

# Mastering Procurement Recordkeeping in North Carolina

Navigating Compliance, Best Practices, and Technology Integration





# SUBJECT MATTER EXPERTS



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State Purchasing Officer



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# OBJECTIVE

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**Empower public procurement professionals with a comprehensive understanding to navigate specific regulations and compliance requirements seamlessly, transitioning from traditional paper processes to dynamic electronic procurement processing.**

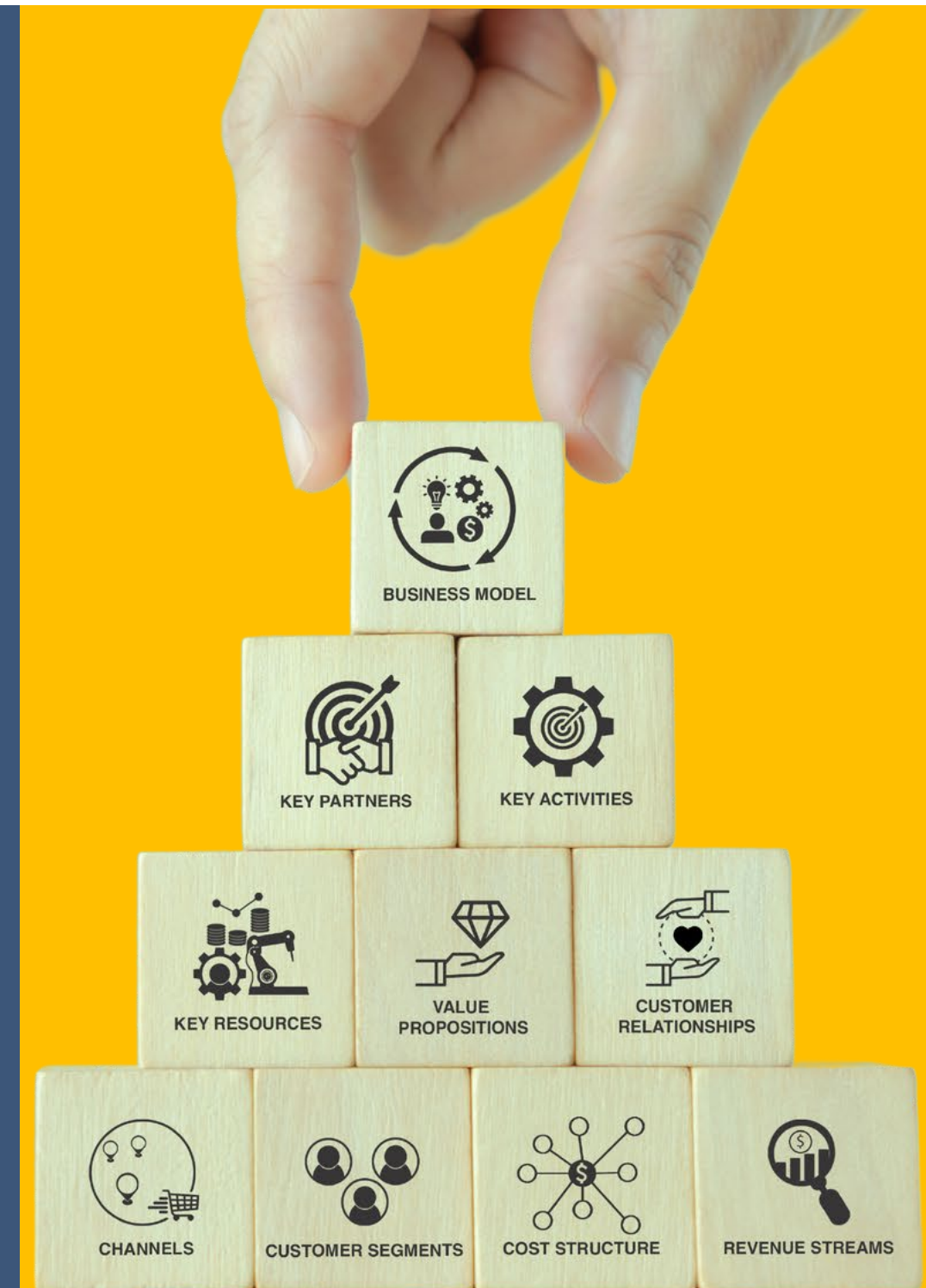
# OVERVIEW

Explore the Transition to Paperless Procurement: Evolution, Implementation, and Impact



