Document Naming Conventions and Records Management Procedure

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INTRODUCTION

This manual will outline naming conventions applicable to SRM procurement document types which are created in SRM, the electronic documents that are attached within the procurement document type and those documents manually attached by the COPA Purchasing Professional to the SAP Records Management ("RM") System.

Electronic file naming conventions are critical to managing an effective records management environment so that any user searching for and/or reviewing documents will be able to locate and decipher exact documents in minimal time and effort.

This approach will streamline and simplify the electronic file naming process and make it easier for both COPA Purchasing Professionals and Potential Bidders/Offerors when searching for and/or reviewing procurement documents and attachments.

PART I – Document Naming Conventions

Electronic/Scanned Document Naming Conventions

Naming documents in a consistent, logical, and predictable way will distinguish similar records from one another at a glance. Therefore, electronic files should be <u>easily identifiable</u> by these three components:

1. Identifying Number;
2. Document Name; and
3. Version Identifier (if applicable).

Utilize the following elements in the manner and order described below:

<u>Identifying Number</u> (e.g., SRM Solicitation Number or Contract Number) – This is extremely important, especially when the contract is multiple-award (hierarchical) and there are numerous suppliers! Use of supplier names and other descriptors create overly long file names and causes delays when browsing for documents.

<u>Name</u> (e.g., Standard Terms and Conditions; Statement of Work; Change Notice) – This is the most crucial element of a file. The name of the file should reflect the exact title of the form or the file content. Abbreviations should be kept to a minimum, and the use of "special characters" and/or symbols should be avoided altogether. In addition, procurement documents, such as solicitations or contracts, which generate consecutive documents (e.g., addendum, renewal, amendment) should be identified as such.

<u>Version Identifier</u> *[If applicable]* (e.g., Creation Date/Revision Date) – This element is only required when it is necessary to identify a specific version of a document, or perhaps the date that the document was created.

SRM Document Type Naming Conventions

When a procurement document is created in SRM, it should be named according to the naming convention established below.

- There is a 40-character limit on the document type *[Shopping Cart, Bid Invitation, Contract, or Purchase Order]* name.

- The total characters include letters, punctuation, and spaces.
    - 4-digit UNSPSC code (ref: www.unspsc.org)
    - Space or Dash
    - Noun that describes the item or Contract Title (no abbreviations)

- Example:
    - 8311 Broadcast Satellite Services

Contract Name	8311 - BROADCAST SATELLITE SERVICES-CMS	Number	4400007133

A minor exception to the naming convention outlined above was issued to Requisitioners in 2008, and addressed shopping carts which were designated as a Sole Source. This exception states that sole source shopping carts must be named beginning with "SS".

The following table displays *some* examples of correctly and incorrectly named documents:

This!	Not this!
44000XXXX Statement of Work	SOW
44000XXXX Standard Terms and Conditions	Document Ts & Cs; Standard Ts & Cs IFB 610000XXXX
In this example, the documents are versioned (i.e. for renewals) 44000XXXX Executed Contract v.1 44000XXXX Executed Contract v.2 44000XXXX Executed Contract v.3	Contract 440000XXXX 440000XXXX Contract Approved Contract
In this example, the document is easily identifiable as the first and second change to the contract. *For hierarchical contracts, <u>use the parent contract number.</u>* 44000XXXX Change Notice 01 44000XXXX Change Notice 02	4400000XXX change notice 1 renewal Chg Ntc #1; Chg Ntc #2 4400000XXX Change #1 ABC Company Change 1; Change 2 Sample Service Chg Notice 1_4400000XXX
In this example, the documents are easily identifiable as 1st and 2nd renewal for both children suppliers. *For hierarchical contracts, <u>use the child contract number rather than the company name.</u>* 44000XABC Renewal 1 44000XABC Renewal 2 4400000XYZ Renewal 1 4400000XYZ Renewal 2	Renewal letter signed – ABC Company ABC Company Renewal 2009 2009 Renewal – ABC Company Sample Service 2009 Renewal#1 ABC Co.
44000XXXX Amendment 1 44000XXXX Amendment 2	Amendment No. 1; Amendment No. 2 Amendment #1; Amendment #2 1st Amendment; 2nd Amendment

PART II – Record vs. Non-Record

Commonwealth Definitions

Record: Information, regardless of physical form or characteristics, that document a transaction or activity of an agency and that is created, received or retained pursuant to law or in connection with a transaction, business or activity of the agency. The term includes a document, paper, letter, map, book, tape, photograph, film or sound recording, information stored or maintained electronically, and a data-processed or image-processed document.

