

FILING SYSTEM MANUAL FOR ARCHIVING PROJECT DOCUMENTS FOR PROJECT MANAGEMENT UNITS FINANCING BY IsDB



The objective of this Manual is to help the Project Management Units financing by the Islamic Development Bank (IsDB) to set up a reliable and efficient system for filing procurement documents; a simple system that facilitates the performance of audits and accessibility to procurement documents.

For each given document:

- Read
 - (i) principles of filing system, “ Page 3”
 - (ii) corresponding section of the document “refer to content, Page 2»
- Then **CLASSIFY** or **SEARCH** the document in question.

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PRINCIPLES OF FILING SYSTEM

Filing System of procurement documents has specific characteristics.

- 1) For agencies managing multiple projects or programs, classify by project or program
- 2) Include a section for reference documents
- 3) Filing based on the three types of contracts
 - ◆ Works contracts
 - ◆ Goods contracts (*supplies and equipment*)
 - ◆ Consulting Services
- 4) For efficiency, divide each contract type into two subsections:
 - ◆ Works awarded through invitation for bids
 - ◆ Work awarded by request for quotations

 - ◆ Goods awarded by invitation to for bids
 - ◆ Goods awarded by request for quotations

 - ◆ Consultancy services provided by Firms
 - ◆ Consultancy services provided by Individuals
- 5) Classify each contract, lot, or activity separately.
- 6) Maintain together all documents relating to each contract, lot, or activity from the start of the selection process to the contract management
- 7) Each section, file, folder, document must be identifiable (labels printed on furniture, labels or writing on cardboard folders, boxes and on documents).
- 8) Complete the withdrawal sheet each time a document is taken out of the system and put the withdrawal sheet in place of the withdrawn document until the document is returned to the filing
- 9) The nature of the container is not important, the main thing is to have equipment adapted to the filing cabinet available, and which allows good preservation of the documents.
- 10) The system is flexible and can be adjusted to take certain realities into account.

STORAGE FURNITURE AND APPROPRIATE SUPPLIES

We generally find two types of storage furniture on our markets: (i) furniture with drawers, and (ii) furniture with shelves. Each type of furniture corresponds to types of supplies.

❖ Storage units with drawers:

Stationery

- ◆ Lateral Visibility Hanging Files
 - Transparent holders for labels
 - Special labels
- ◆ Cardboard folders with overflow on one side
 - Sticky notes
- ◆ Simple cardboard folders
 - Sticky notes
- ◆ Undershirts.

❖ Storage units with shelves:

Stationery

- ◆ boxes
 - Labels (to be adapted)
- ◆ Chronos
 - Labels (to be adapted)
- ◆ Boxes – Archive Boxes
 - Labels (to be adapted)
- ◆ Shirts with strap or flap, with strings
 - Sticky notes
- ◆ Simple cardboard folders
 - Sticky notes
 - Cardboard folder

FILINF SYSTEM OF REFERENCE DOCUMENTS

Provide 7 folders or folders

- 1) Folder {Project "RRM/PAD" Evaluation Report}
-Project Appraisal Document
- 2) Folder {Financing Agreement and other legal documents}
 - ◆ *Loan Agreement, Grant Agreement, or other type of Islamic Financing etc.*
- 3) Folder {General Procurement Notice}
- 4) Folder {Procurement Plan}
 - ◆ *Procurement Plans approved by the Bank*
 - ◆ *Bank's No-Objection to Procurement Plans*
 - ◆ *Date of publication of Procurement Plans for approved projects/programmes*
- 5) Folder {Audit Reports – Review Reports}
 - ◆ *Project Audit Reports*
 - ◆ *Post Review Reports*
- 6) Folder {Aide-memoires mentioning the procurement component}
- 7) Folder {Miscellaneous correspondence relating to procurement}

FILING SYSTEM OF WORK CONTRACTS

Awarded Works Contracts (through invitation for Bids)

For each contract or work package, provide: 3 boxes and 8 folders.

❖ **“Heavy Documents” Box or Cardboard** for bulky documents (Offers, etc.).