Navigating Compliance: Understanding North Carolina Laws and Regulations

Essential Components of Procurement Records



# EXPLORE THE TRANSITION TO PAPERLESS PROCUREMENT

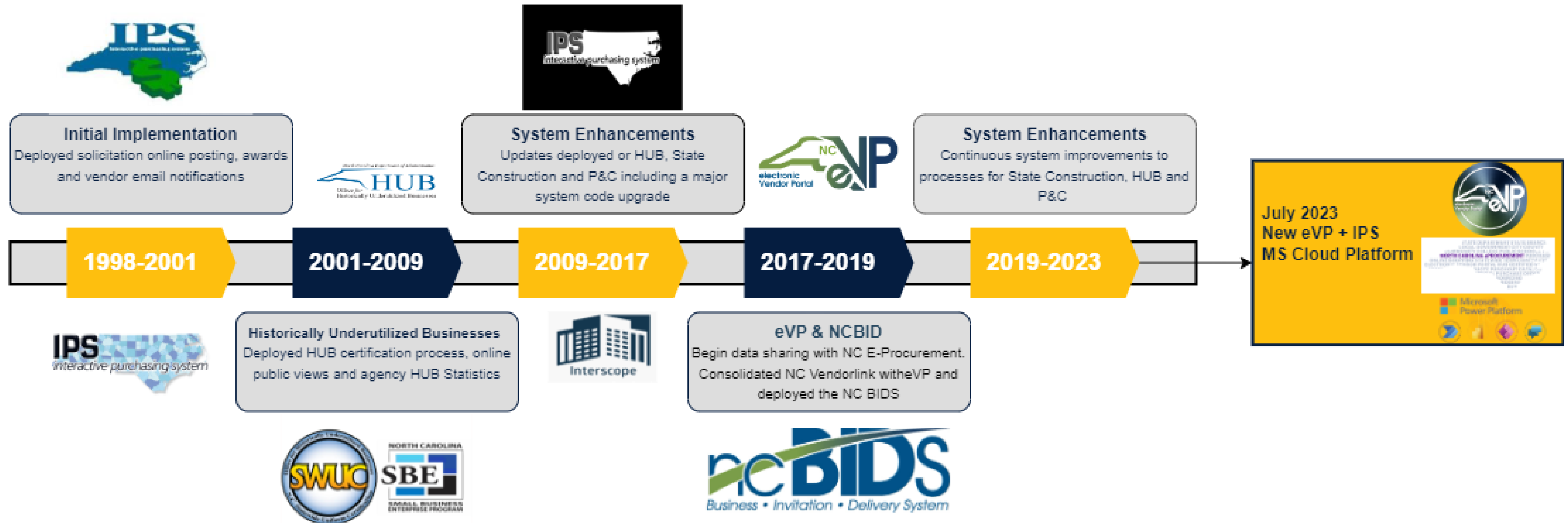
## EVOLUTION, IMPLEMENTATION, AND IMPACT



### NORTH CAROLINA ePROCUREMENT

STATE DEPARTMENT STATE BRANCH  
LOCAL GOVERNMENT CITY COUNTY  
COMMUNITY COLLEGE PUBLIC SCHOOL  
NORTH CAROLINA PROCUREMENT PURCHASE  
ONLINE SHOPPING STATEWIDE TERM CONTRACT  
ELECTRONIC VENDOR PORTAL HUB CERTIFIED VENDOR  
QUOTE PURCHASE CATALOG  
PURCHASE ORDER  
SOURCING  
BIDDING  
BUY

