION AND RECORDS KEEPING

### Easy identification and retrieval

Effective procurement documentation and records must be filed in a manner that enhances easy identification and retrieval. In doing so, all procurement files should bear the identification code as follows:

- Type of procurement. i.e. Goods, Services and Works
- Method of procurement. i.e. LVPR, SMR, Request for Quotation, NCT, ICT and Restrictive Tendering.



- Name of the project
- The financial year (e.g. 2011)
- A unique sequence number for each file.

## Confidentiality of Procurement Records

Effective and proper procurement and records keeping documentation ensures confidentiality as mandated by the Section 63 of Public Procurement Act 2003, (Act 663).

All procurement entities are required to take appropriate measures to ensure the confidentiality of procurement records at their disposal. Procurement records should be accessible for statutory purposes only.

Revealing confidential or “insider information” either directly or indirectly to any person or group of persons or tenderer or prospective tenderer without proper authority is unethical.

Procurement records should be made accessible to statutory organisations for the purposes of verification, investigation, auditing and assessment or as may be determined by order. Disclosure of procurement records for statutory purposes should be made in full or as required by the requesting organisation.

The records should be disclosed upon the receipt of official letter of request by an entity and disclosure should be made only by authorised official of an entity.

## Maintenance of Procurement Records

Effective and proper procurement documentation also ensures that records regarding procurement activities are kept for future reference, monitoring and control purposes, and to preserve the integrity, accuracy and completeness at all times.

The responsibility for 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 or incomplete records being held by several different departments and individuals; and, Unauthorised access to record

## Security of Procurement Records

In addition, effective documentation ensures the safety of procurement records. However, it is the responsibility of an entity to take appropriate measures in this respect.

The issues of records security and safety is to preserve their integrity and confidentiality. Paper (print) procurement records should be kept in a secure manner in safe locations where they are protected from damage and destruction (e.g., fire, water, and insects). Similarly, electronic records stored in magnetic and other electronic media should be protected from damage (e.g., power surges or outage and attacks from viruses, worms, or other destructive programmes).

Locking of files in cabinets, keeping of records in locked offices or storage rooms, use of passwords, firewalls, data encryption and authentication are required for procurement records of all media throughout their usefulness to the procurement entity.

## Archiving of Procurement Records

Archiving of Procurement Records is made easy where there is a proper documentation of tendering process. Every procurement entity is responsible for securing appropriate archive facility for procurement records. All archived records must be retrieved and accessed provided by an entity upon request or as and when necessary.





## DESTRUCTION OF PROCUREMENT RECORDS

Destroying, damaging, hiding, removing, or improperly changing of any official procurement document without authority is constitute unethical conduct.

A procurement entity must secure authority to destroy procurement records from appropriate government agency.

## CONCLUSION

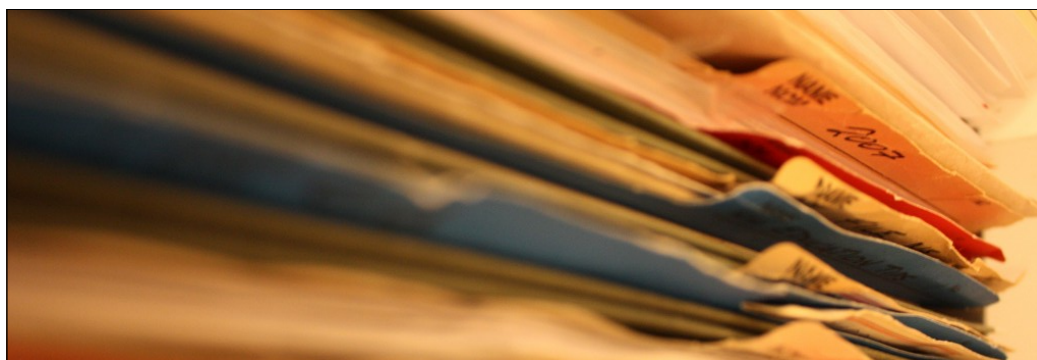
Effective documentation and records keeping policies, procedures and processes are requirements for compliance with the Public Procurement Act 663(2003), the Public Procurement

Regulations (2007) and other related legislative instruments and standards such as the Public Records and Archives Act 535(1997) and above all, ISO 15489-Information and documentation-Records Management.

Adherence to the above requirements ensures probity and accountability as well as providing evidence of good corporate governance and efficiency in the procurement and delivery of goods, works and services for the improvement of the living standards of the people of Ghana.

*Clement Fordjour*  
Principal Operating Officer  
Policy and Strategy  
PPA

# CHALLENGES & BENEFITS OF PROCUREMENT RECORDS KEEPING



## Introduction

**R**ecord keeping in public procurement is one of the mandatory requirements of Public Entities who engage in procurement as indicated in Section 28 (1) of the Public Procurement Act 663, 2003.

All procurement an Entity undertakes be it goods, works or services it is required of the said entity to keep proper records of the procurement procedures. For all methods of procurement (National Competitive Tender , International Competitive Tenders, Restricted

Tenders, Single Source or Request for Quotation etc) applied in the procurement process, proper procurement documents must be kept.

## Issues To Consider In The Storage Of Procurement Records

Sensitive information must be kept under lock and key to ensure that only authorized personnel have access.

