



**UNITED REPUBLIC OF TANZANIA**

**PUBLIC PROCUREMENT REGULATORY AUTHORITY**

# **PARTICIPANT'S HANDBOOK**

## **TRAINING MODULE N° THREE**

**PROCUREMENT RECORD MANAGEMENT AND REPORTING  
FOR LOCAL GOVERNMENT AUTHORITIES**

Version 1.1  
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PPF Tower, 8th Floor, Ohio Street/Garden Avenue,  
P.O. Box 49, Dar es Salaam; [ceo@ppra.go.tz](mailto:ceo@ppra.go.tz); [www.ppra.go.tz](http://www.ppra.go.tz)



Training Module N° 3 has been developed by:

- Vedastus Lyaya Timothy and Geraldine Arbogast Rasheli; with
- Peer-review by Shimola Makondo, Leonard Lyatuu, Gaudence Kashoka and Reginald Mamiro; and
- Quality assurance by the Project Implementation Unit comprising PPRA's Directorate of Capacity Building & Advisory Services (Mary Swai), BTC's technical assistance team (Frits Raijmakers & Abbas Kajwangya) hereto assisted by PO-RALG (Yussuf Mustapha) and LGTI Hombolo (Muhsin Danga).



## FOREWORD

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Decentralization has been one of the major policy initiatives of the Government of the United Republic of Tanzania. The most recent policy reform commenced two decades ago and was formulated in 1998 as Decentralisation-by-Devolution (D-by-D). The policy has the main objective to empower citizens, devolve fiscal resources, democratize state power and facilitate effective service delivery in our communities to improving people's welfare. It is also intended to improve transparency and accountability in Local governments, promote good governance and participatory democracy.

Under the decentralization policy, a range of powers, responsibilities and functions are transferred to Local Government Authorities at Council and sub-Council levels. Besides the responsibility of planning, mobilising, allocating and managing fiscal resources, the function of procurement and contract management was fully transferred to Local Governments as entrenched in the Public Procurement Act (PPA) of 2004 and subsequent revisions made under PPA 2011 and amended in 2016.

In the course of implementing public procurement reform, we have realized that many Local Government Authorities - which constitute around one-third of all Procuring Entities in Tanzania- do not have adequate capacity in several core areas of Procurement and Contract Management. This is partly related to the complex, multi-sectoral organisation and the wide range of services provided by the LGAs at various levels (Council, Ward, Village and Service Delivery Unit). Experience also shows that procurement capacity development is yet to receive the required priority and resources at operational and strategic levels of the LGAs. Hence, there is need to guide LGA staff and officials (i.e. job families) in the use and application of the procurement law, regulations, procedures, processes, roles, responsibilities, tools and systems by addressing required hard and soft competences at the individual level to improve their job performance. The aim is to improve compliance and performance of Departments, Units and Councils in the main procurement functions and processes, and ultimately attain Value-for-Money of LGA procurement.

Against this background, the Authority has developed five training modules to enhance the availability of quality, procurement training materials specifically targeting Local Government Authorities, to mention:

Module	Title
Nº 1	Use and Application of Public Procurement Act and its Regulations for Local Government Authorities (available in both English and Swahili)

Module	Title
Nº 2	Procurement Planning for Local Government Authorities
Nº 3	Procurement Record Management and Reporting for Local Government Authorities
Nº 4	Contract Administration and Management for Local Government Authorities
Nº 5	Contract Closure, Review and Evaluation of Performance and Outputs

The modules were developed and introduced as part of Procurement Skills Development Planning in 28 selected LGAs in four regions (Dodoma, Kigoma, Pwani and Tanga) to guide and support LGA procurement capacity development. This training module No 3 provides detailed guidance on **Procurement Record Management and Reporting for Local Government Authorities**. All Local Governments, stakeholders and training providers are enjoined to use this and other modules whenever they are conducting procurement training in LGAs.

The modules comprise Participants Handbook, Trainer’s Guide and additional training materials, which are available in printed version and on-line. The PPRA intends to make the modules available through its e-learning platform in the near future. The modules should, however, be used together with the Constitution, the Public Procurement Act and its Regulations, Local Government Finance Act, and any legislation relevant to a particular subject or topic.

Finally, we wish to express our deep appreciations and gratitude to our partners and collaborators in the invaluable assistance they gave the Authority in developing, roll-out and final production of the training modules. The modules are one of the main outputs of the Enhancement of Procurement Capacity of Local Government Authorities project (EPC-LGAP), which was jointly implemented from 2013 to 2017 by the PPRA and the Belgian Development Agency (BTC) in partnership with the President’s Office - Regional Government and Local Government (PO-RALG).

The Authority invites stakeholders to provide feedback on the use of this and other training module and undertakes to provide any clarification where required to support capacity building and improvement of procurement and contract management in the Local Governments.



Dr. Laurent M. Shirima  
**Chief Executive Officer**  
**Public Procurement Regulatory Authority**

## ABBREVIATIONS

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AO:	Accounting Officer
APP:	Annual Procurement Plan
BTC:	Belgian Development Agency
BU:	Bring Up
CUIS:	Common Use Items and Services
DC:	District Council
DT:	District Treasurer
EPICOR:	Integrated Financial Management System (in use by LGAs)
GN:	Government Note
GPSA:	Government Procurement Services Agency
HPMU:	Head of Procurement Management Unit
IA:	Internal Auditor
ICT:	Information and Communication Technology
LGA:	Local Government Authority
MSD:	Medical Stores Department
OC:	Other Charges
PE:	Procuring Entity
PMU:	Procurement Management Unit
PPA:	Public Procurement Act
PPR:	Public Procurement Regulations
PPRA:	Public Procurement Regulatory Authority
Reg.:	Regulation
URT:	United Republic of Tanzania

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## SESSION 1: INTRODUCTION

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Session one provides a general introduction to procurement record management and reporting. The session is divided into three units as follows:

Unit 1.1: Background to the Module and Introduction to Procurement Record Management and Reporting;

Unit 1.2: Importance of Maintaining Records on Procurement Activities; and

Unit 1.3: General Procedures for Managing Procurement Records.

By the end of this Session the participants will be able to:

1. Explain the importance of maintaining records on procurement activities in Local Government Authorities; and
2. Explain and apply general procedures for managing procurement records.

### Unit 1.1: Introduction to Procurement Record Management and Reporting

#### 1.1.1 Unit Objectives

The unit is also intended to provide participants a general overview of the training module on management of procurement records and reporting. By the end of the unit, the participants will be able to:

1. Explain the link between decentralisation, the Local Government system and decentralised procurement in Tanzania;
2. Describe the importance of good procurement record management and reporting practices;
3. Distinguish between procurement records and other documents; and
4. Explain the legal and regulatory framework for procurement record management and reporting for LGAs in Tanzania.

#### 1.1.2 Decentralisation and Local Government System in Tanzania

Decentralisation refers to the transfer of national responsibilities or functions from central government to sub-national levels of government or from central agencies/offices to regional bodies or branch offices, or to non-governmental organisations or private concerns (Miller 2002). This transfer includes the authority to plan, make decisions and manage public affairs including financial resources by agencies other than the central government.

According to (Schneider 2003), decentralisation can take on any of the following forms:

- i) **Deconcentration:** the central government transfers responsibility for policy to its offices. At sub-national level. Under this arrangement, the central government retains authority over the field office and exercises that authority through the hierarchical channels of the central government bureaucracy. Deconcentration allows only moderately more autonomy than centralized systems.
- ii) **Delegation:** the central government transfers policy responsibility to local governments or semi-autonomous organisations that are not controlled by the central government, but remain accountable to it. Under this arrangement, the central government exercises its control through a contractual relation that enforces accountability of local government. Delegation represents a slightly higher level of administrative autonomy for local entities than under deconcentration.
- iii) **Devolution:** the central government allows quasi-autonomous local units of government to exercise power and control over the transferred policy. Compared to the other two types of decentralisation, devolution provides the greatest degree of autonomy for the local unit in terms of administrative powers and fiscal resources. The local unit is only accountable to the central government insofar as the central government can impose its will by threatening to withhold resources or responsibilities from the local unit.
- iv) **Privatisation:** refers to the cases in which decentralisation occurs to organisations outside the government sector.

The Tanzanian local government system is based on political devolution and decentralisation of functions and finances within the framework of a unitary state. The Local Government Reform Policy Paper (URT 1998) puts forward the overall objective of the Decentralisation by Devolution as to making local governments effective centres of self-governance, participation, local decision-making, planning and development. The Policy Paper sets out the policy on decentralisation by devolution (D-by-D), which is expected to contribute to the national drive to reduce poverty by improving service delivery in key areas such as health and education.

### 1.1.3 Advantages of Decentralisation

There are many potential benefits of decentralisation. The majority of these advantages can be broadly captured as improved efficiency, governance, equality, development and poverty reduction (Smoke 2003).

- i) **Improved efficiency:** sub-national governments are said to be closer to the people, have good access to local information and understand the local context well. If so, they can better identify the mix and level of services that their constituents need than the higher-levels, thus improving allocative efficiency.
- ii) **Improved governance:** decentralised government are able to influence public affairs in ways that directly affect them and empowers people, giving them a sense of control and autonomy.
- iii) **Improved equity:** local governments are familiar with local circumstances, they are thus in a better position to more equitably distribute public resources and target poverty within their own jurisdictions.
- iv) **Improved development and poverty reduction:** local governments are expected to contribute to local economic development in a number of ways. First, they can provide services that serve as production and distribution inputs for local firms and entrepreneurs. Second, they can contribute to a legal and institutional environment that is conducive for development. Third, they can help to coordinate key local public, private and community actors in creating partnerships that promote development.

#### 1.1.4 Disadvantages of Decentralisation

The following arguments may also be put forward against decentralization (Vries 2000):

- i) **Equality problems:** Threatens the principle of equality before the law in equal circumstances. For example, citizens in one community may be required to conform to different environmental standards or tax levels in the local community while not similarly restricted in a neighbouring community.
- ii) **Competition problems:** Puts cities, departments and regions against each other as they attempt to attract profitable business and affluent tax payers to their areas.
- iii) **Management capacity problems:** Small communities are unable and unequipped to handle such inherently complex problems associated with decentralisation and may not attract qualified and skilled staff.
- iv) **Challenge of coordination** between local governments and central government (sector) ministries, departments and agencies.

#### 1.1.5 Importance of Procurement Record Management and Reporting in LGAs

Local Government Authorities in Tanzania have been established as key public service delivery centres. The reform under the Public Procurement Act of 2004 (URT 2004) and subsequent enactment of the Public Procurement Act 2011 (URT 2011) as amended in 2016 restructured procurement to decentralised Procuring Entities (PE)

including the LGAs. Procurement enables LGAs to acquire the required goods, services and construction works needed to fulfil their objectives.

The legal framework for procurement record management includes:

- Public Procurement Act No. 07 of 2011 as amended in 2016 (URT 2016);<sup>1</sup>
- Public Procurement Regulations GN 446 of 2013 (URT 2013);
- Local Government Finance Act (Cap 290) of 1982 (URT 1982);
- LGAs Tender Board Establishment and Proceedings GN 330 of 2014 (URT 2014b);
- National Archives and Records Management Act (2002); as well as
- Other relevant guidelines.

In executing their procurement functions, officials in Local Government Authorities (LGA) need to be skilled in many areas, which are not specifically related to their core specialisation, one of them is Procurement Record Management and Reporting. Lack of adequate skills in this area has been undermining the performance and accountability of local governments in Tanzania.

### 1.1.6 Module Learning Outcomes

Upon successful completion of this Module, the participants will be able to:

1. Manage LGA procurement records and reports in line with the requirements of relevant legal provisions and best practices;
2. Impart participants' understanding and skills on how to effectively manage procurement records and reporting in LGAs in accordance with legal requirements, standards and recommended best practices; and
3. Implement changes at the work place and sharing of learning with colleagues to improve and enhance procurement record management and reporting.

### 1.1.7 Outline of the Module

The module is designed to be completed in three days comprising three sessions with a total of 11 units. Each unit will cover approximately one hour and fifty minutes. Session one provides a general introduction to procurement record management and reporting in LGAs including its procedures; session two deals with records management and reporting roles in LGA procurement; and session three deals with managing records of specific procurement activities.

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<sup>1</sup> When reference is made in this module to PPA this means: Public Procurement Act of 2011 as amended in 2016.

References are listed at the end of the module as well as an extensive list of annexes with essential forms and records that make-up procurement files and are part of procurement reporting. Learners are advised to regularly check the PPRA website for any updates or new forms. Table 1 provides the outline of the Training Module.

**Table 1:** Outline of the Training Module

<b>Session</b>	<b>Unit</b>	<b>Topics</b>
<b>Session 1:</b> Introduction	<b>Unit 1.1:</b> Introduction to the Module and to Procurement Record Management and Reporting	1.1.1 Background 1.1.2 Course objectives 1.1.3 Training methods 1.1.4 Duration of the course 1.1.5 Unit objectives 1.1.6 Definition of key terms 1.1.7 Records management principles 1.1.8 Legal framework
	<b>Unit 1.2:</b> Importance of Maintaining Procurement Records	1.2.1 Unit objectives 1.2.2 Importance of maintaining adequate records on procurement 1.2.3 Risks associated with poor procurement record management
	<b>Unit 1.3:</b> General Procedures for Managing Procurement Records	1.3.1 Unit objectives 1.3.2 Procurement record lifecycle 1.3.3 Basic records involved in LGA procurement 1.3.4 Procedures for opening, naming and numbering procurement files 1.3.5 Procedures for controlling movement of procurement files 1.3.6 Organisation of procurement records in a file 1.3.7 Procedures in closing a procurement file 1.3.8 Procedures in appraising and disposing procurement records 1.3.9 Procedures for managing electronic records
<b>Session 2:</b> Records Management and Reporting Roles in LGA Procurement	<b>Unit 2.1:</b> Roles of Key Actors in LGA Procurement	2.1.1 Unit objectives 2.1.2 Procurement record management: role of Accounting Officer 2.1.3 Procurement record management: role of User Departments 2.1.4 Procurement record management: role of PMU

Session	Unit	Topics
	<b>Unit 2.2:</b> Records Security and Risk Management	2.2.1 Unit objectives 2.2.2 Safeguarding the integrity of procurement record 2.2.3 Procedures for protecting procurement records 2.2.4 Security of automated records management systems
<b>Session 3:</b> Managing Records of Specific Procurement Activities	<b>Unit 3.1:</b> Record Keeping for Procurement Plan Preparation and Implementation	3.1.1 Unit objectives 3.1.2 Introduction 3.1.3 Procurement plan file 3.1.4 Arrangement of records
	<b>Unit 3.2:</b> Record Keeping for Procurement of Goods	3.2.1 Unit objectives 3.2.2 Introduction 3.2.3 General procedure 3.2.4 Essential steps and corresponding records
	<b>Unit 3.3:</b> Record Keeping for Procurement of Works	3.3.1 Unit objectives 3.3.2 Introduction 3.3.3 General procedure 3.3.4 Essential steps and corresponding records
	<b>Unit 3.4:</b> Record Keeping for Procurement of Non-Consultancy Services	3.4.1 Unit objectives 3.4.2 Introduction 3.4.3 General procedure 3.4.4 Essential steps and corresponding records
	<b>Unit 3.5:</b> Record Keeping for Procurement of Consultancy Services	3.5.1 Unit objectives 3.5.2 Introduction 3.5.3 General procedure 3.5.4 Essential steps and corresponding records
	<b>Unit 3.6:</b> Record Keeping for Disposal of Public Assets by Tender	3.6.1 Unit objectives 3.6.2 Introduction 3.6.3 General procedure 3.6.4 Essential steps and corresponding records
	Course Evaluation	<ul style="list-style-type: none"> <li>▪ Training evaluation</li> <li>▪ Qualitative evaluation exercise</li> </ul>



- Procedures for management of procurement records and reports at sub-Council level (i.e. Lower Local Government Authorities and Service Delivery Units) will be addressed in a guideline, which is being developed.
- Interested LGAs can in the meantime consult with the Local Government Training Institute (LGTI, Hombolo), who have developed a specific training module (in Swahili) on management of procurement records a sub-Council level; this module has been roll-out to selected Lower Local Governments of 25 Councils in 2016.

### 1.1.8 Definition of Key Terms

#### 1. *Records*

Records refer to information or data on any such specific subject obtained and preserved for future reference or use. For a piece of information to be considered a record however, it must meet such parameters as genuineness and authenticity.

#### 2. *Records management*

Records management involves designing and directing a program for achieving economy and efficiency in the creation, maintenance and use and disposal of records to achieve adequate and proper documentation of policies and transactions and effective and economical management of an entity's operations.

#### 3. *Procurement records*

Procurement records include all documents relevant to the pre-tendering, tendering and contract administration phases. Procurement records provide controls that document how a procurement action was undertaken for the whole procurement cycle and provides essential audit trails.

#### 4. *Action officer*

An officer who is responsible for decisions or approvals requested.

### 1.1.9 Records Management Principles

A sound records management system has the following characteristics:

1. Promotes efficiency through improved access to information;
2. Is essential for effective policy formulation, decision making, business operations, implementation and monitoring of programs and activities;
3. Enables speedy and efficient access to and sharing of information;
4. Implies capturing complete, accurate, reliable, secure and accessible records. It also means assigning responsibilities for records management in an organisation; and

5. It is a critical component for good governance, effective and efficient administration, transparency, accountability and delivery of quality services to the citizens.

- Good record keeping practices requires work discipline and support from all levels, which contribute to the following:
1. Creation and maintenance of accurate and reliable information;
  2. Easy accessibility to information;
  3. Transparency and accountability;
  4. Procuring Entities performing their functions efficiently;
  5. Availability of authentic, reliable and tangible records to fight corruption;  
Resources being matched to objectives.

