Annexure: C

(This Annexure guides on matters that municipalities or municipal entities must consider when addressing the processing of UIFWE, where information appears to be missing, which should be considered as part of the exercise to find alleged missing UIFWE information. The Annexure also has a proposed process flowchart that should be considered, where UIFWE information is allegedly missing in assisting with the drafting of the UIFWE incidence report for the UIFWE recovery investigation.)

A. Considerations when dealing with very old outstanding UIFWE balances, where there may be a lack of documentary evidence, which should be considered in affidavits by municipal officials

[1.] How long does the Municipality keep the tenders and request for quotation (RFQ) documents submitted by suppliers?

[2.] After how many years does the Municipality dispose of the tenders and RFQ documents submitted by suppliers?

[3.] Have the tenders and RFQ documents submitted by suppliers been transferred to another location after the Supply Chain Management (SCM) appointment processes have been completed? If so, after how many years?

[4.] What is the Standard Operating Procedure (SOP)/ procedure in place to dispose of the tenders and RFQ documents submitted by suppliers?

[5.] Who has been assigned to safeguard the submitted tenders and RFQ documents from suppliers?

[6.] How long does the Municipality retain the minutes (physical and electronic) of the Bid Specification Committee (BSC), Bid Evaluation Committee (BEC), and Bid Adjudication Committee (BAC), as well as deviations documents, etc.?

[7.] Does the Municipality keep electronic copies of the BSC, BEC, BAC minutes, deviation documents, etc.?

[8.] What is the SOP/ procedure in place to dispose of the physical BSC, BEC, BAC minutes, deviation documents, etc.?

[9.] What is the SOP/ procedure in place to dispose of the electronic copies of the BSC, BEC, BAC minutes, deviation documents, etc.?

[10.] Are the BSC, BEC, BAC minutes, and deviation documents transferred to another location after the SCM appointment processes have been completed? If so, after how many years?

[11.] Who has been assigned to safeguard the physical BSC, BEC, BAC minutes, deviation documents, etc.?

[12.] Who has been assigned to safeguard the electronic copies of the BSC, BEC, BAC minutes, and deviation documents, etc.?

[13.] For how long does the Municipality keep e-mails of employees and councillors?

[14.] What is the e-mail retention procedure or policy in place?

[15.] Does the Municipality use Mimecast or another e-mail archiving system to retain e-mails, and how long are e-mails kept in the Mimecast or other archiving e-mail system?

[16.] Since which calendar year has the Municipality started to use the Mimecast e-mail system?

[17.] What is the Municipality's procedure to retain data on employee computers and laptops, specifically of employees who have left the Municipality's employment and where computers and laptops are replaced?

[18.] What is the data backup SOP/ procedure in place to safeguard electronic records (PDFs, Excel, Word, etc.), including payroll, general ledger and sub-ledger information saved on the Municipality's servers (including financial software information)?

[19.] How long does the Municipality retain electronic records (PDFs, Excel, Word, etc.) saved on the Municipality's servers?

[20.] How long does the Municipality keep invoices and statements, etc., of suppliers after payments to the creditors have been made?

[21.] After how many years does the Municipality dispose of creditors' invoices, statements, etc.?

[22.] Are creditors' invoices, statements, etc., transferred to another location after completing the payment appointment processes? If so, after how many years?

[23.] What is the SOP/ procedure in place to dispose of creditors' invoices, statements, etc.?

[24.] Who has been assigned to safeguard the invoices, statements, etc., submitted by creditors?

[25.] Does the Municipality have copies of the management reports from the relevant financial year?

B. Proposed process flow chart that should be considered where UIFWE information is allegedly missing to finalise the UIFWE report for submission to the MPAC