# EXPLORE THE TRANSITION TO PAPERLESS PROCUREMENT: INTERACTIVE PURCHASING SYSTEM'S HIGHLIGHTS



# EXPLORE THE TRANSITION TO PAPERLESS PROCUREMENT:

## EVOLUTION, IMPLEMENTATION, AND IMPACT OF NC E-PROCUREMENT

STATE DEPARTMENT STATE BRANCH  
 LOCAL GOVERNMENT CITY COUNTY  
 COMMUNITY COLLEGE PUBLIC SCHOOLS  
**NORTH CAROLINA ePROCUREMENT** PURCHASE  
 ONLINE SHOPPING STATEWIDE TERM CONTRACTS  
 ELECTRONIC VENDOR PORTAL HUB CERTIFIED V  
 QUOTE PUNCHOUT CATALOG  
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 SOURCING  
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 BUY



# NAVIGATING COMPLIANCE

## NORTH CAROLINA LAWS AND REGULATIONS



### NC § 132: PUBLIC RECORDS LAW

Defines any materials regardless of physical form or characteristics, created or received in connection with the transaction of public business is a “Public Record”



### RECORD CUSTODIAN

Agency that creates or receives a record is the legal custodian of that record and responsibility for fulfilling any retention requirements and public records request

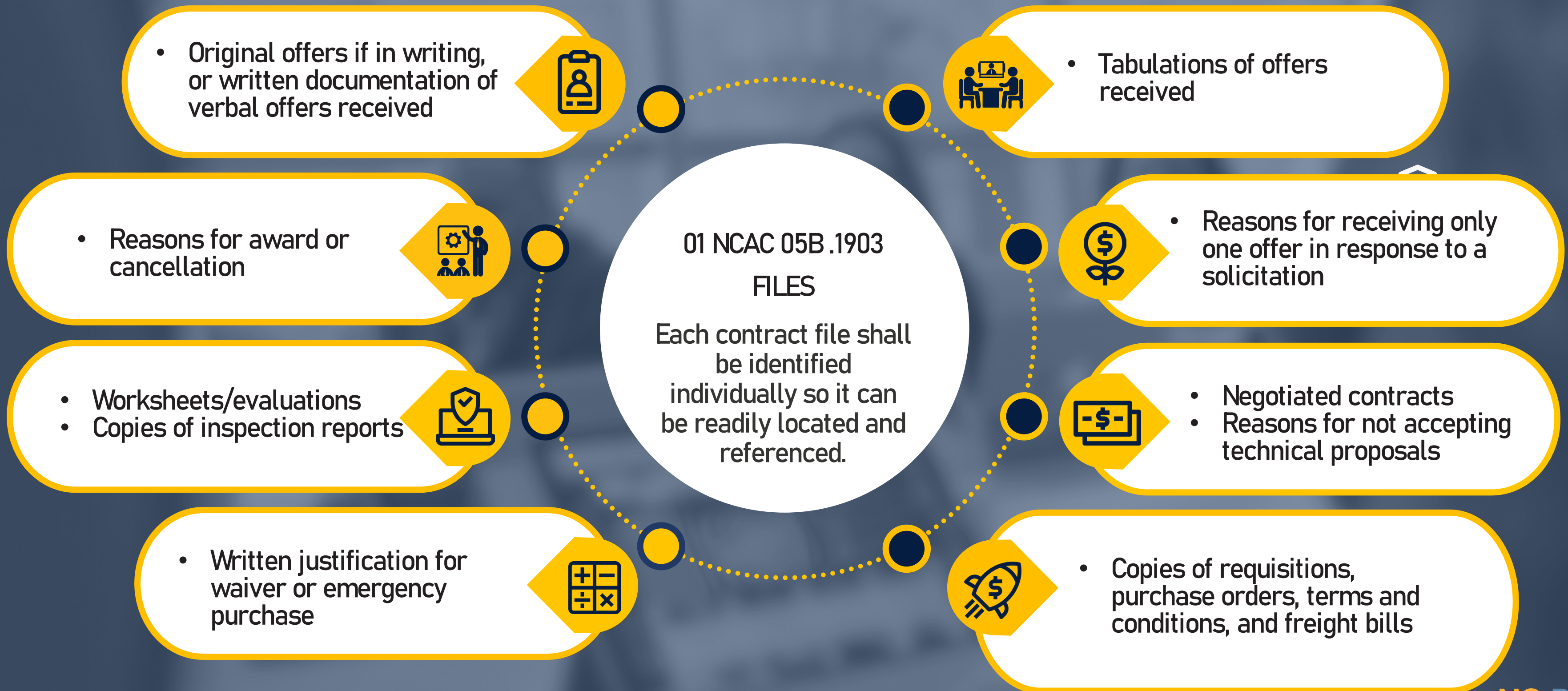


### NC § 121: ARCHIVES & HISTORY

Assigns DNCR to conduct a records management program that assists state and local officials with the management of their government records.



# NAVIGATING COMPLIANCE: PROCUREMENT FILE



# NAVIGATING COMPLIANCE

## MANAGEMENT OF DIGITAL PROCUREMENT FILES CONSIDERATIONS

- Electronic Records Policy
  - Specifies guidelines and best practices that the agency agrees to follow related to managing both born-digital and scanned electronic records.
- Digital Storage
- Data Security
- Logical File Organization
- Consistent File Naming

<https://bit.ly/DOA-CFC>

**Contract File Checklist**

It is the responsibility of each agency to ensure all contractual obligations are met and contract monitoring is documented. This checklist serves as a tool to assist the agency during that process. (Include in the contract monitoring folder/binder.)

Completed By: \_\_\_\_\_ Department: \_\_\_\_\_

Contract Number: \_\_\_\_\_ Contract Begin/End Date: \_\_\_\_\_

Name of Vendor / Contractor: \_\_\_\_\_

Contract Manager: \_\_\_\_\_