Record Series: A group of records that may be treated as a unit for purposes of classification, designation, description, management, or disposition because they relate to a particular subject or function, result from the same activity, have a particular physical form, or because of some other relationship arising out of their creation, receipt, or use.

Transitory Records: Records that have little or no documentary or evidential value and that need not to be set aside for future use; have short term administrative, legal or fiscal value and should be disposed of once that administrative, legal or fiscal use has expired; or are only useful for a short period of time, perhaps to ensure that a task is completed or to help prepare a final product.

Procurement Records: Based on the above definitions, a Procurement Record is a record or record series that is part of the Commonwealth procurement (bid, contract, purchase order).

- Court decisions and the 2008 Right-to-Know Law definitions include e-mail as legitimate records; e-mails can document our business decisions and at times may be the only documentation.

    o E-mail records which are part of a (SRM) Procurement Record should be retained within the Records Management System.

    o E-mails which are considered transitory records may be retained within the Records Management System for the length of time that they are useful and/or have value.

E-Mail Messages (Record vs. Non-Record)

- Email can be a record but is not always a record.
- E-mail is a communication mechanism for information including records, non-records, and transitory records.
- The content of the e-mail determines if it is a record.
- Commonwealth Email Retention Policies

Example of a record: You are either the originator or receipient of an e-mail and it is substantive, having to do with a procurement that was or is being made by your office.
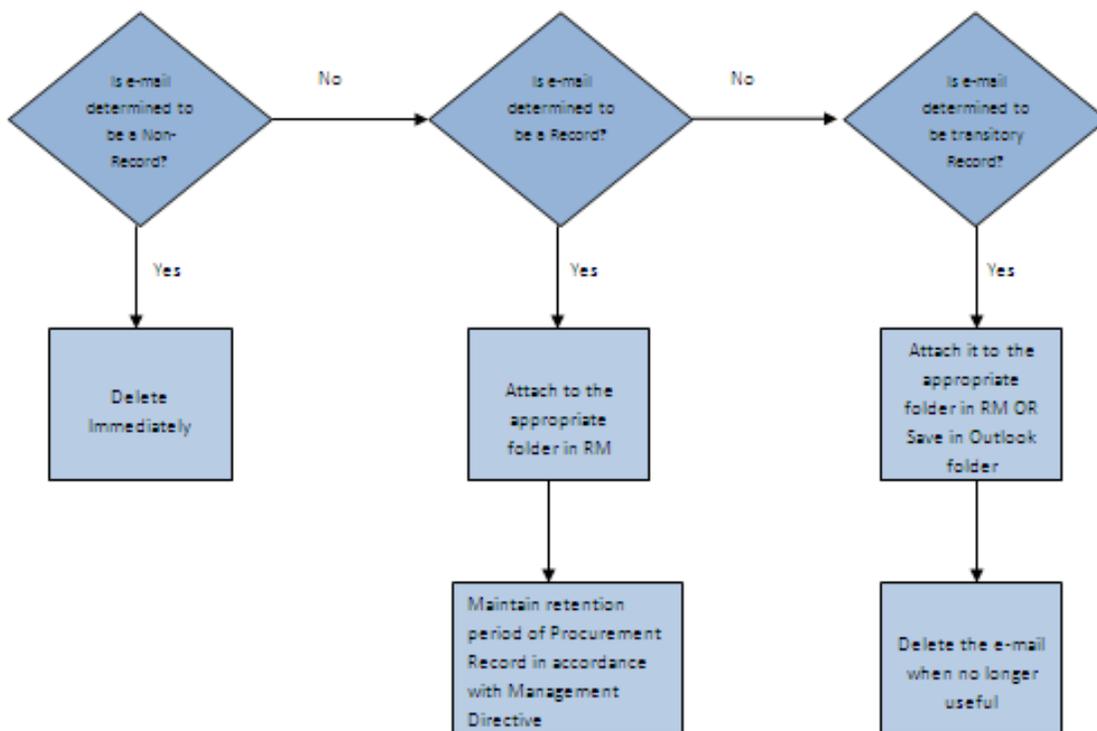
Contract Compliance Program

In accordance with the Contract Compliance Program, Management Directive 215.16, the Commonwealth of Pennsylvania is committed to nondiscrimination, both in its own employment practices and in the practices of the companies with which it does business. Agencies under the Governor's jurisdiction are required to develop contract compliance programs to monitor the employment practices of contractors and grantees doing business with the Commonwealth.