### 1.1.10 Legal and Policy Framework for Procurement record management

The legal documents to be referred to in respect of procurement record management include the following:

1. *The National Records and Archives Management Policy (2011)*  
Procurement records, as part of public records, are addressed by the National Records and Archives Management Policy (URT, 2011). The policy requires compliance by records creators and users, reliability and authentic records and archives, classifications of records and archive, storage and protection, accessibility, personnel and disposition of records and archives.
2. *The Archives and Records Management Act (2002)*  
Section 9 of Archives and Records Management Act, 2002 shows responsibilities of Accounting Officers in managing current records, and produce retention and disposing schedules.
3. *Public Procurement Act (2011) as amended in 2016 (URT 2016)*  
Section 61 of PPA 2011 requires procurement entities to keep procurement proceedings in which it is involved, including decisions taken and the reasons for it and such records be kept for a period of not less than five years from the date of completion of the contract and be made available when required to the Minister and the Controller and Auditor-General.

4. *Public Procurement Regulations (2013) (URT 2013)*

The regulations describe the information and records which are required to be maintained by the Procuring Entity. It also shows the roles of different actors in managing procurement records.

5. *Local Government Authorities' Tender Boards (Establishment and Proceedings) Regulations, GN 330 of 2014*

The regulation describes the roles of various actors in LGA procurement.

6. *The Local Government Financial Memorandum (2009)*

Describes that the Council Human Resources Officer is the custodian of all LGA's records.

### Exercises

Group work: What are the institutional/legal challenges involved when managing procurement records in your LGAs?

**Excercise 1.**

Group work: What are the institutional/legal challenges involved when managing procurement records in your LGAs?

## Unit 1.2: Importance of Maintaining Procurement Records

### 1.2.1 Unit Objectives

By the end of the unit, the participants will be able to:

1. Explain the importance of maintaining adequate records on procurement activities; and
2. Explain the risks associated with keeping inadequate records.

### 1.2.2 Importance of Maintaining Records on Procurement

Procurement records provide the controls that document how a procurement action was undertaken, and protects essential audit trails. Disorganized records mean reviewers and auditors take an excessive amount of time to locate needed records. A well-managed procurement record management system will enable the physical and logical control of records and prevent unauthorised access, tampering, loss, misplacement or destruction of documents. Proper records management is essential for ensuring transparency and probity in the procurement and financial management.

➤ Records are important for accountability and are a powerful deterrent against procurement and financial malpractices; and as records provide evidence of activities of a Procuring Entity, hence they need to be managed within systems that control them throughout their existence and within the procurement cycle.

### 1.2.3 Risks Associated with Poor Procurement Record Management

Records form the foundation of good and accountable administration. Unorganized and poorly managed records lead to inability to access information needed to support policy formulation, implementation and delivery of programs and services.

Risks associated with poor procurement record management include the following:

1. Decisions are taken on ad hoc basis without the benefit of records;
2. Fraud cannot be proven and meaningful reporting such as audits cannot be carried out;
3. Government actions are not transparent;
4. Citizens cannot protect or claim their rights;
5. Citizens cannot make an informed contribution to the governance process;
6. A PE's or even a country's memory is impaired;
7. Weak records management practices mean officials cannot be held accountable for their actions; and

8. Failure to manage records leads to build up of closed records, overcrowding and disorganization. This makes it difficult to retrieve and use records efficiently.

## Exercises

### Case study: Mbuyuni District Council: Part One

Mamroso Edward has been working with Mbuyuni District Council as a Director for ten years. He appointed Head of PMU who holds a Certificate in Procurement and Supply. She heads a unit of four staff with a first degree in procurement. The Public Procurement Act (2011) as amended in 2016 and its regulations require the Accounting Officer (AO) to appoint a Head of the PMU who is experienced and registered with procurement professional body. She has decided to hire a consultant after receiving a procurement audit report.

Procurement audits covered issues related to pre-contract stage and contract management and processes. The Mbuyuni DC scored 46% in record keeping indicator and an overall score was 49%. Auditors observed the following;

1. Procurement planning<sup>2</sup>
  - Procurement plan is prepared using standard template provided by PPRA;
  - The procurement plan is not updated;
  - Procurement requirements are not aggregated;
  - Procurement plans i.e. for internal use, external use and for submission to PPRA are not reported to relevant authorities; and
  - General Procurement Notice(s) is not published.
2. Contract management for works, goods, consultancy and non-consultancy services<sup>3</sup>
  - Respondents of interviews in audit report complained of not signing of contracts by organs concerned at the appropriate time; it was revealed that most contracts were late to be signed by parties representing the client;
  - Accounting Officer did not appoint the contact supervisor for most contracts;
  - It was reported that sites were not handed over to contractors on time for most tenders. Moreover, meetings with contractors were not attended by many procurement actors including the PMU. Also site meetings were attended by the office of District engineer without including the PMU.
  - Some issues raised at the site meeting were not reported by the PMU; some actors also reported that they do not trust issues that are raised by contractors such as time extensions because of the low level of participation of

<sup>2</sup> Audit report for Mbuyuni accessed on 2.2.2014 at [www.Procurement](http://www.Procurementregulator.gov.ke) regulator

<sup>3</sup> Audit report for Mbuyuni accessed on 2.2.2014 at [www.Procurement](http://www.Procurementregulator.gov.ke) regulator

procurement actors in the LGA; Sometimes payments certificates are not attached with covering letter of the supervisor to advice on the payments to be done;

- Local Purchasing Orders are not prepared through EPICOR of which commitment of funding is cleared after payment voucher has been produced; there are still some levels of bureaucracy in the accounts sections.
- Extension of time is not appropriately managed, procurement actors are not part of the decisions for awarding time extension;
- PMU cannot prepare reports because they are not included in contract monitoring teams;
- Some contracts with a contract period of two to three months were given up to six month extension;
- Payments to contractors is seen as a gift;
- Heads of departments do not use requisition forms;
- EPICOR system is not working as it is supposed to. Some heads of department are not contacted by DT for OC arrangements. This has caused some of the departments including PMU not to buy using their votes or pay suppliers; and
- Two consulting projects (Water project supervision) with huge amount of funding were not completed and there are no records for these projects in the PMU.

**Questions:**

1. Identify risks associated with poor record keeping as far as transparency and accountability is concerned at Mbuyuni DC ; and
2. Advice Mbuyuni DC management on benefits that can be obtained by keeping proper procurement records.

## Unit 1.3: General Procedures for Managing Procurement Records

### 1.3.1 Unit Objectives

By the end of the unit, the participants will be able to:

1. Describe the procurement record lifecycle (including retention period);
2. Explain the basic records involved in LGA procurement;
3. Apply appropriate procedures for opening, naming and numbering of procurement files;
4. Apply appropriate procedures for controlling procurement file movement;
5. Demonstrate proper organisation of procurement records in a file;
6. Apply appropriate procedures in closing a procurement file;
7. Apply appropriate procedures in appraising and disposing procurement records; and
8. Illustrate the procedures for managing electronic records.

### 1.3.2 Procurement Record Lifecycle

A record goes through a life cycle consisting of three phases: 1) active or current; 2) semi-current; and 3) inactive or non-current phase. Procurement records should be managed throughout their life.

#### 1. *Current or active records*

These are the open files that are in use for conducting the current business of the organization. Current records and documents are constantly in use and should therefore be maintained close to the users. They should be maintained and managed within a logical filing system that facilitates their access. Current records are usually maintained in Procurement Management Units (records offices or sub-registry).

#### 2. *Semi-current records*

These consist of the recently closed files. They are only infrequently used. They should be entered in a closed records register and systematically transferred and organized in a departmental records centre. The register acts as a retrieval tool.

#### 3. *Non-current or inactive records*

These are documents that are hardly ever referred to for the conduct of business operations. Non-current records should be reviewed and appraised in order to make judgment on their further retention. Those that are selected as valuable records should be preserved in a departmental records centre or with prior arrangements transferred to the National Archives for long term preservation as archival records.

#### 4. *Records retention period*

Section 61 (1) of the PPA 2011 requires Procuring Entity to maintain a record of its procurement proceedings in which it is involved, including decisions taken and the reasons for it and such record shall be kept for a period of not less than five (5) years from the date of completion of the contract and be made available when required to the Minister and the Controller and Auditor-General, the Authority or any other officer authorised by the Accounting Officer; provided that where special circumstances demand such records may be kept for not less than seven years.

### **1.3.3 Basic Records for LGA Procurement**

Basic records involved in LGA procurement are those mentioned in Regulation 15 of GN. 446 of 2013. These include:

- a) Brief description of the goods, works or services to be procured, or of assets to be disposed of by tender;
- b) Names and addresses of tenderers who were pre-qualified, short listed or selected and invited to submit tenders including the procedure used to select them;
- c) Names and addresses of tenderers that submitted tenders and the name and address of the tenderers with whom the procurement or disposal contract is entered into and the contract price;
- d) Information relating to the qualifications, or lack thereof, of tenderers that submitted tenders;
- e) Price, valuation of assets or the basis for determining the price, and a summary of the other principal terms and conditions of each tender and of the procurement or disposal contract, where these are known to the Procuring Entity;
- f) Summary of the evaluation and comparison of tenders, including the application of any margin of preference;
- g) Where all tenders are rejected pursuant to regulation 17, a statement to that effect and the grounds thereof, in accordance with regulations 17(1) and 17(2);
- h) Where procurement, selection or disposal proceedings by tender did not result in a procurement or disposal contract, a statement to that effect and of the grounds thereof;
- i) Information required for rejection of a tender as provided under regulation 7(3);
- j) Method of selection used and justification, if other than competitive selection process;



- k) Statement required of the grounds and circumstances on which the Procuring Entity relied to justify the selection of the method of procurement used in procurement proceedings as provided to regulation 141 (3);
- l) Statement of the grounds and circumstances relied upon by the Procuring Entity for imposing the limitation in procurement or selection proceedings in which the Procuring Entity limits participation on the basis of nationality, as provided in regulation 9(3);
- m) Summary of any requests for clarification of the pre-qualification, request for expression of interest or solicitation documents or request for proposals, the responses thereto as well as a summary of any modification of those documents; and
- n) Summary of all complaints lodged by tenderers before the award of the contract and decisions thereof.

### 1.3.4 Procedures for Opening, Naming and Numbering of Procurement Files

#### a) Opening a new file

- i) When a document comes into the registry, the records staff must decide whether an appropriate file already exists;
- ii) If no appropriate file exists, create a new file and allocate a reference and a title;
- iii) No new file may be opened before there is correspondence to go on it;
- iv) Opening files in the expectation of future correspondence leads to waste of effort, waste of valuable file covers and, most damaging of all, confusion in the file index;
- v) If there is any doubt at all about whether a new file is required, the records staff will ask the HPMU or any other relevant action officer for advice. Action officers should be encouraged to indicate their need for files;
- vi) If a new file is required, the records officer must think carefully about what it will contain and how it will grow.

➤ Remember that each file should relate to a single tender, or a particular type of procurement transaction.

#### b) Giving procurement files titles

- i) Choose a clear and precise title for each file. The title should be as descriptive as possible to provide adequate details of the file's actual and likely contents. It should trigger in the users' minds what the file contains;
- ii) At the same time it ought to be specific enough so that the records officers do not use the file to cover different aspects of the same business or new developments that really should be the subjects of several files. Besides

describing the contents, a file title should also limit the scope of the material to be placed on it;

- iii) When adding new papers to a file, take care that the file title continues to reflect the contents accurately. At the same time, do not change the title of a file unless it is absolutely necessary. Users become familiar with titles, and changes leads to confusion. If necessary, create new files for new papers and make cross-references to the files containing earlier related papers;
- iv) If there is any doubt about the title of a file, consult the appropriate action officer, i.e. HPMU. Users' views on file titles should always be taken into account;
- v) Where it does seem justified to change the title of a file, obtain the permission of the head of the records office before any change is made. In exceptional circumstances, a file whose title no longer reflects its contents should be closed and a new file with the correct title opened; and
- vi) Example of a procurement file title could be Supply and Installation of Generator at xxxx District Hospital or Consultancy Service for Supervision of Construction of Kwamkibizi Dam in xxxx Ward.

#### **c) Assigning file reference numbers**

- i) The reference number for a procurement file should be constructed in accordance with the file classification system provided by the PPRA; and
- ii) The classification scheme provides a logical framework for organising files in relation to each other. The coding system is a representation of the classification scheme, in letters and/or numbers, and in accordance with the pre-established rules. Whichever system is used, each file must have a unique identifier comprising a multi-part alpha and/or numeric reference code.

#### **d) Identifying the file series and sequential numbers**

- i) The first step in assigning a file number is to determine the appropriate file series. In general, there is a file series for each of the ministries, departments, agencies or LGA; and
- ii) The last element in the file reference will be a sequential number distinguishing it from other files relating to the same or a closely connected subject in procurement it will be a tender number. This is normally written as '01', '02', etc.

#### **e) Guideline on tendering numbering**

- i) The file classification system for all procurement is provided by the PPRA which can be found on the Authority's website ([www.ppra.go.tz](http://www.ppra.go.tz)) in the Directory of Procuring Entities or you may request this from PPRA.

- ii) An example of a procurement file for works in Kigoma District Council is LGA/043/2015-2016/W/01;
  - LGA/043 - Code Number this is the code number for Kigoma District Council
  - 2015-2016- Financial year
  - W- Works procurement category
  - 01- Tender No. 1 for the financial year in works category

### 1.3.5 Procedures for Controlling Procurement File Movement

Files are issued to action officers in at least three circumstances:

- A document arrives in the registry is recorded and filed, and the file is passed to the responsible officer;
- A file is to be 'brought up' to the officer; and
- The officer requests the file in person or by telephone.

Records office/PMU staff must be able to determine the location of every file for which they are responsible. Each time a file moves, this fact must be recorded in the records office/PMU. File movements are monitored in a number of ways: on file transit sheets that are filed in a file transit book, on transit ladders that appear on file covers, on file movement slips and through regular file censuses.

#### 1. *File Transit Sheet*

Each time a file is issued to a user, for whatever reason and for however short a period, this fact must be noted by records staff in the 'Sent To' and 'Date' boxes on the relevant transit sheet. The date when the file is returned to the records office must also be recorded (Annex 1).

#### 2. *File Movement Slip*

Files are frequently passed backwards and forwards between officers for short periods as a part of everyday business. Short-term file movements, for example, when an action officer passes a file to another officer to read a document on the file, need not be recorded in the records office. However, as a general rule, when an officer completes an action on a file and passes the file to another officer, even if only temporarily, the action officer should inform the records office/PMU. An officer wishing to pass a file directly to another officer must complete a file movement slip (Annex 2) and send it immediately to the record office/PMU.

➤ The Head of PMU should ensure that action officers always have an adequate supply of file movement slips.

As soon as records office staff/PMU receives the file movement slip, the information must be recorded on the transit sheet.

➤ Keep completed file movement slips on file for six months and then destroy them (Annex 2).

### 3. *File Transit Ladder*

Each file movement must be recorded on the transit ladder on the front of the file cover. This records the same information that appears on the file transit sheet. Transit ladders provide a record of all officers who have handled any particular file. When a ladder is full, it must be replaced with a new blank ladder (Annex 3).

### 4. *File Census*

It must be accepted that sometimes an officer will pass a file to another officer when he/she has finished using it, without the file's transfer being recorded in the records office. In order to confirm the location of files that are not in the records office's custody, records staff should carry out a regular census of every file outside the records office. If no discrepancies are found the frequency of file censuses can be reduced.

Records officer/PMU staff must visit every action officer at regular intervals (once a week is recommended) to list on a file census form all the files held by that officer. The person carrying out the census must sign the bottom of each census form used, and the form is also initialled by the relevant action officer. Then check the information on the file census form against that in the transit book to ensure that the up-to-date location of each file is correctly recorded. If there is any discrepancy, the file transit sheet must be amended and the discrepancy reported to the head of records office/PMU (Annex 4).

## 1.3.6 Organisation of Procurement Records in a File

The registered procurement file is an organised assembly of procurement documents kept together for use and relating to a specific procurement. The registered procurement file should have three components:

1. Cover to protect the contents and act as a title page and a record of the file's circulation;
2. The contents (Procurement records); and
3. Some instruments of securing the whole file together.

File covers (also known as jackets or folders) are usually made of rigid Manila paper or board, cut larger than the dimensions of the documents to be filed and folded to enclose the documents and so minimise damage from handling and use.

The file cover should be pre-printed with the name of the LGA or relevant Procuring Entity if this is appropriate. The file cover should include a space for the file title, file number, index headings or keywords, security marking, references to previous, subsequent or related files, and file period (i.e. the date or year of opening, and closure when known). The cover should also have a grid (or ladder) for recording the file's circulation when in use.

Maintaining the order of procurement documents within the file is a vital requirement of filing. This establishes the context within which decisions and actions were taken, and the sequence of those decisions and actions. Hence, papers should be filed in the same order as the procurement transactions of which they form part. This is not the same as saying that the individual papers are filed in their date order. Place papers within a file in the order in which they are received in the PMU for filing.

- For example, an outward letter dated 02 May 2015 will be filed before an incoming letter dated 28 April if the outgoing letter, with the later date, is sent out and a copy filed before the incoming letter, with the earlier date, is received.

Secure individual documents within a file so that they do not become misplaced or lost. The 'treasury tag' is still the cheapest and easiest method of securing documents within a file. There is a recommended method for using treasury tags. Holes are punched in the top left-hand corner of the front cover and inside back cover of the file, taking care not to lose information where the hole is punched. The tag is inserted through the front cover from the inside, passed round the 'spine' of the file on the outside and inserted through the back cover. Holes should be punched in the top left-hand corner of each document to be filed, three centimetres (one inch) down and three centimetres in from the edge. Documents are secured to the end of the tag which passes through the back cover to the inside of the file.

