

Government of Ontario

BPS Procurement Directive Toolkit

Ministry of Government Services

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Disclaimer

The templates and the information on this website are being provided to your organization to use as it sees fit, and are provided on the following understanding:

The templates and information are not intended to specify how your organization's procurement practices should be conducted and are provided for information purposes only. In the event of a conflict between the templates, the information on this website and the Broader Public Sector Accountability Act, 2010 (the "Act") or the Directives issued thereunder, the Act and Directives will govern.

The Province does not assume any duty of care or liability or responsibility for the accuracy, completeness, or usefulness of any information or advice included on this website.

The templates and procedures described herein may not reflect the particular needs of your organization or a particular procurement transaction. These will need to be modified to suit your organization's needs. In doing so, your organization should seek transaction-specific legal advice when preparing the documents for use in a procurement transaction. The templates and the information on this website are merely provided as tools to assist your organization and should not be regarded as a substitute for transaction-specific legal advice.

Welcome to the Broader Public Sector Procurement Directive Toolkit

A quick reference guide for procurement professionals from designated broader public sector and other organizations funded by the government of Ontario

Getting started is easy

- Get started by selecting a process from the menu on the left.
- Next, select a specific activity from the submenu to reveal process checklists, related templates and reference documents.

Helpful Documents

- [Broader Public Sector \(BPS\) Procurement Directive Implementation Guidebook](#)
- [Questions and Answers on the BPS Procurement Directive](#)
- [To whom does the BPS Procurement Directive apply?](#)

Competitive Procurement

Invitational Competitive

Used for the procurement of goods or non-consulting services from the lower limit, as decided by each organization up to, but not including \$100,000. For the purposes of this tool kit, the lower limit has been set to \$10,000. It is the process of requesting a minimum of three (3) qualified suppliers to submit a written proposal in response to the defined requirements outlined by an individual/organization.

Purchase Need Identified – Step 1 of 11

Objective:

- To determine core procurement process to initiate

Output:

- Appropriate core procurement process determined

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Determine:
 - **Appropriate signing authority level**
 - Funding source (public, research, foundation, etc.)
 - Procurement process based on total procurement value (including base term + extension; excluding taxes):
 - <\$10,000 is an informal procurement process (goods & non-consulting services; cannot be used for consulting services)
 - **< \$100,000 is an invitational competitive procurement process for consulting services**
 - What is a consulting service? (check if one of the following applies)
 - Expert advice and guidance
 - Strategic advice, thinking, guidance or plans
 - Assessment without implementation
 - Consideration and/or decision making
 - **>= \$10,000 and < \$100,000 is an invitational competitive procurement process (goods & non-consulting services)**
>= \$100,000 is an open competitive procurement process (goods, non-consulting services, consulting services)
- Is this an eligible exemption, exception or non-application under the Agreement on Internal Trade (AIT) or other trade agreement?
 - If yes, continue with competitive procurement process if possible, otherwise use Single or Sole Sourcing procurement process

Templates & References:

- Approval Authority Schedule Template
- Purchase Approval Template
- Competitive Procurement Options
- Core Procurement Workflows
- Non-Competitive Procurement Approval Form Template

Planning – Step 2 of 11

Objective:

- To define procurement scope and assemble an evaluation team

Output:

- Approved procurement in required timeframe with an evaluation team briefed and ready to go

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Identify individual conducting the procurement (could be end user or Procurement representative)
- Define resource requirements (financial, human, subject matter experts, external people)
- Complete procurement business case
 - Determine total procurement value (including base term and extension, excluding taxes)
- **Receive sign-off from budget owner to proceed**
- Receive sign-off on business case
- Develop procurement project plan
- Select Evaluation Team (could be two (including Bid Administrator) or more individuals) by ensuring:
 - Procurement representation
 - Appropriate stakeholder representation
- Select Evaluation Team Lead (ideally Bid Administrator)
- Select participant(s) to attend all vendor debriefings (if request made by supplier)
Have all individual(s) directly involved in conducting the procurement or performing evaluations sign non-disclosure agreement
Have all individual(s) directly involved in conducting the procurement or performing evaluations sign conflict of interest disclosure
- Invite bids
 - Decide on at least 3 suppliers (if available) to be part of the invitational bid
 - If a VOR list has already been established, then invited suppliers need to be from the VOR list with the minimum number invited as per the organizational VOR list schedule
- Ensure evaluation team members have received and reviewed the evaluation handbook

- Determine bid response time (as appropriate to complexity and purchase value; can be < 15 calendar days)

Templates & References:

- Conflict of Interest Disclosure Template
- Procurement Business Case Template
- Evaluation Team List and Contact Information Template
- Evaluation Team Composition Options
- Evaluation Handbook

Requirements – Step 3 of 11

Objective:

- To define procurement specifications

Output:

- Procurement specifications determined and signed-off

Process Checklist:

- Conduct key stakeholder consultations (including all relevant departments, organizations, clinicians, sector and system partners, community members)
- Summarize results of stakeholder consultations
- Develop business specifications
- Develop technical specifications using subject matter experts
- Create final procurement specifications
- Sign-off on procurement specifications

Templates & References:

- Procurement Specifications Template
- Procurement Specifications Approval Template
- Stakeholder Consultation Template

Competitive Document – Step 4 of 11

Objective:

- To create a competitive document (RFP/RFQ or equivalent)

Output:

- Completed and approved competitive document (RFP/RFQ or equivalent) is sent to specific suppliers

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Determine and Specify:

- **Bid response time (as appropriate to complexity and purchase value)**
Date responses need to be received (must be a normal working day, so Monday to Friday, excluding holidays)
- Name, contact information and location of contact person, i.e., Bid Administrator (add a statement that suppliers who bypass this contact person may be disqualified)
- Submission rules, bid receipt information (for example, pricing information in a separate envelop) and process for bid opening
Expense claims and reimbursement rules (comply as per Broader Public Sector Expenses Directive)
- **Contract terms & conditions, contract base term & extension, date when contract extension needs to be invoked**
- **Conditions that must be met: mandatory requirements, including technical standards (include statement: submissions that do not meet the mandatory criteria will be disqualified)**
Evaluation criteria and process:
 - price/cost
 - resolving a tie score
 - rated requirements
 - minimum required rating
 - role of sub teams
 - shortlist process
 - role and rating of Supplementary Evaluation
 - value-add incentives
 - alternative strategies or solutions
- **Bid dispute resolution process and procedure**
- Offer opportunity for supplier to request a vendor debriefing
- Include a copy of the form of agreement to be signed in the event of an award of the procurement
- Consider form of agreement with a ceiling on the contract value (for example, a cap on the contract value or contract length; applies to services)
- Consider contract clauses that permit cancellation or termination at critical project life-cycle stages
- Consider statement for cancellation of competition if received bids exceed allocated budget, do not meet requirements or do not represent fair market value
- Ask for an intent to bid
- Request for a list of any subcontractors that will be used
- State the period of irrevocability of bids where bids cannot be withdrawn (typically 120 days from bid closure date)
- Add notice that any confidential information supplied to the organization may be disclosed by the organization where it is obliged to do so under FIPPA, by an order of a court or tribunal or otherwise required at law

- Receive approval for competitive document
- Post or email competitive document, or designate a pick-up time for invited suppliers to collect competitive document

Templates & References:

- Glossary of Terms
- List of Acronyms
- Bid Dispute Resolution Procedure Guideline
- Bid Dispute Resolution Process Options
- Value-Add Incentives Principles
- Evaluation Matrix Template
- Evaluation Handbook

Internal Compliance – Step 5 of 11

Objective:

- To confirm compliance to BPS Procurement Directive and organizational policies & procedures

Output:

- Internal compliance is managed and measured

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Confirm procurement processes comply to Broader Public Sector Procurement Directive and all applicable mandatory requirements met:
 - **Segregation of Duties**
 - **Approval Authority**
 - **Competitive Procurement Thresholds**
 - **Information Gathering**
 - **Supplier Pre-Qualification**
 - **Posting Competitive Procurement Documents**
 - **Timeline for Posting Competitive Procurement Documents**
 - **Bid Receipt**
 - **Evaluation Criteria**
 - **Evaluation Process Disclosure**
 - **Evaluation Team**
 - **Evaluation Matrix**
 - **Winning Bid**
 - **Non Discrimination**
 - **Executing the Contract**
 - **Establishing the Contract**
 - **Termination Clauses**

- **Term of Agreement Modifications**
- **Contract Award Notification**
- **Vendor Debriefing**
- **Non-Competitive Procurement**
- **Contract Management**
- **Procurement Records Retention**
- **Conflict of Interest**
- **Bid Dispute Resolution**
- Confirm compliance to organizational policies and procedures
 - Activities carried out by a delegated authority consistent with BPS Procurement Directive
 - **Supply Chain Code of Ethics complied with Authorization received as per Board approved Approval Authority Schedule, for example:**
 - Business Case
 - Competitive Procurement Document
 - Non-Competitive Procurement
 - Contract
 - Contract Extensions
 - Contract Amendments
 - **Conflict of Interest declarations and Non-Disclosure Agreements signed**
 - Internal policies and procedures followed
 - Comply with BPS Procurement Directive
 - Comply with organization's Procurement Policy and Procedure Manual

Templates & References:

- Procurement Scorecard

Blackout Period & Bid Receipt – Step 6 of 11

Objective:

- To conduct fair blackout period and bid opening process

Output:

- Fair and transparent access to modifications and clarifications to competitive document
- Ensure every bidder has access to the same information
- Eligible submissions opened and logged

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Managing communication and information during Blackout Period

- Follow the process outlined in the competitive document

- All communications are through contact identified in the competitive document (i.e., Bid Administrator)
 - **Ensure Evaluation Team members do not communicate or provide information to bidders during blackout period**
 - Ensure employees or other members of the organization do not communicate or provide information to bidders during blackout period
- Manage changes to competitive documents via:
 - Modifications via Addenda in the same manner as the competitive document (e.g., email or pick-up)
 - Clarifications through Question-and-Answer (Q&A) in the same manner as the competitive document (e.g., email or pick-up)
- All modifications issued a few days prior to submission deadline

Bid Receipt (performed by Bid Administrator)

- Follow the process outlined in the competitive document
- Stamp/log each bid as it arrives (date, time, location, company name, contact information)
- **Do not open bids received after submission deadline, return un-opened**
- Open bids after submission deadline has passed
- Ensure there is at least one witness

Templates & References:

- Bid Receipt Log Template

Evaluation – Step 7 of 11

Objective:

- To determine the highest ranking submission

Output:

- Notification of contract award to the highest ranking submission meeting all mandatory requirements

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- **Follow the evaluation process outlined in the competitive document**
- Determine in-house process for managing changes to individual evaluation matrix (where individual misunderstood or misinterpreted)
- Perform mandatory compliance review (pass/fail)
- **Score rated requirements using an evaluation matrix (minimum required rating can only be used if declared in RFP/RFQ or equivalent)**
- Verify licences, certificates, permits (if applicable)

- Reject submissions failing mandatory compliance review or not meeting minimum required rating
- Consolidate all evaluation matrices to determine the overall ranking score
- If shortlist declared in RFP/RFQ or equivalent, evaluate shortlist
- Is a Supplementary Evaluation required? (i.e., technical or clinical product evaluation, site visit, supplier presentation, reference checks)
 - No
 - Score price/cost (have bid administrator open pricing envelop)
Invoke method identified in competitive document in the event of a tie
Choose the highest ranking submission meeting all mandatory requirements
 - Issue contract award letter to highest ranking submission
 - Yes
 - If shortlist declared in RFP/RFQ or equivalent, evaluate shortlist
 - If no shortlist declared in RFP/RFQ or equivalent, then evaluate all proponents
 - Select additional evaluation team members to conduct technical or clinical product evaluation (as necessary)
 - Finalize criteria for Supplementary Evaluation (if applicable and declared in RFP/RFQ or equivalent)
 - Complete Supplementary Evaluation
 - Score price/cost (have bid administrator open pricing envelop)
Invoke method identified in competitive document in the event of a tie
Choose the highest ranking submission meeting all mandatory requirements
 - Issue contract award letter to highest ranking submission
- **Records of evaluation scores must be auditable**
Everything said or documented must be fair, factual, fully defensible, and may be subject to public scrutiny
- **Evaluations must not discriminate or exercise preferential treatment**

Templates & References:

- Evaluation Handbook
- Evaluation Matrix Template

Agreement – Step 8 of 11

Objective:

- To enter into an agreement with the supplier

Output:

- Finalized agreement

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- **Contract must be finalized using the form of agreement released with the competitive document, if applicable**
Contract must include appropriate cancellation and/or termination clauses
Contract must specify the term (start and end date) and any options for extensions
Consider contract clauses that permit cancellation or termination at critical project life-cycle stages
Signed contract must be in place before the provision of the goods or services commences
In situations where an immediate need exists and a contract signed by both parties is not yet available, an interim purchase order may be used
- Verify appropriate individual from both parties signed the contract (dollar value and contract signing authority)

Award Notification – Step 9 of 11

Objective:

- To notify all participants a successful supplier was selected

Output:

- Notification of award
- Summary documents completed

Process Checklist:

- Confirm contract signed by both parties
- Notify any participating suppliers whose submissions were rejected during evaluation
- Notify all participating suppliers the contract has been awarded
- Complete executive summary
- Capture 'Lessons Learned' summary (as applicable)

Templates & References:

- Executive Summary Template
- Lessons Learned Template

Vendor Debriefing – Step 10 of 11

Objective:

- To ensure all suppliers requesting a debriefing session are accommodated

Output:

- Successful and fair debriefing with suppliers who requested a vendor debriefing session

Process Checklist:

- Allow up to 60 calendar days following the date of contract award notification for supplier to request debriefing
- Conduct separate debriefings with each supplier

- Confirm date and timing of debriefing session in writing
- Ensure the same participants attend every debriefing session (at least one person should be present at all debriefings)
- Retain all debriefing documentation

When conducting the debriefing:

- Provide general overview of evaluation process set out in the competitive document
- Discuss strengths and weakness of the supplier's submission in relation to the evaluation criteria (do not provide any details of any other bidders)
- Provide suggestions on how the supplier could improve on future submissions
- Be open to feedback from the supplier on current procurement processes and practices
- Address specific issues and questions raised by the supplier regarding their submission
- Once debriefing session completed, escalate any issues or risks to senior management or legal as necessary

Templates & References:

- Vendor Debriefing Preparation Template

Document Retention – Step 11 of 11

Objective:

- To retain all procurement documentation

Output:

- All procurement documentation, information and communication is maintained in recoverable form for a minimum of seven years

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Written policy for handling, storing and maintaining suppliers' confidential and commercially sensitive information

- **All documents, information and communication related to the procurement processes needs to be maintained in recoverable form for minimum of seven years** (including but not limited to):
 - Procurement business case
 - Evidence of approvals
 - Non-Competitive documentation
 - Competitive document (RFP/RFQ or equivalent)
 - All RFP/RFQ or equivalent submissions
 - Modifications/Clarifications

- Evaluation records (includes individual evaluation matrix & notes AND summary matrix & notes)
- Award notice
- Contract (originally signed as well as any changes)
- All vendor debriefing documents
- Bid dispute and resolution
- Supplier performance information

Open Competitive

Used for the procurement of goods or services estimated at \$100,000 or more. A competitive document (RFx) is publicly posted.