State contractors, their subcontractors, and grantees are required to comply with the non-discrimination clause in state contracts and grants. Required information is gathered on the standard contract compliance form STD-21, which is emailed to contractors/grantees upon award of the contract or grant.

Under the Right to Know Law and effective January 1, 2009, records formerly presumed to be confidential are now presumed to be public records. Contractors and grantees are advised to identify and mark the contractor's information that the contractor believes meets the definition of confidential proprietary information so that it may be redacted from information provided to the public under the Right to Know Law. This applies to the following forms: STD-21, STD-25, STD-26, and STD-28.

For example, the STD-21 and STD-28 forms are considered public records, and the other two forms (STD-25 and STD-26) are mixed records. The review/audit form could be redacted but the factual information would be public. For example, the employee names would be redacted from the detailed report from the contractor, but the aggregate number of employees in a category would be public information. The Trade Secret Form can be downloaded from the forms section below to assist the contractor/grantee to identify confidential information.

PART III – Records Management Overview

The purpose of this section is to outline the activities required to properly manage records of procurements made on behalf of the Commonwealth.

As established in the Records Management Policy, (RM), the SAP Records Management System shall be used as the exclusive repository for procurement documents which were created in the SRM system, as well as any additional documentation pertaining to the procurement.

Records Management Functionality

All COPA solicitation, contract, and purchase order documents created in SRM will replicate to the RM system. They will be identified in RM as a *COPA Bid Invitation Record*, *COPA Contract Record*, or a *COPA Purchase Order Record*. All Records have a pre-defined structure in Records Management. Each Record type is configured as described below:

Record Structure for the COPA Bid Invitation
- Link to the SRM Bid Invitation document
- PDF "snapshot" of the document
- Link(s) to the SRM Quotation document, if applicable
- Link(s) to the related SRM Contract document, if applicable
- Link(s) to the related SRM Purchase Order document, if applicable

Below is a link to the End User Procedure for Solicitation Invitation uploading, locating and viewing attachments in Records Management:
- Locating & Viewing a Bid Invitation & Attachments in RM (End User Procedure)

Record Structure for the COPA Contract
- Link to the SRM Contract document
- PDF "snapshot" of the document
- Link(s) to the SRM Bid Invitation document, if applicable
- Link(s) to the related SRM Purchase Order document, if applicable

Below is a link to the End User Procedure for Contract uploading, locating and viewing attachments in Records Management:
- Locating & Viewing a Contract & Attachments in RM (End User Procedure)

Record Structure for the COPA Purchase Order
- Link to the SRM Purchase Order document
- PDF "snapshot" of the document
- Link(s) to the SRM Bid Invitation document, if applicable
- Link(s) to the related SRM Contract document, if applicable
- Link(s) to the related COPA Goods Receipts, if applicable
- Link(s) to the related COPA Invoice Receipts, if applicable

Below is a link to the End User Procedure for Purchase Order uploading, locating and viewing attachments in Records Management:

- [Locating & Viewing a Purchase Order & Attachments in RM](#) (End User Procedure)

Records Management Folder Structure

As all Records have a pre-defined structure in SAP Records Management, all COPA Procurement Records will contain the following folders: *COPA Document Attachments Folder, Additional Documents Folder*, and *Notes and Working Papers Folder*. COPA Bid Invitation Records will contain an additional folder entitled *Protests*. The files are viewable by anyone with access to Records Management.

COPA Document Attachments Folder:

Contains the files which were uploaded as attachments on the Documents tab in SRM, either at the header or line item levels, these are viewed in RM as pdf versions of the original documents.

Additional Documents Folder:

Contains any files which were not attached to the SRM procurement document, and were uploaded manually by the Records Management User. These files are an official part of the procurement.

Notes and Working Papers Folder:

Contains any files which were uploaded manually by the Records Management User. These files contain supporting documentation and are not an official part of the procurement.

Protests (Applicable only in COPA Bid Invitation Records):

Contains any files which were uploaded manually by the Records Management User. These files contain any documentation pertaining to a solicitation award protest.