### 1.3.7 Procedures for Closing a Procurement File

Files for completed activities or which are full such that it is not convenient to handle them should be closed. The closed files should be retained for periods laid down in Sect 61 (1) of PPA 2011. At the end of this period some files are destroyed, but the majority are transferred to the records centre.

- Record centres are those established under section 14 (4) and (5) of the Records and Archive Management Act (2002) which requires Record centres and archival repositories be established in the regions to be regarded as being under the

control of the Director of the Records and Archives Management Department and the public records therein as being in his custody for the purposes of that Act.

Where there is no archival repository within the regions served by a branch office of the Department of Records and Archival Management, the Director may direct the transfer of archives to the National Archives or to any other archival repository under his control until such time as an archival repository to serve those regions may be established.

The records office staff should ensure that files are closed as soon as they become either three centimetres thick or five years old, whichever is the sooner. This is necessary because:

- a) Files that are thicker than three centimetres are hard to manage and this may result in damage to the contents; and
- b) Papers more than six years old are rarely required for reference and should not be regarded as current records. No further papers should be added to files that are closed.

The method of closing a file is to write the word 'CLOSED' diagonally in bold letters across the front cover, together with the date the file was closed. The file transit sheet must be marked to show that the file has been closed. The date when this was done is also recorded.

If it is necessary for action to be continued on a topic covered in a file that has been closed, a new file part should be opened. The existence of the new part must be noted on the transit sheet for the closed part in the 'subsequent file number' box. All the usual control records must be completed for the new part. The new file part should also carry a note explaining that the previous part has been closed and giving its reference. If or when the closed part is transferred to the records centre, this should also be noted on the transfer sheet and on the new file part.

Although no new action may be taken on a closed file, and no new papers added, closed files should be kept available in the records office (or in a nearby file store) for a period of time so that users may easily refer to them. If action officers' request closed files, the file movement should be recorded on the transit sheet for the closed file. If the records office holds the current part of a closed file, the current file should be passed to the action officer with the closed part once the transit records have been completed.

### 1.3.8 Procedures in Appraising and Disposing Procurement Records

Closed procurement files are retained in record office for six years (records and archive guideline) and five years (PPA, 2011 as amended in 2016). At the end of this specified period, closed files are transferred to the records centre or destroyed. Records offices are responsible for seeing that these actions are carried out.

Only a few records are permanently preserved because of their enduring value; these are transferred to the records and archives management department. Most records must be destroyed as soon as they cease to have legal or administrative value.

If records are not required, or are unlikely to be required, for the conduct of current procurement transactions, but they still have a continuing value, they should be transferred to the records centre.

➤ Decisions about the transfer or destruction of closed files are the responsibility of the head of the records and archives management department in consultation with the relevant officials. Disposal schedules are the means by which these instructions are communicated by the records and archives management department (Archive and Records Management Act, 2002).

### 1.3.9 Procedures for Managing Electronic Records

Where a written law requires that certain information or document be retained or kept, that requirement is deemed to have been met by electronic record keeping provided that:

- a) The information contained in that record is in electronic form;
- b) The electronic record is retained or kept in a format in which it was generated, sent or received, or in a format which can be demonstrated to represent that information accurately; and
- c) Such electronic record is retained or kept in a form that enables the identification of the origin and destination of an electronic record or electronic communication and the date and time when it was first generated, sent, received or retained (Sect 9, Electronic Transactions Act, 2015).

#### 1. Telegrams

- a. Place telegrams in folders marked 'URGENT' immediately after they have been registered; and
- b. These folders must then be passed without delay to a senior officer for directions on how they are to be treated.

## 2. *Faxes*

- a. Much routine non-urgent correspondence is sent by fax. The unnecessary use of fax should be discouraged and care should be taken in deciding whether faxes need to be treated as urgent. The head of PMU should consult the appropriate action officer if in doubt;
- b. Faxed documents tends to fade if printed on thermal paper. Once it has been established that a fax concerns official business, the fax should be photocopied and the copy placed in the mail folder or on the appropriate procurement file as necessary. The fax, as received, should then be placed on a file kept for original faxes;
- c. All incoming faxes on the fax file should be destroyed after six months as a matter of routine. If the original of the document faxed is received at a later date in the records office, it should also be placed on the appropriate file and
- d. Both the photocopy of the fax and the original document should be retained on the file as the photocopy may have had comments written on it by action officers.

## 3. *Electronic mail*

- a. More communications are now received by electronic mail on computers used by action officers at their desks. However, many e-mail messages are routine or unrelated to official business and will not need to be retained once they have been read;
- b. Officers sending or receiving electronic mail must decide whether each item of e-mail received or despatched concerns official business and needs to be printed so that a copy is placed on file;
- c. In all cases when incoming electronic mail is printed for filing, any outgoing reply should also be printed and filed with the incoming message. Where possible, e-mail messages should relate to one subject only to facilitate filing. If an e-mail relates to several subjects, copies will need to be made and placed on the appropriate files; and

➤ It is possible to file and retain electronic messages electronically. However, at present the facilities to do so are not in place in most LGAs.



## Exercises

Individual exercise: Choose and tick the correct category

S/n	Statement	Yes	No
1	PMU should keep copies of all relevant records related to procurement		
2	Signed contract documents should be kept in User Departments		
3	Decisions about the transfer or destruction of closed files are the responsibility of the head of the PMU in consultation with the relevant officials.		
4	Procurement records are kept for five years before they are regarded as non-recurrent records		
5	PPR 2013 requires that all information or document concerning procurement be retained or kept by PMU, hence that requirement is deemed to have been met by electronic record keeping		
6	The file classification system for all procurement is provided by the PPRA		
7	The closed files should be retained for periods laid down in Sect 61 (1) of PPA 2011. At the end of this period all are transferred to the records centre		
8	File movement slip is filled by record office/PMU staff only		
9	Records involved in LGA procurement are those mentioned in Regulation 15 GN. 446 of 2013.		
10	Procurement records should be managed throughout their current or active phase		

## **SESSION 2: ROLES AND RESPONSIBILITIES IN LGA PROCUREMENT RECORD MANAGEMENT**

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Session two provides a detailed introduction to the roles and responsibilities of key actors in LGA procurement record management and how to keep records secure and minimize risks. The session is divided into two units as follows:

Unit 2.1: Roles of Key Actors in LGA Procurement record management; and  
Unit 2.2: Records Security and Risk Management.

By the end of this Session the participants will be able to:

1. Describe the roles and responsibilities of the key actors in LGA procurement record management and how to apply in their day-to-day work; and
2. Describe how to keep records secure, manage risks and how to apply in their day-to-day work and office duties.

### **Unit 2.1: Roles of Key Actors in LGA Procurement Record Management**

#### **2.1.1 Unit Objectives**

By the end of the unit, the participants will be able to describe the procurement record management roles and responsibilities of main actors (office bearers) in Local Government Authorities.

#### **2.1.2 Role of Accounting Officer**

Heads of public offices are responsible for creating and maintaining adequate documentation of the functions and activities of their respective public offices through the establishment of good records keeping practices (Sect. 9 of Archive and Records Management Act, 2002) including:

1. Creating and managing current records with appropriate filing systems;
2. Drafting retention and disposal schedules relating to records specific to each public office, with the assistance of the Director of archives and records management;
3. Implementing retention and disposal schedules issued in accordance with paragraphs (d) and (e) of section 11 of Archive and Records Act;
4. Transferring semi-current records into the custody of the Director of archives and records, except in so far as they may remain classified as confidential or secret on grounds of:
  - a) National security;

- b) Maintenance of public order;
  - c) Safeguarding the revenue; or
  - d) Protection of personal privacy, and deferment of their transfer for a further specified period has been approved by the Minister by regulation under section 28 of this Act; and
5. Appointing a qualified officer who shall be a coordinator of records management activities in the department or ministry. Council Human Resource Officer is the custodian of LGA records.

Heads of public offices also responsible for co-operation with the Director of Archives and Records Management in the management of semi-current records (Sect. 9 of Archive and Records Act, 2002) and in particular for:

1. Maintaining the integrity of all semi-current records returned temporarily under paragraph (b) of section 12 of the Act;
2. Approving access by third parties, other than authorised personnel of the Department of archives and records and of the public office which created them or its successor in function, or as provided for in subsection (4) of section 6 of the Act;
3. Maintaining semi-current records whose transfer has been deferred under paragraph (d) of section 9 of the Act in conditions comparable to those provided by the Director of archives and records management in records centres under his control;
4. Implementing retention and disposal schedules relating to semi-current records whose transfer has been deferred under paragraph (d) of section 9 of this Act and transferring records of enduring value into the custody of the Director of archives and records management or to such other place of deposit as may have been appointed under section 15 of the Act not later than twenty years from their creation, except in so far as further deferment of transfer for a specified period may have been approved by regulations made in accordance with section 28 of the Act.

➤ In the LGA structure the Accounting Officer is the final responsible for all records and documents of the Council, but the function is in practice performed by the Council Human Resources Officer.

### 2.1.3 Role of User Departments

A well-run record management system in a Procuring Entity depends upon an active partnership between PMU, registry staff and users. Section 39 (1) (i) of the PPA requires User Departments to maintain and archive records of contracts management. Moreover, registry staff rely upon users including the PMU to:

1. Deal with files promptly and return them to the registry/PMU when they are no longer required;
2. Use the Bring-Up (BU) system when action on a file needs to be temporarily suspended;
3. Keep files free of unnecessary material such as duplicates, drafts, etc;
4. Include the relevant file and letter reference on all outgoing correspondence;
5. Provide the Registry/PMU with a completed file movement slip whenever they pass a file to another officer or elsewhere other than the Registry/PMU; and
6. Co-operate fully with all necessary record checks, including censuses and searches conducted by Registry/PMU staff.

#### 2.1.4 Role of Procurement Management Unit

Section 38 (i) and (m) of PPA require the PMU to maintaining and archive records of the procurement and disposal by tender process and maintaining a list or register of all contracts awarded.

#### 2.1.5 Role of District Treasurer

The District Treasures (DT) is required to maintain records related to payment made and avail them to audit teams when required.

#### 2.1.6 Role of Supplies Officer

The Supplies Officer is required to maintain records related to delivery of goods and a register for completed works and goods received for inclusion in statement of financial position of the Council.

### Exercises

#### Case study: Mbuyuni District Council Audit Report - Part two<sup>4</sup>

Record keeping and the use of standard records and procedural forms

- The current practices do not consolidate procurement contracts records in a single file i.e. from initiation of procurement up to completion. There are different files for evaluation, inspection, appointments to inspect and accept goods, advertisements etc;
- Related records are not kept in the respective procurement file;
- The tender box is administered by the office of the Council Director;
- Some procurement records are maintained and archived by Registry;
- Tender numbering follow the regulatory body file system;
- Some records were found in Internal Auditor (IA) section and were held in

<sup>4</sup> Audit report for Mbuyuni accessed on 2.2.2014 at [www.Procurementregulator.gov.tz](http://www.Procurementregulator.gov.tz)

this section in longer time than required;

- Some folio numbers/pages were removed from the file;
- All members of the PMU were not trained in records management; and

Disposal schedules relating to procurement records were signed by the PMU.

**Questions:**

1. What are the likely causes of problems in managing procurement records at Mbuyuni District Council?
2. Discuss the likely opportunities for managing procurement records at Mbuyuni District Council.
3. Advise Mbuyuni District Council on best practices that can enhance their procurement record management at different levels of management.

- The PPRA has developed a set of procedural forms that can be down-loaded from the website of the Authority. The forms provide standard and simple tools (such as form No 2) for use as document/record or report during the procurement process.

## Unit 2.2: Records Security and Risk Management

### 2.2.1 Unit Objectives

By the end of the unit, the participants will be able to:

1. Identifying records that are at risk from threats such as loss, destruction, misplacement, document removal and malicious alterations;
2. Applying appropriate procedures for protecting records against unauthorised access, malicious destruction and alterations, fire, water, physical and biological damage; and
3. Applying proper procedures for protecting electronic records.

### 2.2.2 Safeguarding the Integrity of Procurement Records

Procurement records should be protected at all times from all threats. The records will need to be protected against unauthorized access and leakage of information. Classified records will need a higher degree of protection. In this regard, the Head of Procurement Management Unit should:

1. Identify and use proper and secure storage rooms and facilities for procurement records;
2. Identify, purchase and install proper and appropriate storage equipment and enclosures for the records;
3. Identify, purchase and install appropriate firefighting equipment in the records keeping areas and facilities;
4. Ensure that vital records are identified in time and kept elsewhere as a security measure;
5. Ensure that there is backup for electronic records;
6. Ensure that access to records is restricted to authorized persons only;
7. Ensure that procurement staff are sensitized and trained on prevention and management of hazards; and
8. Put in place ways and measures in which the documents in varying formats will be protected in case of a disaster.

Some of the basic security safeguards for files include:

1. Maintaining a minute sheet for each file-this is a card that contains a summary of the file contents;
2. File examination-this entails examining every file once it is returned to the PMU to ensure that the contents have not been tampered with. This is particularly recommended for high value files that are judged to be vulnerable to this risk;
3. Documentation of all existing files in an approved file plan;

4. Assignment of responsibility for maintenance and filing of documents and files;
5. Folio numbering of documents in a file in order to easily detect cases of unauthorized removal of papers from a file;
6. Duplication and dispersal of records where high value records are distributed to other departments or individuals to guard against loss and alterations;
7. Secure storage of both open and classified files; and
8. Secure storage of procurement documents before and after evaluation and adjudication.

### **2.2.3 Procedures for Protecting Procurement Records**

Basic procedures for protecting records against unauthorised access, malicious destruction and alterations, fire water, physical and biological damage.

#### *Precautions against fire:*

Fire precautions should include:

- i) Ban on smoking within the building and particularly in the filing and records storage areas;
- ii) General tidiness and removal of hazardous clutter such as heaps of files, papers, boxes and rubbish;
- iii) No hazardous or inflammable materials should be stored in the building
- iv) Installation of fire extinguishers and smoke detectors in the building. The smoke detectors and extinguishers should be serviced regularly;
- v) Electrical appliances should be switched off at the end of the day;
- vi) Firefighting equipment such as hose reels and extinguishers should not be used for purposes other than firefighting.
- vii) LGA should have a fire fighting team headed by a senior and responsible officer. It is the responsibility of the team leader to ensure all occupants of a building know what to do in case of fire, how to evacuate the building, how to fight fire and that regular fire drills are conducted;
- viii) Availability of fire extinguishers in all rooms. The extinguishers should be serviced regularly; and
- ix) There should be clearly posted fire escape routes, exits and procedures.

#### *Precautions against water:*

Precautions against water will include the following:

- i) Records should be placed far from water mains and drainage pipes;
- ii) Roofs should not be leaking; and
- iii) Plumbing should be of high standard, and be regularly checked.

### *Precautions against rodents and insects:*

Precautions against rodent and insect invasion should include the following:

- i) A regular full building inspection to locate and block all points of rodent and bird entry;
- ii) Complete ban on all food eating and storage in records keeping and storage areas; and
- iii) Regular and thorough cleaning of ceilings, walls and floors and regular fumigation.

### *Other Precautions:*

Other precautions measures include:

- i) The entrance to the place where records are kept must be strictly controlled, and cabinets containing confidential records must be kept locked. The outer door to the storage room must always be locked when no records officer/PMU staff is present, and ground floor windows should have security grills or bars. There should be a secure place where keys can be stored so that members of staff do not take them home.
- ii) *Storing closed files:* Closed files and parts of files that are no longer required for day-to-day business must be stored in the Interim Records Store or elsewhere in cheaper secure storage away from PMU.

## **2.2.4 Security of Automated Record Management Systems**

Security for automated record management systems is an important issue. Mainframe computer systems have traditionally had considerable protection, but other computers have not because they have been treated as single-user devices. As a result, security weakness may threaten the confidentiality, integrity, or availability of electronic information. There are two major means of protecting electronic records:

### **i) Computer hardware protection**

Computers and their component parts are high-value items. A security policy should be established that would protect computer installations. The file server/mainframe computer operations should be in an area which is locked, has constant attendance and supervision, and is restricted to authorized personnel. For personal computers, possible solutions to protecting the hardware are central processing unit cabinet locks, cables to lock equipment to stable fixtures, bolt-down devices to permanently attach personal computers to desks, keyboard locks, workstation enclosures and alarms to signal motion. Rooms in which the hardware is located should be locked when they are not occupied.



## ii) Computer data protection

A good security system for protecting electronic data will employ a number of different products, services, and resources which can be customized to an organization's particular needs. Those responsible for implementing security systems including the ICT department must analyse the potential costs of suffering a loss and therefore develop a complete security system that addresses the specific security needs of a PE. In order to be successful, ICT security strategies including regular back-ups have to be monitored continuously. The senior management should be committed to implementing a security awareness program for all staff.

### Exercises

Individual exercise: Choose and tick the correct category:

S/n	Statement	True	False
1	LGA should have a fire fighting team headed by a Head of Procurement Management Unit.		
2	Submitted bids are stored in the PMU office.		
3	Physical security of the computer hardware is important than software security.		
4	Eating in the record storage area should be prohibited.		
5	Backup for electronic records is required.		
6	Examination of every file once it is returned to the PMU is required.		
7	Fire extinguishers should be placed in all corridors of the building containing procurement records.		
8	For personal computers, possible solutions to protecting the software are central processing unit cabinet locks, cables to lock equipment to stable fixtures, bolt-down devices to permanently attach personal computers to desks, keyboard locks, workstation enclosures and alarms to signal motion.		
9	Computer ant virus soft wares should be installed in all computers in the PMU.		
10	Keys for the Procurement records room should be kept by the PMU staff all the time.		