Purchase Need Identified – Step 1 of 11

Objective:

- To determine core procurement process to initiate

Output:

- Appropriate core procurement process determined

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Determine:
 - **Appropriate signing authority level**
 - Funding source (public, research, foundation, etc.)
 - Procurement process based on total procurement value (including base term + extension; excluding taxes):
 - <\$10,000 is an informal procurement process (goods & non-consulting services; cannot be used for consulting services)
 - **< \$100,000 is an invitational competitive procurement process for consulting services**
 - What is a consulting service? (check if one of the following applies)
 - Expert advice and guidance
 - Strategic advice, thinking, guidance or plans
 - Assessment without implementation
 - Consideration and/or decision making
 - \geq \$10,000 and $<$ \$100,000 is an invitational competitive procurement process (goods & non-consulting services)
 - **\geq \$100,000 is an open competitive procurement process (goods, non-consulting services, consulting services)**
- Is this an eligible exemption, exception or non-application under the Agreement on Internal Trade (AIT) or other trade agreement?

- If yes, continue with competitive procurement process if possible, otherwise use Single or Sole Sourcing procurement process

Templates & References:

- Approval Authority Schedule Template
- Purchase Approval Template
- Competitive Procurement Options
- Core Procurement Workflows
- Non-Competitive Procurement Approval Form Template

Planning – Step 2 of 11

Objective:

- To define procurement scope and assemble an evaluation team

Output:

- Approved procurement in required timeframe with an evaluation team briefed and ready to go

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Identify individual conducting the procurement (could be end user or Procurement representative)
- Define resource requirements (financial, human, subject matter experts, external people)
- Complete procurement business case
 - Determine total procurement value (including base term and extension, excluding taxes)
- **Receive sign-off from budget owner to proceed**
- Receive sign-off on business case
- Develop procurement project plan
- Select Evaluation Team (could be two (including Bid Administrator) or more individuals) by ensuring:
 - Procurement representation
 - Appropriate stakeholder representation
- Select Evaluation Team Lead (ideally Bid Administrator)
- Select participant(s) to attend all vendor debriefings (if request made by supplier)
- **Have all individual(s) directly involved in conducting the procurement or performing evaluations sign non-disclosure agreement**
- **Have all individual(s) directly involved in conducting the procurement or performing evaluations sign conflict of interest disclosure**
- Ensure evaluation team members have received and reviewed the evaluation handbook

Determine bid response time (must be at least 15 calendar days; should be as appropriate to complexity and purchase value; could be at least 30 calendar days for procurements of high complexity, risk, and/or dollar value)

Templates & References:

- Conflict of Interest Disclosure Template
- Procurement Business Case Template
- Evaluation Team List and Contact Information Template
- Evaluation Team Composition Options
- Evaluation Handbook

Requirements – Step 3 of 11

Objective:

- To define procurement specifications

Output:

- Procurement specifications determined and signed-off

Process Checklist:

- Conduct key stakeholder consultations (including all relevant departments, organizations, clinicians, sector and system partners, community members)
- Summarize results of stakeholder consultations
- Develop business specifications
- Develop technical specifications using subject matter experts
- Create final procurement specifications
- Evaluation team (or sub-team) sign-off on procurement specifications

Templates & References:

- Procurement Specifications Template
- Procurement Specifications Approval Template
- Stakeholder Consultation Template

Competitive Document – Step 4 of 11

Objective:

- To create a competitive document (RFP/RFQ)

Output:

- Completed and approved competitive document (RFP/RFQ) is posted

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Determine and Specify:

Bid response time (as appropriate to complexity and purchase value; minimum is 15 calendar days, consider 30 days for procurements of high complexity, risk, and/or dollar value)

Date responses need to be received (must be a normal working day, so Monday to Friday, excluding holidays)

- Name, contact information and location of contact person, i.e., Bid Administrator (add a statement that suppliers who bypass this contact person may be disqualified)
- Submission rules, bid receipt information (for example, pricing information in a separate envelop) and process for bid opening

Expense claims and reimbursement rules (comply as per Broader Public Sector Expenses Directive)

Contract terms & conditions, contract base term & extension, date when contract extension needs to be invoked

Conditions that must be met: mandatory requirements, including technical standards (include statement: submissions that do not meet the mandatory criteria will be disqualified)

- **Evaluation criteria and process:**
 - price/cost
 - resolving a tie score
 - rated requirements
 - minimum required rating
 - role of sub teams
 - shortlist process
 - role and rating of Supplementary Evaluation
 - value-add incentives
 - alternative strategies or solutions
- **Bid dispute resolution process and procedure**

Process for vendor debriefings and notify of entitlement to a vendor debriefing once competitive process completed

- Include a copy of the form of agreement to be signed in the event of an award of the procurement
- Add statement that the procurement is subject to Ontario's trade agreements (goods, services & construction \geq \$100,000)
- Consider form of agreement with a ceiling on the contract value (for example, a cap on the contract value or contract length; applies to services)
- Consider contract clauses that permit cancellation or termination at critical project life-cycle stages
- Consider statement for cancellation of competition if received bids exceed allocated budget, do not meet requirements or do not represent fair market value
- Ask for an intent to bid
- Request for a list of any subcontractors that will be used

- State the period of irrevocability of bids where bids cannot be withdrawn (typically 120 days from bid closure date)
- Add notice that any confidential information supplied to the organization may be disclosed by the organization where it is obliged to do so under FIPPA, by an order of a court or tribunal or otherwise required at law
- Receive approval for competitive document
- **Post competitive document on public electronic tendering system**

Templates & References:

- Glossary of Terms
- List of Acronyms
- Bid Dispute Resolution Procedure Guideline
- Bid Dispute Resolution Process Options
- Value-Add Incentives Principles
- Evaluation Matrix Template
- Evaluation Handbook

Internal Compliance – Step 5 of 11

Objective:

- To confirm compliance to BPS Procurement Directive and organizational policies & procedures

Output:

- Internal compliance is managed and measured

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Confirm procurement processes comply to Broader Public Sector Procurement Directive and all applicable mandatory requirements met:
 - Segregation of Duties
 - Approval Authority
 - Competitive Procurement Thresholds
 - Information Gathering
 - Supplier Pre-Qualification
 - Posting Competitive Procurement Documents
 - Timeline for Posting Competitive Procurement Documents
 - Bid Receipt
 - Evaluation Criteria
 - Evaluation Process Disclosure
 - Evaluation Team
 - Evaluation Matrix
 - Winning Bid

- **Non Discrimination**
- **Executing the Contract**
- **Establishing the Contract**
- **Termination Clauses**
- **Term of Agreement Modifications**
- **Contract Award Notification**
- **Vendor Debriefing**
- **Non-Competitive Procurement**
- **Contract Management**
- **Procurement Records Retention**
- **Conflict of Interest**
- **Bid Dispute Resolution**
- Confirm compliance to organizational policies and procedures
 - Activities carried out by a delegated authority consistent with BPS Procurement Directive
 - **Supply Chain Code of Ethics complied with Authorization received as per Board approved Approval Authority Schedule, for example:**
 - Business Case
 - Competitive Procurement Document
 - Non-Competitive Procurement
 - Contract
 - Contract Extensions
 - Contract Amendments
 - **Conflict of Interest declarations and Non-Disclosure Agreements signed**
 - Internal policies and procedures followed
 - Comply with BPS Procurement Directive
 - Comply with organization's Procurement Policy and Procedure Manual

Templates & References:

- Procurement Scorecard

Blackout Period & Bid Receipt – Step 6 of 11

Objective:

- To conduct fair blackout period and bid opening process

Output:

- Fair and transparent access to modifications and clarifications to competitive document
- Ensure every bidder has access to the same information
- Eligible submissions opened and logged

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Managing communication and information during Blackout Period

- Follow the process outlined in the competitive document
- All communications are through contact identified in the competitive document (i.e., Bid Administrator)
 - **Ensure Evaluation Team members do not communicate or provide information to bidders during blackout period**
 - Ensure employees or other members of the organization do not communicate or provide information to bidders during blackout period
- Manage changes to competitive documents via:
 - Modifications via Addenda in the same manner as the competitive document (post on electronic tendering system)
 - Clarifications through Question-and-Answer (Q&A) in the same manner as the competitive document (post on electronic tendering system)
- All modifications issued a few days prior to submission deadline

Bid Receipt (performed by Bid Administrator)

- Follow the process outlined in the competitive document
- Stamp/log each bid as it arrives (date, time, location, company name, contact information)
- **Do not open bids received after submission deadline, return un-opened**
- Open bids after submission deadline has passed
- Ensure there is at least one witness

Templates & References:

- Bid Receipt Log Template

Evaluation – Step 7 of 11

Objective:

- To determine the highest ranking submission

Output:

- Notification of contract award to the highest ranking submission meeting all mandatory requirements

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- **Follow the evaluation process outlined in the competitive document**
- Determine in-house process for managing changes to individual evaluation matrix (where individual misunderstood or misinterpreted)

- Perform mandatory compliance review (pass/fail)
Score rated requirements using an evaluation matrix (minimum required rating can only be used if declared in RFP)
- Verify licences, certificates, permits (if applicable)
- Reject submissions failing mandatory compliance review or not meeting minimum required rating
- Consolidate all evaluation matrices to determine the overall ranking score
- If shortlist process was declared in RFP, then determine shortlist
- Is a Supplementary Evaluation required? (i.e., technical or clinical product evaluation, site visit, supplier presentation, reference checks)
 - No
 - Score price/cost (have bid administrator open pricing envelop)
 - **Invoke method identified in competitive document in the event of a tie**
Choose the highest ranking submission meeting all mandatory requirements
 - Issue contract award letter to highest ranking submission
 - Yes
 - If shortlist declared in RFP evaluate shortlist
 - If no shortlist declared in RFP then evaluate all proponents
 - Select additional evaluation team members to conduct technical or clinical product evaluation (as necessary)
 - Finalize criteria for Supplementary Evaluation (if applicable and declared in RFP)
 - Complete Supplementary Evaluation
 - Score price/cost (have bid administrator open pricing envelop)
Invoke method identified in competitive document in the event of a tie
Choose the highest ranking submission meeting all mandatory requirements
 - Issue contract award letter to highest ranking submission
- **Records of evaluation scores must be auditable**
Everything said or documented must be fair, factual, fully defensible, and may be subject to public scrutiny
- **Evaluations must not discriminate or exercise preferential treatment**

Templates & References:

- Evaluation Handbook
- Evaluation Matrix Template

Agreement – Step 8 of 11

Objective:

- To enter into an agreement with the supplier

Output:

- Finalized agreement

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Contract must be finalized using the form of agreement released with the competitive document

- **Contract must include appropriate cancellation and/or termination clauses**
- **Contract must specify the term (start and end date) and any options for extensions**
- **Consider contract clauses that permit cancellation or termination at critical project life-cycle stages**

Signed contract must be in place before the provision of the goods or services commences

In situations where an immediate need exists and a contract signed by both parties is not yet available, an interim purchase order may be used

- Verify appropriate individual from both parties signed the contract (dollar value and contract signing authority)

Award Notification – Step 9 of 11

Objective:

- To notify all participants a successful supplier was selected

Output:

- Public posting of award
- Summary documents completed

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Confirm contract signed by both parties
- Include the following in the award notification letter:
 - Name of supplier(s) awarded the contract
 - Start and end dates and options for extension

Post award notification letter (using the same system that was used to post the competitive document)

- Notify any participating suppliers whose submissions were rejected during evaluation
- Notify all participating suppliers the contract has been awarded
- Complete executive summary
- Capture 'Lessons Learned' summary (as applicable)

