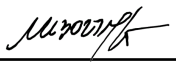
	STANDARD OPERATING PROCEDURE	No.	SOP-1200-PRO-002
	Maintaining Vendor Logs for IFBs and RFPs	Effective Date	9/26/2025
		Final Approver	 Miguel C. Bordallo, P.E. General Manager
		Revision Letter	A

1.0 Purpose

This Standard Operating Procedure (SOP) establishes Guam Waterworks Authority's (GWA) guidelines on maintaining accurate and complete vendor logs for all Invitations for Bids (IFBs) and Requests for Proposals (RFPs) issued by GWA, as summarized in the *flowchart (Attachment 1)*, to ensure transparency, accountability, and compliance with Guam and federal procurement regulations.

2.0 Scope

This SOP applies to all employees involved with GWA procurement activities related to IFBs and RFPs and includes the documentation of vendors who request bid packages, submit proposals or bids, or otherwise express interest in a formal solicitation.

This SOP also covers GWA's formal procedure for verifying the debarment, suspension, or exclusion status of entities prior to entering into covered transactions, which includes regular checks against the System for Award Management (SAM) database and other relevant sources as required by 2 CFR §180.300.

3.0 Policy

GWA shall maintain a vendor log for every IFB and RFP issued. The log will include key information such as vendor name, point of contact, date of request, method of contact, and status of bid or proposal submission. As part of this process, GWA shall verify that each vendor is not debarred or suspended from doing business with GWA, the government of Guam, or the federal government. The results of this verification shall be documented in the vendor log. The completed log shall be retained in the official procurement file and made available for audit or review in accordance with local and federal procurement laws, including 2 CFR §180.300 and FAR Part 9 Subpart 9.4, and GWA recordkeeping policies. This SOP is established as directed by the General Manager's (GM) Memorandum (**Attachment 2**).

4.0 Definitions

- 4.1. **Debar/Debarment:** The formal exclusion of a vendor from participating in procurement activities for a specified period due to serious violations such as fraud, poor performance, or unethical conduct, as determined by the appropriate authority.
- 4.2. **Eligible Vendor:** A vendor that meets all applicable legal, regulatory, and organizational requirements to participate in procurement activities. This includes, but is not limited to, possessing valid licenses or certifications, maintaining a satisfactory performance record, and not being subject to debarment, suspension, or other disqualifying conditions.
- 4.3. **Invitation for Bids (IFB):** A formal procurement method used when price is the primary evaluation factor.
- 4.4. **Procurement File:** The official record of the procurement process, including all documentation of communications, bids, evaluations, and decisions.

Maintaining Vendor Logs for IFBs and RFPs

- 4.5. **Request for Proposals (RFP)**: A formal procurement method used when evaluation includes technical merit, qualifications, or other non-price factors.
- 4.6. **System for Award Management (SAM) Exclusion List**: Maintained by the U.S. General Services Administration (GSA), it identifies individuals and entities who are excluded from receiving federal contracts.
- 4.7. **Vendor Log**: An Excel format documented list tracking all vendors who request or are issued IFB/RFP packages, including relevant contact and submission information.

5.0 Roles and Responsibilities

5.1.	General Manager (GM)	Approves this SOP and all its subsequent changes.
5.2.	Assistant General Manager for Administration and Support (AGM-AS)	Oversees development, revision, and implementation of this SOP as the Policy Owner.
5.3.	Supply Management Administrator (SMA)	<p>Reviews this SOP annually and makes necessary changes to be presented to the AGM-AS for consideration.</p> <p>Reviews vendor logs for completeness prior to award recommendation.</p> <p>Ensures compliance with applicable procurement and recordkeeping regulations.</p> <p>Ensures that proper training and/or training guidelines are provided to the affected employees to ensure proper compliance with this SOP.</p>
5.4.	Procurement Office	Conducts quarterly reviews of both standard procurements and Engineering CIP procurements to ensure adherence to the requirements for screening for debarment and suspension.
5.5.	Personnel Services Administrator (PSA)	Works with the Policy Owner and Authors to establish a training module and track compliance of employees involved in procurement activities.
5.6.	Buyer	<p>Maintains and updates the vendor log throughout the solicitation process, by recording vendor communications and responses and tracking bid submissions and deadlines.</p> <p>Ensures the vendor log is accurate, complete, and included in the procurement file.</p> <p>Verifies that vendors, including their subcontractors, listed are not debarred or suspended and notes the results of this verification in the log.</p>