## SESSION 3: MANAGING PROCUREMENT RECORDS IN THE PROCUREMENT CYCLE

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Session three provides a detailed guide on the management of procurement records in the procurement cycle. The session is divided in six units as follows:

Unit 3.1: Record Keeping for Procurement Plan Preparation and Implementation

Unit 3.2: Record Keeping for Procurement of Goods

Unit 3.3: Record Keeping for Procurement of Works

Unit 3.4: Record Keeping for Procurement of Non-Consultancy Services

Unit 3.5: Record Keeping for Procurement of Consultancy Services

Unit 3.6: Record Keeping for Disposal of Public Assets by Tender

By the end of this Session the participants will be able to:

1. Explain the types of records for the Annual Procurement Plan, how to prepare and organize them and its use for reporting; and
2. Explain the types of records for the main procurement categories and procurement methods, how to prepare and organize them and their use for reporting.

### Unit 3.1: Record Keeping for Procurement Plan

#### 3.1.1 Unit Objectives

By the end of the unit, the participants will be able to:

1. Explain the types of records documenting the formulation of the Annual Procurement Plan;
2. Describe the types of records containing information on the implementation of the Annual Procurement Plan;
3. Explain the types of records documenting Tender Board activities; and
4. Organise the records documenting the preparation, implementation and reporting on the procurement plan in a file.

#### 3.1.2 Introduction

A procurement plan refers to the Procuring Entity's indicative plan of what, how and when to procure goods, works and services during a particular period.

➤ Procurement planning requires intensive collaboration between User Departments and PMU. This is covered in detail in Training Module No 2 "Procurement Planning for Local Government Authorities".

The Annual Procurement Plan (APP) is a mandatory requirement of the procurement policy framework as articulated in PPA 2011 and PPR 2013.

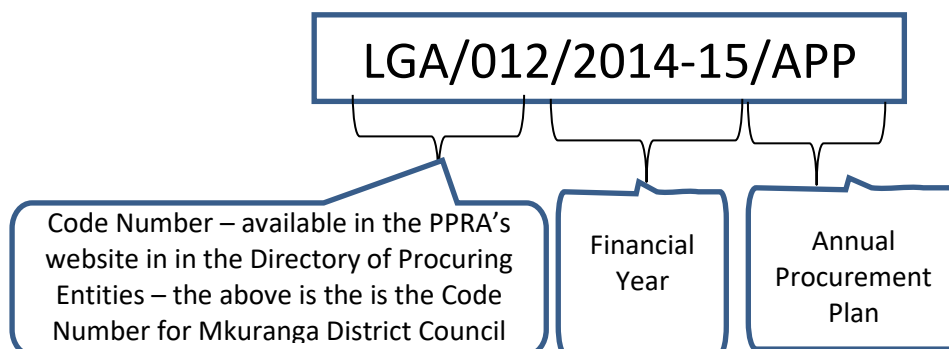
Regulation 70 of the PPR (2014) requires procuring entities to prepare an Annual Procurement Plan as part of the budget process and submit the plan to the Public Procurement Regulatory Authority within fourteen days after the completion of the budget process. The APP facilitates continuously monitoring of procurement activities to ensure that all planned procurement follow the procedures and target dates.

The approval of the APP in the Council Management Meeting, which is chaired by the Council Director can be used to achieve the requirement that all procurement must have the approval of the Accounting Officer.

- For Local Government Authorities, the APP must be further approved by the Finance Committee (i.e. Standing Committee of the Council responsible for financial matters) and the Full Council (PPR, 2013, Reg. 87) as Budget Approving Authority.

### 3.1.3 Procurement Plan File

The APP preparation and implementation process will generate records which should be placed in a Procurement Plan file. The Procurement Plan file should bear the appropriate reference number and should be captured under the appropriate category in the approved file scheme for procurement activities, for example, the Procurement Plan File for Mkuranga District Council could be LGA/012/2014-15/APP as explained here under:



A Procurement Plan file should be opened and maintained as one of the files in the procurement category. The relevant extract of the APP should be placed in the file of each procurement activity. At minimum, the procurement plan file will contain the following records:

- 1) Correspondence related to the preparation of the APP, e.g., Internal Memo from Head of Procurement Management Unit (PMU) requesting User Departments to submit schedule of requirements for procurement to the PMU as part of the budget process;
- 2) Schedule of requirements for procurement from User Departments submitted to the PMU for compilation of APP;
- 3) Draft APP for Goods, Works and Non-Consultancy Services prepared using appropriate template in three formats as follows:
  - Draft APP for Goods, Works and Non-Consultancy Services for internal use
  - Draft APP for Goods, Works and Non-Consultancy Services for external use
  - Draft APP for Goods, Works and Non-Consultancy Services for submission to PPRA
- 4) Draft APP for Consultancy Services prepared using appropriate template in three formats as follows:
  - Draft APP for Consultancy Services for internal use
  - Draft APP for Consultancy Services for external use
  - Draft APP for Consultancy Services for submission to PPRA
- 5) Other relevant documents related to preparation of the APP;
- 6) Copy of record of approval of APP in the Council Management, which is chaired by the Council Director;
- 7) Review and Approval of APP: copy of record of minutes of the Finance Committee review of the Annual Procurement Plan and submission to the Full Council, which is the Budget Approving Authority for LGAs (refer to PPA, Section 33(2)(a));
- 8) Approved APP for Goods, Works and Non-Consultancy Services prepared using appropriate template in three formats as follows:
  - Approved APP for Goods, Works and Non-Consultancy Services for internal use
  - Approved APP for Goods, Works and Non-Consultancy Services for external use
  - Copy of approved APP for Goods, Works and Non-Consultancy Services submitted to PPRA
- 9) Approved APP for Consultancy Services prepared using appropriate template in three formats as follows:
  - Approved APP for Consultancy Services for internal use
  - Approved APP for Consultancy Services for external use
  - Copy of approved APP for Consultancy Services for submission to PPRA

- 10) General Procurement Notice prepared based on procurement entity's annual procurement plan and action plan PPRA (PPR, 2013, Reg. 18);
- 11) Any revisions made by the Council to the general procurement notice shall be posted in the Journal and Tenders Portal (PPR, 2013, Reg. 18 (4));
- 12) Monthly, quarterly and annual procurement implementation reports in prescribed format through systems developed by PPRA (PPR, 2013, 87 (1)) - part of PMIS;
- 13) Monthly report on procurement submitted to the Council Management Team including: details of Tender Board decisions made in the preceding month, details of contract signed in the preceding month, progress in the implementation of the APP, details of any complaints received and progress in their resolution, any other relevant information concerning procurement and disposal assets (GN 330 46(1));
- 14) Quarterly reports on procurement submitted to the Finance, Administration and Planning Committee including: Details of Tender Board decisions made in the preceding month, details of contract signed in the preceding month, progress in the implementation of the APP, details of any complaints received and progress in their resolution, any other relevant information concerning procurement and disposal assets (GN 330 46(2)); and
- 15) Copy of emergency procurement report, if any, submitted to Regional Administrative Secretary, Controller and Auditor General (GN 330, Reg. 32(1)).

### **3.1.4 Tender Board Meeting File**

The Tender Board file should contain records related to the Council Tender Board. The following documents should be kept in the Tender Board File:

- 1) Copy of letter of appointment including Curriculum Vitae of Tender Board Members;
- 2) Copy of ratification and approval of appointment to Council Tender Board by the Finance, Administration and Planning Committee (GN 330, Reg. 7(5));
- 3) Meeting Schedule;
- 4) Minutes of Tender Board meetings (GN 330, Reg. 12); and
- 5) Correspondences to/from Tender Board.

### **3.1.5 Arrangement of Records**

- 1) The organisation of the records in the Procurement Plan File should be such that they enable the reviewer of the procurement plan records to reconstruct the entire plan preparation process in order to understand how it was formulated from beginning to end; and

- 2) The common practice is to place procurement plan records in the procurement plan file in the sequence in which they occurred.

### Exercises

Describe the basic records involved in:

- APP preparation; and
- APP implementation and monitoring.

## Unit 3.2: Record Keeping for Procurement of Goods

### 3.2.1 Unit Objectives

By the end of the unit, the participants will be able to:

1. Prepare and organise records for goods procurement under competitive bidding;
2. Prepare and organise records for goods procurement under framework contract; and
3. Prepare and organise records for minor value and micro procurement for goods.

### 3.2.2 Introduction

This unit seeks to provide its users with clear, concise, and accurate information on the procedures for managing record on the procurement of goods in accordance with the PPA, PPR, GN 330, by discussing the steps and the records involved in such procurement in the manner prescribed by the PPA (2011) and its Regulations.

The PPA (2011) defines “goods” as raw materials, products, equipment and other physical objects of every kind and description, whether in solid, liquid or gaseous form, electricity, intangible asset and intellectual property, as well as services incidental to the supply of the goods provided that the value of the services does not exceed the value of the goods themselves.

Section 56 of the PPA (2011) and Regulation 15 of the PPR (2013) requires Procurement Entities to maintain adequate record of the procurement or disposal proceedings for goods. The Public Procurement Policy (draft) requires PEs to ensure public procurement activities are carried out with due attention to considerations of economy and efficiency.

### 3.2.3 General Procedure

The procurement requisition and approval, i.e. completion of Procedural Form No. 2, triggers the start of the procurement process. The approved Procurement Requisition allows the opening of a Tender File named and numbered in accordance with guidelines for Procurement File Numbering.

Procurement of complex goods (non-common use items) involves the preparation of specifications and bidding documents.

Records includes the relevant extract of the APP, records of the solicitation documents, the evaluation and selection process, contract negotiations and award, up to contract close out.

➤ **Confidentiality requirement**

All information relating to the examination, tabulation, clarification, evaluation and comparison of tenders and recommendations concerning the intention to award of the contract shall not, before the announcement of the award of contract to the successful tenderer be disclosed or communicated to tenderers or any person or persons not officially concerned with such process, Reg. 200; 338; PPA 46 (1&2).

### 3.2.4 Checklist for Procurement Records - Goods

Procurement records should be placed in a file in the sequence in which they occurred from start to finish throughout the stages in the procurement process. Table 22 below summarises the essential records throughout the goods procurement process. The Head of Procurement Management Unit should ensure that essential records are prepared and placed in the respective procurement file. The checklist will act as a monitoring tool to ensure that procurement records are managed according to the laid down procurement regulations.

**Table 2:** Essential Steps and Corresponding Public Procurement Records - Goods

Stage in Procurement Process	Essential Records
Pre-qualification Proceedings, if applicable	<ol style="list-style-type: none"> <li>1. Invitation to pre-qualification approved by Tender Board, Reg. 120</li> <li>2. Prequalification documents, Reg. 119 - 121</li> <li>3. Clarification, if any, of applications for prequalification, Reg. 122</li> <li>4. Appointment of evaluation team, Reg. 122 (3)</li> <li>5. Evaluation report consisting of a list of firms recommended for consideration to pre-qualify for submission to PMU for scrutiny, Reg. 122 (4)</li> <li>6. Tender Board approval of applicants who complied with prequalification requirement, Reg. 122 (4)</li> <li>7. Notification to prequalified applicants, Reg. 123</li> <li>8. Notification to unsuccessful applicants, Reg. 123 (3)</li> <li>9. Records of pre-qualification proceedings</li> </ol>
Tender Processing	<ol style="list-style-type: none"> <li>1. Solicitation documents containing information as prescribed in Reg. 184</li> <li>2. Minutes of Tender Board Meeting to discuss the appropriateness and applicability of the recommended method of procurement, and the</li> </ol>



<b>Stage in Procurement Process</b>	<b>Essential Records</b>
	<p>availability of pertinent budget releases, approval of draft advert and bid documents, Reg. 185 (1)</p> <ol style="list-style-type: none"> <li>3. For procurement whose value exceeds the amount set in the PPR (2013), notice to PPRA of commencement of procurement process submitted by Tender Board within 14 days (GN, 330, Reg. 19 (3))</li> <li>4. Minutes of pre-bid meeting, Reg. 189</li> <li>5. Issuance of bid documents</li> <li>6. Request for- and issued clarifications, if any</li> <li>7. Bids submitted by bidders received in accordance with Reg. 195</li> <li>8. Signed minutes of tender opening: Tender Opening register, read out prices, tender opening checklist, etc., Reg. 196, 199</li> <li>9. Notice of extension of effectiveness of tender, if any</li> <li>10. Letters of appointment of evaluation committee, Reg. 202</li> <li>11. Signed personal covenants forms for evaluation committee, PPA 102 (1)</li> <li>12. Request for clarification of tender, if any, Reg. 207</li> <li>13. Report on evaluation and comparison of tenders, Reg. 220</li> <li>14. Report on post-qualification proceedings of lowest evaluated bidder or highest evaluated price in case of revenue collection, if any, Reg. 224; PPA 53 (1)</li> <li>15. Approval of Pay-Master General or the respective budgetary approving authority for award of tender the value of which exceeds the approved budget, PPA 35 (4)</li> </ol>
<b>Negotiations</b>	<ol style="list-style-type: none"> <li>1. Appointment letter of a negotiation team recommended by PMU and approved by AO; chair appointed by AO (Reg. 226 - 1)</li> <li>2. Approval of negotiation plan by the Tender Board (Reg. 227)</li> <li>3. Minutes and recommendations of the negotiation team submitted to Tender Board (Reg. 228 - 1&amp;2)</li> <li>4. If negotiation with original tenderer terminated, copy of letter informing the reasons for termination of the negotiations, Reg. 230</li> <li>5. Tender Board approval of the negotiation results and award decision, Reg. 229 &amp; 231</li> </ol>
<b>Approval of Contract Award</b>	<ol style="list-style-type: none"> <li>1. Minutes of TB approving the recommendations of the evaluation team and issuance of notification of award decision to AO, Reg. 231 (1)</li> <li>2. Copy of award decision submitted to the LGA Standing Committee responsible for financial matters e for scrutiny, PPA, Section 60 (4)</li> <li>3. Report on the scrutiny of the award decision by the LGA Standing Committee responsible for financial matters , PPA, Section 60 (4) --- verification of whether the item or service to be procured is included in the APP and there is funding (GN, 330, Reg. 19 (2))</li> </ol>

<b>Stage in Procurement Process</b>	<b>Essential Records</b>
	<ol style="list-style-type: none"> <li>4. Notice of intention to award the contract issued to all tenderers who participated in the tender in question giving them seven days within which to submit a complaint, if any, Reg. 231 (2)</li> <li>5. Complaint lodged, if any, and records of investigation of complaints in accordance with Section 96 (6), Reg. 231 (5); PPA 100 (3); GN 330 (42)</li> <li>6. For contracts in excess of Tsh. 1.0 billion , vetting report by the Attorney General</li> <li>7. For contracts in excess of value below Tsh. 1.0 billion , vetting report by the legal officers employed by respective procuring entities, PPA, 60 (10)</li> <li>8. Notice of acceptance to the successful tenderer issued after all necessary approvals are obtained, Reg. 231(6)</li> <li>9. Notification to PPRA on the name of the person or body to whom the contract is awarded, the amount of tender or proposal and the date on which the award was made, PPA, 60 (12).</li> <li>10. Copy of notification letter to unsuccessful tenderers on the name of the person to whom the contract is awarded and the contract amount, PPA, 60 (14)</li> </ol>
<b>Acceptance Of Tender; Entry into Force of Procurement Contract</b>	<ol style="list-style-type: none"> <li>1. Copy of the award letter sent to the Chief Executive Officer of the Authority, the Controller and Auditor General, the Attorney General and the Internal Auditor General (PPR, 2013, 232 - 1)</li> <li>2. Copy of dully signed contract agreement form in a prescribed format</li> <li>3. Copy of summary procurement report to PPRA in prescribed format (PPR, 2013, 234)</li> <li>4. Copy of notice to unsuccessful tenderers on the name of the person to whom the contract is awarded and he contract amount (PPR, 2013, 235)</li> <li>5. Copy of the results of tender award published in the Journal and Tenders Portal (PPR, 2013, 236)</li> <li>6. Copy of public notice on all tenders awarded placed on Council noticeboard (GN 330, Reg. 19(6))</li> <li>7. Copy of letter of submission of signed contracts submitted to PPRA, Attorney General, Controller and Auditor General, Office of the Stock Verification Unit of the Ministry of Finance, Technical Audit Unit of the Ministry of Finance, Tanzania Revenue Authority (GN 330, Reg. 23)</li> </ol>
<b>Contract Management</b>	<ol style="list-style-type: none"> <li>1. Copy of appointment letter of goods inspection and acceptance committee, Reg. 245</li> <li>2. Signed personal covenants forms for inspection and acceptance committee, PPA 102 (1)</li> </ol>

<b>Stage in Procurement Process</b>	<b>Essential Records</b>
	<ol style="list-style-type: none"> <li>3. Where goods are accepted, a copy of signed goods acceptance certificate issued to the supplier, Reg. 248</li> <li>4. Where any member of the goods inspection and acceptance committee refuses to accept delivery, a copy of written dissenting opinion submitted to the Accounting Officer for consideration and decision, Reg. 250 (1).</li> <li>5. Register of all procurements awarded (GN 330, 25 (o))</li> </ol>
<b>Framework Agreement</b>	<ol style="list-style-type: none"> <li>1. Provisional annual estimates of the required common use items and services including descriptions, specifications, statement of requirements and quantities submitted to GPSA by end of January each year, Reg. 134 (4) (a)</li> <li>2. Call-off orders placed to tenderers who are awarded framework agreements</li> <li>3. Copy of monthly reports on procurement made through framework agreements, in prescribed format, submitted to PPRA and GPSA, 131 (4)</li> <li>4. Approval of Tender Board to conduct mini competition for items falling under open framework agreements, Reg. 131 (5)</li> <li>5. Mini competition quotation forms completed by suppliers, Reg. 131 (5)</li> </ol>
<b>Procurement from GPSA</b>	<ol style="list-style-type: none"> <li>1. Request for purchase of items in the store catalogue, Reg. 130 (3)</li> <li>2. Non availability certificate, if applicable, issued by the Agency, Reg. 130 (3)</li> </ol>
<b>Procurement of Catalogue Items</b>	<ol style="list-style-type: none"> <li>3. Provisional annual estimates of the required catalogue items submitted to MSD including descriptions, specifications, statement of requirements and quantities, Reg. 140 (2)</li> <li>4. Provisional annual estimates of the required non catalogue items submitted to MSD including descriptions, specifications, statement of requirements and quantities, Reg. 141 (1)</li> <li>5. Copy of order to MSD for any item included in the price catalogue within 1 working day after reaching the buffer stock, Reg. 140 (4)</li> <li>6. Non availability notice issued by MSD to the Procuring Entity, Reg. 140 (5)</li> </ol>

## Exercises

Describe the basic records involved in:

- a) Pre-qualification proceeding for goods procurement
- b) Tender proceedings for goods procurement
- c) Negotiation proceedings for goods procurement
- d) Approval of award of contract for goods procurement
- e) Acceptance of tender and entry into force of procurement contract
- f) Contract management for goods procurement
- g) Emergency procurement of goods
- h) Procurement under Framework Agreement
- i) Procurement from GPSA
- j) Procurement of Catalogue items from MSD

## Unit 3.3: Record Keeping for Procurement of Works

### 3.3.1 Unit Objectives

By the end of this Unit, the participants should be able to:

1. Prepare and organise records for works procurement under competitive tendering;
2. Prepare and organise records for works procurement under framework agreement;
3. Prepare and organise records for pre-qualification proceedings for works procurement; and
4. Prepare and organise records for minor value and micro procurement for works.