Templates & References:

- Executive Summary Template
- Lessons Learned Template

Vendor Debriefing – Step 10 of 11

Objective:

- To ensure all suppliers requesting a debriefing session are accommodated

Output:

- Successful and fair debriefing with suppliers who requested a vendor debriefing session

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Allow up to 60 calendar days following the date of contract award notification for supplier to request debriefing

- Conduct separate debriefings with each supplier
- Confirm date and timing of debriefing session in writing
- Ensure the same participants attend every debriefing session (at least one person should be present at all debriefings)
- Retain all debriefing documentation

When conducting the debriefing:

- Provide general overview of evaluation process set out in the competitive document
- Discuss strengths and weakness of the supplier's submission in relation to the evaluation criteria (do not provide any details of any other bidders)
- Provide suggestions on how the supplier could improve on future submissions
- Be open to feedback from the supplier on current procurement processes and practices
- Address specific issues and questions raised by the supplier regarding their submission
- Once debriefing session completed, escalate any issues or risks to senior management or legal as necessary

Templates & References:

- Vendor Debriefing Preparation Template

Document Retention – Step 11 of 11

Objective:

- To retain all procurement documentation

Output:

- All procurement documentation, information and communication is maintained in recoverable form for a minimum of seven years

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Written policy for handling, storing and maintaining suppliers' confidential and commercially sensitive information

- **All documents, information and communication related to the procurement processes needs to be maintained in recoverable form for minimum of seven years (including but not limited to):**
 - Procurement business case
 - Evidence of approvals
 - Non-Competitive documentation
 - Competitive document (RFP/RFQ)
 - All RFP/RFQ submissions
 - Modifications/Clarifications(Addenda and Q&A)
 - Evaluation records (includes individual evaluation matrix & notes AND summary matrix & notes)
 - Award notice
 - Contract (originally signed as well as any changes)
 - All vendor debriefing documents
 - Bid dispute and resolution
 - Supplier performance information

Consulting Services – Invitational Competitive

Used for the procurement of consulting services up to, but not including \$100,000. It is the process of requesting a minimum of three (3) qualified suppliers to submit a written proposal in response to the defined requirements outlined by an individual/organization.

Purchase Need Identified – Step 1 of 11

Objective:

- To determine core procurement process to initiate

Output:

- Appropriate core procurement process determined

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Determine:
 - **Appropriate signing authority level**
 - Funding source (public, research, foundation, etc.)
- Are you procuring consulting services?
 - What is a consulting service? (check if one of the following applies)
 - Expert advice and guidance
 - Strategic advice, thinking, guidance or plans
 - Assessment without implementation
 - Consideration and/or decision making

invitational competitive procurement process (invite 3 bidders; purchase value < \$100,000, excluding taxes)

- open competitive procurement process (optional if purchase value < \$100,000, excluding taxes)
- **open competitive procurement process (must be used if purchase value >= \$100,000, excluding taxes)**
- Note: The informal procurement process cannot be used for consulting services
- Is this an eligible exemption, exception or non-application under the Agreement on Internal Trade (AIT) or other trade agreement?
 - If yes, continue with competitive procurement process if possible, otherwise use Single or Sole Sourcing procurement process

Templates & References:

- Approval Authority Schedule Template
- Purchase Approval Template
- Competitive Procurement Options
- Core Procurement Workflows
- Non-Competitive Procurement Approval Form Template

Planning – Step 2 of 11

Objective:

- To define procurement scope and assemble an evaluation team

Output:

- Approved procurement in required timeframe with an evaluation team briefed and ready to go

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Identify individual conducting the procurement (could be end user or Procurement representative)
- Define resource requirements (financial, human, subject matter experts, external people)
- Complete procurement business case
 - Determine total procurement value (including base term and extension, excluding taxes)
- **Receive sign-off from budget owner to proceed**
- Receive sign-off on business case
- Develop procurement project plan
- Select Evaluation Team (could be two (including Bid Administrator) or more individuals) by ensuring:
 - Procurement representation
 - Appropriate stakeholder representation

- Select Evaluation Team Lead (ideally Bid Administrator)
- Select participant(s) to attend all vendor debriefings (if request made by supplier)
Have all individual(s) directly involved in conducting the procurement or performing evaluations sign non-disclosure agreement
Have all individual(s) directly involved in conducting the procurement or performing evaluations sign conflict of interest disclosure
- Invite bids
 - Decide on at least 3 suppliers (if available) to be part of the invitational bid
 - If a VOR list has already been established, then invited suppliers need to be from the VOR list with the minimum number invited as per the organizational VOR list schedule
- Ensure evaluation team members have received and reviewed the evaluation handbook
- Determine bid response time (as appropriate to complexity and purchase value; can be < 15 calendar days)

Templates & References:

- Conflict of Interest Disclosure Template
- Procurement Business Case Template
- Evaluation Team List and Contact Information Template
- Evaluation Team Composition Options
- Evaluation Handbook

Requirements – Step 3 of 11

Objective:

- To define procurement specifications

Output:

- Procurement specifications determined and signed-off

Process Checklist:

- Conduct key stakeholder consultations (including all relevant departments, organizations, clinicians, sector and system partners, community members)
- Summarize results of stakeholder consultations
- Develop business specifications
- Develop technical specifications using subject matter experts
- Create final procurement specifications
- Sign-off on procurement specifications

Templates & References:

- Procurement Specifications Template
- Procurement Specifications Approval Template
- Stakeholder Consultation Template

Competitive Document – Step 4 of 11

Objective:

- To create a competitive document (RFP/RFQ or equivalent)

Output:

- Completed and approved competitive document (RFP/RFQ or equivalent) is sent to specific suppliers

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Determine and Specify:
 - **Bid response time (as appropriate to complexity and purchase value)**
 - **Date responses need to be received (must be a normal working day, so Monday to Friday, excluding holidays)**
 - Name, contact information and location of contact person, i.e., Bid Administrator (add a statement that suppliers who bypass this contact person may be disqualified)
 - Submission rules, bid receipt information (for example, pricing information in a separate envelop) and process for bid opening
 - **Expense claims and reimbursement rules (comply as per Broader Public Sector Expenses Directive)**
 - **Contract terms & conditions, contract base term & extension, date when contract extension needs to be invoked**
 - **Conditions that must be met: mandatory requirements, including technical standards (include statement: submissions that do not meet the mandatory criteria will be disqualified)**
 - **Evaluation criteria and process:**
 - price/cost
 - resolving a tie score
 - rated requirements
 - minimum required rating
 - role of sub teams
 - shortlist process
 - role and rating of Supplementary Evaluation
 - value-add incentives
 - alternative strategies or solutions
 - **Bid dispute resolution process and procedure**
- Offer opportunity for supplier to request a vendor debriefing
- Include a copy of the form of agreement to be signed in the event of an award of the procurement
- Consider form of agreement with a ceiling on the contract value (for example, a cap on the contract value or contract length)

- Consider contract clauses that permit cancellation or termination at critical project life-cycle stages
- Consider statement for cancellation of competition if received bids exceed allocated budget, do not meet requirements or do not represent fair market value
- Ask for an intent to bid
- Request for a list of any subcontractors that will be used
- State the period of irrevocability of bids where bids cannot be withdrawn (typically 120 days from bid closure date)
- Add notice that any confidential information supplied to the organization may be disclosed by the organization where it is obliged to do so under FIPPA, by an order of a court or tribunal or otherwise required at law
- Receive approval for competitive document
- Post or email competitive document, or designate a pick-up time for invited suppliers to collect competitive document

Templates & References:

- Glossary of Terms
- List of Acronyms
- Bid Dispute Resolution Procedure Guideline
- Bid Dispute Resolution Process Options
- Value-Add Incentives Principles
- Evaluation Matrix Template
- Evaluation Handbook

Internal Compliance – Step 5 of 11

Objective:

- To confirm compliance to BPS Procurement Directive and organizational policies & procedures

Output:

- Internal compliance is managed and measured

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Confirm procurement processes comply to Broader Public Sector Procurement Directive and all applicable mandatory requirements met:
 - **Segregation of Duties**
 - **Approval Authority**
 - **Competitive Procurement Thresholds**
 - **Information Gathering**
 - **Supplier Pre-Qualification**
 - **Posting Competitive Procurement Documents**

- **Timeline for Posting Competitive Procurement Documents**
- **Bid Receipt**
- **Evaluation Criteria**
- **Evaluation Process Disclosure**
- **Evaluation Team**
- **Evaluation Matrix**
- **Winning Bid**
- **Non Discrimination**
- **Executing the Contract**
- **Establishing the Contract**
- **Termination Clauses**
- **Term of Agreement Modifications**
- **Contract Award Notification**
- **Vendor Debriefing**
- **Non-Competitive Procurement**
- **Contract Management**
- **Procurement Records Retention**
- **Conflict of Interest**
- **Bid Dispute Resolution**
- Confirm compliance to organizational policies and procedures
 - Activities carried out by a delegated authority consistent with BPS Procurement Directive
 - **Supply Chain Code of Ethics complied with Authorization received as per Board approved Approval Authority Schedule, for example:**
 - Business Case
 - Competitive Procurement Document
 - Non-Competitive Procurement
 - Contract
 - Contract Extensions
 - Contract Amendments
 - **Conflict of Interest declarations and Non-Disclosure Agreements signed**
 - Internal policies and procedures followed
 - Comply with BPS Procurement Directive
 - Comply with organization's Procurement Policy and Procedure Manual

Templates & References:

- Procurement Scorecard

Blackout Period & Bid Receipt – Step 6 of 11

Objective:

- To conduct fair blackout period and bid opening process

Output:

- Fair and transparent access to modifications and clarifications to competitive document
- Ensure every bidder has access to the same information
- Eligible submissions opened and logged

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Managing communication and information during Blackout Period

- Follow the process outlined in the competitive document
- All communications are through contact identified in the competitive document (i.e., Bid Administrator)
 - **Ensure Evaluation Team members do not communicate or provide information to bidders during blackout period**
 - Ensure employees or other members of the organization do not communicate or provide information to bidders during blackout period
- Manage changes to competitive documents via:
 - Modifications via Addenda in the same manner as the competitive document (e.g., email or pick-up)
 - Clarifications through Question-and-Answer (Q&A) in the same manner as the competitive document (e.g., email or pick-up)
- All modifications issued a few days prior to submission deadline

Bid Receipt (performed by Bid Administrator)

- Follow the process outlined in the competitive document
- Stamp/log each bid as it arrives (date, time, location, company name, contact information)
- **Do not open bids received after submission deadline, return un-opened**
- Open bids after submission deadline has passed
- Ensure there is at least one witness

Templates & References:

- Bid Receipt Log Template

Evaluation – Step 7 of 11

Objective:

- To determine the highest ranking submission

Output:

- Notification of contract award to the highest ranking submission meeting all mandatory requirements

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- **Follow the evaluation process outlined in the competitive document**
- Determine in-house process for managing changes to individual evaluation matrix (where individual misunderstood or misinterpreted)
- Perform mandatory compliance review (pass/fail)
Score rated requirements using an evaluation matrix (minimum required rating can only be used if declared in RFP/RFQ or equivalent)
- Verify licences, certificates, permits (if applicable)
- Reject submissions failing mandatory compliance review or not meeting minimum required rating
- Consolidate all evaluation matrices to determine the overall ranking score
- If shortlist process was declared in RFP/RFQ or equivalent, then determine shortlist
- Is a Supplementary Evaluation required? (i.e., technical or clinical product evaluation, site visit, supplier presentation, reference checks)
 - No
 - Score price/cost (have bid administrator open pricing envelop)
Invoke method identified in competitive document in the event of a tie
Choose the highest ranking submission meeting all mandatory requirements
 - Issue contract award letter to highest ranking submission
 - Yes
 - If shortlist declared in RFP/RFQ or equivalent, evaluate shortlist
 - If no shortlist declared in RFP/RFQ or equivalent, then evaluate all proponents
 - Select additional evaluation team members to conduct technical or clinical product evaluation (as necessary)
 - Finalize criteria for Supplementary Evaluation (if applicable and declared in RFP/RFQ or equivalent)
 - Complete Supplementary Evaluation
 - Score price/cost (have bid administrator open pricing envelop)
Invoke method identified in competitive document in the event of a tie
Choose the highest ranking submission meeting all mandatory requirements
 - Issue contract award letter to highest ranking submission
- **Records of evaluation scores must be auditable**
Everything said or documented must be fair, factual, fully defensible, and may be subject to public scrutiny
- **Evaluations must not discriminate or exercise preferential treatment**

Templates & References:

- Evaluation Handbook
- Evaluation Matrix Template

Agreement – Step 8 of 11

Objective:

- To enter into an agreement with the supplier

Output:

- Finalized agreement

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- **Contract must be finalized using the form of agreement released with the competitive document, if applicable**
Contract must include appropriate cancellation and/or termination clauses
Contract must specify the term (start and end date) and any options for extensions
Consider contract clauses that permit cancellation or termination at critical project life-cycle stages
Signed contract must be in place before the provision of the goods or services commences
In situations where an immediate need exists and a contract signed by both parties is not yet available, an interim purchase order may be used
- Verify appropriate individual from both parties signed the contract (dollar value and contract signing authority)

Award Notification – Step 9 of 11

Objective:

- To notify all participants a successful supplier was selected

Output:

- Notification of award
- Summary documents completed

Process Checklist:

- Confirm contract signed by both parties
- Notify any participating suppliers whose submissions were rejected during evaluation
- Notify all participating suppliers the contract has been awarded
- Complete executive summary
- Capture 'Lessons Learned' summary (as applicable)

Templates & References:

- Executive Summary Template
- Lessons Learned Template

Vendor Debriefing – Step 10 of 11

Objective:

- To ensure all suppliers requesting a debriefing session are accommodated

Output:

- Successful and fair debriefing with suppliers who requested a vendor debriefing session

Process Checklist:

- Allow up to 60 calendar days following the date of contract award notification for supplier to request debriefing
- Conduct separate debriefings with each supplier
- Confirm date and timing of debriefing session in writing
- Ensure the same participants attend every debriefing session (at least one person should be present at all debriefings)
- Retain all debriefing documentation

When conducting the debriefing:

- Provide general overview of evaluation process set out in the competitive document
- Discuss strengths and weakness of the supplier's submission in relation to the evaluation criteria (do not provide any details of any other bidders)
- Provide suggestions on how the supplier could improve on future submissions
- Be open to feedback from the supplier on current procurement processes and practices
- Address specific issues and questions raised by the supplier regarding their submission
- Once debriefing session completed, escalate any issues or risks to senior management or legal as necessary

Templates & References:

- Vendor Debriefing Preparation Template

Document Retention – Step 11 of 11

Objective:

- To retain all procurement documentation

Output:

- All procurement documentation, information and communication is maintained in recoverable form for a minimum of seven years

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Written policy for handling, storing and maintaining suppliers' confidential and commercially sensitive information

- **All documents, information and communication related to the procurement processes needs to be maintained in recoverable form for minimum of seven years (including but not limited to):**
 - Procurement business case
 - Evidence of approvals
 - Non-Competitive documentation
 - Competitive document (RFP/RFQ or equivalent)
 - All RFP/RFQ or equivalent submissions
 - Modifications/Clarifications
 - Evaluation records (includes individual evaluation matrix & notes AND summary matrix & notes)
 - Award notice
 - Contract (originally signed as well as any changes)
 - All vendor debriefing documents
 - Bid dispute and resolution
 - Supplier performance information

Informal Procurement

Informal

Used in the procurement of goods or non-consulting services under the lower limit, as decided by each organization. For the purposes of this tool kit, the lower limit has been set to \$10,000. Usually executed through Purchase Orders or P-card transactions.

Purchase Need Identified – Step 1 of 8

Objective:

- To determine core procurement process to initiate

Output:

- Appropriate core procurement process determined

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Determine:
 - **Appropriate signing authority level**
 - Funding source (public, research, foundation, etc.)
 - Procurement process based on total procurement value (including base term + extension; excluding taxes):
 - <\$10,000 is an informal procurement process (goods & non-consulting services; cannot be used for consulting services)

- **< \$100,000 is an invitational competitive procurement process for consulting services**
 - What is a consulting service? (check if one of the following applies)
 - Expert advice and guidance
 - Strategic advice, thinking, guidance or plans
 - Assessment without implementation
 - Consideration and/or decision making
- **>= \$10,000 and < \$100,000 is an invitational competitive procurement process (goods & non-consulting services)**
- **>= \$100,000 is an open competitive procurement process (goods, non-consulting services, consulting services)**
- Is this a consulting services with a total procurement value less than \$10,000?
 - **Informal procurement cannot be used**
 - Use the Consulting Services – Invitational Competitive procurement process

Templates & References:

- Approval Authority Schedule Template
- Purchase Approval Template
- Competitive Procurement Options
- Core Procurement Workflows

Planning – Step 2 of 8

Objective:

- To define procurement scope

Output:

- Approved procurement in required timeframe

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Identify individual conducting the procurement (could be end user or Procurement representative)
- Define resource requirements (financial, human, subject matter experts, external people)
- Complete procurement business case
 - Determine total procurement value (including base term and extension, excluding taxes)
- **Receive sign-off from budget owner to proceed**
- Receive sign-off on business case
- Develop procurement project plan(as required)
- Select individual(s) to conduct evaluation (if applicable; could be an individual or a team)

- **Have all individual(s) directly involved in conducting the procurement or performing evaluations sign non-disclosure agreement**
- **Have all individual(s) directly involved in conducting the procurement or performing evaluations sign conflict of interest disclosure**

Templates & References:

- Conflict of Interest Disclosure Template
- Procurement Business Case Template

Requirements – Step 3 of 8

Objective:

- To define procurement specifications

Output:

- Procurement specifications determined and signed-off

Process Checklist:

- Conduct key stakeholder consultations (including all relevant departments, organizations, clinicians, sector and system partners, community members)
- Summarize results of stakeholder consultations
- Develop business specifications
- Develop technical specifications using subject matter experts
- If reimbursing expenses, determine which expenses will be considered (as per Broader Public Sector Expenses Directive)
- If soliciting multiple quotes, decide criteria for supplier selection
- Create final procurement specifications
- Sign-off on procurement specifications

Templates & References:

- Procurement Specifications Template
- Procurement Specifications Approval Template
- Stakeholder Consultation Template

Internal Compliance – Step 4 of 8

Objective:

- To confirm compliance to BPS Procurement Directive and organizational policies & procedures

Output:

- Internal compliance is managed and measured

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Confirm procurement processes comply to Broader Public Sector Procurement Directive and all applicable mandatory requirements met:
 - **Segregation of Duties**
 - **Approval Authority**
 - **Competitive Procurement Thresholds**
 - **Information Gathering**
 - **Supplier Pre-Qualification**
 - **Posting Competitive Procurement Documents**
 - **Timeline for Posting Competitive Procurement Documents**
 - **Bid Receipt**
 - **Evaluation Criteria**
 - **Evaluation Process Disclosure**
 - **Evaluation Team**
 - **Evaluation Matrix**
 - **Winning Bid**
 - **Non Discrimination**
 - **Executing the Contract**
 - **Establishing the Contract**
 - **Termination Clauses**
 - **Term of Agreement Modifications**
 - **Contract Award Notification**
 - **Vendor Debriefing**
 - **Non-Competitive Procurement**
 - **Contract Management**
 - **Procurement Records Retention**
 - **Conflict of Interest**
 - **Bid Dispute Resolution**
- Confirm compliance to organizational policies and procedures
 - Activities carried out by a delegated authority consistent with BPS Procurement Directive
 - **Supply Chain Code of Ethics complied with Authorization received as per Board approved Approval Authority Schedule, for example:**
 - Business Case
 - Competitive Procurement Document
 - Non-Competitive Procurement
 - Contract
 - Contract Extensions
 - Contract Amendments
 - **Conflict of Interest declarations and Non-Disclosure Agreements signed**
 - Internal policies and procedures followed
 - Comply with BPS Procurement Directive

- Comply with organization's Procurement Policy and Procedure Manual

Templates & References:

- Procurement Scorecard

Quote – Step 5 of 8

Objective:

- To obtain a quote

Output:

- Quote obtained and documented

Process Checklist:

- Obtain quote and other required details
- At or before time of purchase, quote needs to be documented

Evaluation – Step 6 of 8

Objective:

- To perform necessary evaluation

Output:

- Supplier selected
- Ensured value for the organization and confirmed specifications met

Process Checklist:

- Confirm specifications met
- Evaluate price/cost (may have one quote or multiple quotes)
- Evaluate other details as applicable (for example, service, delivery, specifications, etc.)
- Is a Supplementary Evaluation required? (i.e., technical or clinical product evaluation, site visit, supplier presentation, reference checks)
 - Shortlist as necessary if multiple quotes
 - Select evaluation team members to conduct technical or clinical product evaluation (as necessary)
 - Determine criteria for Supplementary Evaluation
 - Complete Supplementary Evaluation
- If multiple quotes, select supplier
- Notify chosen supplier

Agreement – Step 7 of 8

Objective:

- To enter into an agreement with the supplier

Output:

- Finalized agreement

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- If utilizing a contract:
 - **Contract must include appropriate cancellation and/or termination clauses**
 - **Contract must specify the term (start and end date) and any options for extensions**
 - **Consider contract clauses that permit cancellation or termination at critical project life-cycle stages**
- **Signed contract must be in place before the provision of the goods or services commences**
In situations where an immediate need exists and a contract signed by both parties is not yet available, an interim purchase order may be used
- Verify appropriate individual from both parties signed the contract (dollar value and contract signing authority)

Document Retention – Step 8 of 8

Objective:

- To retain all procurement documentation

Output:

- All procurement documentation, information and communication is maintained in recoverable form for a minimum of seven years

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Written policy for handling, storing and maintaining suppliers' confidential and commercially sensitive information

- **All documents, information and communication related to the procurement processes needs to be maintained in recoverable form for minimum of seven years** (including but not limited to):
 - Procurement business case
 - Evidence of approvals
 - PO, P-card transaction statement
 - All quotes
 - Evaluation
 - Contract (originally signed as well as any changes)
 - Supplier performance information

Non-Competitive Procurement

Single Sourcing

Used only in exceptional situations for the procurement of goods or services over the lower limit, as decided by each organization (for the purposes of this tool kit, the lower limit has been set to \$10,000) or consulting services of any value. Specific circumstances must be documented, authorized and in accordance with an exception, exemption or non-application clause from an applicable trade agreement.

Purchase Need Identified – Step 1 of 9

Objective:

- To determine core procurement process to initiate

Output:

- Appropriate core procurement process determined

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Determine:
 - **Appropriate signing authority level**
 - Funding source (public, research, foundation, etc.)
 - Procurement process based on total procurement value (including base term + extension; excluding taxes):
 - <\$10,000 is an informal procurement process (goods & non-consulting services; cannot be used for consulting services)
< \$100,000 is an invitational competitive procurement process for consulting services
 - What is a consulting service? (check if one of the following applies)
 - Expert advice and guidance
 - Strategic advice, thinking, guidance or plans
 - Assessment without implementation
 - Consideration and/or decision making
 - \geq \$10,000 and $<$ \$100,000 is an invitational competitive procurement process (goods & non-consulting services)
 \geq \$100,000 is an open competitive procurement process (goods, non-consulting services, consulting services)
 - Post a notice (for example, notice of intent) to the supplier community (if applicable)
Utilize non-competitive procurement sparingly and only in specific situations outlined in the exemption, exception, or non-application clauses of the AIT or other trade agreements
 - Is this an eligible exemption under single sourcing? (see below)
 - No (see Sole Sourcing or go to competitive procurement)

- Yes (continue with the process for non-competitive procurement)
- **Verify single sourcing situation (perform necessary due diligence)**
Complete non-competitive procurement approval form if bypassing competitive procurement process
- **Approve single sourcing using the Board approved Approval Authority Schedule**
 - For consulting services:**
 - **President, CEO or equivalent (< \$1,000,000)**
 - **Board of Directors or equivalent (>= \$1,000,000)**
 - For goods and non-consulting services:**
One level higher than the organization's Approval Authority Level for competitive procurement

Single Sourcing Exemptions

Organizations may conduct non-competitive procurement in the circumstances listed below (also known as single source situations); provided that they do not do so for the purposes of avoiding competition between suppliers or in order to discriminate against suppliers:

- Where an unforeseeable situation of urgency exists and the goods or services cannot be obtained in time by means of open procurement procedures; failure to plan and allow sufficient time for a competitive procurement process does not constitute an unforeseeable situation of urgency
- Where goods or services regarding matters of a confidential or privileged nature are to be purchased and the disclosure of those matters through an open tendering process could reasonably be expected to compromise government confidentiality, cause economic disruption or otherwise be contrary to the public interest
- Where a contract is to be awarded under a cooperation agreement that is financed, in whole or in part, by an international cooperation organization, only to the extent that the agreement between the entity and the organization includes rules for awarding contracts that differ from the obligations set out in the Directive
- Where construction materials are to be purchased and it can be demonstrated that transportation costs or technical considerations impose geographic limits on the available supply base, specifically in the case of sand, stone, gravel, asphalt, compound and pre-mixed concrete for use in the construction or repair of roads
- Where compliance with the open tendering provisions set out in the Directive would interfere with the entities' ability to maintain security or order or to protect human, animal or plant life or health
- In the absence of a receipt of any bids in response to a call for proposals or tenders made in accordance with the Directive

Templates & References:

- Approval Authority Schedule Template
- Purchase Approval Template

- Core Procurement Workflows
- Non-Competitive Procurement Approval Form Template

Planning – Step 2 of 9

Objective:

- To define procurement scope

Output:

- Approved procurement in required timeframe

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Identify individual conducting the procurement (could be end user or Procurement representative)
- Define resource requirements (financial, human, subject matter experts, external people)
- Complete procurement business case
 - Determine total procurement value (including base term and extension; excluding taxes)
- **Receive sign-off from budget owner to proceed**
- Receive sign-off on business case
- Develop procurement project plan (if applicable)
- Select individual(s) for supplementary evaluation (as required)
- **Have all individual(s) directly involved in conducting the procurement or performing evaluations sign non-disclosure agreement**
- **Have all individual(s) directly involved in conducting the procurement or performing evaluations sign conflict of interest disclosure**

Templates & References:

- Conflict of Interest Disclosure Template
- Procurement Business Case Template

Requirements – Step 3 of 9

Objective:

- To define procurement specifications

Output:

- Procurement specifications determined and signed-off

Process Checklist:

- Conduct key stakeholder consultations (including all relevant departments, organizations, clinicians, sector and system partners, community members)
- Summarize results of stakeholder consultations