❖ **Box for selection documents: to contain 5 folders.**

+ Folder for complaints

+ Folder for Prequalification

- Prequalification notice (in the media of the Beneficiary's country, UNDB-online, DG Market, if applicable technical publications, consular or diplomatic representatives of eligible members of the Bank) with date of publication.
- Prequalification document.
- comments and/or non-objection to the prequalification document
- Clarifications requested by Bidders and responses.
- Minutes or record of opening of proposals submitted by applicants
- Prequalification evaluation report with list of prequalified applicants/firms
- Comments and/or no-objection to the list of pre-qualified applicants/firms
- Final version of the prequalification document with amendments (if any)
- Other documents related to prequalification.

+ Folder for Bid Launch

- ✓ Specific Procurement Notice with date of publication
- ✓ Draft bidding document (BD)
- ✓ Bank's comment and/or no-objection to BD
- ✓ Clarifications requested by Bidders and responses.
- ✓ Minutes of pre-bid conference (if applicable)
- ✓ Final version of the BD with modifications/amendments (if any).
- ✓ Other documents related to the Bid launching

+ Folder for Bid Evaluation

- ✓ Minutes of Evaluation Committee and start of the Evaluation Procedures
- ✓ Minutes or record of bid opening
- ✓ Clarifications requested from Bidders and responses.
- ✓ Bid Evaluation Report with recommendation to award
- ✓ Comments and/or no-objection of the Bank to the proposed recommendations of Evaluation Committee
- ✓ Other documents related to the evaluation of Bids

✚ Folder for Contract Award

- ✓ Copy of signed contract
- ✓ Copy of Publication Public Notice of Award of contract in local media and UNDB online or Dg Market and IsDB's external website or other international publication
- ✓ Copy of the letter transmitting the signed contract to the Bank for disbursement (if applicable)
- ✓ Other documents related to the contract award.

❖ **Box for Contract Management contains 3 folders**

✚ Folder for Contract Execution.

- ✓ Performance Security
- ✓ Advance Payment Guarantee
- ✓ Approved Work programs
- ✓ Service orders
- ✓ Situations of work, accounts.
- ✓ Minutes of site meetings
- ✓ Acceptance Certificates (Provisional and Final)
- ✓ Claims, Complaints and Disputes
- ✓ Performance Assessment of Contractor
- ✓ Contract supervision reports
- ✓ Certificate of completion (provisional and final)
- ✓ Invoices
- ✓ Certificates or proof of payment.
- ✓ etc.....

✚ Folder for Contract Amendments

- ✓ Contract Amendments
- ✓ Requests for no-objection to draft contract amendments
- ✓ IsDB's no-objection to draft contract amendments.
- ✓ Signed contract amendments

✚ Folder for Audits relating to Performance of the Contract.

- ✓ Audit of the Contract
- ✓ etc.....

Awarded Works Contracts (by Request for Quotations)

For each contract or batch of works, provide: 1 string shirt and 2 simple shirts.

❖ **String folder: in front of contain 2 folders.**

✚ Folder for process of the contract award

- ✓ File of contractors including proof of constitution of the file
- ✓ Request for quotes and clarification letters.
- ✓ Notification to prospective companies.
- ✓ Clarifications Requested by Bidders and Responses.
- ✓ Quotations submitted by contractors.
- ✓ Bid evaluation report.
- ✓ Notification of contract award.
- ✓ Signed contract.
- ✓ etc....

✚ Folder for contract management.

- ✓ Approved Work programs
- ✓ Service orders.
- ✓ Status of work, accounts.
- ✓ Minutes of site meetings.
- ✓ Supervisory reports
- ✓ Acceptance Certificates.
- ✓ Claims, Complaints and Disputes.
- ✓ Performance Assessment of the Company.
- ✓ Certificates of Completion.
- ✓ Invoices.
- ✓ Certificates or proof of payment.
- ✓ Contract of Audit
- ✓ etc.....

FILING SYSTEM OF GOODS CONTRACTS

Awarded Goods Contracts (through invitation for Bids)

For each contract or lot of Goods, provide: 3 boxes and 7 folders.

❖ **“Heavy Documents” Box or Cardboard** for bulky documents (Offers, etc.).

❖ **Box for selection documents: to contain 5 folders.**

+ Folder for complaints.