Maintaining Vendor Logs for IFBs and RFPs

		<p>If a vendor is found to be debarred or suspended, immediately notifies the SMA and Legal Counsel for further action and the GM for awareness.</p> <p>Prepares the <i>Debarment Notification</i> for the SMA's review and signature and sends to the vendor the signed copy to inform them of their ineligibility due to their exclusion status.</p> <p>Strictly abides by the contents of this SOP and conducts activities accordingly. When confronted by a situation not covered by this SOP or requiring clarification, seeks the manager's, administrator's, or supervisor's assistance.</p>
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6.0 Procedure Description

6.1. Vendor Request Tracking

6.1.1. Upon issuance of an IFB or RFP¹, all vendor requests for bid/proposal packages must be recorded by the Buyer in the *Vendor Log (Attachment 3)*.

6.1.2. The log must include:

- a) Vendor/Company Name
- b) Point of Contact (Name, Email, Phone)
- c) Date of Request
- d) Method of Request (email, in-person, etc.)
- e) Date of Submission
- f) Eligibility Status

6.1.3. The Buyer distributes the packages to the requesting vendors.

6.2. Submission Status Updates

6.2.1. As proposals or bids are received, the Buyer must update the vendor log to reflect the submission date and time. The Buyer is responsible for tracking bid submissions and deadlines.

6.2.1.1. For all federally funded procurements, whether fully funded or partially funded by federal grant funds, the Buyer must ensure that all contractors certified that they are not debarred or suspended by signing a *Debarment and Suspension Certification Form (Attachment 4)* as part of their bid and/or contract submission.

¹ Issued IFBs and RFPs for General Procurement and Engineering CIP Bid Documents must include a written provision specifying a prohibition against suspension and debarment. Refer to the updated IFB and RFP Templates.

Maintaining Vendor Logs for IFBs and RFPs

- 6.2.2. The Buyer must indicate whether the bid was accepted, rejected, or disqualified (with reason, if applicable).

6.3. Debarment/Suspension Check

- 6.3.1. Prior to awarding, the Buyer must verify the vendor's status on the federal debarment list ([SAM.gov](https://www.sam.gov)) and local debarment list, if such exists (see Section 6.6). The Buyer must also confirm the status of subcontractors either identified in the bid submission or to be approved before or after award.

- 6.3.1.1. This check must be documented using the *Purchasing Verification of Debarment Form (Attachment 5)* and included in the contract file.

- 6.3.2. Results of this verification must be noted in the log by the Buyer.

- 6.3.2.1. The Buyer must print or save a screenshot of the SAM search results which must include the date of research, or the posting date of the list and maintain it in the procurement records.

6.4. Log Finalization

- 6.4.1. The Supply Management Administrator (SMA) must review the vendor logs for completeness prior to award recommendation.
- 6.4.2. Once the solicitation period closes and a contract award is made, the Buyer finalizes the vendor log to ensure its accuracy and completeness.
- 6.4.3. All procurement-related documents (bids, contracts, correspondence, evaluations) must be retained for a legally mandated period, ensuring transparency and accountability, pursuant to §20605 Article 6 Chapter 20 Title 5 of the Guam Code Annotated.

6.5. Access and Review

- 6.5.1. Vendor logs must be available for internal review, audit, or regulatory oversight upon request.
- 6.5.2. Access is restricted to personnel authorized by the SMA and/or the General Manager (GM).

6.6. Local Debarment List

- 6.6.1. The Buyer must contact the local General Services Agency (GSA) office quarterly to determine if a local debarment list exists.
 - 6.6.1.1. If a local debarment list exists, it must be used when verifying the vendor's status as outlined in Section 6.3.1.
 - 6.6.1.2. If none exists, the Buyer must document the response via email, unless GSA has provided a written confirmation that they have no intention of ever creating such a list.

6.7. Reporting

Maintaining Vendor Logs for IFBs and RFPs

6.7.1. If a contractor is found to be debarred or suspended, the Buyer must immediately notify the SMA and Legal Counsel for further action and the GM for awareness.