In addition to hard copies, develop soft copies as a back-up for efficient access to information.



Follow appropriate regulation on disposal schedules for electronic and hard copy files that contain sensitive information including shredding paper copies, erase old hard drives, and destroy other electronic media.

### What Records Should Be Kept On File

To efficiently keep records on procurement procedures, the record keeping system needs to be accurate, reliable, easy to access and consistent. Below are the proposed documents which should be kept as procurement records:

- Procurement Requisition and Authorization
- Invitation/Advertisement ( depending on the method)
- Tender Document and opening documentation
- Tender evaluation proceedings and report
- Approval of evaluation report
- Records on negotiation proceedings (if any)
- Letter of notification of award and signed contract
- Contract management correspondence
- Supplier's performance evaluation report.
- Any Correspondence

### Benefits of Procurement Record Keeping

Record keeping is an important activity. Entities invest a lot of time and effort in procurement of items and award of contracts and yet fail to realise the importance of keeping records or documents on them. Record keeping has many benefits and can help improve the operation and management of an organization. Some benefits of recordkeeping include the following:

- It makes the operation of the Procurement Unit very simple, easy, and cost-effective;

- It facilitates procurement processes in an organization;
- It helps both internal and external auditors in the smooth performance of their duties.
- As a source document for procurement assessment.
- It assists in resolving suppliers/contractors/consultants complaints.
- It serves as reference point to facilitate communication with suppliers/contractors/consultants and decision makers.
- Helps determine loyal, efficient and dedicated suppliers/contractors and consultants.

Challenges in Record Keeping can arise:

- Where there are no professional officers to handle the procurement process
- When there is lack of coordination between Officers managing the contract
- When management of contracts is by different departments.
- Where there are no appropriate guidelines to follow and
- Where User Departments procure for themselves without involving the Procurement Unit.

### Conclusion

In view of lapses in standard procurement record keeping, the Public Procurement Authority is coming out with guidelines which will facilitate the record keeping of the tendering processes. Entities must embrace it for successful operation and transparency in the public procurement system.

*Faustina Okuadjo*  
Senior Procurement Officer  
PPA



## Improving Procurement Record Keeping With eProcurement

The procurement process involves a number of stages, and at each stage quite a great number of documents are generated. Depending on size of the procurement package, these documents can be quite voluminous. Below table gives an indication of types of documents generated during a procurement process.

Procurement Process Stage	Documents
Tender Invitation	<ul style="list-style-type: none"> <li>Public Advertisement</li> <li>Tender Document</li> </ul>
Evaluation	<ul style="list-style-type: none"> <li>Submitted Tenders</li> <li>Evaluation Reports</li> </ul>
Award	<ul style="list-style-type: none"> <li>Award Notifications, Acceptance</li> <li>Contract Documents</li> </ul>
Execution of Contract	<ul style="list-style-type: none"> <li>Invoices</li> <li>Payment</li> <li>Monitoring Reports, etc</li> </ul>

For instance a project that attracts a lot of Tenderers can generate a lot of documents at the Tender Invitation (with so many tender documents being purchased) and the Evaluation (with so many submitted tender documents in multiple copies) stages.

As required by Section 28 of the Procurement Act, Act 663, entities are to maintain, keep these records pertaining to their procurement activities. However a procurement assessment carried out by the Public Procurement Authority on some selected entities for the 2009 and 2010 period revealed inadequate or poor record-keeping, resulting in inability to trace procurement documents.

It is expected that introducing eProcurement will improve record keeping. Below are some ways in which eProcurement will address records keeping;

- Tenderers are able to logon directly to the eProcurement system and submit their tenders online. This eliminates the need for entities to print tender documents and receive completed tenders in hard copy.
- An eProcurement system will also store copies of all documents as long as required. In addition, copies can be made on CDs for external storage.
- In addition to storing documents on CDs, aged documents can be archived and indexed for future retrieval.
- Reduction in overhead cost by eliminating paper-based processes and thereby enhancing the sustainability (Green) initiatives taken by the country.
- Minimising indirect costs by reducing the hours required to manage paper based documents.
- Freeing storage space

Record keeping is an important aspect of every transaction. With eProcurement this will be coupled with data management to provide easily accessible feedback on the procurement process and be in conformity with the e-Government/ICT4 Development agenda of the nation.

*Thomas K. Bondzi*  
Senior IT Specialist  
PPA





## **Tendering and contract Information for periods indicated**

[Tendering Opportunities for Sep - Oct 2011](#)

[Contracts Awarded for Jan-Oct 2011](#)

[Restricted Tender Awards Jan-Oct 2011](#)

[Expression of Interest Requests Sep - Oct 2011](#)

The links above will take you directly to the PPA Website Reports for the months of period indicated.



### **Editorial Team**

Emelia Nortey—Director MIS

Rhoda E. Appiah—Principal Public Affairs Officer

Yvonne Vanderpuye—Principal Operations Officer, CD/HR

Thomas K. Bondzi—Senior IT Specialist

p u b l i c  
p r o c u r e m e n t  
a u t h o r i t y

PMB 30  
Ministries  
ACCRA

Phone: 0302 - 765641-2  
Fax : 0302—765643