- Develop business specifications
- Develop technical specifications using subject matter experts
- Create final procurement specifications
- Sign-off on procurement specifications

Templates & References:

- Procurement Specifications Template
- Procurement Specifications Approval Template
- Stakeholder Consultation Template

Internal Compliance – Step 4 of 9

Objective:

- To confirm compliance to BPS Procurement Directive and organizational policies & procedures

Output:

- Internal compliance is managed and measured

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Confirm procurement processes comply to Broader Public Sector Procurement Directive and all applicable mandatory requirements met:
 - **Segregation of Duties**
 - **Approval Authority**
 - **Competitive Procurement Thresholds**
 - **Information Gathering**
 - **Supplier Pre-Qualification**
 - **Posting Competitive Procurement Documents**
 - **Timeline for Posting Competitive Procurement Documents**
 - **Bid Receipt**
 - **Evaluation Criteria**
 - **Evaluation Process Disclosure**
 - **Evaluation Team**
 - **Evaluation Matrix**
 - **Winning Bid**
 - **Non Discrimination**
 - **Executing the Contract**
 - **Establishing the Contract**
 - **Termination Clauses**
 - **Term of Agreement Modifications**
 - **Contract Award Notification**
 - **Vendor Debriefing**
 - **Non-Competitive Procurement**

- **Contract Management**
- **Procurement Records Retention**
- **Conflict of Interest**
- **Bid Dispute Resolution**
- Confirm compliance to organizational policies and procedures
 - Activities carried out by a delegated authority consistent with BPS Procurement Directive
 - **Supply Chain Code of Ethics complied with Authorization received as per Board approved Approval Authority Schedule, for example:**
 - Business Case
 - Competitive Procurement Document
 - Non-Competitive Procurement
 - Contract
 - Contract Extensions
 - Contract Amendments
 - **Conflict of Interest declarations and Non-Disclosure Agreements signed**
 - Internal policies and procedures followed
 - Comply with BPS Procurement Directive
 - Comply with organization's Procurement Policy and Procedure Manual

Templates & References:

- Procurement Scorecard

Quote – Step 5 of 9

Objective:

- To obtain a quote

Output:

- Quote obtained and documented

Process Checklist:

- Obtain quote and other required details
- At or before time of purchase, quote needs to be documented

Evaluation – Step 6 of 9

Objective:

- To perform necessary evaluation

Output:

- Ensured value for the organization and confirmed specifications met

Process Checklist:

- Confirm specifications met
- Evaluate price/cost
- Evaluate other details as applicable (for example, service, delivery, specifications, etc.)
- Is a Supplementary Evaluation required? (i.e., technical or clinical product evaluation, site visit, supplier presentation, reference checks)
 - Select evaluation team members to conduct technical or clinical product evaluation (as necessary)
 - Determine criteria for Supplementary Evaluation
 - Complete Supplementary Evaluation
- Notify chosen supplier

Agreement – Step 7 of 9

Objective:

- To enter into an agreement with the supplier

Output:

- Finalized agreement

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- **Contract must include appropriate cancellation and/or termination clauses**
- **Contract must specify the term (start and end date) and any options for extensions**
- **Consider contract clauses that permit cancellation or termination at critical project life-cycle stages**
- **Signed contract must be in place before the provision of the goods or services commences**
In situations where an immediate need exists and a contract signed by both parties is not yet available, an interim purchase order may be used
- Verify appropriate individual from both parties signed the contract (dollar value and contract signing authority)

Award Notification – Step 8 of 9

Objective:

- To notify internally of a single sourcing award

Output:

- Organizational executive leadership made aware of a single sourcing award
- Summary documents completed

Process Checklist:

- Confirm contract signed by both parties

- Include the following in the award notification letter:
 - Name of supplier(s) awarded the contract
 - Start and end dates and options for extension
- Send/email award notification letter internally to executive leadership team
- Complete executive summary
- Capture 'Lessons Learned' summary (as required)

Templates & References:

- Executive Summary Template
- Lessons Learned Template

Document Retention – Step 9 of 9

Objective:

- To retain all procurement documentation

Output:

- All procurement documentation, information and communication is maintained in recoverable form for a minimum of seven years

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Written policy for handling, storing and maintaining suppliers' confidential and commercially sensitive information

- **All documents, information and communication related to the procurement processes needs to be maintained in recoverable form for minimum of seven years (including but not limited to):**
 - Procurement business case
 - Evidence of approvals
 - Non-Competitive documentation
 - Evaluation records (includes individual evaluation matrix & notes AND summary matrix & notes)
 - Award notice
 - Contract (originally signed as well as any changes)
 - Bid dispute and resolution
 - Supplier performance information

Sole Sourcing

Used only in exceptional situations for the procurement of goods or services over the lower limit, as decided by each organization (for the purposes of this tool kit, the lower limit has been set to \$10,000) or consulting services of any value. Specific circumstances must be documented, authorized and in accordance with an exception, exemption or non-application clause from an applicable trade agreement.

Purchase Need Identified – Step 1 of 9

Objective:

- To determine core procurement process to initiate

Output:

- Appropriate core procurement process determined

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Determine:
 - **Appropriate signing authority level**
 - Funding source (public, research, foundation, etc.)
 - Procurement process based on total procurement value (including base term + extension; excluding taxes):
 - <\$10,000 is an informal procurement process (goods & non-consulting services; cannot be used for consulting services)
< \$100,000 is an invitational competitive procurement process for consulting services
 - What is a consulting service? (check if one of the following applies)
 - Expert advice and guidance
 - Strategic advice, thinking, guidance or plans
 - Assessment without implementation
 - Consideration and/or decision making
 - \geq \$10,000 and $<$ \$100,000 is an invitational competitive procurement process (goods & non-consulting services)
 \geq \$100,000 is an open competitive procurement process (goods, non-consulting services, consulting services)
- Post a notice (for example, notice of intent) to the supplier community (if applicable)
Utilize non-competitive procurement sparingly and only in specific situations outlined in the exemption, exception, or non-application clauses of the AIT or other trade agreements
- Is this an eligible exemption under sole sourcing? (see below)
 - No (see Single Sourcing or go to competitive procurement)
 - Yes (continue with the process for non-competitive procurement)
- **Verify sole sourcing situation (perform necessary due diligence)**
Complete non-competitive procurement approval form if bypassing competitive procurement process
- **Approve sole sourcing using the Board approved Approval Authority Schedule**
 - **For consulting services:**
 - **President, CEO or equivalent (< \$1,000,000)**
 - **Board of Directors or equivalent (\geq \$1,000,000)**
 - **For goods and non-consulting services:**

One level higher than the organization's Approval Authority Level for competitive procurement

Sole Sourcing Exemptions

Where only one supplier is able to meet the requirements of a procurement, Organizations may conduct non-competitive procurement in the circumstances listed below (also known as sole source situations) provided that they do not do so for the purposes of avoiding competition between suppliers or in order to discriminate against suppliers:

- To ensure compatibility with existing products, to recognize exclusive rights, such as exclusive licences, copyright and patent rights, or to maintain specialized products that must be maintained by the manufacturer or its representative
- Where there is an absence of competition for technical reasons and the goods or services can be supplied only by a particular supplier and no alternative or substitute exists
- For the procurement of goods or services the supply of which is controlled by a supplier that is a statutory monopoly
- For the purchase of goods on a commodity market
- For work to be performed on or about a leased building or portions thereof that may be performed only by the lessor
- For work to be performed on property by a contractor according to provisions of a warranty or guarantee held in respect of the property or the original work
- For a contract to be awarded to the winner of a design contest
- For the procurement of a prototype of a first good or service to be developed in the course of and for a particular contract for research, experiment, study or original development, but not for any subsequent purchases
- For the purchase of goods under exceptionally advantageous circumstances such as bankruptcy or receivership, but not for routine purchases
- For the procurement of original works of art
- For the procurement of subscriptions to newspapers, magazines or other periodicals
- For the procurement of real property

Templates & References:

- Approval Authority Schedule Template
- Purchase Approval Template
- Core Procurement Workflows
- Non-Competitive Procurement Approval Form Template

Planning – Step 2 of 9

Objective:

- To define procurement scope

Output:

- Approved procurement in required timeframe

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Identify individual conducting the procurement (could be end user or Procurement representative)
- Define resource requirements (financial, human, subject matter experts, external people)
- Complete procurement business case
 - Determine total procurement value (including base term and extension; excluding taxes)
- **Receive sign-off from budget owner to proceed**
- Receive sign-off on business case
- Develop procurement project plan (if applicable)
- Select individual(s) for supplementary evaluation (as required)
Have all individual(s) directly involved in conducting the procurement or performing evaluations sign non-disclosure agreement
- **Have all individual(s) directly involved in conducting the procurement or performing evaluations sign conflict of interest disclosure**

Templates & References:

- Conflict of Interest Disclosure Template
- Procurement Business Case Template

Requirements – Step 3 of 9

Objective:

- To define procurement specifications

Output:

- Procurement specifications determined and signed-off

Process Checklist:

- Conduct key stakeholder consultations (including all relevant departments, organizations, clinicians, sector and system partners, community members)
- Summarize results of stakeholder consultations
- Develop business specifications
- Develop technical specifications using subject matter experts
- Create final procurement specifications
- Sign-off on procurement specifications

Templates & References:

- Procurement Specifications Template

- Procurement Specifications Approval Template
- Stakeholder Consultation Template

Internal Compliance – Step 4 of 9

Objective:

- To confirm compliance to BPS Procurement Directive and organizational policies & procedures

Output:

- Internal compliance is managed and measured

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Confirm procurement processes comply to Broader Public Sector Procurement Directive and all applicable mandatory requirements met:
 - **Segregation of Duties**
 - **Approval Authority**
 - **Competitive Procurement Thresholds**
 - **Information Gathering**
 - **Supplier Pre-Qualification**
 - **Posting Competitive Procurement Documents**
 - **Timeline for Posting Competitive Procurement Documents**
 - **Bid Receipt**
 - **Evaluation Criteria**
 - **Evaluation Process Disclosure**
 - **Evaluation Team**
 - **Evaluation Matrix**
 - **Winning Bid**
 - **Non Discrimination**
 - **Executing the Contract**
 - **Establishing the Contract**
 - **Termination Clauses**
 - **Term of Agreement Modifications**
 - **Contract Award Notification**
 - **Vendor Debriefing**
 - **Non-Competitive Procurement**
 - **Contract Management**
 - **Procurement Records Retention**
 - **Conflict of Interest**
 - **Bid Dispute Resolution**
- Confirm compliance to organizational policies and procedures

- Activities carried out by a delegated authority consistent with BPS Procurement Directive
- **Supply Chain Code of Ethics complied with Authorization received as per Board approved Approval Authority Schedule, for example:**
 - Business Case
 - Competitive Procurement Document
 - Non-Competitive Procurement
 - Contract
 - Contract Extensions
 - Contract Amendments
- **Conflict of Interest declarations and Non-Disclosure Agreements signed**
- Internal policies and procedures followed
 - Comply with BPS Procurement Directive
 - Comply with organization's Procurement Policy and Procedure Manual

Templates & References:

- Procurement Scorecard

Quotes – Step 5 of 9

Objective:

- To obtain a quote

Output:

- Quote obtained and documented

Process Checklist:

- Obtain quote and other required details
- At or before time of purchase, quote needs to be documented

Evaluation – Step 6 of 9

Objective:

- To perform necessary evaluation

Output:

- Ensured value for the organization and confirmed specifications met

Process Checklist:

- Confirm specifications met
- Evaluate price/cost
- Evaluate other details as applicable (for example, service, delivery, specifications, etc.)
- Is a Supplementary Evaluation required? (i.e., technical or clinical product evaluation, site visit, supplier presentation, reference checks)

- Select evaluation team members to conduct technical or clinical product evaluation (as necessary)
- Determine criteria for Supplementary Evaluation
- Complete Supplementary Evaluation
- Notify chosen supplier

Agreement – Step 7 of 9

Objective:

- To enter into an agreement with the supplier

Output:

- Finalized agreement

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- **Contract must include appropriate cancellation and/or termination clauses**
- **Contract must specify the term (start and end date) and any options for extensions**
- **Consider contract clauses that permit cancellation or termination at critical project life-cycle stages**
- **Signed contract must be in place before the provision of the goods or services commences**
In situations where an immediate need exists and a contract signed by both parties is not yet available, an interim purchase order may be used
- Verify appropriate individual from both parties signed the contract (dollar value and contract signing authority)

Award Notification – Step 8 of 9

Objective:

- To notify internally of a sole sourcing award

Output:

- Organizational executive leadership made aware of a sole sourcing award
- Summary documents completed

Process Checklist:

- Confirm contract signed by both parties
- Include the following in the award notification letter:
 - Name of supplier(s) awarded the contract
 - Start and end dates and options for extension
- Send/email award notification letter internally to executive leadership team
- Complete executive summary
- Capture 'Lessons Learned' summary (as required)

Templates & References:

- Executive Summary Template
- Lessons Learned Template

Document Retention – Step 9 of 9

Objective:

- To retain all procurement documentation

Output:

- All procurement documentation, information and communication is maintained in recoverable form for a minimum of seven years

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Written policy for handling, storing and maintaining suppliers' confidential and commercially sensitive information

- **All documents, information and communication related to the procurement processes needs to be maintained in recoverable form for minimum of seven years** (including but not limited to):
 - Procurement business case
 - Evidence of approvals
 - Non-Competitive documentation
 - Evaluation records (includes individual evaluation matrix & notes AND summary matrix & notes)
 - Award notice
 - Contract (originally signed as well as any changes)
 - Bid dispute and resolution
 - Supplier performance information

Supporting Procurement Processes

Request for Information

Used to gather supplier, service or product information. It is a procurement procedure whereby suppliers are requested to provide information or advice about how to better define a problem or need, or alternative solutions.