+ Folder for Bid issuance

- ✓ Specific procurement notice with publication date.
- ✓ Draft bidding document (BD)
- ✓ Bank's comments and/or no-objection to the BD
- ✓ Clarifications Requested by Bidders and Responses.
- ✓ Final version of the BD with modifications/amendments (if any).
- ✓ Other documents related to the Bid launch

+ Folder for Bid Evaluation

- ✓ Record of bid opening
- ✓ Note with composition of the Evaluation Committee and start of procedures.
- ✓ Clarifications requested from Bidders and responses.
- ✓ Bid evaluation report with recommendations to award the contract
- ✓ Comments and/or no-objection of the Bank to the proposed recommendations of the Bid Evaluation Report
- ✓ Other documents related to Bid evaluation

+ Folder for contract award.

- ✓ Copy of signed contract.
- ✓ Copy Publication Public Notice of Award of contract in local media and UNDB online or Dg Market and IsDB's external website or other international publication media
- ✓ Copy of the letter transmitting the signed contract to the Bank for disbursement.
- ✓ Other documents related to the contract award.

❖ **Box for Contract Management: to contain 3 folders**

✚ Folder for Contract Management.

- ✓ Performance Security
- ✓ Advance payment guarantee.
- ✓ Inspection certificate.
- ✓ Bill of lading.
- ✓ Waybill
- ✓ Manufacturer's/supplier's warranty certificate
- ✓ Delivery note.
- ✓ Acceptance report (provisional, final).
- ✓ Claims, Complaints and Disputes.
- ✓ Invoices.
- ✓ Certificates or proof of payment.
- ✓ etc.....

✚ Folder for Contract Amendments.

- ✓ Contract Amendments
- ✓ Requests for no-objection to draft contract amendments.
- ✓ IsDB's no-objection to the draft contract amendments.
- ✓ Signed contract amendments
- ✓ etc.....

✚ Folder for audits relating to the performance of the contract.

- ✓ Audit of the Contract.
- ✓ etc.....

Awarded Goods Contracts (by Request for Quotations)

For each contract or lot of Goods, provide: 1 string folder and 2 simple folders.

❖ **String folder: must contain 2 single folders.**

✚ Folder for the procurement process.

- ✓ File of suppliers including proof of constitution of the file.
- ✓ Quotation request, consultation letter.
- ✓ Notification to prospective suppliers.
- ✓ Clarifications requested by suppliers and responses.
- ✓ Quotations submitted by suppliers.
- ✓ Bid evaluation report.
- ✓ Notification of contract award.
- ✓ Signed contract or purchase order.
- ✓ etc....

✚ Folder for Contract management.

- ✓ Delivery slip.
- ✓ Claims, Complaints and Disputes.
- ✓ Acceptance report,
- ✓ Invoices.
- ✓ Certificates or proof of payment.
- ✓ etc.....

FILING SYSTEM OF CONSULTANCY SERVICES CONTRACTS

Selection of Consultants (by Request for Proposals)

For each consultant services, provide: 3 boxes and 7 folders.

❖ **“Heavy Documents” Box or Carton** for bulky documents (Proposals, etc.).

❖ **Box for selection documents: to contain 4 folders.**

+ Folder for complaints.

+ Folder for RFP issuance

- ✓ Request for Expressions of Interest with publication date
- ✓ List of firms having expressed their interests
- ✓ Evaluation report of expressions of interest with shortlisting.
- ✓ Bank's comment and/or no-objection to the shortlist.
- ✓ Draft Request for Proposals with Terms of Reference.
- ✓ Bank's comments and/or no-objection to draft RFP.
- ✓ Final version of the RFP with changes/amendments (if any).
- ✓ Other documents related to the RFP issuance

+ Folder for Evaluation

- ✓ Minutes or record of technical proposals opening.
- ✓ Technical Proposal Evaluation Report.
- ✓ Bank's comments and/or no-objection to the technical evaluation report.
- ✓ Minutes or record of the opening of the financial proposals.
- ✓ Combined technical and financial evaluation report with recommendation to award the contract.
- ✓ Other documents related to the evaluation of the proposals

+ Folder for contract award.

- ✓ Minutes of contract negotiations
- ✓ Negotiated draft contract.
- ✓ Bank's comments and/or no-objection to the negotiated draft contract.
- ✓ Signed contract.
- ✓ Letter transmitting the copy of the signed contract to the Bank for disbursement.
- ✓ Copy of publication of the Contract Award Notice in local media and in UNDB online or Dg Market and IsDB's external website or other international publication media
- ✓ Copy of Notification of Intention to Award to unsuccessful Consultants
- ✓ Other documents related to contract award.