### 3.3.2 Introduction

This unit seeks to provide its users with clear, concise, and accurate information on the procedures for managing record on the procurement of works in accordance with the PPA, PPR, GN 330, by discussing the steps and the records involved in such procurement in the manner prescribed by the PPA (2011) and its Regulations.

The PPA (2011) defines “works” as follows:

- 1) All works associated with the construction, reconstruction, demolition, repair or renovation of a building, structure, road or airfield;
- 2) Any other civil works, such as site preparation, excavation erection, building, installation of equipment or materials, decoration and finishing; and
- 3) Service which is tendered and contracted on the basis of performance of a measurable physical output such as drilling, mapping, satellite photography or seismic investigations: provided that, contracts which include the provision of works and services shall be regarded as works contracts if the total value of the works is greater than the value of the services covered by the contract.

### 3.3.3 General Procedure

The procurement requisition and approval, i.e. completion of Procedural Form No. 2, triggers the start of the procurement process. The approved Procurement Requisition allows the opening of a Tender File named and numbered in accordance with guidelines for Procurement File Numbering.

For each procurement activity, the relevant extract of the APP should be placed as the *first record* in the respective Tender File.

The tender or contract will contain records of the solicitation documents, the evaluation and selection process, contract negotiations and award, up to contract close out.

The organisation of the records in the file should be such that they enable the reviewer of those records to reconstruct the entire procurement process in order to understand exactly how it was carried out from beginning to end. The common practice for keeping records is to keep paper-based records in reverse chronological order (the most recent record placed on top of the last) - placing them in file in the sequence in which they occurred helps to rebuild the story from start to finish.

All information relating to the examination, tabulation, clarification, evaluation and comparison of tenders and recommendations concerning the intention to award of the contract shall not, before the announcement of the award of contract to the successful tenderer be disclosed or communicated to tenderers or any person or persons not officially concerned with such process, Reg. 200; 338; PPA 46 (1&2).

### 3.3.4 Checklist for Procurement Records - Works

Procurement records should be placed in a file in the sequence in which they occurred from start to finish throughout the stages in the procurement process. Table 3 below summarises the essential records throughout the works procurement process. The Head of Procurement Management Unit should ensure that essential records are prepared and placed in the respective procurement file. The checklist will act as a monitoring tool to ensure that procurement records are managed according to the laid down procurement regulations.

**Table 3: Essential Steps and Corresponding Public Procurement Records - Works**

Stage in Procurement Process	Essential Records
<b>Pre-Qualification Proceedings, if any</b>	<ol style="list-style-type: none"> <li>1. Relevant extract of APP</li> <li>2. Invitation to pre-qualification approved by Tender Board, Reg. 120</li> <li>3. Prequalification documents, Reg. 119 - 121</li> <li>4. Clarification, if any, of applications for prequalification, Reg. 122</li> <li>5. Appointment of evaluation team, Reg. 122 (3)</li> <li>6. Evaluation report consisting of a list of firms recommended for consideration to pre-qualify for submission to PMU for scrutiny, Reg. 122 (4)</li> <li>7. Tender Board approval of applicants who complied with prequalified, Reg. 122 (4)</li> <li>8. Notification to prequalified applicants, Reg. 123</li> </ol>

Stage in Procurement Process	Essential Records
	9. Notification to unsuccessful applicants, Reg. 123 (3)
<b>Tender Processing</b>	<ol style="list-style-type: none"> <li>1. Solicitation documents containing information as prescribed in Reg. 184</li> <li>2. Tender Board approval of draft advert and bid documents, Reg. 185 (1)</li> <li>3. Minutes of pre-bid meeting, Reg. 189</li> <li>4. Issuance of bid documents</li> <li>5. Request for- and issued clarifications, if any</li> <li>6. Bids submitted by bidders received in accordance with Reg. 195</li> <li>7. Signed minutes of tender opening: Tender Opening register, read out prices, tender opening checklist, etc., Reg. 196, 199</li> <li>8. Notice of extension of effectiveness of tender, if any</li> <li>9. Letters of appointment of evaluation committee, Reg. 202</li> <li>10. Signed personal covenants forms for evaluation committee, PPA 102 (1)</li> <li>11. Request for clarification of tender, if any, Reg. 207</li> <li>12. Report on evaluation and comparison of tenders, Reg. 220</li> <li>13. Report on post-qualification proceedings of lowest evaluated bidder or highest evaluated price in case of revenue collection, if any, Reg. 224; PPA 53 (1)</li> <li>14. Approval of Pay-Master General or the respective budgetary approving authority for award of tender the value of which exceeds the approved budget, PPA 35 (4)</li> </ol>
<b>Negotiations</b>	<ol style="list-style-type: none"> <li>1. Appointment letter of a negotiation team recommended by PMU and approved by AO; chair appointed by AO (Reg. 226 - 1)</li> <li>2. Approval of negotiation plan by the Tender Board (Reg. 227)</li> <li>3. Minutes and recommendations of the negotiation team submitted to Tender Board (Reg. 228 - 1&amp;2)</li> <li>4. If negotiation with original tenderer terminated, copy of letter informing the reasons for termination of the negotiations, Reg. 230</li> <li>5. Tender Board approval of the negotiation results and award decision, Reg. 229 &amp; 231</li> </ol>
<b>Approval of Contract Award</b>	<ol style="list-style-type: none"> <li>1. Minutes of TB approving the recommendations of the evaluation team and issuance of notification of award decision to AO, Reg. 231 (1)</li> <li>2. Copy of award decision submitted to Committee responsible for finance and planning for scrutiny, PPA, Section 60 (4)</li> <li>3. Report on the scrutiny of the award decision by the LGA Committee responsible for finance and planning, PPA, Section 60 (4)</li> <li>4. Notice of intention to award the contract issued to all tenderers</li> </ol>

Stage in Procurement Process	Essential Records
	<p>who participated in the tender in question giving them fourteen days within which to submit a complaint, if any, Reg. 231 (2)</p> <ol style="list-style-type: none"> <li>5. Complaint lodged, if any, and records of investigation of complaints in accordance with Section 96 (6), Reg. 231 (5); PPA 100 (3)</li> <li>6. For contracts in excess of Tsh. 1 billion, vetting report by the Attorney General, Reg. 59 (1)</li> <li>7. For contracts in excess of value below Tsh. 1 billion, vetting report by the legal officers employed by respective procuring entities, PPA, 60 (10)</li> <li>8. Notice of acceptance to the successful tenderer issued after all necessary approvals are obtained, Reg. 231(6)</li> <li>9. Notification to PPRA on the name of the person or body to whom the contract is awarded, the amount of tender or proposal and the date on which the award was made, PPA, 60 (12).</li> <li>10. Copy of notification letter to unsuccessful tenderers on the name of the person to whom the contract is awarded and the contract amount, PPA, 60 (14)</li> </ol>
<b>Acceptance of Tender and Entry Into Force of Procurement Contract</b>	<ol style="list-style-type: none"> <li>1. Copy of the award letter sent to the Chief Executive Officer of the Authority, the Controller and Auditor General, the Attorney General and the Internal Auditor General (PPR, 2013, 232 - 1)</li> <li>2. Copy of dully signed contract agreement form in a prescribed format</li> <li>3. Copy of summary procurement report to PPRA in prescribed format (PPR, 2013, 234)</li> <li>4. Copy of notice to unsuccessful tenderers on the name of the person to whom the contract is awarded and he contract amount (PPR, 2013, 235)</li> <li>5. Copy of the results of tender award published in the Journal and Tenders Portal (PPR, 2013, 236)</li> <li>6. Copy of public notice on all tenders awarded placed on Council noticeboard (GN 330, Reg. 19(6))</li> <li>7. Copy of letter of submission of signed contracts submitted to PPRA, Attorney General, Controller and Auditor General, Office of the Stock Verification Unit of the Ministry of Finance, Technical Audit Unit of the Ministry of Finance, Tanzania Revenue Authority (GN 330, Reg. 23)</li> </ol>
<b>Contract Management</b>	<ol style="list-style-type: none"> <li>1. Where the Accounting Officer considers necessary that any contracted work be managed by a supervisor, a copy of appointment letter of a public officer under the jurisdiction of the Procuring Entity or a consultant to be a supervisor, Reg. 252 (1)</li> </ol>



Stage in Procurement Process	Essential Records
	<ol style="list-style-type: none"> <li>2. Performance reports prepared by work supervisor on monthly or within the period prescribed by the accounting office, Reg. 252 (2)</li> <li>3. Measurement and certification, at the intervals or stages stated in the contract, Reg. 243 (1)</li> <li>4. Notification to the service provider or contractor on any shortcomings, Reg. 243 (3)</li> <li>5. Copy of notification to the service provider or contractor of the breach of the terms of the contract, where applicable, and invoke the procedure for instituting disputes prescribed in the contract, Reg. 243 (4)</li> </ol>

### Exercises

Describe the basic records involved in:

- a) Pre-qualification proceeding for works
- b) Tender proceedings for works
- c) Negotiation proceedings for works procurement
- d) Approval of award of contract for works procurement
- e) Acceptance of tender and entry into force of procurement contract
- f) Contract management for works procurement
- g) Emergency procurement of works

## Unit 3.4: Record Keeping for Procurement of Non-Consultancy Services

### 3.4.1 Unit Objectives

By the end of the unit, the participants will be able to:

1. Prepare and organise records for non-consultancy services procurement under competitive tendering;
2. Prepare and organise records for non-consultancy services procurement under framework agreement;
3. Prepare and organise records for pre-qualification proceedings for non-consultancy services procurement; and
4. Prepare and organise records for minor value and micro procurement for non-consultancy services.

### 3.4.2 Introduction

This unit seeks to provide its users with clear, concise, and accurate information on the procedures for managing record on the procurement of non-consultancy services in accordance with the PPA, PPR, GN 330, by discussing the steps and the records involved in such procurement in the manner prescribed by the PPA (2011) and its Regulations.

The PPA (2011) defines “non-consultancy services” as any object of procurement other than goods, works and consultancy services.

### 3.4.3 General Procedure

The procurement requisition and approval, i.e. completion of Procedural Form No. 2, triggers the start of the procurement process. The approved Procurement Requisition allows the opening of a Tender File named and numbered in accordance with guidelines for Procurement File Numbering.

For each procurement activity, the relevant extract of the APP should be placed as the *first record* in the respective Tender File. The tender or contract will contain records of the solicitation documents, the evaluation and selection process, contract negotiations and award, up to contract close out.

The organisation of the records in the file should be such that they enable the reviewer of those records to reconstruct the entire procurement process in order to understand exactly how it was carried out from beginning to end. The common practice for keeping records is to keep paper-based records in reverse chronological

order (the most recent record placed on top of the last) - placing them in file in the sequence in which they occurred helps to rebuild the story from start to finish.

All information relating to the examination, tabulation, clarification, evaluation and comparison of tenders and recommendations concerning the intention to award of the contract shall not, before the announcement of the award of contract to the successful tenderer be disclosed or communicated to tenderers or any person or persons not officially concerned with such process, Reg. 200; 338; PPA 46 (1&2).

### 3.4.4 Checklist for Procurement Records - Non-Consultancy Services

Procurement records should be placed in a file in the sequence in which they occurred from start to finish throughout the stages in the procurement process. Table 4 below summarises the essential steps and records throughout the non-consultancy procurement process. The Head of Procurement Management Unit should ensure that essential records are prepared and placed in the respective procurement file. The checklist will act as a monitoring tool to ensure that procurement records are managed according to the laid down procurement regulations.

**Table 4: Essential Steps and Corresponding Public Procurement Records - Non-Consultancy Services**

Stage in Procurement Process	Essential Records
<b>Pre-qualification Proceedings, if any</b>	<ol style="list-style-type: none"> <li>1. Relevant extract of APP</li> <li>2. Approved procurement requisition from User Department</li> <li>3. Invitation to pre-qualification approved by Tender Board, Reg. 120</li> <li>4. Prequalification documents, Reg. 119 - 121</li> <li>5. Clarification, if any, of applications for prequalification, Reg. 122</li> <li>6. Appointment of evaluation team, Reg. 122 (3)</li> <li>7. Evaluation report consisting of a list of firms recommended for consideration to pre-qualify for submission to PMU for scrutiny, Reg. 122 (4)</li> <li>8. Tender Board approval of applicants who complied with prequalified, Reg. 122 (4)</li> <li>9. Notification to prequalified applicants, Reg. 123</li> <li>10. Notification to unsuccessful applicants, Reg. 123 (3)</li> </ol>
<b>Tender Processing</b>	<ol style="list-style-type: none"> <li>1. Solicitation documents containing information as prescribed in Reg. 184</li> <li>2. Tender Board approval of draft advert and bid documents, Reg. 185 (1)</li> <li>3. Minutes of pre-bid meeting, Reg. 189</li> <li>4. Issuance of bid documents</li> </ol>

Stage in Procurement Process	Essential Records
	<ol style="list-style-type: none"> <li>5. Request for- and issued clarifications, if any</li> <li>6. Bids submitted by bidders received in accordance with Reg. 195</li> <li>7. Signed minutes of tender opening: Tender Opening register, read out prices, tender opening checklist, etc., Reg. 196, 199</li> <li>8. Notice extension of effectiveness of tender, if any</li> <li>9. Letters of appointment of evaluation committee, Reg. 202</li> <li>10. Signed personal covenants forms for evaluation committee, PPA 102 (1)</li> <li>11. Request for clarification of tender, if any, Reg. 207</li> <li>12. Report on evaluation and comparison of tenders, Reg. 220</li> <li>13. Report on post-qualification proceedings of lowest evaluated bidder or highest evaluated price in case of revenue collection, if any, Reg. 224; PPA 53 (1)</li> <li>14. Approval of Pay-Master General or the respective budgetary approving authority for award of tender the value of which exceeds the approved budget, PPA 35 (4)</li> </ol>
<b>Negotiations</b>	<ol style="list-style-type: none"> <li>1. Appointment letter of a negotiation team recommended by PMU and approved by AO; chair appointed by AO (Reg. 226 - 1)</li> <li>2. Approval of negotiation plan by the Tender Board (Reg. 227)</li> <li>3. Minutes and recommendations of the negotiation team submitted to Tender Board (Reg. 228 - 1&amp;2)</li> <li>4. If negotiation with original tenderer terminated, copy of letter informing the reasons for termination of the negotiations, Reg. 230</li> <li>5. Tender Board approval of the negotiation results and award decision, Reg. 229 &amp; 231</li> </ol>
<b>Approval of Contract Award</b>	<ol style="list-style-type: none"> <li>1. Minutes of TB approving the recommendations of the evaluation team and issuance of notification of award decision to AO, Reg. 231 (1)</li> <li>2. Copy of award decision submitted to the LGA Committee responsible for finance and planning for scrutiny, PPA, Section 60 (4)</li> <li>3. Report on the scrutiny of the award decision by the LGA Committee responsible for finance and planning, PPA, Section 60 (4)</li> <li>4. Notice of intention to award the contract issued to all tenderers who participated in the tender in question giving them fourteen days within which to submit a complaint, if any, Reg. 231 (2)</li> <li>5. Complaint lodged, if any, and records of investigation of complaints in line with Section 96 (6), Reg. 231 (5); PPA 100 (3)</li> <li>6. For contracts in excess of Tsh. 1 billion, vetting report by the Attorney General, Reg. 59 (1)</li> </ol>