Contract Management Activities	YES	NO	N/A
<b>General</b>			
Does the contract file contain a copy of the signed, executed current contract?			
Does the contract file contain the contract term and renewal information? Signed renewals?			
Does the contract file have a copy of all attachments listed in the contract?			
Does the contract file have all amendments, modifications?			
Does the contract file contain contact information and a call log for Contractor's key personnel?			
Does the contract file contain a problem escalation listing for the Contractor?			
Does the contract file clearly state the Contractor's "Legal Notices" address?			
Does the contract file indicate that a copy of the insurance certificate was obtained and is on file?			
Does the contract file contain any necessary licenses, certifications, etc.?			
Does the contract file contain all warranty information?			
Does the contract file contain all specifications, drawings or manuals incorporated into the contract by reference?			
Does the contract file contain a list of contractor submittal requirements?			
Does the contract file contain a list of all information furnished to the contractor?			

# WORKPLACE SCENARIO: PUBLIC RECORDS REQUEST

NC § 132 - 6

RECORD CUSTODIANS ARE  
REQUIRED TO FULFILL PUBLIC  
RECORDS REQUESTS



PROCUREMENT MANUAL

NC PROCUREMENT MANUAL,  
2002, SECTION 8: PROCEDURES  
AND RECORDS



CONFIDENTIALITY

01 NCAC 05B .0103

NC § 132



**STATE ARCHIVES OF NORTH CAROLINA**  
<https://archives.ncdcr.gov/>

**GOVERNMENT AGENCY RETENTION SCHEDULES**

Local Government [<https://bit.ly/SANC-Local>]

State Government [<https://bit.ly/SANC-FS>]

Higher Education [<https://bit.ly/SANC-HED>]



KEY TO SUCCESSFUL  
RECORDKEEPING



WITHIN TODAY'S  
GUIDELINES

- Understand Record Custodian Requirements
- Determine how to handle procurement files, paper or digital records

- Establish Electronic Records Policy
- Define guidelines and best practices within the Procurement Manual
  - Data Security
  - Logical File Organization
  - Consistent File Naming



## Mastering Procurement Recordkeeping in North Carolina Feedback Request



## Electronic Vendor Portal (eVP) Feedback Request