Purchase Need Identified – Step 1 of 9

Objective:

- To approve issuing RFI

Output:

- Issuing RFI approved and intended for posting

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- **Determine appropriate signing authority level**
- Confirm expectation of conducting RFI
- Plan to publicly post RFI

Templates & References:

- Approval Authority Schedule Template
- Purchase Approval Template
- Supporting Procurement Workflows

Planning – Step 2 of 9

Objective:

- To define procurement scope

Output:

- Approved RFI delivered in required timeframe

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Identify individual conducting the procurement (could be end user or from Procurement dept)
- Define resource requirements (financial, human, subject matter experts, external people)
- Complete procurement business case (as appropriate)
- Communicate with budget owner
- **Receive sign-off on business case**
- Develop procurement project plan
- Select individual(s) to review submissions
- **Have all individual(s) directly involved in information gathering or performing analysis sign non-disclosure agreement**
- **Have all individual(s) directly involved in information gathering or performing analysis sign conflict of interest disclosure**

Templates & References:

- Conflict of Interest Disclosure Template
- Procurement Business Case Template

Requirements – Step 3 of 9

Objective:

- To define general procurement specifications

Output:

- General procurement specifications determined

Process Checklist:

- Conduct key stakeholder consultations (including all relevant departments, organizations, clinicians, sector and system partners, community members)
- Summarize results of stakeholder consultations
- Develop business specifications
- Develop technical specifications using subject matter experts

Templates & References:

- Procurement Specifications Template
- Procurement Specifications Approval Template
- Stakeholder Consultation Template

RFI Document – Step 4 of 9

Objective:

- To create a RFI document

Output:

- Completed and approved RFI Document is posted

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- RFI document should:
 - Identify presence of qualified and/or interested suppliers
 - Help determine what characteristics the ideal product or service should have
 - Provide information on what is available on the market and what are the suppliers' capabilities
- Specify type and specifications of goods or services to be provided by a potential supplier with a necessary level of detail
- Ask specific questions to gain a general understanding of the market, suppliers, goods or services
- Target questions about the required output/acquisition, seeking a combination of industry leading practices, recommendations, expertise and even concerns and additional questions from proponents (as required)
- RFI cannot ask suppliers to disclose price/cost information

- Name, contact information and location of contact person, i.e., RFI Administrator
- **Submission rules and receipt information**
- **Specify closing date for responses**
- Approve RFI
- **Post RFI**

Templates & References:

- Glossary of Terms
- List of Acronyms

Internal Compliance – Step 5 of 9

Objective:

- To confirm compliance to BPS Procurement Directive and organizational policies & procedures

Output:

- Internal compliance is managed and measured

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Confirm procurement processes comply to Broader Public Sector Procurement Directive and all applicable mandatory requirements met:
 - **Segregation of Duties**
 - **Approval Authority**
 - **Competitive Procurement Thresholds**
 - **Information Gathering**
 - **Supplier Pre-Qualification**
 - **Posting Competitive Procurement Documents**
 - **Timeline for Posting Competitive Procurement Documents**
 - **Bid Receipt**
 - **Evaluation Criteria**
 - **Evaluation Process Disclosure**
 - **Evaluation Team**
 - **Evaluation Matrix**
 - **Winning Bid**
 - **Non Discrimination**
 - **Executing the Contract**
 - **Establishing the Contract**
 - **Termination Clauses**
 - **Term of Agreement Modifications**
 - **Contract Award Notification**
 - **Vendor Debriefing**
 - **Non-Competitive Procurement**

- **Contract Management**
- **Procurement Records Retention**
- **Conflict of Interest**
- **Bid Dispute Resolution**
- Confirm compliance to organizational policies and procedures
 - Activities carried out by a delegated authority consistent with BPS Procurement Directive
 - **Supply Chain Code of Ethics complied with Authorization received as per Board approved Approval Authority Schedule, for example:**
 - Business Case
 - Competitive Procurement Document
 - Non-Competitive Procurement
 - Contract
 - Contract Extensions
 - Contract Amendments
 - **Conflict of Interest declarations and Non-Disclosure Agreements signed**
 - Internal policies and procedures followed
 - Comply with BPS Procurement Directive
 - Comply with organization's Procurement Policy and Procedure Manual

Templates & References:

- Procurement Scorecard

Blackout Period & Bid Receipt – Step 6 of 9

Objective:

- To conduct fair blackout period and submission opening process

Output:

- Fair and transparent access to modifications and clarifications to RFI
- Ensure every responder has access to the same information
- Eligible submissions opened and logged

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Managing communication and information during Blackout Period

- Follow the process outlined in the RFI document
- All communications are through contact identified in the RFI document (i.e., RFI Administrator)
 - Ensure members of the analysis team do not communicate or provide information to responders during blackout period**

- Ensure employees or other members of the organization do not communicate or provide information to bidders during blackout period
- Manage changes to competitive documents via:
 - Modifications via Addenda in the same manner as the RFI document (post on electronic tendering system)
 - Clarifications through Question-and-Answer (Q&A) in the same manner as the RFI document (post on electronic tendering system)
- All modifications issued a few days prior to submission deadline

Submission Receipt (performed by RFI Administrator)

- Follow the process outlined in the RFI document
- Stamp/log each submission as it arrives (date, time, location, company name, contact information)
- **Do not open submissions received after submission deadline, return un-opened**
- Open submissions after submission deadline has passed

Templates & References:

- Bid Receipt Log Template

Analysis – Step 7 of 9

Objective:

- To review all eligible submissions

Output:

- Ideal specifications and characteristics determined

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Review responses
- Analyze responses
- Summarize information
- Determine ideal specification and characteristics
- Responses should assist in planning a fair and cost-effective procurement process
- Responses should help define the requirements for the procurement documents
- **A response to an RFI must not pre-qualify a potential supplier**
- **A response to an RFI must not influence chances of the participants to become the successful proponent on any subsequent opportunity**

Refine Requirements – Step 8 of 9

Objective:

- To refine procurement specifications

Output:

- Procurement specifications refined and can inform a subsequent competitive document (RFP/RFQ)

Process Checklist:

Using information determined from the analysis of RFI responses:

- Refine/Develop business specifications
- Refine/Develop technical specifications
- Create procurement specifications
- Information derived from responses to RFI should be used in drafting the final version of a subsequent competitive document

Document Retention – Step 9 of 9

Objective:

- To retain all procurement documentation

Output:

- All procurement documentation, information and communication is maintained in recoverable form for a minimum of seven years

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Written policy for handling, storing and maintaining suppliers' confidential and commercially sensitive information

- **All documents, information and communication related to the procurement processes needs to be maintained in recoverable form for minimum of seven years** (including but not limited to):
 - Procurement business case
 - Evidence of approvals
 - RFI
 - All RFI submissions
 - Analysis records

Request for Supplier Qualification

Used to gather information about supplier capabilities and qualifications in order to narrow the field of potential suppliers for an immediate goods or services need or identify qualified suppliers in advance of expected future competitions.

RFSQ is conducted in two stages:

The first stage establishes the vendor of record (VOR) list or pre-qualified supplier list. This is done by conducting an open competitive procurement, regardless of total procurement value. The steps listed here will take you through the first stage.

The second stage awards the procurement to a supplier on the VOR list or pre-qualified supplier list. This stage is conducted as an invitational competitive procurement, where a number of suppliers on the VOR list or all suppliers on the pre-qualified supplier list are invited to participate. The first stage must be completed before pursuing the second stage. Follow the process for Competitive Procurement - Invitational Competitive for the second stage.

Purchase Need Identified – Step 1 of 12

Objective:

- To approve issuing RFSQ

Output:

- Issuing RFSQ approved via open competitive procurement process

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- **Determine appropriate signing authority level**
- Conduct a RFSQ if you want to generate a:
 - Pre-qualified supplier list by gathering information about supplier capabilities and qualifications in order to pre-qualify suppliers for an immediate product or service need
 - VOR list by identifying qualified candidates in advance of expected future competitions
- Understand RFSQ is a two-stage competitive process:
 - First stage is conducted as open competitive procurement to establish the VOR list or pre-qualified supplier list regardless of procurement value
 - Second stage is conducted as invitational competitive procurement with only suppliers from the VOR list or pre-qualified supplier list being invited
- Plan to conduct open competitive procurement process to establish pre-qualified supplier list or VOR list
- If intent is to generate a VOR list
 - Check if an existing VOR arrangement is available to your organization
 - Follow organizational RFSQ policies and procedures

Templates & References:

- Approval Authority Schedule Template
- Purchase Approval Template
- Supporting Procurement Workflows
- RFSQ VOR List Procedure Guideline

VOR List – Step 2 of 12

Process Checklist:

- Determine:
 - Number of suppliers that will be selected for the VOR list
 - VOR arrangement 2nd stage selection schedule (minimum number of pre-qualified suppliers to be invited to 2nd stage based on procurement dollar thresholds)
 - VOR ceiling price
 - How and when suppliers can be added to the VOR list
 - How suppliers can be removed from the VOR list
 - Method of inviting suppliers from the VOR list to respond in the 2nd phase
 - How to handle VOR list exceptions (for example, VOR list dips below minimum, VOR list minimum < VOR list schedule)

Sample VOR arrangement 2nd stage selection schedule	
Procurement Value	Minimum # of Suppliers on the VOR to be Invited to the 2nd Stage Selection
< \$10,000	1
>= \$10,000 and < \$100,000	3
>= \$100,000 and < \$250,000	5
>= \$250,000 and up to VOR Ceiling	7
> VOR Ceiling price	Conduct open competitive procurement

Planning – Step 3 of 12

Objective:

- To define VOR arrangement or second stage procurement scope and assemble an evaluation team

Output:

- Approved procurement in required timeframe with an evaluation team briefed and ready to go

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Identify individual conducting the procurement (could be end user or Procurement representative)
- Define resource requirements (financial, human, subject matter experts, external people)
- Complete procurement business case
 - Determine total procurement value (include base term and extension)
- **Receive sign-off from budget owner to proceed**
- Receive sign-off on business case
- Develop procurement project plan

- Select Evaluation Team (could be two (including bid administrator) or more individuals) by ensuring:
 - Procurement representation
 - Appropriate stakeholder representation
- Select Evaluation Team Lead (ideally Bid Administrator)
- Select participants to attend all vendor debriefings (include Bid Administrator; at least two participants)

Have all individual(s) directly involved in conducting the procurement or performing evaluations sign non-disclosure agreement

Have all individual(s) directly involved in conducting the procurement or performing evaluations sign conflict of interest disclosure

- Ensure evaluation team members have received and reviewed the evaluation handbook
Determine bid response time (must be at least 15 calendar days; should be as appropriate to complexity and purchase value; could be at least 30 calendar days for procurements of high complexity, risk, and/or dollar value)

Templates & References:

- Conflict of Interest Disclosure Template
- Procurement Business Case Template
- Evaluation Team List and Contact Information Template
- Evaluation Team Composition Options
- Evaluation Handbook

Requirements – Step 4 of 12

Objective:

- To define procurement specifications

Output:

- Procurement specifications determined and signed-off

Process Checklist:

- Conduct key stakeholder consultations (including all relevant departments, organizations, clinicians, sector and system partners, community members)
- Summarize results of stakeholder consultations
- Develop business specifications
- Develop technical specifications using subject matter experts
- Create final procurement specifications
- Evaluation team (or sub-team) sign-off on procurement specifications

Templates & References:

- Procurement Specifications Template
- Procurement Specifications Approval Template

- Stakeholder Consultation Template

RFSQ Document – Step 5 of 12

Objective:

- To create a RFSQ document

Output:

- Completed and approved RFSQ document is posted

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

RFSQ document should specify:

- Type and specifications of goods or services to be provided with a necessary level of detail
- Upper limits of the value of future awards (for VOR arrangements — ceiling price)
- Time duration the pre-qualified supplier list or VOR arrangement is to be valid
- The method(s) and time intervals by which additional suppliers can be placed on the list (for VOR arrangements)
- That any supplier who does not participate in the pre-qualification or does not appear on the list may be excluded from opportunities
- **Terms and conditions of the RFSQ document must contain specific language that disclaims any obligation on the part of the organization to call on any supplier to provide goods or services as a result of the pre-qualification**
- Determine and Specify:
 - **Bid response time (as appropriate to complexity and purchase value; minimum is 15 calendar days, consider 30 days for procurements of high complexity, risk, and/or dollar value)**
 - **Date responses need to be received (must be a normal working day, so Monday to Friday, excluding holidays)**
 - Name, contact information and location of contact person, i.e., Bid Administrator (add a statement that suppliers who bypass this contact person may be disqualified)
 - Submission rules, bid receipt information (for example, pricing information in a separate envelop) and process for bid opening
 - **Expense claims and reimbursement rules (comply as per Broader Public Sector Expenses Directive)**
 - **Contract terms & conditions, contract base term & extension, date when contract extension needs to be invoked**
 - **Conditions that must be met: mandatory requirements, including technical standards (include statement: submissions that do not meet the mandatory criteria will be disqualified)**
 - Evaluation criteria and process:

- price/cost
- resolving a tie score
- rated requirements
- minimum required rating
- role of sub teams
- shortlist process
- role and rating of Supplementary Evaluation
- value-add incentives
- alternative strategies or solutions

Bid dispute resolution process and procedure

Process for vendor debriefings and notification of entitlement to a vendor debriefing once competitive process completed

- Include a copy of the form of agreement to be signed by all suppliers selected for the Vendor of Record, if applicable
- Add statement that the procurement is subject to Ontario's trade agreements (goods, services & construction >=\$100,000)
- Consider contract clauses that permit cancellation or termination at critical project life-cycle stages
- Ask for an intent to bid
- Request for a list of any subcontractors to be used
- State the period of irrevocability of bids where bids cannot be withdrawn (typically 120 days from bid closure date)
- Add notice that any confidential information supplied to the organization may be disclosed by the organization where it is obliged to do so under FIPPA, by an order of a court or tribunal or otherwise required at law
- Receive approval for competitive document
- **Post RFSQ document on public electronic tendering system**

Templates & References:

- Glossary of Terms
- List of Acronyms
- Bid Dispute Resolution Procedure Guideline
- Bid Dispute Resolution Process Options
- Evaluation Matrix Template
- Evaluation Handbook

Internal Compliance – Step 6 of 12

Objective:

- To confirm compliance to BPS Procurement Directive and organizational policies & procedures

Output:

- Internal compliance is managed and measured

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Confirm procurement processes comply to Broader Public Sector Procurement Directive and all applicable mandatory requirements met:
 - **Segregation of Duties**
 - **Approval Authority**
 - **Competitive Procurement Thresholds**
 - **Information Gathering**
 - **Supplier Pre-Qualification**
 - **Posting Competitive Procurement Documents**
 - **Timeline for Posting Competitive Procurement Documents**
 - **Bid Receipt**
 - **Evaluation Criteria**
 - **Evaluation Process Disclosure**
 - **Evaluation Team**
 - **Evaluation Matrix**
 - **Winning Bid**
 - **Non Discrimination**
 - **Executing the Contract**
 - **Establishing the Contract**
 - **Termination Clauses**
 - **Term of Agreement Modifications**
 - **Contract Award Notification**
 - **Vendor Debriefing**
 - **Non-Competitive Procurement**
 - **Contract Management**
 - **Procurement Records Retention**
 - **Conflict of Interest**
 - **Bid Dispute Resolution**
- Confirm compliance to organizational policies and procedures
 - Activities carried out by a delegated authority consistent with BPS Procurement Directive
 - **Supply Chain Code of Ethics complied with Authorization received as per Board approved Approval Authority Schedule, for example:**
 - Business Case
 - Competitive Procurement Document
 - Non-Competitive Procurement
 - Contract
 - Contract Extensions
 - Contract Amendments

- **Conflict of Interest declarations and Non-Disclosure Agreements signed**
- Internal policies and procedures followed
 - Comply with BPS Procurement Directive
 - Comply with organization's Procurement Policy and Procedure Manual

Templates & References:

- Procurement Scorecard

Blackout Period & Bid Receipt – Step 7 of 12

Objective:

- To conduct fair blackout period and bid opening process

Output:

- Fair and transparent access to modifications and clarifications to competitive document
- Ensure every bidder has access to the same information
- Eligible submissions opened and logged

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Managing communication and information during Blackout Period

- Follow the process outlined in the competitive document
- All communications are through contact identified in the competitive document (i.e., Bid Administrator)
 - **Ensure Evaluation Team members do not communicate or provide information to bidders during blackout period**
 - Ensure employees or other members of the organization do not communicate or provide information to bidders during blackout period
- Manage changes to competitive documents via:
 - Modifications via Addenda in the same manner as the competitive document (post on electronic tendering system)
 - Clarifications through Question-and-Answer (Q&A) in the same manner as the competitive document (post on electronic tendering system)
- All modifications issued a few days prior to submission deadline

Bid Receipt (performed by Bid Administrator)

- Follow the process outlined in the competitive document
- Stamp/log each bid as it arrives (date, time, location, company name, contact information)
- **Do not open bids received after submission deadline, return un-opened**
- Open bids after submission deadline has passed
- Ensure there is at least one witness

Templates & References:

- Bid Receipt Log Template

Evaluation – Step 8 of 12

Objective:

- To determine the pre-qualified supplier list or VOR list

Output:

- Pre-qualified supplier list or VOR list established

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- **Follow the evaluation process outlined in the competitive document**
- Determine in-house process for managing changes to individual evaluation matrix (where individual misunderstood or misinterpreted)
- Perform mandatory compliance review (pass/fail)
- **Score rated requirements using an evaluation matrix (minimum required rating can only be used if declared in RFP)**
- Verify licences, certificates, permits (if applicable)
- Reject submissions failing mandatory compliance review or not meeting minimum required rating
- Consolidate all evaluation matrices to determine the overall ranking score
- If shortlist process was declared in RFP, then determine shortlist
- Is a Supplementary Evaluation required? (i.e., technical or clinical product evaluation, site visit, supplier presentation, reference checks)
 - No
 - Score price/cost (have Bid Administrator open pricing envelop)
 - **Invoke method identified in competitive document in the event of a tie**
 - **Create the VOR list or pre-qualified supplier list from highest ranking submissions meeting all mandatory requirements**
 - Issue notice to all suppliers on the VOR list or pre-qualified supplier list
 - Yes
 - If shortlist declared in RFP evaluate shortlist
 - If no shortlist declared in RFP then evaluate all proponents
 - Select additional evaluation team members to conduct technical or clinical product evaluation (as necessary)
 - Finalize criteria for Supplementary Evaluation (if applicable and declared in RFP)
 - Complete Supplementary Evaluation
 - Score price/cost (have bid administrator open pricing envelop)
 - **Invoke method identified in competitive document in the event of a tie**

Create the VOR list or pre-qualified supplier list from highest ranking submissions meeting all mandatory requirements

- Issue notice to all suppliers on the VOR list or pre-qualified supplier list
- **Records of evaluation scores must be auditable**
Everything said or documented must be fair, factual, fully defensible, and may be subject to public scrutiny
- **Evaluations must not discriminate or exercise preferential treatment**

Templates & References:

- Evaluation Handbook
- Evaluation Matrix Template

Agreement – Step 9 of 12

Objective:

- To enter into an agreement with each of the suppliers on the VOR (if applicable)

Output:

- Finalized agreements

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Contract must be finalized using the form of agreement released with the competitive document

- **Contract must specify the term of the VOR (start and end date) as well as options for extensions**
- **Contract must contain language that disclaims any obligation of the Organization to call on any supplier in the VOR to provide goods or services**
- **Signed contract must be in place before the provision of the goods or services commences**
In situations where an immediate need exists and a contract signed by both parties is not yet available, an interim purchase order may be used
- Verify appropriate individual from both parties signed the contract (dollar value and contract signing authority)

Award Notification – Step 10 of 12

Objective:

- To notify all participants the supplier qualification stage has been completed

Output:

- Public posting of pre-qualified supplier list or VOR list
- Summary documents completed

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Include the following in the award notification letter:
 - Name of suppliers awarded to be on the pre-qualified supplier list or VOR list
 - Start and end dates and options for extension of the pre-qualified supplier list or VOR list
- **Post award notification letter (using the same system that was used to post the RFSQ)**
- Notify any participating suppliers whose submissions were rejected during evaluation
- Notify all participating suppliers the supplier qualification stage has been completed
- Complete executive summary
- Capture 'Lessons Learned' summary

Templates & References:

- Executive Summary Template
- Lessons Learned Template

Vendor Debriefing – Step 11 of 12

Objective:

- To ensure all suppliers requesting a debriefing session are accommodated

Output:

- Successful and fair debriefing with suppliers who requested a vendor debriefing session

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Allow up to 60 calendar days following the date of contract award notification for supplier to request debriefing

- Conduct separate debriefings with each supplier
- Confirm date and timing of debriefing session in writing
- Ensure the same participants attend every debriefing session (at least one person should be present at all debriefings)
- Retain all debriefing documentation

When conducting the debriefing:

- Provide general overview of evaluation process set out in the competitive document
- Discuss strengths and weakness of the supplier's submission in relation to the evaluation criteria (do not provide any details of any other bidders)
- Provide suggestions on how the supplier could improve on future submissions
- Be open to feedback from the supplier on current procurement processes and practices
- Address specific issues and questions raised by the supplier regarding their submission

- Once debriefing session completed, escalate any issues or risks to senior management or legal as necessary

Templates & References:

- Vendor Debriefing Preparation Template

Document Retention – Step 12 of 12

Objective:

- To retain all procurement documentation

Output:

- All procurement documentation, information and communication is maintained in recoverable form for a minimum of seven years

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Written policy for handling, storing and maintaining suppliers' confidential and commercially sensitive information

- **All documents, information and communication related to the procurement processes needs to be maintained in recoverable form for minimum of seven years** (including but not limited to):
 - Procurement business case
 - Evidence of approvals
 - RFSQ
 - Competitive document (RFP/RFQ)
 - All RFP/RFQ submissions
 - Modifications/Clarifications (Addenda and Q&A)
 - Evaluation records (includes individual evaluation matrix & notes AND summary matrix & notes)
 - Award notice
 - Contract (originally signed as well as any changes)
 - All vendor debriefing documents
 - Bid dispute and resolution
 - Supplier performance information

Document Retention

Used to ensure that all procurement related documentation is appropriately retained and maintained for a minimum period of seven years.

Step 1: Document Retention

Objective:

- To retain all procurement documentation

Output:

- All procurement documentation, information and communication is maintained in recoverable form for a minimum of seven years

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Written policy for handling, storing and maintaining suppliers' confidential and commercially sensitive information

- **All documents, information and communication related to the procurement processes needs to be maintained in recoverable form for minimum of seven years** (including but not limited to):
 - Procurement business case
 - Evidence of approvals
 - Non-Competitive documentation
 - Signed exception forms
 - PO, P-card transaction statement, RFI, RFSQ or competitive document (RFP/RFQ)
 - All quotes or all submissions to RFX (i.e., RFP, RFQ, RFI, RFSQ)
 - Modifications/Clarifications
 - Addenda and Q&As
 - Evaluation records (includes individual evaluation matrix & notes AND summary matrix & notes)
 - Award notice
 - Contract (originally signed and any changes)
 - All vendor debriefing documents
 - Supplier performance information

Templates & References:

- Supporting Procurement Workflows

Contract Management

The process of systematically and efficiently managing contract creation, execution, and analysis for the purpose of maximizing financial and operational performance and minimizing risk.

Orientation – Step 1 of 6

Objective:

- For all stakeholders to reach a common understanding before the contract commences

Output:

- Shared understanding and expectations

Process Checklist:

- Identify Contract Manager

- Ensure there is a primary contact for the supplier
- Confirm contract is signed by both parties
- Set orientation date before work commences or before first delivery
- Invite appropriate stakeholders to the entire meeting or to the Customer Service agenda only
- Orientation Meeting – Business Agenda
 - Welcome the supplier to the partnership
 - Set context of contract management being a process to ensure mutual success
 - Make introductions so everyone understands the roles and responsibility of all attendees
 - Jointly review contract in detail with supplier and applicable stakeholders
 - Review payments must be made in accordance with provisions of the contract
 - Review pay for performance schedule (if applicable)
 - Review reimbursement rules and expense claims must be as per the contract (comply as per BPS Expenses Directive)
 - Determine physical and/or electronic access needs
- Orientation Meeting – Customer Service Agenda
 - Highlight key points of the contract
 - Verify end customer needs, requirements and goals
 - Define deliverables and timeframes
 - Establish terms of reference for Service Level Agreement (SLA)
 - Discuss expectations
 - Share concerns, assumptions and risks
 - Exchange contact information
- Create summary meeting notes (capturing attendees, agreements, highlights, follow-ups)
- Email orientation summary meeting notes to all attendees

Templates & References:

- Contract Management Workflow

Relationship Management – Step 2 of 6

Objective:

- To jointly determine the rules of engagement

Output:

- Shared operational framework

Process Checklist:

- Establish communication process (sharing information; having open lines of communication; who, when, how, frequency)
- Create monitoring process (two way process)
 - Schedule for meetings, updates, checkpoints, audits, reviews
 - Method and frequency of communicating status

- Critical indicators that will be monitored (for example, budget, timelines, volume)
- Potential issue & risk identification process
- Problem resolution/solution generation process
- Ongoing feedback
- Determine escalation process
- Establish change management process
- Agree to a dispute resolution process
- Create an evaluation process
 - Determine what quantitative and qualitative metrics to measure and how they will be measured
 - Consult Service Level Agreement and/or contract
 - Reference the evaluation section of the RFX
 - Use indicators that were "Monitored"
 - Consult the end user
 - Seek input from the supplier
 - Establish formal evaluation checkpoints during the life of the contract
 - Set the first evaluation checkpoint early in the contract (for example, within the first quarter period of the contract)
 - Agree to how evaluations will be conducted and documented
 - Decide on who will deliver the evaluation and other participants attending the sessions
- Agree to an issue management process

Monitoring and Evaluation – Step 3A of 6

Objective:

- To ensure monitoring and evaluation is completed through the life of the contract

Output:

- Shared interest in communication, progress and feedback

Process Checklist:

Monitoring (progress tool, information & communication exchange, gauge for performance trend, managed ongoing)

