

17 April 2019

Documents to be retained and uploaded on Computer System

Documentation	Upload on Computer System	FPD ¹	Certifying Authority ¹	Beneficiary ¹	Line Ministry ¹	Department of Contracts	Treasury ¹
Section I: Project application, supporting documents, project contract and addenda to the project contract							
1. Project Application Form		Original		Copy			
2. Supporting documents e.g.: feasibility studies, CBA, environmental impact assessment and other related studies (where applicable)		Original		Copy			
3. Project Contract, including annexes	Yes	Original		Original			
4. Addenda to the Project Contract (where applicable)	Yes	Original		Original			
Section II: General correspondence related to the project contract							
1. Correspondence related to the Project Contract (such as clarification letters from/to the PSC, Letter of Approval, request for addendum and approval, change in project leadership, delegation of authority) ²	PL change and Delegation of Authority only	Original/ Copy		Original/ Copy	Original/ Copy		
2. Other correspondence related to the project, as applicable ³		Original/ Copy	Original/ Copy	Original/ Copy	Original/ Copy	Original/ Copy	Original/ Copy
Section III: Payment process							
1. Invoices / Reimbursement Requests (related to all expenditure)	Yes			Original			
2. Local Purchase Order from Government's Departmental Accounting System (issued by the Treasury)	Yes						Original
3. Fiscal Receipts (as applicable) or other proof	Yes			Original ⁴			

¹All these stakeholders have access to the relevant Computer System, however the level of access depends on rights assigned by FPD's ICT Unit.

²The retention of these documents depends on the body sending the information. The sender must retain a copy of the letter/documents sent while the recipient must keep the original. Generally, changes to a project are handled by the FPD, Beneficiary and the relevant Line Ministry.

³The retention of these documents depends on the body sending the information. The sender must retain a copy of the letter/documents sent while the recipient must keep the originals.

⁴The Beneficiary retains the original receipt (whether fiscal or not). The Beneficiary should also ascertain that a contractor issues a receipt within reasonable time of payment.

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of payment where fiscal receipts do not apply							
4. Fiscal Receipts as proof of payment for Reimbursement Requests only	Yes			Original			
5. Pre-financing guarantee (in case of advance payments)	Yes			Original		Copy ⁵	
6. Certificate of works by an architect or engineer and summary of the bill of quantities (in case of works or technical supplies)	Yes			Original			
7. Report (audit certificate) by independent and certified auditor (only in case of expenditure incurred by an international organisation or body or agency thereof and Project Partners whose primary location is outside Malta) ⁶	Yes			Original			
3.1 For reimbursement of staff costs							
1. Employment contract / Letter of Appointment	Yes			Copy			
2. Letter of Assignment (and any extension thereto)	Yes			Original			
3. Timesheets (only in case of employee not assigned full-time to project)	Yes			Original			
4. Reimbursement Request Letter	Yes			Original			
5. Breakdown of salary claim	Yes			Original			
6. Payslips	Yes			Copy			
7. Staff costs calculator (only in case of employee not assigned full-time to project)	Yes			Original			
8. Documentary evidence of fixed allowances	Yes			Copy			
9. Declaration of employer's and employee's SSC inclusion in the FS5 monthly statement	Yes			Original			
10. Local Purchase Order from Government's Departmental Accounting System (issued by the Treasury)	Yes						Original
3.2 For reimbursement of travel costs							
1. Local Purchase Order for air ticket	Yes				Original		

⁵DoC should retain a copy if a DoC tender is issued.

⁶Applies to the EEA and Norway Grants. As per paragraphs 3 and 4 of Article 8.12 of the Regulations on the implementation of the EEA and Norway Grants 2014-2021