PART IV – Attachments & Folder Contents in SRM/Records Management

The purpose of this section is to outline the files required to be electronically attached to SRM Procurement Documents. The files required will vary depending on the initiating and/or resulting SRM Document Type. It is important to note that any electronic files which are attached to a procurement document in SRM will automatically carry-over (replicate) to the Follow-On Document when it is generated – i.e., the files do not need to be re-attached with each succeeding SRM procurement document.

COPA Bid Invitation Record (IFB)
COPA Document Attachments Folder
Standard Terms and Conditions, Doc Builder, Reviewer's Checklist and Responses Report [If applicable]
Specifications or Statement of Work (document must be titled appropriately). If materials, any applicable PCIDs or drawings should be attached as exhibits to the Specifications.
Price Sheet and any other required appendices [If applicable]
State of Manufacture form [Materials only]
Recycled Content Information form [Materials only]
STD-168 MBE/WBE Subcontractor and Supplier Solicitation and Commitment Form (Non-Construction Projects) [Services only]
Lobbying Certification [If federal funds in excess of $100,000]
Anti-Sweatshop Certification [If applicable]
Domestic Workforce Utilization. [Services only]
COSTARS Questionnaire [If applicable-DGS only]
Addendums/Flyers and any supporting documentation, such as Q & A, Pre-bid Sign-in sheet, etc. [If applicable]
Additional Documents Folder
Bid Tabulation
Clarification of Bid/Mistake in Bid
"No Bid" Correspondence
Pre-Bid Conference/Site Visit Attendance Sheets
Rejection of All Bids and/or Bid Cancellation [If applicable]
Responsiveness Checklist
Warranty Call Documentation
Notes and Working Papers Folder
Request to Advertise
E-alerts, Supplier Notification (emails)
Internal COPA communications regarding solicitation changes, amendments, flyers, addendums, etc.
Legal Advice, Reviews and/or Approvals
Lists of potential suppliers
Miscellaneous Business Warehouse Reports
Miscellaneous Correspondence
Purchaser's notes, memorandums, e-mails, etc.
Quality Assurance Analysis/Report
Unsuccessful Bids, if not electronically submitted though the SRM portal
MBE/WBE BMWBO Correspondence
Protests
Bid protest letters

> Please Note: All **Forms** associated with the bid should be the blank documents in the *COPA Document Attachments* Folder for the **Bid Invitation**.

Written determinations in response to the bid protest letters

COPA Bid Invitation Record (RFP/RFQ)

COPA Document Attachments Folder
Standard Terms and Conditions, Doc Builder, Reviewer's Checklist and Responses Report [If applicable]
RFP/RFQ Template (Specifications or Statement of Work). If materials, any applicable PCIDs or drawings should be attached as exhibits to the Specifications.
Price Sheet and any other required appendices [If applicable]
State of Manufacture form [Materials only]
Recycled Content Information form [Materials only]
Lobbying Certification [If federal funds in excess of $100,000]
Anti-Sweatshop Certification [If applicable]
Domestic Workforce Utilization [Services only]
COSTARS Questionnaire [If applicable- DGS only]
Addendums/Flyers
BOP-124 Determination to Use Competitive Sealed Proposals (RFP) Method of Procurement (RFP only)

> **Please Note:** All **Forms** associated with the bid should be the blank documents in the *COPA Document Attachments* Folder for the **Bid Invitation**.

Additional Documents Folder
Clarification of Bid/Mistake in Bid
"No Bid" Correspondence
Master Scoring Sheet OR E-RFP Scoring Data
COP Approval [if applicable-IT]
Disadvantaged Business Proposal Scoring
Evaluation Committee/Confidentiality Statements, and Final Scoring/Ranking
Pre-Proposal Conference Attendance Sheets
Rejection of All Bids and/or Bid Cancellation [If applicable]
Responsiveness Checklist
Warranty Call Documentation

Notes and Working Papers Folder
Request to Advertise
E-alerts, Supplier Notification (emails)
Internal COPA communications regarding solicitation changes, amendments, flyers, etc.
Legal Advice, Reviews and/or Approvals
Lists of potential suppliers
Miscellaneous Business Warehouse Reports
Miscellaneous Correspondence
Purchaser's notes, memorandums, e-mails, etc.
Quality Assurance Analysis/Report
Unsuccessful Bids, if not electronically submitted through SRM portal
WMBE/ BMWBO Correspondence

Protests
Bid protest letters
Written determinations in response to the bid protest letters
Debriefing information

COPA Contract Record (IFB)