- Attend or ensure schedule for meetings, updates, checkpoints, audits, reviews was met
- Review or ensure status communications reviewed
- Monitor or ensure critical indicators (for example, budget, timelines, volume) monitored
- Track or ensure potential issues & risks tracked
- Ensure problem resolution/solution generation against all identified issues and risks
- Provide or ensure ongoing feedback provided
 - Consult end user
 - Consult supplier

Evaluation (performance assessment & measurement, formal feedback process, conducted periodically)

- Measure or ensure agreed to quantitative and qualitative metrics are measured as defined
- Conduct or ensure evaluations as per schedule are conducted
 - Ensure the first evaluation checkpoint was early in the contract (for example, within the first quarter period of the contract)
 - Dialogue on successes, performance, barriers and plan versus actual
 - Give and receive feedback
- Conduct or ensure evaluation conducted as agreed
- Ensure evaluation is documented
- Is there a recurring performance issue?
 - Check previous evaluations
 - Consider escalating to issue management process

End Customer Satisfaction – Step 3B of 6

Objective:

- To determine if the end customer is satisfied during the life of the contract

Output:

- Shared interest in meeting end customer needs

Process Checklist:

- Verify end customer needs, requirements and goals
- Ensure supplier understands end customer needs, requirements and goals
- Have the supplier set periodic check-in points with the end customer prior to deliverables
- Confirm end customer is satisfied at every gate or deliverable point
- Solicit performance feedback on the supplier from the end customer
- Encourage the supplier to directly ask end customer if they are satisfied with the service/product/deliverable
- Encourage end customer to directly voice satisfaction levels to the supplier

Issue Management – Step 3C of 6

Objective:

- To be held accountable to commitments, behaviour and issue resolution during the life of the contract

Output:

- Shared ownership to make change and foster communication, cooperation and success

Process Checklist:

- Have a recurring performance issue
 - Qualitative (for example, style or approach)

- Quantitative (for example, budget over-run, commitment not met)
- Consult evaluations
- Review status updates and deliverable schedule
- Get informal perspective from various sources
- Confirm recurring issue has been:
 - Addressed in Monitoring and Evaluation
 - Brought to the supplier's attention
- Decide on a course of action:
 - If the recurring performance issue has not been brought to the supplier's attention and has not been documented appropriately
 - Call a meeting to jointly address and resolve the issue
 - Have a constructive discussion
 - Ensure all stakeholders are involved
 - Set a timeline to see improvement
 - Document the meeting
 - If the recurring performance issue has been brought to the supplier's attention and has been documented appropriately
 - Initiate issue management process
 - Issue the corrective action to the supplier
 - Set up a meeting to discuss the response to the corrective action
 - Actively listen to the supplier's perspective
 - Provide feedback to the end customer (if applicable)
 - Ensure barriers are removed
 - Manage the performance issue to a successful resolution (if possible)
 - If successful resolution is not possible, develop a plan to replace the supplier
 - Document all proceedings and actions

Internal Compliance – Step 3D of 6

Objective:

- To ensure compliance to organizational policies & procedures and BPS Procurement Directive during the life of the contract

Output:

- Internal compliance is managed and measured

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

- Confirm compliance to organizational policies & procedures and BPS Procurement Directive
 - Activities carried out by a delegated authority met BPS Procurement Directive
 - **Supply Chain Code of Ethics complied with**
 - **Approval Authority Schedule followed**

- Internal procedures and policies followed
 - Procurement Policy and Procedure Manual
- **Policy for handling, storing and maintaining suppliers' confidential and commercially sensitive information followed**
- Internal processes support BPS Procurement Directive
- **Documentation retained in recoverable form for the length of the contract plus seven years**
- Confirm execution complies with the contract
 - Modifications to the original contract are documented, approved and signed by both parties
 - **Payment terms**
 - **Contract terms and conditions**
 - **Contract base term and extension and date to invoke extension**
 - **Deliverables**
- **Supplier performance managed**
- **Dispute resolution process declared and followed**
- **Expenses reimbursements comply with the Broader Public Sector Expenses Directive**

Templates & References:

- Procurement Scorecard

Contract Extension and Closeout – Step 4 of 6

Objective:

- To deem contract extension exercised or contract closed

Output:

- An extension executed in compliance with the terms of the contract or a thorough and thoughtful offboarding completed

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Verify contract extension is stated in the original contract (it needs to have been stated in the RFx)

- Are you intending to invoke the contract extension?
 - Solicit input from end users and get agreement
 - Check evaluations to confirm performance metrics were met
 - Review any performance management issues and resolutions
 - Ensure there are no outstanding or unresolved issue management concerns
 - Confirm funding/budget availability
 - Sign contract extension by the date indicated in the contract (per Approval Authority Schedule)
- Are you closing out the contract?

- Resolve any open items or issues
- **Ensure payments were made in accordance to the provisions of the contract; recover any overpayments in a timely manner**
- Ensure there are no outstanding issue management concerns
- **Verify all deliverables met and received**
- Confirm all training has been received and all knowledge transfer has occurred
- Perform a final inspection or audit (as necessary)
- Obtain any licences, certificates, warranties, drawings, spare parts, instructions, manuals
- (as necessary)
- Ask for and take possession of any identification badges and/or keys that were issued
- Ensure all contract changes were formalized and the contract file includes all executed copies of the related modifications with appropriate backup information
- Ensure the contract file includes all contract, process, evaluation and deliverable documentation
- Obtain final invoice
- Confirm with supplier that contract has been deemed completed and thank supplier for their partnership
- Ask supplier for feedback on the contract management process and opportunities for improvement

Continuous Improvement – Step 5 of 6

Objective:

- To determine lessons learned

Output:

- Shared ownership for improvement and driving value

Process Checklist:

- Explore with stakeholders (including supplier):
 - How contract management during the life of the contract could be improved
 - What should to be added/deleted/changed at every step
 - Orientation
 - Relationship Management
 - Monitoring and Evaluation
 - End Customer Satisfaction
 - Issue Management
 - Internal Compliance
 - Contract Extension and Closeout
 - Process learnings or process efficiency/effectiveness gains
 - What you know now that you wish you knew at the start
 - What you would do differently next time

- What barriers could be removed to improve supplier delivery and/or generate more value for the organization
- General perceptions of the process
- Recommendations for the future
- Summarize findings and supplier insight
- Share lessons learned within the organization
- Make adjustments to the contract management process (as required)

Document Retention – Step 6 of 6

Objective:

- To have a written trail of all contract management documentation

Output:

- All contract management documentation, information and communication is retained in recoverable form for a minimum of seven years.

Process Checklist:

(Bolded text signifies a Mandatory Requirement in the Procurement Directive)

Written policy for handling, storing and maintaining suppliers' confidential and commercially sensitive information

- **All documents, information and communication related to the procurement processes needs to be maintained in recoverable form for minimum of seven years after contract expiration** (including but not limited to):
 - Signed contract (original as well as any changes)
 - Orientation
 - Relationship Management
 - Monitoring and Evaluation (including supplier performance information)
 - End Customer Satisfaction
 - Issue Management
 - Internal Compliance
 - Signed Contract Extension
 - Contract Closeout (including feedback from the supplier)
 - Continuous Improvement

Templates & References Library

Competitive Procurement

Invitational Competitive

Purchase Need Identified

- Approval Authority Schedule Template
- Purchase Approval Template
- Competitive Procurement Options
- Core Procurement Workflows
- Non-Competitive Procurement Approval Form Template

Planning

- Conflict of Interest Disclosure Template
- Procurement Business Case Template
- Evaluation Team List and Contact Information Template
- Evaluation Team Composition Options
- Evaluation Handbook

Requirements

- Procurement Specifications Template
- Procurement Specifications Approval Template
- Stakeholder Consultation Template

Competitive Document

- Glossary of Terms
- List of Acronyms
- Bid Dispute Resolution Procedure Guideline
- Bid Dispute Resolution Process Options
- Value-Add Incentives Principles
- Evaluation Matrix Template
- Evaluation Handbook

Internal Compliance

- Procurement Scorecard

Blackout Period & Bid Receipt

- Bid Receipt Log Template

Evaluation

- Evaluation Handbook
- Evaluation Matrix Template

Award Notification

- Executive Summary Template
- Lessons Learned Template

Vendor Debriefing

- Vendor Debriefing Preparation Template

Open Competitive

Purchase Need Identified

- Approval Authority Schedule Template
- Purchase Approval Template
- Competitive Procurement Options
- Core Procurement Workflows
- Non-Competitive Procurement Approval Form Template

Planning

- Conflict of Interest Disclosure Template
- Procurement Business Case Template
- Evaluation Team List and Contact Information Template
- Evaluation Team Composition Options
- Evaluation Handbook

Requirements

- Procurement Specifications Template
- Procurement Specifications Approval Template
- Stakeholder Consultation Template

Competitive Document

- Glossary of Terms
- List of Acronyms
- Bid Dispute Resolution Procedure Guideline
- Bid Dispute Resolution Process Options
- Value-Add Incentives Principles
- Evaluation Matrix Template
- Evaluation Handbook

Internal Compliance

- Procurement Scorecard

Blackout Period & Bid Receipt

- Bid Receipt Log Template

Evaluation

- Evaluation Handbook
- Evaluation Matrix Template

Award Notification

- Executive Summary Template
- Lessons Learned Template

Vendor Debriefing

- Vendor Debriefing Preparation Template

Consulting Services – Invitational Competitive

Purchase Need Identified

- Approval Authority Schedule Template
- Purchase Approval Template
- Competitive Procurement Options
- Core Procurement Workflows
- Non-Competitive Procurement Approval Form Template

Planning

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- Evaluation Team Composition Options
- Evaluation Handbook

Requirements

- Procurement Specifications Template
- Procurement Specifications Approval Template
- Stakeholder Consultation Template

Competitive Document

- Glossary of Terms
- List of Acronyms
- Bid Dispute Resolution Procedure Guideline
- Bid Dispute Resolution Process Options
- Value-Add Incentives Principles
- Evaluation Matrix Template
- Evaluation Handbook

Internal Compliance

- Procurement Scorecard

Blackout Period & Bid Receipt

- Bid Receipt Log Template

Evaluation

- Evaluation Handbook
- Evaluation Matrix Template

Award Notification

- Executive Summary Template
- Lessons Learned Template

Vendor Debriefing

- Vendor Debriefing Preparation Template

Informal Procurement

Informal

Purchase Need Identified

- Approval Authority Schedule Template
- Purchase Approval Template
- Competitive Procurement Options
- Core Procurement Workflows

Planning

- Conflict of Interest Disclosure Template
- Procurement Business Case Template

Requirements

- Procurement Specifications Template
- Procurement Specifications Approval Template
- Stakeholder Consultation Template

Internal Compliance

- Procurement Scorecard

Non-Competitive Procurement

Single Sourcing

Purchase Need Identified

- Approval Authority Schedule Template
- Purchase Approval Template
- Core Procurement Workflows
- Non-Competitive Procurement Approval Form Template

Planning

- Conflict of Interest Disclosure Template
- Procurement Business Case Template

Requirements

- Procurement Specifications Template
- Procurement Specifications Approval Template
- Stakeholder Consultation Template

Internal Compliance

Procurement Scorecard

Award Notification

- Executive Summary Template
- Lessons Learned Template

Sole Sourcing

Purchase Need Identified

- Approval Authority Schedule Template
- Purchase Approval Template
- Core Procurement Workflows
- Non-Competitive Procurement Approval Form Template

Planning

- Conflict of Interest Disclosure Template
- Procurement Business Case Template

Requirements

- Procurement Specifications Template
- Procurement Specifications Approval Template
- Stakeholder Consultation Template

Internal Compliance

- Procurement Scorecard

Award Notification

- Executive Summary Template
- Lessons Learned Template

Supporting Procurement Processes

Request for Information

Purchase Need Identified

- Approval Authority Schedule Template
- Purchase Approval Template
- Supporting Procurement Workflows

Planning

- Conflict of Interest Disclosure Template
- Procurement Business Case Template

Requirements

- Procurement Specifications Template
- Procurement Specifications Approval Template
- Stakeholder Consultation Template

RFI Document

- Glossary of Terms
- List of Acronyms

Internal Compliance

- Procurement Scorecard

Blackout Period & Bid Receipt

- Bid Receipt Log Template

Request for Supplier Qualification

Purchase Need Identified

- Approval Authority Schedule Template
- Purchase Approval Template
- Supporting Procurement Workflows
- RFSQ VOR List Procedure Guideline

Planning

- Conflict of Interest Disclosure Template
- Procurement Business Case Template
- Evaluation Team List and Contact Information Template
- Evaluation Team Composition Options
- Evaluation Handbook

Requirements

- Procurement Specifications Template

- Procurement Specifications Approval Template
- Stakeholder Consultation Template

RFSQ Document

- Glossary of Terms
- List of Acronyms
- Bid Dispute Resolution Procedure Guideline
- Bid Dispute Resolution Process Options
- Evaluation Matrix Template
- Evaluation Handbook

Internal Compliance

- Procurement Scorecard

Blackout Period & Bid Receipt

- Bid Receipt Log Template

Evaluation

- Evaluation Handbook
- Evaluation Matrix Template

Award Notification

- Executive Summary Template
- Lessons Learned Template

Vendor Debriefing

- Vendor Debriefing Preparation Template

Document Retention

Document Retention

- Supporting Procurement Workflows

Contract Management

Orientation

- Contract Management Workflow

Internal Compliance

- Procurement Scorecard