

## **Records Management (RM) Policy**

Issued By: Chief Procurement Officer  
Department of General Services, Bureau of Procurement

Date: September 27, 2010

### **1. Purpose**

This policy establishes guidelines for managing procurement records using SAP Records Management System. The policy and procedures herein apply only to procurement records which were created in the SAP Supplier Relationship Management (SRM) system, and are not intended to supersede OA-issued Manuals and/or Management Directives.

### **2. Scope**

This policy applies to all departments, boards, commissions, and other organizations using SAP Records Management System.

### **3. Policy**

3.1 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. The effective date for using the Records Management System was August 11, 2009 for the Department of General Services and Fish and Boat Commission. The effective date for all other COPA agencies was November 16, 2009.

3.1.1 A procurement document in SRM consists of the COPA business object (Purchase Order, Contract, Solicitation, etc.) and all attachments contained in the Documents tab at the Header and/or Line Item level.

3.1.2 The SRM procurement document will interface with Records Management immediately upon processing and be identified accordingly as a COPA Bid Invitation Record, COPA Contract Record, or a COPA Purchase Order Record.

3.1.3 Records will be structured in Records Management based upon a pre-defined "Record Model". All COPA Procurement Records will contain folders entitled COPA Document Attachments Folder, Additional Documents Folder, and Notes and Working Papers Folder. COPA Bid Invitation Records will contain an additional folder entitled Protests.

3.1.3.1 The Records Management System contains a version management facility for records and other editable documents. Edits to attachments and the version

assigned will be determined by the folder which they reside in:

COPA Documents Attachment Folder: All changes to attachments must be done within the SRM procurement document. Thus, no version management within Records Management will be necessary.

Additional Documents Folder: All changes to attachments must be done using version management. Upon each change to a file attachment, a new version of the document must be added to the folder. Each version should be denoted by v1, v2, v3, etc. All versions of the attachments must remain in this folder.

Notes and Working Papers Folder: No version management is required for attachments; the current or most recent version is acceptable.

Protests Folder: No version management is required for attachments; the current or most recent version is acceptable.

- 3.1.3.2 File sizes in Records Management should conform to the current network guidelines, and total of all attachments within a single record should not exceed 20-25 MB.
- 3.1.4 Additional documentation pertaining to the procurement includes but is not limited to items such as: bid tabulations, liquidated damages assessment data, "no bid" correspondence, contract progress meeting notes, payment and performance bonds, purchaser's notes and memorandums, etc. Reference the [Document Naming Conventions and Records Management Procedure](#).
  - 3.1.4.1 Any documentation considered confidential should be password-protected before being attached in Records Management and placed in the applicable folder.
- 3.1.5 All records existing within the Records Management System will be retained and accessible in conformance with approved records retention and disposition schedules per [Management Directive 210.5, The Commonwealth of Pennsylvania State Records Management Program](#), as well as [§ 563 of the Procurement Code, Retention of Procurement Records](#).

- 3.1.6 All records existing in the Records Management System will be applicable to the electronic storage Backup and Recovery guidelines established by the OA Enterprise Server Farm dated July 7, 2009.
- 3.2 SAP Records Management System will not be used in conjunction with any procurement documents created in the SAP ECC 6.0 system (also known as R/3). Agencies should continue to maintain records associated with R/3 documents in accordance with current agency policy and procedures. 3.2.1 Files containing procurement documents should be retained and accessible in conformance with approved records retention and disposition schedules per Management Directive 210.5, The Commonwealth of Pennsylvania State Records Management Program, as well as § 563 of the Procurement Code, Retention of Procurement Records.
- 3.3 The SAP Records Management System will not be used in conjunction with any procurement documents created manually on paper. Manual files will continue to be used as the exclusive repository for these procurement documents.
  - 3.3.1 Manual files containing procurement documents should be retained and accessible in conformance with approved records retention and disposition schedules per Management Directive 210.5, The Commonwealth of Pennsylvania State Records Management Program, as well as § 563 of the Procurement Code, Retention of Procurement Records.

#### **4. Responsibilities**

- 4.1 The DGS Bureau of Procurement is responsible for the following:
  - 4.1.1 Maintaining and/or updating the *Procurement Records Management Policy* document.
  - 4.1.2 Disseminating updated versions of the *Procurement Management Policy* document to all users of the Records Management System.
  - 4.1.3 Providing additional policy guidance and/or clarification to all users of the Records Management System, as requested.
- 4.2 The departments, boards, commissions, and other organizations using SAP Records Management System are responsible for the following:
  - 4.2.1 Understanding and observing all policies and procedures pertaining to use of said system.

## **5. Questions**

Any questions regarding this policy statement are to be directed to 717-783-1200.