❖ **Box for Contract Management: to contain 3 shirts.**

✚ Folder for Contract Execution

- ✓ Approved Work programs
- ✓ Service orders.
- ✓ Claims, complaints and litigation.
- ✓ Performance Assessment of the consultant.
- ✓ Consultant's reports.
- ✓ Approval of the consultant's report.
- ✓ Invoices.
- ✓ Certificates or proof of payment.
- ✓ etc.....

✚ Folder for contract amendments.

- ✓ Contract Amendment
- ✓ Requests for no-objection to draft contract amendments.
- ✓ Bank's comments and/or no-objection to draft contract amendments.
- ✓ Signed contract amendments.

✚ Folder for contract execution audits

- ✓ Audit of the contract.
- ✓ etc.....

Selection of Individual Consultants

For each consultant service, provide: 1 string folder and 2 simple folders.

❖ **String folders: must contain 2 single folders.**

✚ A folder for the selection process.

- ✓ File of Individual Consultants including proof of constitution of the file/notice of call for expressions of interest.
- ✓ CVs of the consultants
- ✓ CV comparison report.
- ✓ Notification of Contract Award.
- ✓ Signed contract.
- ✓ etc....

✚ Folder for Contract Execution

- ✓ Approved Work programs
- ✓ Service orders.
- ✓ Claims, Complaints and Disputes.
- ✓ Performance Assessment of the consultant.
- ✓ Consultant's reports.
- ✓ Approval of the consultant's report.
- ✓ Invoices.
- ✓ Certificates or proof of payment.
- ✓ Contract audits.
- ✓ etc.

FILING SYSTEM OF SIGNED AND EXECUTED CONTRACTS

The Beneficiary will retain all documentation with respect to each contract during the implementation of the project for a period of two (2) years after the closing date of the Financing Agreement for possible audits and review by the Bank or by consultants.

Archiving is essentially done in cardboard boxes or large boxes to facilitate storage and handling.

It's important to:

❖ **Keep the same structure as the Filing of active contracts, namely:**

Works contracts

- ◆ Works Contract Awarded by invitation for Bids.
- ◆ Works Contract Awarded by Request for Quotations.

Goods contracts

- ◆ Goods Contracts Awarded by Invitation for Bids
- ◆ Goods Contracts Awarded by request for Quotations.

Selection of Consultants

- ◆ Consulting Firm Services
- ◆ Individual Consultant Services

❖ **Maintain the documents in their initial supplies (folders, folders in the boxes).**

❖ **Store the boxes of tenders and the services of consulting firms in the boxes in the same place as their voluminous documents.**

❖ **Store string folders of contracts by quotes and individual consultant services in archive boxes**

Annex 1

**MONITORING SHEET FOR FILING DOCUMENTS
PROCUREMENT OF WORKS AND GOODS**

Country:		Financing Agreement No:
Project Name:		
Contract Description:		
Contract Number and Description (if applicable):		
Sub-Component:	Source of funding:	
Procurement Method:	Cost Estimates for Works or Goods: Cost Estimates for Lot (if applicable):	
Invitation For Bids:	Contract No:	
Name and address of the Contractor or Supplier (Awarded Contract):		

DISPUTES / COMPLAINTS	Document date	Date of resolution complaints
1 _____	1 _____	1 _____
2 _____	2 _____	2 _____
3 _____	3 _____	3 _____
4 _____	4 _____	4 _____

Documents	Document date
PREQUALIFICATION	
Advertisement of prequalification with date of publication.....	_____
Prequalification document.....	_____
Comments and/or no-objection from the Bank.....	_____
Record of the opening of applications.....	_____
Prequalification evaluation report with list of qualified applicants.....	_____
Bank's comments and/or no-objection to the list of qualified applicants	_____
<i>Additional documents</i>	