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2. Final Agenda	Yes			Original			
3. E-ticket	Yes			Original			
4. Claim for Reimbursement Form	Yes			Original (NGO, Private, Public Sector)	Original (DCS) (Public Service)		
5. Statement of Expenditure signed by participant	Yes			Original (NGO, Private, Public Sector)	Original (DCS) (Public Service)		
6. Air ticket Invoice	Yes			Original			
7. Proof of payment for air ticket invoice	Yes			Original			
8. Bank debit advice of subsistence allowance paid to participant	Yes			Original			
9. Travel documents (boarding passes, airport transfer receipts)	Yes			Original (NGO, Private, Public Sector)	Original (DCS) (Public Service)		
11. ECB exchange rate on date expenditure incurred (if currency other than Euro was used)	Yes						
12. Report (audit certificate) by independent and certified auditor (only in case of expenditure incurred by an international organisation or body or agency thereof and Project Partners whose primary location is outside Malta) ⁷	Yes			Original			
13. Airfare Quotations from Travel Agencies	Yes			Original			
14. Winning airfare quotation	Yes			Original			
15. GA27 Form (or official form stating subsistence allowance advanced to participant)	Yes			Original (NGO, Private, Public Sector)	Original (DCS) (Public Service)		

⁷Applies to the EEA and Norway Grants. As per paragraphs 3 and 4 of Article 8.12 of the Regulation on the implementation of the EEA and Norway Grants 2014-2021

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16.Travel authorisation from respective Head	Yes			Original			
17.Receipt issued to participant upon refund of unutilised contingency allowance (if applicable)	Yes						
18.Invitation to participate in meeting abroad	Yes			Original			
19.Signed and endorsed travel report				Original			
Section IV: Verification process							
1. IFR / SOE by Project, including signed declaration	Yes, system generated	Copy	Original				
2. IFR / SOE by Programme Area / Union Priority sent to the CA, including signed declaration and list of on-the-spot checks covering expenditure being claimed ⁸	Yes, system generated	Copy	Original				
Section V: Certification Process							
1. IFR / SOE drawn up by CA	Yes		Original				
2. Signed declaration attached to IFR / SOE drawn up CA	Yes		Original				
3. IFR uploaded by CA on GRACE / SFC			Original				
4. Supporting documentation (e.g. rejection of invoices by CA)	Yes		Original				
Section VI: Procurement and employment procedures							
6.1 Procurement up to €4,999							
1. Quotations or publication in Government's e-procurement platform)							
a. Request for quotations or publication in government's e-procurement platform	Yes			Original			
b. Quotations obtained (minimum 3) or received through government's e-procurement platform	Yes			Original			
c. Signed evaluation report of all quotations received	Yes			Original			
d. Selected quotation	Yes			Original			
e. Written approval of the selected quotation	Yes			Original			
f. Any adverts published (not mandatory)				Original			

⁸ Does not apply to AMIF / ISF

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g. Notification to selected provider	Yes			Original			
h. Correspondence (e.g. Letter of Acceptance, Local Purchase Order issued by the Treasury) documenting the agreement between vendor and purchaser. This shall include details of the deliverables and prices agreed	Yes			Original			
2. Direct contract:							
a. Justification taking into account the amount involved, the urgency attached to the procurement and restrictions of choice and availability	Yes			Original			
b. Written approval from the Head of the Contracting Authority	Yes			Original			
c. Contract/Agreement/Letter of Acceptance / Local Purchase Order issued by the Treasury. This shall include details of the deliverables and prices agreed.	Yes			Original			
6.2 Procurement between €5,000 and €9,999							
1. Quotations through government's e-procurement platform⁹:							
a. Call for quotations in government's e-procurement platform	Yes			Print out / Copy			
b. Quotations received	Yes			Original			
c. Signed evaluation report of all quotations received	Yes			Original			
d. Selected quotation	Yes			Original			
e. Written approval of the selected quotation	Yes			Original			
f. Notification to selected bidder	Yes			Original			
g. Correspondence (e.g. Letter of Acceptance, Local Purchase Order issued by the Treasury) documenting the agreement between vendor and purchaser. This shall include details of	Yes			Original			

⁹ Or advert in the Government Gazette on the authorisation of the Director of Contracts