6.7.2. The Buyer prepares the *Debarment Notification (Attachment 6)* for the SMA to review and sign.

6.7.3. Upon the SMA's signature, the Buyer sends the signed notification to the vendor, requesting them to confirm their eligibility to participate in the procurement.

6.8. Compliance Monitoring

6.8.1. The Procurement Office will conduct quarterly reviews of both standard procurements and Engineering CIP procurements to ensure adherence to the requirements for screening for debarment and suspension.

6.8.1.1. In the event that a vendor is found to be debarred during the review process, the Buyer must prepare the *Debarment Notification (Routine Review) (Attachment 7)* for review and signature by the SMA. Upon the SMA's signature, the Buyer sends the signed notification to the vendor, informing them of the termination of the contract due to their ineligibility.

6.9. Training

6.9.1. Relevant personnel will receive training annually to ensure consistent and effective application of these procedures, including verifying suspension and debarment status. Such training will also be provided for new employees, as needed.

6.9.1.1. The Personnel Services Administrator (PSA) will work with the Policy Owner and Authors to establish a training module and track compliance of employees involved in procurement activities.

6.9.1.2. The SMA shall ensure that 100% of procurement staff complete vendor log training on an annual basis, with attendance records documenting participant names, dates, and training topics.

6.10. Non-Compliance with this SOP:

6.10.1. **Employees:** Failure of the employee to adhere and comply with any of the guidelines, policies, and procedures stated herein may result in progressive or adverse disciplinary action, including but not limited to suspension, demotion or termination of employment as provided by GWA Personnel Rules and Regulations (PR&R).

6.10.2. **Supervisors and Managers:** Failure of the Manager or Supervisor to report and enforce all the guidelines, policies, and procedures stated herein may result in progressive or adverse disciplinary action, including but not limited to suspension, demotion, or termination of employment as provided by GWA PR&R.

7.0 Document Approvals

Role	Position	Name of Approver	Approval Signature	Date Approved
Authors	Management Analyst IV and	Joseph Tadeo and	Approval on File	On File

Maintaining Vendor Logs for IFBs and RFPs

	Supply Management Administrator	Vincent Ed Guerrero		
Policy Owner	Assistant GM for Administration and Support (AGM-AS)	Christopher M. Budasi	Approval on File	On File
Final Approver	General Manager	Miguel C. Bordallo, P.E.	Page 1	Page 1

In accordance with existing Guam and Federal laws, the contents of this SOP were reviewed thoroughly by its Policy Owner and were found to be:

☒ appropriate for publication on the GWA website without compromising the security of GWA's system or the public's health and safety.

☐ not appropriate for publication on the GWA website because it might jeopardize the security of GWA's system or the public's health and safety.

8.0 Records of Revisions

All suggestions for improvement shall be directed to the Policy Owner indicated below. The Policy Owner will consider the input received, develop recommendations on how to address the suggestions and obtain authorization to make the recommended changes. Updates, revisions, corrections, and waivers to this SOP shall be made in writing and approved by the GM.

8.1. Policy Owner: Assistant General Manager for Administration and Support (AGM-AS)

8.2. Authorization: General Manager

Effective Date	Revision Letter	Document Authors	Description of Change
Page 1	A	Joseph Tadeo Vincent Ed Guerrero	Initial Release of Policy/Procedure

9.0 References

9.1. Guam Administrative Rules and Regulations Title 2 Administration, Division 4 Guam Procurement Regulations, Chapter 3 Source and Contract Formation

9.2. [Code of Federal Regulations Title 2, Part 180, Section 180.300](#)

9.3. [FAR Part 9 Subpart 9.4](#)

9.4. Memorandum from the GM Re: Compliance with CFR Requirements for Debarment and Screening of Contractors for Debarment and Suspension, April 4, 2025