COPA Document Attachments Folder

- Fully Executed Contract (all versions – v.1, v.2, v.3…)
- Standard Contract Terms and Conditions, Doc Builder
- Price Submittal and any other appendices as applicable
- Domestic Workforce Utilization Form [If applicable]
- STD-168 MBE/WBE Subcontractor and Supplier Solicitation and Commitment form (Non-Construction Projects) (Services Only)
- State of Manufacture [Materials only]
- Recycled Content Information Form [Materials only]
- Lobbying Certification [If federal funds in excess of $100,000]
- Anti-Sweatshop Certification [If applicable]
- Costars Questionnaire [If applicable]
- CRP Determination

> **Please Note:** All **Forms** associated with the contract should be the <u>completed</u> documents in the *COPA Document Attachments* Folder for the **Contract**.

Additional Documents Folder

- Award/Selection Letter
- Signed Renewal Letter(s)
- Change Notices, Amendment(s)
- All request for relief from the contract
- Written determinations in response to request for relief
- Contract claims and BOP written determinations in response to contract claims
- Certificate of Insurance
- Cure Notices, Show Cause, etc.
- Labor Relations Documents [Services only]
- Liquidated Damages Assessment Data
- Notice to Proceed
- Official Contract Correspondence
- DGS Delegation Approval, if applicable
- Payment/performance bonds and Security Bonds
- Supplier Resumes
- Warranty Call Documentation
- Any other award/selection documents required by the Procurement Code

Notes and Working Papers Folder

- Purchaser's notes, research, memorandums, e-mails, etc.
- Contract Overview
- Legal Transmittal Form
- Web posting Checklist
- Contract Progress meetings
- Delinquency documents actions/responses (internal, non-official correspondence)
- Spend Reports
- Miscellaneous Correspondence

COPA Contract Record (RFP)

COPA Document Attachments Folder
Fully Executed Contract (all versions – v.1, v.2, v.3…)
Signed Contract Document "Whereas" [RFP only]
Standard Contract Terms and Conditions, Doc Builder [Identify as "Exhibit __" to the Contract]
Negotiated Special Terms and Conditions [RFP only] [Identify as "Exhibit __" to the Contract]
RFP Template, including any Addendums [Identify as "Exhibit __" to the Contract]
Price Submittal, BAFO Price Submittal, OR Final Negotiated Price Submittal, and any other appendices as applicable. [Identify as "Exhibit __" to the Contract]
Disadvantaged Business Submittal, BAFO Disadvantaged Business Submittal of Final Disadvantaged Business Submittal, as applicable. [Identify as "Exhibit __" to the Contract]
Domestic Workforce Utilization Form [If applicable]
State of Manufacture [Materials Only]
Recycled Content Information Form [Materials Only]
Lobbying Certification [If federal funds in excess of $100,000]
Anti-Sweatshop Certification [If applicable]
Costars Questionnaire [If applicable]
CRP Determination
BOP-124 Determination to Use Competitive Sealed Proposals (RFP) Method of Procurement (RFP only)

> **Please Note:** All **Forms** associated with the contract should be the completed documents in the *COPA Document Attachments* Folder for the **Contract**.

Additional Documents Folder
Recommendation for Selection Memo [RFP only]
Selection Letter
Signed Renewal Letter(s)
Change Notices, Amendment(s)
All request for relief from the contract, Written determinations in response to request for relief
Contract claims and BOP written determinations in response to contract claims
Evidence of Contract Compliance STD-21, STD-25, STD-26 and STD-28, if applicable
Certificates of Insurance
Cure Notices, Show Cause, etc.
Labor Relations Documents [Services Only]
Liquidated Damages Assessment Data
Notice to Proceed
Official Contract Correspondence
DGS Delegation Approval, if applicable
Payment/performance bonds and Security Bonds
Supplier Resumes
Warranty Call Documentation
Any other award/selection documents required by the Procurement Code

Notes and Working Papers Folder
Purchaser's notes, research, memorandums, e-mails, etc.
Contract Overview
Legal Transmittal Form
Web posting Checklist
Contract Progress meetings
Delinquency documents actions/responses (internal, non-official correspondence)

| Spend Reports |
| Miscellaneous Correspondence |

COPA Purchase Order Record (PO from RFQ/IFB/RFP)

COPA Document Attachments Folder

Fully Executed Purchase Order

Fully Executed Contract, if applicable

Signed Contract Document "Whereas" [RFP/RFQ only]