Document	Document Date
<p>INVITATION FOR BIDS</p> <p>The Specific Procurement Notice with date of publication.....</p> <p>Draft Bidding Document (BD).....</p> <p>Bank's comments and/or no-objection to the BD.....</p> <p>Final version of the BD with modifications/amendments (if any)...</p> <p>No-objection from the Bank to the final BD version.....</p> <p><i>Additional documents</i></p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
<p>BIDS EVALUATION</p> <p>Minutes of Evaluation Committee.....</p> <p>Record of Bid Opening.....</p> <p>Bid Evaluation report with award recommendation.....</p> <p>Bank's comments and/or no-objection to the proposed recommendation.....</p> <p>Other documents related to this process.....</p> <p><i>Additional documents</i></p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
<p>CONTRACT AWARD</p> <p>Copy of signed contract</p> <p>Copy Contract Award Notice in the local media UNDB online or Dg Market and IsDB's external website</p> <p>Copy of the letter transmitting the signed contract to the Bank for disbursement.....</p> <p><i>Additional documents</i></p>	<p>_____</p> <p>_____</p> <p>_____</p>
<p>EXECUTION OF THE CONTRACT</p> <p>Performance Security.....</p> <p>Advance payment guarantee</p> <p>Approved work programs.....</p> <p>Inspection certificate.....</p> <p>Bill of lading.....</p> <p>Waybill.....</p> <p>Manufacturer's/supplier's warranty certificate.....</p> <p>Delivery note.....</p> <p>Acceptance report.....</p> <p>Supervision reports.....</p> <p>Service orders.....</p> <p>Invoices.....</p> <p>Certificates or proof of payment.....</p> <p><i>Additional documents</i></p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
<p>AMENDMENT TO THE CONTRACT/CONTRACT</p> <p>Contract Amendments.....</p> <p>Requests for no-objection to draft contract amendments.....</p> <p>No-objection from the Bank to the draft contract amendments.....</p> <p>Signed contract amendments</p> <p><i>Additional documents</i></p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
<p>Procurement AUDIT</p> <p>Procurement Audit Report.....</p> <p><i>Additional documents</i></p>	<p>_____</p>

Annex 2

**MONITORING SHEET FOR FILING DOCUMENTS
SELECTION OF CONSULTANTS**

Country:	Financing Agreement
Project Name:	No:
Service Description:	
Sub-Component:	Source of funding
Selection method:	Estimated Cost of Service: Number of Man/Months required:
Request for Proposals No:	Contract No:
Name and address of the Consultant or Design Office (Awarded Contract):	

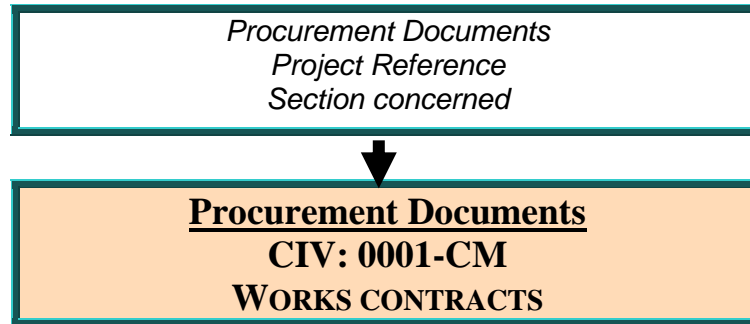
DISPUTES / COMPLAINTS	Document date	Date of resolution complaints
1 _____	1 _____	1 _____
2 _____	2 _____	2 _____
3 _____	3 _____	3 _____
4 _____	4 _____	4 _____

Document	Document date
REQUEST FOR PROPOSAL ISSUANCE	
Request for expressions of interest with publication date.....	_____
List of firms having expressed their interest.....	_____
EOI evaluation report with shortlist.....	_____
Bank's comment and/or no-objection to the shortlist.....	_____
Draft Request for Proposals with Terms of Reference.....	_____
Bank's comments and/or no-objection to the draft RFP.....	_____
Final version of the RFP with changes/amendments (if any).....	_____
<i>Additional documents</i>	

Document	Document Date
<p>EVALUATION OF PROPOSALS</p> <p>Minutes or record of the technical proposals opening.....</p> <p>Evaluation report of technical proposals.....</p> <p>Bank's comments and/or no-objection to the technical proposals evaluation report.....</p> <p>Minutes or record of the financial proposals opening</p> <p>Combined technical and financial proposals evaluation report</p> <p><i>Additional documents</i></p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
<p>CONTRACT AWARD</p> <p>Minutes of contract negotiations.....</p> <p>Negotiated draft contract.....</p> <p>Bank's comments and/or no-objection to the negotiated draft contract.</p> <p>Signed contract.....</p> <p>Letter/email forwarding the copy of the signed contract to the Bank.....</p> <p>Copy of Publication of the Contract Award Notice in local media and in UNDB online or Dg Market and IsDB's external website</p> <p>Copy Notification of Intention of Award the Contract to unsuccessful consultants.....</p> <p><i>Additional documents</i></p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
<p>CONTRACT MANAGEMENT</p> <p>Schedule for the execution of the mission.....</p> <p>Reports of the consultants.....</p> <p>Approval of the consultant's report.....</p> <p>Invoices.....</p> <p>Certificates or proof of payment.....</p> <p><i>Additional documents</i></p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
<p>AMENDMENT TO THE CONTRACT</p> <p>Contract Amendments.....</p> <p>Requests for no-objection to draft contract amendments.....</p> <p>No-objection from the Bank to the draft contract amendments.....</p> <p>Signed contract amendments.....</p> <p><i>Additional documents</i></p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
<p>Procurement AUDIT</p> <p>Procurement Audit Report</p> <p><i>Additional documents.</i></p>	<p>_____</p>