Stage in Procurement Process	Essential Records
	<ol style="list-style-type: none"> <li>7. For contracts in excess of value below Tsh. 1 billion, vetting report by the legal officers employed by respective procuring entities, PPA, 60 (10)</li> <li>8. Notice of acceptance to the successful tenderer issued after all necessary approvals are obtained, Reg. 231(6)</li> <li>9. Notification to PPRA on the name of the person or body to whom the contract is awarded, the amount of tender or proposal and the date on which the award was made, PPA, 60 (12).</li> <li>10. Copy of notification letter to unsuccessful tenderers on the name of the person to whom the contract is awarded and the contract amount, PPA, 60 (14)</li> </ol>
<b>Acceptance of Tender and Entry into Force of Procurement Contract</b>	<ol style="list-style-type: none"> <li>1. Copy of the award letter sent to the Chief Executive Officer of the Authority, the Controller and Auditor General, the Attorney General and the Internal Auditor General (PPR, 2013, 232 - 1)</li> <li>2. Copy of signed contract agreement form in a prescribed format</li> <li>3. Copy of summary procurement report to PPRA in prescribed format (PPR, 2013, 234)</li> <li>4. Copy of notice to unsuccessful tenderers on the name of the person to whom the contract is awarded and he contract amount (PPR, 2013, 235)</li> <li>5. Copy of the results of tender award published in the Journal and Tenders Portal (PPR, 2013, 236)</li> <li>6. Copy of public notice on all tenders awarded placed on Council noticeboard (GN 330, Reg. 19(6))</li> <li>7. Copy of letter of submission of signed contracts submitted to PPRA, Attorney General, Controller and Auditor General, Office of the Stock Verification Unit of the Ministry of Finance, Technical Audit Unit of the Ministry of Finance, Tanzania Revenue Authority (GN 330, Reg. 23)</li> </ol>
<b>Contract Management</b>	<ol style="list-style-type: none"> <li>1. Where the Accounting Officer considers necessary that any contracted work be managed by a supervisor, a copy of appointment letter of a public officer under the jurisdiction of the Procuring Entity or a consultant to be a supervisor, Reg. 252 (1)</li> <li>2. Performance reports prepared by supervisor on monthly or within the period prescribed by the accounting office, Reg. 252 (2)</li> <li>3. Notification to the service provider or contractor on any shortcomings, Reg. 243 (3)</li> <li>4. Copy of notification to the service provider or contractor of the breach of the terms of the contract, where applicable, and invoke the procedure for instituting disputes prescribed in the contract, Reg. 243 (4)</li> </ol>

Stage in Procurement Process	Essential Records
<b>Emergency Procurement</b>	<ol style="list-style-type: none"> <li>1. Copy of information submitted to the Agency for approval and a copy of the information to the Authority, Reg. 63 (3)</li> <li>2. Approval by the Agency of emergency procurement, if any, Reg. 63 (4)</li> <li>3. If the PE, proceeds with emergency procurement without approval of the Agency, copy of notification to Agency and the Authority, Reg. 63 (5); copy of submit of an application to the Paymaster General for retrospective approval, Reg. 63 (6 &amp; 7)</li> <li>4. Report on Emergency Procurement to the Paymaster General, the Authority, the Controller and Auditor General, Internal Auditor General and the Agency in prescribed format, Reg. 64</li> </ol>

### Exercises

Describe the basic records involved in:

- a) Pre-qualification proceeding for non-consultancy services
- b) Tender proceedings for non-consultancy services
- c) Negotiation proceedings for non-consultancy services procurement
- d) Approval of award of contract for non-consultancy services procurement
- e) Acceptance of tender and entry into force of procurement contract
- f) Contract management for non-consultancy services procurement
- g) Emergency procurement of non-consultancy services

## Unit 3.5: Record Keeping for Procurement of Consultancy Services

### 3.5.1 Objectives

By the end of the unit, the participants will be able to:

1. Prepare and organise records for consultancy services procurement under competitive bidding;
2. Prepare and organise records for consultancy services procurement under framework agreement;
3. Prepare and organise records for pre-qualification proceedings for consultancy services procurement; and
4. Prepare and organise records for minor value procurement for consultancy services.

### 3.5.2 Introduction

This unit seeks to provide its users with clear, concise, and accurate information on the procedures for managing record on the procurement of consultancy services in accordance with the PPA, PPR, GN 330, by discussing the steps and the records involved in such procurement in the manner prescribed by the PPA (2011) and its Regulations.

The PPA (2011) defines “consultancy services” as activities of an intellectual and advisory nature that do not lead to a measurable physical output and includes design, supervision, training, advisory, auditing, software development and similar services. Section 56 of the PPA (2011) and Regulation 15 of the PPR (2013) requires Procurement Entities to maintain adequate record of the procurement or consultancy services.

### 3.5.3 General Procedure

The procurement requisition and approval, i.e. completion of Procedural Form No. 2, triggers the start of the procurement process. The approved Procurement Requisition allows the opening of a Tender File named and numbered in accordance with guidelines for Procurement File Numbering. Procurement of complex consultancy services involves the preparation of specifications (Terms of Reference) and bidding documents.

For each procurement activity, the relevant extract of the APP should be placed as the *first record* in the respective Tender File.

The tender or contract will contain records of the solicitation documents, the evaluation and selection process, contract negotiations and award, up to contract close out.

The organisation of the records in the file should be such that they enable the reviewer of those records to reconstruct the entire procurement process in order to understand exactly how it was carried out from beginning to end. The common practice for keeping records is to keep paper-based records in reverse chronological order (the most recent record placed on top of the last) - placing them in file in the sequence in which they occurred helps to rebuild the story from start to finish.

All information relating to the examination, tabulation, clarification, evaluation and comparison of tenders and recommendations concerning the intention to award of the contract shall not, before the announcement of the award of contract to the successful tenderer be disclosed or communicated to tenderers or any person or persons not officially concerned with such process, Reg. 200; 338; PPA 46 (1&2).

### 3.5.4 Checklist for Procurement Records – Consultancy Services

Procurement records should be placed in a file in the sequence in which they occurred from start to finish throughout the stages in the procurement process. Table 5 below summarises the essential records throughout the consultancy services procurement process.

**Table 5:** Essential Steps and Corresponding Public Procurement Records - Consultancy Services

Stage in Procurement Process	Essential Records
<b>Pre-Qualification Proceedings, if applicable</b>	<ol style="list-style-type: none"> <li>1. Relevant extract of APP</li> <li>2. Approved procurement requisition form from User Department</li> <li>3. Invitation to pre-qualification approved by Tender Board, Reg. 120</li> <li>4. Prequalification documents, Reg. 119 – 121</li> <li>5. Clarification, if any, of applications for prequalification, Reg. 122</li> <li>6. Appointment of evaluation team, Reg. 122 (3)</li> <li>7. Evaluation report consisting of a list of firms recommended for consideration to pre-qualify for submission to PMU for scrutiny, Reg. 122 (4)</li> <li>8. Tender Board approval of applicants who complied with prequalified, Reg. 122 (4)</li> <li>9. Notification to prequalified applicants, Reg. 123</li> <li>10. Notification to unsuccessful applicants, Reg. 123 (3)</li> </ol>



Stage in Procurement Process	Essential Records
<b>Tender Processing</b>	<ol style="list-style-type: none"> <li>1. Relevant extract of APP</li> <li>2. Terms of reference, Reg. 274</li> <li>3. Approval of Tender Board</li> <li>4. Advert of the request for expression of interest or prequalification of the consultancy services, Reg. 274</li> <li>5. Records of prequalification proceedings</li> <li>6. Short list of consultants, Reg. 274</li> <li>7. Invitation of the consultants to submit proposals, Reg. 274</li> <li>8. Minutes of the opening ceremony giving all the details of the opening, signed by chairman and the secretary of the opening ceremony</li> <li>9. Appointment letter of evaluation committee</li> <li>10. Evaluation report of the "technical quality" of the proposals (299-12)</li> <li>11. Copy of PMU's review, comment on the evaluation report submitted with its recommendations to Tender Board, 299 (13)</li> <li>12. Notice to consultants whose proposals have not met the minimum qualifying mark or were considered non-responsive to the request for proposal and terms of reference, indicating that their financial proposals shall be returned unopened after completing the selection process, 300 (1)</li> <li>13. Notice to consultants who have secured the minimum qualifying mark indicating the date and prescribed time for opening the financial proposals, 300 (2)</li> <li>14. Signed minutes of the financial proposal opening ceremony</li> <li>15. Appointment of financial evaluation committee</li> <li>16. Post-qualification proceedings report, if required</li> <li>17. Final evaluation report submitted to the Procurement Management Unit taking into consideration technical/financial</li> <li>18. Summary of the evaluation and PMU's observation, if any, using prescribed format by the Authority. (Reg. 298-5)</li> <li>19. Tender Board review of the technical proposal</li> <li>20. Report on financial evaluation after TB's review of technical proposal</li> </ol>
<b>Approval of Contract Award</b>	<ol style="list-style-type: none"> <li>1. Approval of the recommendations for award of the contract to the best evaluated consultant</li> <li>2. Copy of award decision submitted to the LGA committee responsible for finance and planning for scrutiny, PPA, sec 60 (4)</li> <li>3. Report on the scrutiny of the award decision by the LGA committee responsible for finance and planning, PPA, Sec 60 (4)</li> <li>4. Notice of intention to award the contract issued to all tenderers</li> </ol>

Stage in Procurement Process	Essential Records
	<p>who participated in the tender in question giving them fourteen days within which to submit a complaint, if any, reg. 231 (2)</p> <ol style="list-style-type: none"> <li>5. For contracts in excess of Tsh 1 billion, vetting report by the attorney general, reg. 59 (1)</li> <li>6. For contracts in excess of value below Tsh 1 billion, vetting report by the legal officers employed by respective procuring entities, PPA, 60 (10)</li> <li>7. Copy of notification by the Accounting Officer to the successful consultant</li> </ol>
<b>Negotiations</b>	<ol style="list-style-type: none"> <li>1. Appointment letter of negotiation team</li> <li>2. Signed covenant form by negotiation team</li> <li>3. Negotiation plan</li> <li>4. Negotiation report submission to TB</li> <li>5. Tender Board approval of award</li> </ol>
<b>Acceptance of Tender and Entry into Force of Procurement Contract</b>	<ol style="list-style-type: none"> <li>1. Copies of award notices, suitably notated with the number of proposals received, the range of proposal and the estimates forwarded and posted to the Authority</li> <li>2. Copy of contract agreement;</li> <li>3. For procurement whose value exceeds the amount set in the PPR (2013), notice to PPRA of commencement of procurement process submitted by Tender Board within 14 days (GN, 330, Reg. 19 (3))</li> <li>4. Copy of public notice on all tenders awarded placed on Council noticeboard (GN 330, Reg. 19(6))</li> <li>5. Copy of letter of submission of signed contracts submitted to PPRA, Attorney General, Controller and Auditor General, Office of the Stock Verification Unit of the Ministry of Finance, Technical Audit Unit of the Ministry of Finance, Tanzania Revenue Authority (GN 330, Reg. 23)</li> </ol>
<b>Contract Management</b>	<ol style="list-style-type: none"> <li>1. A copy of appointment letter of a public officer under the jurisdiction of the Procuring Entity or a consultant to be a supervisor, Reg. 252 (1)</li> <li>2. Monitoring report on the performance of the consultant against the terms of reference stated in the contract, by means of daily, weekly or monthly reports from the Procuring Entity's supervisor responsible for the services (319-1)</li> <li>3. Measurement and certification of consultancy services, Reg. 319 (2)</li> <li>4. Report on any short-comings, Reg. 319 (2 (b))</li> <li>5. Copy of notification to the service provider or contractor of the breach of the terms of the contract, where applicable, and invoke the procedure for instituting disputes prescribed in the contract, Reg. 243 (4)</li> </ol>

## Exercises

Describe the basic records involved in:

- a) pre-qualification proceeding for consultancy services procurement
- b) tender proceedings and contract management for consultancy services procurement
- c) negotiation proceedings for consultancy services procurement
- d) approval of award of contract for consultancy services procurement
- e) Acceptance of tender and entry into force of procurement contract
- f) Contract management for consultancy services procurement
- g) Emergency procurement of consultancy services.

Describe the key differences between records management and reporting required for goods procurement and consultancy services procurement.

## Unit 3.6: Record Keeping for Disposal of Public Assets by Tender

### 3.6.1 Objectives

By the end of this Unit, the participants will be able to:

1. Prepare and organise records for disposal of public assets under competitive bidding.

### 3.6.2 Introduction

This unit seeks to provide its users with clear, concise, and accurate information on the procedures for managing record on the disposal of public assets in accordance with the PPA, PPR, GN 330, by discussing the steps and the records involved in such procurement in the manner prescribed by the PPA (2011) and its Regulations.

The PPA (2011) defines "disposal" as the divestiture of public assets including intellectual and proprietary rights and goodwill, and any other rights of a procuring and disposing entity by any means, including sale, hire - purchase, licences, tenancies, rental, lease, franchise, auction or any combination however classified other than those regulated by the Public Corporation Act.

Section 56 of the PPA (2011) and Regulation 15 of the PPR (2013) requires Procurement Entities to maintain adequate record of the proceedings of disposal of assets by tender.

### 3.6.3 General Procedure

The procurement requisition and approval, i.e. completion of Procedural Form No. 2, triggers the start of the procurement process. The approved Procurement Requisition allows the opening of a Tender File named and numbered in accordance with guidelines for Procurement File Numbering.

Disposal of assets by tender of complex goods involves the preparation of specifications and bidding documents. The relevant extract of the APP should be placed as the *first record* in the respective Tender File. Also file along with records of the solicitation documents, the evaluation and selection process, contract negotiations and award, up to contract close out.

### 3.6.4 Checklist for Procurement Records - Disposal of Assets by Tender

Procurement records should be placed in a file in the sequence in which they occurred from start to finish throughout the stages in the procurement process. Table

6 below summarises the essential records throughout the disposal of assets by tender process.

**Table 6: Essential Steps and Corresponding Records - Disposal of Assets by Tender**

<b>Stage in Procurement Process</b>	<b>Essential Records</b>
<b>Authorisation</b>	<ol style="list-style-type: none"> <li>1. Copy of request to initiate disposal proceedings, including a report of a board, Reg. 339;</li> <li>2. Authorisation by the Paymaster General or competent authority, Reg. 325 (1)</li> </ol>
<b>Processing of Disposal of Asset by Tender</b>	<ol style="list-style-type: none"> <li>1. Relevant extract of APP</li> <li>2. Approval of TB of invitation and the disposal by tender documents, including amendments, if any, Reg. 332-2; Reg. 339</li> <li>3. Copy of invitation notice, Reg. 339;</li> <li>4. For procurement whose value exceeds the amount set in the PPR (2013), notice to PPRA of commencement of procurement process submitted by Tender Board within 14 days (GN, 330, Reg. 19 (3))</li> <li>5. Clarifications requested and responses received, Reg. 339;</li> <li>6. A report of inspection of the assets by potential tenderers, Reg. 339;</li> <li>7. Records on received tender</li> <li>8. A record of the tender openings, Reg. 339;</li> <li>9. Appointment of tender evaluation committee comprising of not less than three and not more than five members, Reg. 335 (1)</li> <li>10. Report on the evaluation and comparison of tenders prepared by the evaluation committee and submitted to PMU for scrutiny, Reg. 335 (25) - (26); Reg. 339</li> </ol>
<b>Negotiation</b>	<ol style="list-style-type: none"> <li>1. Tender Board for approval of evaluation report submitted by PMU, Reg. 335 (26)</li> <li>2. Appointment of negotiation team, if required</li> <li>3. Signed covenant form by negotiation team</li> <li>4. Negotiation plan, and report, Reg. 336</li> <li>5. Tender Board approval of negotiation results</li> </ol>
<b>Acceptance of Tender and Entry into Force of Procurement Contract</b>	<ol style="list-style-type: none"> <li>1. Notice of acceptance of the tender, Reg. 337 (1)</li> <li>2. Notice of the disposal contract given to unsuccessful asset buyers, specifying the name and address of the asset buyer that has entered into the contract and the contract price (Reg. 337-6)</li> <li>3. Copy of signed disposal contract</li> </ol>
<b>Contract Management</b>	<ol style="list-style-type: none"> <li>1. All documents related to contracts management, including records of receipts of payment and handing over certificates</li> <li>2. A copy of the update to the Procuring Entity asset register</li> <li>3. All correspondence between a disposing entity and a tenderer or a third party disposal agent</li> </ol>

Stage in Procurement Process	Essential Records
	<ol style="list-style-type: none"> <li>4. Copy of public notice on all tenders awarded placed on Council noticeboard (GN 330, reg. 19(6))</li> <li>5. Copy of letter of submission of signed contracts submitted to PPRA, AG, CAG, office of the stock verification unit of the Ministry of Finance, technical audit unit of the Ministry of Finance, TRA (GN 330, reg. 23)</li> </ol>

### Exercises

1. Describe the basic records involved in disposal of public assets by tender.
2. Describe the key differences between record management and reporting requirement for procurement and the disposal of public assets by tender.

## REFERENCES

PPRA/EPC-LGAP (2016), Training Module No 1 “Use and Application of Public Procurement Act 2011 and its Regulations for Local Government Authorities”, Dar es Salaam.

PPRA/EPC-LGAP (2016), Training Module No 2 “Procurement Planning for Local Government Authorities”, Dar es Salaam.

URT (1982), LG Finance Act.

URT (2014), Local Government Authorities Tender Boards regulations (GN 330).

URT (2011), Public Procurement Act as amended in 2016.

URT (2013), Public Procurement Regulations (GN 446).

URT (2002), Records and Archive Management Act 2002.

URT (2011), National Records and Archives Management Policy, PO PSM.

URT (2015), Electronic Transactions Act 2015.