Standard Contract Terms and Conditions, Doc Builder [Identify as "Exhibit __" to the Contract]

Negotiated Special Terms and Conditions [RFP only] [Identify as "Exhibit __" to the Contract]

RFP/RFQ Template, including any Addendums [Identify as "Exhibit __" to the Contract]

Price Submittal, BAFO Price Submittal, OR Final Negotiated Price Submittal, and any other appendices as applicable. [Identify as "Exhibit __" to the Contract] [RFP/RFQ only]

Disadvantaged Business Submittal, BAFO Disadvantaged Business Submittal of Final Disadvantaged Business Submittal, as applicable. [Identify as "Exhibit __" to the Contract] [RFP/RFQ only)

Domestic Workforce Utilization Form [If applicable]-Services only]

State of Manufacture [Materials Only]

Recycled Content Information Form [Materials Only]

Lobbying Certification [If federal funds in excess of $100,000]

Anti-Sweatshop Certification [If applicable]

Recommendation for Selection Memo [RFP/RFQ only]

CRP Determination

> **Please Note:** All **Forms** associated with the contract should be the _completed_ documents in the *COPA Document Attachments* Folder for the **Contract**.

Additional Documents Folder

DGS approval emails (i.e. emergency purchase, sole source, waivers, etc.)

DGS Delegation Approval, if applicable

Any updates to documents filed in the COPA Document Attachments folder

COP Approval [if applicable-IT]

Award/Selection Letter

Signed Renewal Letter(s)

Change Notices, Amendment(s)

All request for relief from the contract, Written determinations in response to request for relief

Contract claims and BOP written determinations in response to contract claims

Evidence of Contract Compliance STD-21, STD-25, STD-26 and STD-28, if applicable

Certificates of Insurance

Cure Notices, Show Cause, etc.

Labor Relations Documents [Services Only]

Liquidated Damages Assessment Data

Notice to Proceed

Payment/performance bonds and Security Bonds

Official Purchase Order Correspondence

Notes and Working Papers Folder

Purchaser's notes, memorandums, e-mails, etc.

Legal Transmittal Form

Legal Advice, Reviews and/or Approvals

Web posting Checklist

Delinquency documents actions/responses (internal, non-official correspondence)

Request to Advertise,

E-alerts, Supplier Notification (emails)

Internal COPA communications regarding changes, amendments, etc.

COPA Purchase Order Record (PO from RFQ/IFB/RFP) {continued}
Email showing you solicited all pre-qualified Suppliers, within the service category for quotes. [RFQ only]
Refer to each contract for Documents that must be attached for Comptroller approval. [RFQ only]
Best Value Determinations with established criteria and list of all suppliers. [RFQ only]
Miscellaneous Business Warehouse Reports
Purchaser's notes, memorandums, e-mails, etc.
Quality Assurance Analysis/Report
Unsuccessful Bids, if not electronically submitted through SRM portal
WMBE/ BMWBO Correspondence
Contract Progress meetings
Miscellaneous Correspondence

PART V – Records Management Version Management

Document version management is required for attachments within the *Additional Documents Folder* and the *Protests Folder*. All edits to documents located in these two folders must be completed using version management. In addition, all versions of the attachment must remain within the applicable folder for reference.

The RM system contains a version management utility for records and other editable documents, and must be used to maintain document versions. If your document is not in an editable format, such as a PDF, you may attach a new version of the document and denote it with v1, v2, etc.

For complete instruction on version management, reference the Comprehensive Guide to Versioning in RM .

APPENDICES

- [Records Management Policy](#)
- [SAP Records Management Training Course](#)
- [Locating & Viewing a Bid Invitation & Attachments in RM](#) (End User Procedure)
- [Locating & Viewing a Contract & Attachments in RM](#) (End User Procedure)
- [Locating & Viewing a Purchase Order & Attachments in RM](#) (End User Procedure)
- [Comprehensive Guide to Versioning in RM](#) (Reference Guide for Users)
- [Editing & Maintaining Versions of Attachments in Records Management (RM)](#) (EUP)
- [Management Directive 205.36](#) Right to Know
- [Webposting Checklist for eMarketplace Treasury](#)
- [Commonwealth Email Retention Policies](#)
- [M.D. 210.5 Commonwealth Enterprise Records Management Program](#)
- [Management Directive 215.16](#) Contract Compliance Program
- [Right to Know Checklist](#) (also included in Webposting Checklist)
- [Records Management Folder Process Flow Chart](#)