LABELLING FURNITURE, FILING EQUIPMENT, AND IDENTIFICATION OF DOCUMENTS

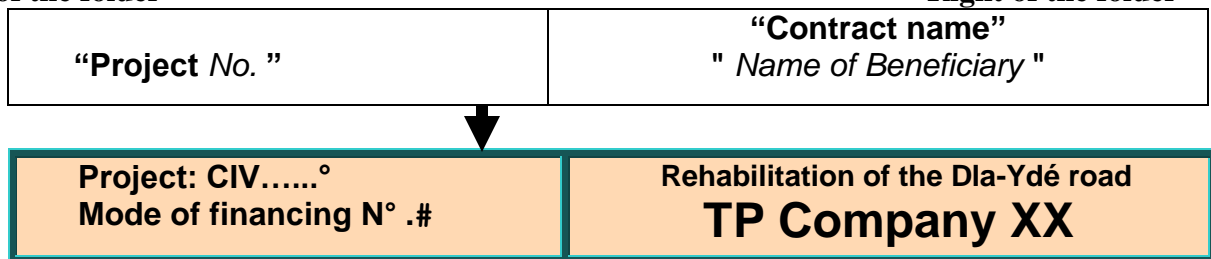
Identification of sections "labels to stick on drawers/shelf"



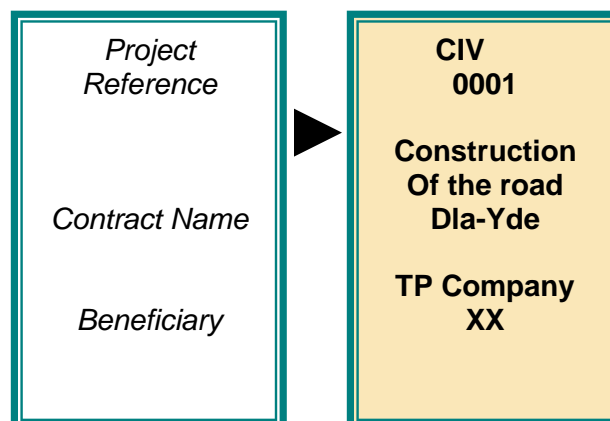
Identification of the folders or boxes to contain the documents for each contract:

Left of the folder

Right of the folder



Or back of the box



Identification of the folders containing the documents of each stage

Left of the Folder

Right of the folder

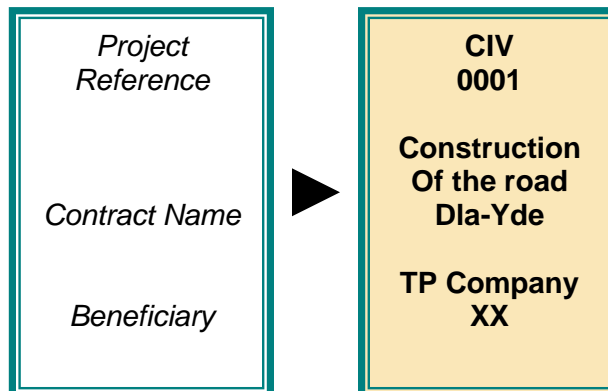
" Step "	"Contract Name" "Supplier Name"
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Notification and Prequalification	Dla-Yde road construction TP Company XX
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Management	Dla-Yde road construction TP Company XX
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Or back of the box



Identification of Documents



USEFUL CONTACTS

If you have any difficulties or questions regarding this filing system, please contact the following people:



AH FILING SYSTEM!!!