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the deliverables and prices agreed.							
2. Direct contract:							
a. Justification taking into account the amount involved, the urgency attached to the procurement & restrictions of choice and availability	Yes			Original			
b. Written approval from the Head of the Contracting Authority ¹⁰	Yes			Original			
c. Correspondence (e.g. Letter of Acceptance, Local Purchase Order issued by the Treasury, Contract) documenting the agreement between vendor and purchaser. This shall include details of the deliverables and prices agreed.	Yes			Original			
6.3 Procurement between €10,000 and €143,999 (and between €10,000 and €249,999 for Ministries that have an MPU)							
1. Departmental tender through government's e-procurement platform ³⁹ :							
a. Tender document (final version)				Original			
b. Advert of Publication of Tender in Government Gazette (copy of actual advert, if applicable)				Original			
c. Any other adverts (e.g. website, local newspapers, etc.)				Original			
d. Requests for clarifications and replies (during tendering period)				Original			
e. Official letter of appointment / approval of the Evaluation Committee				Original			
f. CVs of Evaluation Committee members				Original			
g. Declarations of impartiality of Evaluation Committee members				Original			
h. Summary of tenders received (indicating the number of bids received within the stipulated deadline)				Original			
i. Offers received (actual bids)				Original			

¹⁰ As per Article 100 (2) of the Public Procurement Regulations (LN 352 of 2016)

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j. Requests for clarifications and replies (during evaluation phase)				Original			
k. Evaluation Report				Original			
l. Approval of award by the Departmental Contracts Committee ¹¹				Original			
m. Publication of Results				Original			
n. Letter of award to successful bidder/s				Copy			
o. Letter to non-successful bidder/s				Copy			
p. Contract in full	Yes			Original			
q. Addenda (where applicable)	Yes			Original			
r. Any applicable guarantee (e.g. pre-financing, performance, and any extension thereto)	Yes			Original			
s. Any complaints submitted				Original			
2. Direct from open market:							
a. Justification taking into account the amount involved, the urgency attached to the procurement and restrictions of choice and availability	Yes			Original			
b. Written approval by the Minister for Finance or delegate	Yes			Original			
c. Correspondence (e.g. Letter of Acceptance, Local Purchase Order issued by the Treasury, Contract) documenting the agreement between vendor and purchaser. This shall include details of the deliverables and prices agreed.	Yes			Original			
6.4 Procurement that equals or exceeds €144,000 (and that equals or exceeds €250,000 for Ministries that have an MPU)							
1. Department of Contracts (DoC) tenders							
a. Commitment Form		Copy		Copy	Copy	Original	
b. Tender document (final version as uploaded on government's e-procurement platform)				Copy	Copy	Original	

¹¹ Also available on e-PPS

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c. Advert of publication of tender in Government Gazette (copy of actual advert) (if applicable)				Copy		Copy	
d. Any other adverts (website, local newspapers, etc.)				Copy		Copy	
e. Contract Notice in Official Journal (if tender budget is above the stipulated EU thresholds)				Copy		Copy	
f. Requests for clarifications and replies (during tendering period)				Copy		Copy	
g. Letter/email to DoC recommending the members of the Evaluation Committee, including CVs				Copy	Copy	Original	
h. Letter/email from DoC approving the members of the Evaluation Committee				Original	Copy	Copy	
i. Declarations of Impartiality of Evaluation Committee Members				Copy	Copy	Original	
j. Summary of tenders received (indicating the number of bids received within the stipulated deadline)				Copy		Original	
k. Evaluation Report (final version approved by GCC)				Copy		Original	
l. Any request for clarifications and relevant correspondence with GCC concerning the Evaluation Report				Copy		Copy	
m. Request/s for clarifications and replies (during evaluation phase)				Printout from e-PPS		Printout from e-PPS	
n. Publication of Results				Printout from e-PPS		Printout from e-PPS	
o. Contract Award Notice (if contract value is above the stipulated EU thresholds) (Need not be in PP's file but should be checked from OJ website)				Copy		Copy	
p. Letter of award to successful bidder/s				Copy		Copy	
q. Letter to non-successful bidder/s				Copy		Copy	