## ANNEX 1: STANDARDS FORMS

### Annex 1: File Transit Sheet

File Transit Sheet					
SECURITY GRADING (Upgrade as Necessary)			FILE NUMBER		
FILE TITLE					
INDEX HEADINGS					
PREVIOUS FILE NUMBER			SUBSEQUENT FILE NUMBER		
Sent To	Date	Sent To	Date	Sent To	Date



## Annex 2: File Movement Slip

<b>FILE MOVEMENT SLIP</b>	
Use for long-term file movements	
(Please complete this form and send it to the records office when you pass a file to another officer. This will enable the records office to ensure that its records are accurate.)	
File number	
File title	
Passed to	
Location	
Date	
Signature	

### Annex 3: File Transit Ladder

Officer/Section	For Action F/M	Initials	Date	Action taken Vide F/M

**Annex 4: File Census Form**

<b>File Census Form</b> DATE _____		
File Ref Number	File Title	Location/Officer
SIGNED _____ INITIALLED _____ _____		

## Annex 5: Template for Monthly Procurement Report – Examples

Procuring Entity:

Prepared by:

Designation:

Date of Report:

Reporting Month:

SN.	TENDER PARTICULARS	TENDER/ CONTRACT NO.	STATUS	BASIC DATA			ADVERTISE OF GPN	PRE-QUALIFICATION/REQUEST FOR EXPRESSION OF INTEREST			INVITATION FOR TENDERS/PROPOSALS AND APPROVAL OF AWARD				CONTRACT EXECUTION				
				Estimated Budget in TZS 1,000,000	Procurement Method	Selection Method		Invitation Date	Closing/ Opening	Notification of Applicants	Invitation Date	Submission/Opening	Approval for Contract Award	Notification Date	Contract Amount	Progress Status (%)	Payment Status (%)	Contract or or Consultant	Contract Completion Date
1	Fumigation Services		Preparation		ICB	QCS													
2	Supply of Vehicles		Tendering		NCB	Restricted													
3	Rehabilitation of Concl Houses		Execution		ICB	Restricted													

## Annex 6: Example of Quarterly/Annual Procurement Report

### Entity's Letter head

**Date:**

### Chairperson

Finance, Administration and Planning Committee  
XXXX District Council

Dear Sir:

We herewith submit XXXX District Council's XXth Quarter Procurement Report for Financial Year 20xx/20xx.

This report summarizes the procurement activities implemented at the XXXX District Council for the April 1, 2015 to June 30, 2015.

Sincerely yours,

XXXXXXXXXXXXXXXXXXXX  
District Executive Director

XXX District Council (Example of Quarterly/ Annual Procurement Report)

### 1. Introduction

In keeping with **Regulation 46 of the Local Government Authorities Tender Board Regulations** which requires each Local Government Authorities to prepare and submit quarterly report to the Finance, Administration and Planning Committee, I am pleased to submit the Procurement Report for **Indicate Quarter & Fiscal Year**, for your review and consideration.

During the period under review, **XXXX District Council** has completed the implementation of **X#** out of the total **#** of contract packages within our approved procurement for the period under review.

Out of the total procurement implemented thus far, the FWC was used for the acquisition of three contract packages (XYZ), whereas the ICB method of procurement was used for the acquirement of two (2) contract packages (X&Y). Additionally, the NCB method was used to hire the consultant for the provision of Legal Consultancy service. Below are the details of Tender Board decisions made in the preceding month, details of contract signed in the preceding month, progress in

the implementation of the APP, details of any complaints received and progress in their resolution

**2. Tender Board decisions made in the preceding month**

XXXXXXXXXXXXXXXXXXXX

**3. Details of contract signed in the preceding month**

XXXXXXXXXXXXXXXXXXXX

**4. Progress in the implementation of the APP**

*In same format as for Monthly Procurement Report (refer to **Error! Reference source not found.**)*

**5. Details of any complaints received and progress in their resolution**

XXXXXXXXXXXXXXXXXXXX

## Annex 7: Procurement Requisition Form

[For Submission to Procurement Management Unit (PMU)]

**Name of the Procuring Entity:** [insert name of Procuring Entity (PE)]

**Procuring Entity Code No:** [insert PE Code no.]

**Type of Procurement:** [insert Goods/Works/Consultancy Services/Non-Consultancy/Disposal of Assets]

**Subject of Procurement:** [insert subject of procurement]

**User Department:** [insert User Department]

**Date Required:** [insert date required]

Item No.	Description [A detailed list, Statement of Requirement/Specifications]	Quantity	Unit of measure	Estimate unit cost	Estimated total cost
<b>Estimated Total Cost (Currency(ies))</b>					

### Fund Availability:

Vote No.	Programme/Project	Item	Balance

Signatures are required below to certify:

Confirmation of Need <sup>5</sup> (User Department – Originating Officer)	Approval to Proceed with Procurement <sup>6</sup> (Authorizing Officer “HPMU”)	Confirmation of Funding <sup>7</sup> (Accounting Officer unless delegated)
Signature:	Signature:	Signature:
Name:	Name:	Name:
Position:	Position:	Position:
Date:	Date:	Date:

(Any attachments must be signed by the appropriate authority)

<sup>5</sup> the works, services or supplies described above are required and that the Statement of Requirement is accurate

<sup>6</sup> The item is checked with the APP by HPMU

<sup>7</sup> funds are available or budgeted for the requirement

## Annex 8: Request for Approval of Procurement/Selection Method

[For Submission to Tender Board]

**Name of the Procuring Entity:** [insert name of Procuring Entity (PE)]

**Tender ID No.:** [Insert tender identification number]

**Subject of Procurement:** [insert subject of procurement]

SUBMISSION INFORMATION		
1.	<ul style="list-style-type: none"> <li>Was the procurement in the Annual Procurement Plan (APP) [Insert either "YES" or "NO"]</li> </ul>	
	<ul style="list-style-type: none"> <li>If yes, which method was approved?</li> </ul>	
	<ul style="list-style-type: none"> <li>If No, which method is being requested?</li> </ul>	
	<ul style="list-style-type: none"> <li>In case of change of method from APP, state the reasons for change of the method</li> </ul>	
2.	Estimated value (currency and amount).	
3.	Source(s) of funding.	
4.	Subject to the Public Procurement Act No. 7 of 2011 and its Regulations? [Insert either "YES" or "NO"]	
	If no, state applicable agreement and procedures [Insert either "YES" or "NO"]	
5.	Use of any Third Party Procurement Agent	
	If yes, give details (name, precise role, contract arrangements, costs)	
6.	Any other relevant information	

### Document attached:

PP Form No. 2: Procurement Requisition from the User Department.

The Tender Board approves [insert the method] to be the method of procurement.



The information contained in this form and the attached documents is complete, true and accurate and in accordance with the Public Procurement Act No. 7 of 2011 and its Regulations.

<b>Secretary of the Tender Board</b>	<b>Chairperson of the Tender Board</b>
Signature:	Signature:
Name:	Name:
Date:	Date:

## Annex 9: Request for Approval of Pre-Qualification Doc/Expression of Interest

[For Submission to Tender Board]

**Name of the Procuring Entity:** [insert name of Procuring Entity (PE)]

**Tender ID No.:** [Insert tender identification number]

**Subject of Procurement:** [insert subject of procurement]

SUBMISSION INFORMATION		
1.	Names and Positions of all officers involved in preparation of Pre-qualification Document /Expression of Interest	[Names and Positions]
2.	Proposed date of publication of pre-qualification/expression of interest notice	
3.	Proposed date of release of pre-qualification document	
5.	Any other relevant information	

**Documents Attached:** (list any other documents attached)

1. Draft Invitation to Pre-qualify/Expression of Interest Notice
2. Draft Pre-qualification Document

<b>Date of Submission:</b>		<b>Date Approved:</b>	
----------------------------	--	-----------------------	--

The Prequalification Document/Expression of Interest is [Approved/ Not approved]

The information contained in this form and the attached documents is complete, true and accurate and in accordance with the Public Procurement Act No. 7 of 2011 and its Regulations.

Secretary of the Tender Board	Chairperson of the Tender Board
Signature:	Signature:
Name:	Name:
Date:	Date:

## Annex 10: Request for Approval of Tender Document/Tender Notice/Shortlist

*[For Submission to Tender Board]*

**Name of the Procuring Entity:** *[insert name of Procuring Entity (PE)]*

**Tender ID No.:** *[Insert tender identification number]*

**Subject of Procurement:** *[insert subject of procurement]*

SUBMISSION INFORMATION		
1.	Identify all officers involved in preparation of Statement of Requirements/Specifications/Terms of Reference	<i>[Names and Positions]</i>
2.	Identify all officers involved in preparation of tendering document/request for proposal	<i>[Names and Positions]</i>
3.	State contract type in tendering document/request for proposal and reason for selection	
4.	Proposed date of publication for tender notice or the date to send the invitation to short listed firms whichever is appropriate.	
5.	Proposed date for issue of tendering document/ date for collection of the RFPs	
6.	Is tendering document to be sold <i>[Insert either "YES" or "NO"]</i> If yes, state proposed price	
7.	Is a pre-tender meeting required? <i>[Insert either "YES" or "NO"]</i> If yes, give details <i>[date, time and venue]</i>	
8.	Any other relevant information	

**Documents Attached:** *(list any other documents attached or delete if not applicable)*

1. Pre-qualification and Expression of Interest Evaluation Report *(if applicable)*
2. Draft Invitation to Tender Notice/Invitation Letter for Short listed firm *(if applicable)*
3. Draft Tendering Document/Request for Proposal

<b>Date of Submission:</b>		<b>Date Approved:</b>	
----------------------------	--	-----------------------	--

The tendering document/request for proposal and tender notice / shortlist/invitation letter for shortlisted firm have been [*Approved/ Not approved*].

The information contained in this form and the attached documents is complete, true and accurate and in accordance with the Public Procurement Act No. 7 of 2011 and its Regulations.

<b>Secretary of the Tender Board</b>	<b>Chairperson of the Tender Board</b>
Signature:	Signature:
Name:	Name:
Date:	Date:

## Annex 11: Request for Approval of Addendum to Tender Documents

[For Submission to Tender Board]

**Name of the Procuring Entity:** [insert name of Procuring Entity (PE)]

**Tender ID No.:** [Insert tender identification number]

**Subject of Procurement:** [insert subject of procurement]

SUBMISSION INFORMATION		
1.	How many times (if any) has the tendering document/request for proposal been amended previously?	
2.	Describe proposed addendum to tendering document/request for proposal.	
3.	Reason(s) for addendum	
4.	State issue date of tendering document/request for proposal and original bid submission date	
5.	In case of extension to deadline for submission, state new date	
6.	Any other relevant information	

### Documents attached

Draft Addendum to Tendering Document/Request for Proposal

**Related Documents Submitted previously:** (available for reference from Secretary to Tender Board).

1. Tendering Document and all previous addenda, if any.

<b>Date of Submission:</b>		<b>Date Approved:</b>	
----------------------------	--	-----------------------	--

The addendum to tendering document /RFPs has been [*Approved/Not approved*].

The information contained in this form and the attached documents is complete, true and accurate and in accordance with the Public Procurement Act No 7 of 2011 and its Regulations.

Secretary of the Tender Board	Chairperson of the Tender Board
Signature:	Signature:
Name:	Name:
Date:	Date:

## Annex 12: Record of Pre-Tender Meeting (Part 1)

**Name of the Procuring Entity:** *[insert name of Procuring Entity (PE)]*

**Tender ID No.:** *[Insert tender identification number]*

**Subject of Procurement:** *[insert subject of procurement]*

**Date of Pre-Tender Meeting:** *[insert date]*

**Time of Meeting:** *[insert time]*

**Location of Pre-Tender Meeting:** *[insert location for the meeting]*

PART 1: Record of Pre-Tender Meeting		
S/N	Questions Asked	Responses Given
1		
2		
3		
4		
n <sup>th</sup>		

Certification of Minutes as a true record of the proceedings of the meeting:

<b>Chairperson</b>	<b>Secretary</b>
Signature:	Signature:
Name:	Name:
Date:	Date:

### Document attached:

Minutes of the Pre-tender meeting

*(Note: Minutes of Pre-Tender Meeting to be sent to all tenderers who purchased or were issued with the tendering documents)*

**Annex 13: Record of Pre-Tender Meeting (Part 2)****Name of the Procuring Entity:** *[insert name of Procuring Entity (PE)]***Tender ID No.:** *[Insert tender identification number]***Subject of Procurement:** *[insert subject of procurement]***Date of Pre-Tender Meeting:** *[insert date]***Time of Meeting:** *[insert time]***Location of Pre-Tender Meeting:** *[insert location for the meeting]*

<b>PART 2: Record of Attendance</b>				
<i>(To be signed by all staff and potential tenderers present at Pre-Tender Meeting)</i>				
S/No.	Name	Position	Company/Firm	Signature

## Annex 14: Record of Receipt of Tenders

**Name of the Procuring Entity:** *[insert name of Procuring Entity (PE)]*

**Tender ID No.:** *[Insert tender identification number]*

**Subject of Procurement:** *[insert subject of procurement]*

**Deadline for Submission:** *[insert date and time]*

**Place for Submission:** *[insert place and location]*

S/No.	Name of Tender	Date of Receipt	Time of Receipt	No. of Envelopes	Name & Signature of Bearer

The tenders above were received before the date and time of the deadline/the tender box was sealed at the date and time of the deadline (*as applicable*)\*. No further tenders were received after the deadline.

The information contained in this form and the attached documents is complete, true and accurate and in accordance with the Public Procurement Act No. 7 of 2011 and its Regulations.

*[To be signed by the Secretary of the Tender Board or any other authorized person]*

<b>Secretary of Tender Board</b>
Signature:
Name:
Date:

*\* Tender details do not need to be recorded when a tender box is used, but may be registered using this form prior to placement in the tender box, if appropriate.*



## Annex 15: Record of Tender Opening (Part 1)

Name of the Procuring Entity: *[insert name of Procuring Entity (PE)]*

Tender ID No.: *[Insert tender identification number]*

Subject of Procurement: *[insert subject of procurement]*

Date of Opening: *[insert date]*

Time: *[insert time]*

Location: *[insert location for the meeting]*

PART 1: SUMMARY OF TENDER OPENING							
S/N	Name of Tenderer	Tender Price (currency)	Tender Validity Period	Tender Security and Amount (if applicable)	Power of Attorney (if applicable)	Manufacturer Authorization (if applicable)	Remarks
1							
n <sup>th</sup>							

Certification of record of the tender opening meeting:

Chairperson	Tenderer Representative
Signature:	Signature:
Name:	Name:
Position:	Firm:
Date:	Date:

## Annex 16: Record of Tender Opening (Part 2)

**Name of the Procuring Entity:** *[insert name of Procuring Entity (PE)]*

**Tender ID No.:** *[Insert tender identification number]*

**Subject of Procurement:** *[insert subject of procurement]*

**Date of Opening:** *[insert date]*

**Time:** *[insert time]*

**Location:** *[insert location for the meeting]*

**Firm:** *[insert firm name]*

PART 2: Opening Checklist for Tenders		
S/N	Item	
1	Is outer envelope of the tender sealed? [ <i>Yes/No</i> ]	
2	Is the Tender Form completed and signed? [ <i>Yes/No</i> ]	
3	Tender Validity Period [ <i>insert days</i> ]	
4	Is documentary authority for signing enclosed? [ <i>Yes/No</i> ]	
5	Tender Security [ <i>insert currency and amount</i> ]	
6	Expiration of Tender Security [ <i>date</i> ]	
7	Indicate if there is any "Substitution", "Withdrawal" or "Modification" submitted	
8	Indicate if there is any alternative tender submitted.	
9	Indicate if there is any discount offered	
10	Has Manufacture's authorization Form (s) been submitted? [ <i>Yes/No</i> ] How many [ <i>insert number</i> ]	
11	Name of tenderer or representative present.	
12	Number of separate documents submitted [ <i>insert Number</i> ]	
13	Additional comments [ <i>insert comment</i> ]	

## Annex 17: Record of Technical Proposal Opening

Name of the Procuring Entity: *[insert name of Procuring Entity (PE)]* Tender ID No.: *[insert tender identification number]*  
 Subject of Procurement: *[insert subject of procurement]* Date: *[insert date]*  
 Location: *[insert location]* Time: *[insert time]*

PART 3: Opening Checklist for Technical Proposals						
		Firms				
S/N	Items	1	2	3	4	5
1	Is the outer envelope of the proposal sealed? <i>[Yes/No]</i>					
2	Is outer envelope of the Technical Proposal sealed? <i>[Yes/No]</i>					
3	Number of copies submitted <i>[insert no. of copies]</i>					
4	Number of separate documents submitted if any <i>[insert no.]</i>					
5	Indicate if there is any "Substitution", "Withdrawal" or "Modification" submitted					
6	Is the Technical Proposal Signed? <i>[ Yes/No]</i>					
7	Is documentary authority for signing enclosed? <i>[Yes/No]</i>					
8	Validity period of the Proposal <i>[insert no. of days]</i>					
9	Any comments? <i>[Yes/No] (if yes explain as footnote)</i>					

Certification of record of the proposal opening meeting:

Chairperson	Name:	Signature:	Position:	Date:
Consultant Representative	Name:	Signature:	Firm:	Date:

## Annex 18: Record of Financial Proposal Opening

Name of the Procuring Entity: [insert name of Procuring Entity (PE)] Tender ID No.: [insert tender identification number]  
 Subject of Procurement: [insert subject of procurement] Date: [insert date]

PART 3: Opening Checklist for Financial Proposals						
		Firms				
S/N	Items	1	2	3	4	5
1	Is the envelope of the Financial Proposal sealed? [Yes/No]					
2	Number of copies submitted [insert no. of copies]					
3	Number of separate documents submitted if any [insert no.]					
4	Indicate if there is any "Substitution", "Withdrawal" or "Modification" submitted					
5	Is the Financial Proposal Signed? [Yes/No]					
6	Is documentary authority for signing enclosed? [Yes/No]					
7	Is Proposal still valid? [Yes/No] (if yes indicates expiry date)					
8	Read out: a) Financial Proposal amount [insert currency & amount in figures] b) Local taxes [insert currency & amount in figure]					
9	Any comments? [Yes/No] (if yes explain as footnote)					

Location: [insert location] Time: [insert time]

Certification of record of the proposal opening meeting:

Chairperson	Name:	Signature:	Position:	Date:
Consultant Representative	Name:	Signature:	Firm:	Date:

## Annex 19: Membership of Evaluation Committee

*[For Submission to Accounting Officer]*

**Name of the Procuring Entity:** *[insert name of Procuring Entity (PE)]*

**Tender ID No.:** *[Insert tender identification number]*

**Subject of Procurement:** *[insert subject of procurement]*

**Method of Procurement:** *[insert method of procurement]*

The Procurement Management Unit (PMU) is recommending the following names for the Evaluation Committee as per Section 40 (2) of PPA 2011

S/No.	Name of Member	Position	Department	Reason for selection (e.g. procurement knowledge, technical expertise, representative of User Department)

The Evaluation Committee *[insert either "has" or "has not"]* been approved.