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r. Appeals/Recourse to Court and defence procedure				Copy		Original	
s. Contract in full	Yes			Original		Original	
t. Addenda to the Contract	Yes			Original		Original	
u. Any applicable guarantee (e.g. pre-financing, performance and any extension thereto)	Yes			Original		Copy	
2. Direct Order:							
a. Justification taking into consideration the amount involved, the urgency attached to the procurement and restrictions of choice and availability	Yes			Original			
b. Written approval from the Direct Orders Section (MFIN)	Yes			Original			
c. Written approval by the Director of Contracts (if it exceeds the EU thresholds)	Yes			Original		Copy	
d. Correspondence (e.g. Letter of Acceptance, Local Purchase Order issued by the Treasury, Contract) documenting the agreement between vendor and purchaser. This shall include details of the deliverables and prices agreed	Yes			Original			
e. Addenda to the Contract	Yes			Original			
6.5 Employment							
1. Register of Persons Seeking Employment (Jobsplus register) (Not applicable to ministries and Government departments)							
a. Vacancy Form signed by Permanent Secretary incl. position, requirements (qualifications, skills, experience)		Copy		Copy			
b. Vacancy Approval (MEAE)		Copy		Original			
c. Part 1/ 2/ 3 list of eligible candidates (where applicable)				Original			
2. Open call for employment (indefinite contract)							
Call for applications (advert i.e. Government Gazette, newspapers, websites): position, eligibility criteria (qualifications, skills,				Original			

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experience) and any supporting documentation							
3. Open call for employment (definite contract)							
Call for applications (advert i.e. Government Gazette, newspapers, websites): position, eligibility criteria (qualifications, skills, experience) and any supporting documentation				Original			
4. To be filled for all types of employment procedures							
a. All submitted application/s, CVs, certificates and other requested documentation (where applicable)				Original			
b. Short-listing of applicants (giving reasons for rejection if applicable)				Original			
c. Copy of interview letters to shortlisted applicants				Copy			
d. Copy of letters sent to non-shortlisted applicants				Copy			
e. Approval of Selection Board				Original			
f. Letter of Appointment of members of Selection Board				Copy			
g. Conflict of Interest Declaration by Selection Board members				Original			
h. Selection criteria and/or sub-criteria				Original			
i. Selection Report				Original			
j. Copy of letter of appointment to successful candidate/s				Copy			
k. Copy of Letter to non-successful shortlisted candidate/s				Copy			
l. Employment contract (and any extension thereto)	Yes			Original			
m. Letter of assignment (if applicable)	Yes			Original			
Section VII: Monitoring							
1. Project Progress Report		Original		Copy			
2. Project Closure Report		Original		Copy			
3. On-the-spot check reports	Yes	Original		Copy			
4. Updated Project Briefs according to bilateral		Original		Copy			

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meetings held							
Section VIII: Irregularity reports							
1. Irregularity Reports ¹²	Yes	Original					
2. Proof of recovery of unduly disbursed funds (e.g. receipt, bank transfer advice)		Copy					Original
Section IX: Project deliverables and inventory of fixed assets							
1. Inventory list for all tangible fixed assets procured through the Funds		Copy		Original	Copy (if applicable)		
2. Any reports/ studies delivered through the project				Original			
3. Second hand equipment:				Original			
a. Declaration by the vendor stating origin, and that equipment was not originally purchased through assistance from national or other Funds				Original			
b. Proof or declaration that cost of second hand equipment does not exceed market value or cost of similar new equipment				Original			
c. Proof or declaration that equipment has the technical characteristics necessary for the operation				Original			
Section X: Publicity records							
1. Record of all publicity material (e.g. adverts, press releases, photos of billboards on site, photos of publicity events, leaflets, posters, audio-visual material, etc.)				Original/ Copy			
2. Evidence of compliance with the visual identity requirements				Original/ Copy			
Section XI: Training records (for projects involving training)							
1. Call for applications, including eligibility and selection criteria				Original			
2. Application/ nomination forms				Original			

¹²Whoever detects an irregularity must fill in an irregularity report and send it to the FPD, keeping a copy in own file and copying the Irregularities Authority and / or the Certifying Authority.

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3. Training costs (trainer timesheets)				Original			
4. Attendance sheets (for trainees)				Original			
5. Evaluation/ feedback sheets				Original			
6. Trainers' report				Original			
7. Documents used for training (e.g. presentation, handouts, etc.)				Original			
8. Photographic evidence that training took place				Original			
9. Copy of certificates complete with visual identity requirements				Copy			