Head of PMU	Accounting Officer
Signature:	Signature:
Name:	Name:
Date:	Date:

## Annex 20: Request for Approval of Evaluation Report and Recommendations

[For Submission to Tender Board]

**Name of the Procuring Entity:** [insert name of Procuring Entity (PE)]

**Tender ID No.:** [Insert tender identification number]

**Subject of Procurement:** [insert subject of procurement]

SUBMISSION INFORMATION		
1.	Type of Evaluation Report: Prequalification/ Tender/ Expression of Interest/ Technical Proposal/ Combined Technical and Financial/ Quotation	
2.	<ul style="list-style-type: none"><li>• Are negotiations required? [Yes/No]</li><li>• If yes, recommend the Negotiation Team</li><li>• If it is evaluation report for technical proposal for consultancy services, state not applicable.</li></ul>	
3.	Any other relevant information	

**NOTE:** Prepare Negotiation Plan and make sure it is approved by Tender Board prior to commencement of negotiation.

**Documents Attached:** (list any other documents attached or delete if not applicable)

1. Evaluation Report.
2. Proposed Negotiation Team (if applicable)

**Related Documents Submitted previously:** (available for reference from Secretary to Tender Board)

1. Tendering/RFP Document and all Addenda

<b>Date of Submission:</b>		<b>Date Approved:</b>	
----------------------------	--	-----------------------	--

The evaluation report and recommendations [insert either "have" or "have not"] been approved

The information contained in this form and the attached documents is complete, true and accurate and in accordance with the Public Procurement Act No. 7 of 2011 and its Regulations.

<b>Secretary of the Tender Board</b>	<b>Chairperson of the Tender Board</b>
Signature:	Signature:
Name:	Name:
Date:	Date:

## Annex 21: Membership of Negotiation Team

*[For Submission to Tender Board]*

**Name of the Procuring Entity:** *[insert name of Procuring Entity (PE)]*

**Tender ID No.:** *[Insert tender identification number]*

**Subject of Procurement:** *[insert subject of procurement]*

**Method of Procurement:** *[insert method of procurement]*

The Procurement Management Unit (PMU) is recommending the following names for the Negotiation Team as per Regulation 226 (1) of GN No. 446 of 2013.

S/No.	Name of Member	Position	Department	Reason for selection (e.g. procurement knowledge, technical expertise, representative of User Department)

The Negotiation Team *[insert either "has" or "has not"]* been approved.

Secretary of the Tender Board	Chairperson of the Tender Board
Signature:	Signature:
Name:	Name:
Date:	Date:



## Annex 22: Request for Approval of Negotiation Plan

[For Submission to Tender Board]

**Name of the Procuring Entity:** [insert name of Procuring Entity (PE)]

**Tender ID No.:** [Insert tender identification number]

**Subject of Procurement:** [insert subject of procurement]

**Method of Procurement:** [insert method of procurement]

The Negotiation Plan has been prepared by Negotiation Team as per Regulation 226 (6) of GN No 446 of 2013.

Issue	Objectives	Negotiation Parameters

I hereby submit the Negotiation Plan for approval.

Chairperson of Negotiation Team
Signature:
Name:
Date:

The Negotiation Plan [insert either "has" or "has not"] been approved as per Regulation 227 (1) of GN No. 446 of 2013.

Secretary of the Tender Board	Chairperson of the Tender Board
Signature:	Signature:
Name:	Name:
Date:	Date:

## Annex 23: Record of Negotiations (Part 1)

**Name of the Procuring Entity:** *[insert name of Procuring Entity (PE)]*

**Tender ID No.:** *[Insert tender identification number]*

**Subject of Procurement:** *[insert subject of procurement]*

**Method of Procurement:** *[insert method of procurement]*

**Date of Negotiation:** *[insert date]*

PART 1: RECORD OF NEGOTIATIONS	
ISSUE	AGREEMENT (WITH FULL DETAILS)

We hereby certify that the above is a true and accurate record of the negotiations:

For the Procuring Entity	For the Tenderer/Consultant
Signature:	Signature:
Name:	Name:
Position:	Position:
Date:	Date:

**Document attached:**

Minutes of the Negotiation meeting

## Annex 24: Record of Negotiations (Part 2)

**Name of the Procuring Entity:** *[insert name of Procuring Entity (PE)]*

*[Insert tender identification number]*

**Subject of Procurement:** *[insert subject of procurement]*

**Method of Procurement:** *[insert method of procurement]*

**Date of Negotiation:** *[insert date]*

PART 2: RECORD OF ATTENDANCE AT NEGOTIATIONS				
S/No.	Name	Position	Firm/Company	Signature

## Annex 25: Request for Approval of Negotiations

*[For Submission to Tender Board]*

**Name of the Procuring Entity:** *[insert name of Procuring Entity (PE)]*

**Tender ID No.:** *[Insert tender identification number]*

**Subject of Procurement:** *[insert subject of procurement]*

RECORD OF NEGOTIATIONS		
Issue	Agreement reached ( Full Details)	Approved by Tender Board <i>[insert either "Yes" or "No"]</i>

The information contained in this form and the attached documents is complete, true and accurate and in accordance with the Public Procurement Act No.7 of 2011 and its Regulations:

Secretary of the Tender Board	Chairperson of the Tender Board
Signature:	Signature:
Name:	Name:
Date:	Date:

**Documents Attached:** *(list any other documents attached)*

- Minutes of Negotiation meeting

## Annex 26: Request for Approval of Contract award Recommendations

[For Submission to Tender Board]

**Name of the Procuring Entity:** [insert name of Procuring Entity (PE)]

**Tender ID No.:** [Insert tender identification number]

**Subject of Procurement:** [insert subject of procurement]

**Method of Procurement:** [insert method of procurement]

SUBMISSION INFORMATION		
1.	<ul style="list-style-type: none"> <li>• Was the Negotiations Plan approved by Tender Board [insert Yes/No]</li> <li>• Was the Negotiation held? [insert Yes/No]</li> <li>• If yes, attach Minutes of Negotiations</li> <li>• If no, state reasons</li> </ul>	
2.	Tenderer/Consultant recommended for contract award	
3.	Currency and total amount of recommended contract award	
4.	State date for issue of Letter of Acceptance	
5.	State date for notifying unsuccessful tenderers and release of Tender Security if any	
6.	Any other relevant information	

**Documents Attached:** (list any other documents attached or delete if not applicable)

1. PP Form 12: Negotiation Plan (if applicable)
2. PP Form 14: Record of Negotiations (if applicable)

**Related Documents Submitted previously:** (available for reference from Secretary to Tender Board)

1. Approved Evaluation Report(s)

Previous Submission: (Section letter and title)	Date Approved:

The Tender Board [insert either "has" or "has not"] approved award of contract for [Insert name of contract] to [insert name of firm] at a contract price of [insert amount in words figures and currency] for a duration of [insert duration].

The information contained in this form and the attached documents is complete, true and accurate and in accordance with the Public Procurement Act No. 7 of 2011, it's Regulations and funds available for this contract:

<b>Secretary of the Tender Board</b>	<b>Chairperson of the Tender Board</b>
Signature:	Signature:
Name:	Name:
Date:	Date:

## Annex 27: Request for Approval of Contract Amendments

[For Submission to Tender Board]

**Name of the Procuring Entity:** [insert name of Procuring Entity (PE)]

**Tender ID No.:** [Insert tender identification number]

**Subject of Procurement:** [insert subject of procurement]

**Method of Procurement:** [insert method of procurement]

SUBMISSION INFORMATION		
1.	How many times (if any) has the contract been amended?	
2.	Insert: <ul style="list-style-type: none"> <li>• Original contract value</li> <li>• Total value of any previous amendments (+ /- currency and amount)</li> <li>• percentage of original contract value</li> </ul>	
3.	Describe proposed amendment to contract	
4.	Reason for amendment of contract	
5.	Insert: <ul style="list-style-type: none"> <li>• Value of proposed contract amendment (+/- currency and amount)</li> <li>• percentage of original contract value</li> </ul>	
6.	Any other relevant information	

**Documents attached:** (list any other documents attached)

Draft Contract Amendment

**Related Documents Submitted previously:** (available for reference from Secretary to Tender Board)

Contract Document and all previous amendments

Previous Submission: (Section letter and title)		Date Approved:	

The Tender Board *[insert either "has" or "has not"]* approved Contract amendment number *[insert number of amendment]* amounting to *[insert currency and amount of the proposed contract amendment]* to an amended Contract value of *[insert amended Contract value in currency and amount]*.

The information contained in this form and the attached documents is complete, true and accurate and in accordance with the Public Procurement Act No. 7 of 2011, it's Regulations and funds available for this contract amendment:

<b>Secretary of the Tender Board</b>	<b>Chairperson of the Tender Board</b>
Signature:	Signature:
Name:	Name:
Date:	Date:



## Annex 28: Mini-Competition Quotation Form

### MINI-COMPETITION QUOTATION FORM

[letterhead paper of Procuring entity]

[date]

To: [name and address of the Supplier]

**Re: Mini-Competition Under Framework Agreement**

**Sub: Procurement Reference No:** [insert tender No.] \_\_\_\_\_  
**Framework Agreement No:** [insert FA No.] \_\_\_\_\_

Subject to [insert either clause 7.1(a) or 7.1(b) or both] of the framework agreement referenced above entered between you and Government Procurement Services Agency for the procurement of common use items and services, the Purchaser calls a mini competition. This min-competition request form has also been addressed to the suppliers/service providers awarded framework agreement.

**Modified technical specifications or/and statement of requirements** [this paragraph shall be used where clause 7.1(a) applied otherwise delete if clause 7.1(b) is used]

The technical specifications or/and statement of requirements is hereby refined as follows:

S/n	Item Code	Refined technical Specification required including applicable standards	Compliance of specification offered
	(a)	(b)	(c)

*To be filled by procuring entity:* Column b states the minimum technical specification of the item(s) required by the Procuring entity.

*To be filled by supplier/service provider:* The Bidder is to complete column c with the technical

## Annex 29: Example of Letter of Appointment of Project Supervisor

### HALMASHAURI YA WILAYA YA MKURANGA (Barua zote ziandikwe kwa Mkurugenzi Mtendaji Wilaya)

**Simu Na 023 2402738**  
**Fax Na. 023 - 2402706**



S.L.P 10,  
**MKURANGA,**  
**PWANI.**

*Unapojibu tafadhali taja:*

---

Kumb. Na. MDC/C/B/85/VOL.II/  
10/10/2014

Ndugu,  
Jina.....  
Cheo.....  
S.L.P 10  
MKURANGA.

YAH: KUTEULIWA KUSIMAMIA MRADI WA MATENGENEZO YA  
UJENZI/UKARABATI WA .....

Tafadhali husika na kichwa cha habari hapo juu.

Nimekuteua kusimamia mradi wa Matengenezo ya (Mara kwa mara,sehemu  
korofi,Muda maalumu). Barabara ya  
.....

Ambao utafanya na Mkandarasi M/S....., ambao utanza  
tarehe  
..... hadi tarehe .....

Majukumu yako ni kama ifuatavyo.

- (i). Kusimamia kwa karibu mradi huu kwa kufuata taratibu za mikataba.
- (ii). Kusimamia ubora wa viwango kazi vinavyokubalika kwa mujibu wa mkataba.
- (iii). Kusimamia utekelezaji wa mradi kwa kufuata mpango kazi "Work programme" ya Mkandarasi kama zipo dalili za kutotekelezeka mpango kazi.
- (iv). Kuandaa malipo kulingana na kazi zilizokamilika na zinazostahili kulipwa kwa uhalisia na sio kufuata' BOQ' lipa "actual works"

- (v). Kuandaa vikao vya maeneo ya kazi “site meeting” zitakazo wahusisha, Mwajiri, PMU, Viongozi wa serikali za vijiji/kata waliopo karibu na eneo la mradi pamoja na Mkandarasi Kila mwezi.
- (vi). Kusimamia upimaji na ubora wa kazi inavyofanywa na Mkandarasi ukishirikiana na TANROADS.
- (vii). Kushirikisha Wananchi walio karibu na eneo la mradi katika utekelezaji wa mradi ikiwa ni pamoja na kuwapa taarifa juu ya maendeleo ya mradi.
- (viii). Kumsimamia mkandarasi kuhusu masuala mtambuka katika eneo la mradi huu ikiwa ni Pamoja na ushiriki wa sawa wa kijunsia (wanawake na wanaume) katika kuajiri vibarua, Ugawaji wa vipeperushi na “condom” katika maeneo ya mradi ili kupunguza maambukizi Ya VVU.
- (ix). Kusimamia kwa karibu rasilimali zilizopo barabarani (existing road structure and Furnitures) ili zisiharibiwe wakati wa utekelezaji wa mradi huu ili kupunguza gharama Za kurudia kazi.
- (x). Kumshauri Mhandisi wa ujenzi *pale inapobidi* juu ya kuongeza na kupunguza kazi Kulingana na mkataba.
- (xi). Kutoa mapendekezo kwa maandishi na vitendo juu ya Wananchi wanaofanya shughuli Zozote katika eneo la barabara (yaani, umbali usiozidi mita 15 kila upande wa barabara).
- (xii). Hakikisha unatekeleza majukumu yote hayo kwa umakini na kuhakikisha utekelezaji wa mradi huu unakamilika kama ulivyo katika mkataba. Iwapo mradi huu utatekelezwa chini ya kiwango utawajibishwa kwa mujibu wa sheria na taratibu za kiutumishi.

Nakutakia kazi njema.

A.A. MWAKALYELYE  
MKURUGENZI MTENDAJI (W)  
MKURANGA.

- Nakala* 1. Mhandisi wa Ujenzi (W)  
2. Afisa Ugavi (W)

Source of Template: Guidelines for Maintenance of Rural Roads under Road Funds

## ANNEX 2: TRAINING EVALUATION

### TRAINING EVALUATION FORM

Name of Module:	
Venue of Training:	
Dates of Training	From ..... To .....
Trainer(s):	1. 2.
Name of LGA:	
Name (Optional):	
Position:	

*Indicate your answer by putting a circle around the number (i), (ii), (iii), (iv) or (v).*

#### PART ONE: OVERALL RELEVANCE OF THE COURSE

##### 1. The objectives of the course were relevant to my training needs:

- (i) Completely agree; means that all the objectives were relevant
- (ii) Mostly agree; means that most of the objectives were relevant
- (iii) Agree; shows approximately half of the objectives were relevant
- (iv) Slightly agree; indicates that a few objectives were relevant
- (v) Completely disagree; to the extent that all objectives were irrelevant

##### 2. The outputs of the course were relevant to my work:

- (i) Completely agree; means that all output were relevant
- (ii) Mostly agree; implies that most output were relevant
- (iii) Agree; shows approximately half of the output were relevant
- (iv) Slightly agree; indicates that a few output relevant
- (v) Completely disagree; to the extent that all output were irrelevant

#### PART TWO: COURSE CONTENT

##### 3. The content of the course was the same as I expected:

- (i) Completely agree; all the parts of the course were covered as I expected
- (ii) Mostly agree; means that most of the parts of the course were covered as I expected but a few were omitted
- (iii) Agree; indicates that approximately one half of what I expected to cover in the course were actually covered while most of them were omitted

- (iv) Slightly agree; indicates that most of the parts of the course I expected to cover were omitted
- (v) Completely disagree; to the extent that all parts I expected to cover in the course were omitted.

**4. I found the following topics particularly useful ( list in order of usefulness):**

- 1. ....
- 2. ....
- 3. ....

**5. I found the following topics particularly not useful (list in order of non-usefulness):**

- 1. ....
- 2. ....
- 3. ....

**6. I found the overall content of the course very easy to understand:**

- (i) Completely agree; that the course content was easy to understand
- (ii) Mostly agree; means that the course content was quite easy to understand
- (iii) Agree; shows that I found my level of understanding fairly acceptable
- (iv) Slightly agree; implies that I found the course content somewhat difficult to understand
- (v) Completely disagree; indicates that found the content very difficult to understand

**7. I intend to more effectively perform the following tasks when back in my duty station (list in order of priority)**

- 1. ....
- 2. ....
- 3. ....

**PART THREE**

**8. The overall presentation of the facilitators was:**

- (i) Excellent
- (ii) Very good
- (iii) Good
- (iv) Fair
- (v) Poor

Suggestion: .....

**9. The training methods are:**

- (i) Very good
- (ii) Good
- (iii) Poor

Suggestion: .....

**10. I found theory and practice well-balanced in course delivery:**

- (i) Completely agree
- (ii) Mostly agree
- (iii) Agree
- (iv) Slightly agree
- (v) Completely disagree

Suggestion: .....

**11. The duration of the course is:**

- (i) Too long
- (ii) Adequate
- (iii) Too short

Suggestion: .....

**12. The workload of the course is:**

- (i) Too little
- (ii) Just right
- (iii) Too heavy

Suggestion: .....

**13. The training aids and materials are:**

- (i) Very adequate
- (ii) Adequate
- (iii) Inadequate

Suggestion: .....

**14. The training venue was:**

- (i) Very convenient
- (ii) Convenient
- (iii) Not convenient

Suggestion: .....

**15. The meals and services were:**

- (i) Very adequate
- (ii) Adequate
- (iii) Inadequate

Suggestion: .....

**PART FOUR: SUGGESTIONS FOR FUTURE IMPROVEMENTS**

**11. Give up to three suggestions for future improvement of similar short-term course:**

- 1. ....
- 2. ....
- 3. ....

**12. What other training would improve your performance on the job?**

- 1. ....
- 2. ....
- 3. ....

**13. Provide any other comments as you deem necessary**

.....  
.....  
.....

We thank you for your response.

Date: .....

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