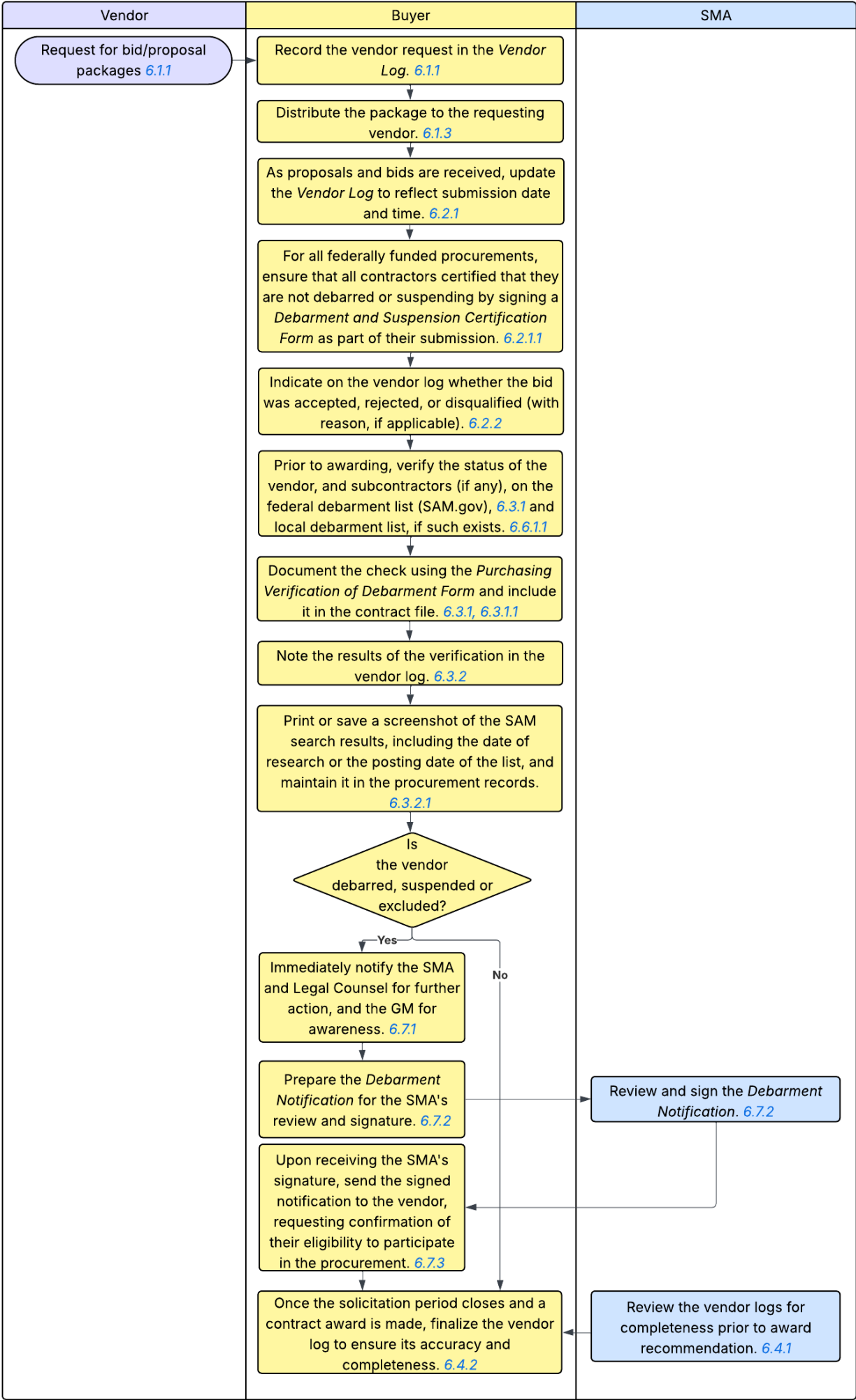
9.5. EY's Compliance and Internal Control Report for GWA for Year ended September 30, 2024

9.6. Memorandum from Office of Grants and Debarment of the U.S. EPA re: Single Audit Report for Guam Waterworks Authority, June 13, 2025

9.7. [5 GCA Chapter 20 Article 6 §20605](#)

Maintaining Vendor Logs for IFBs and RFPs

Attachment 1: Flowchart



Maintaining Vendor Logs for IFBs and RFPs


Attachment 2: Memorandum from the GM Re: Compliance with CFR Requirements for Debarment and Screening of Contractors for Debarment and Suspension, April 4, 2025



MEMORANDUM

TO: All Procurement and Engineering CIP Personnel

CC: Legal Counsel, CFO, AGMs

FROM: Miguel C. Bordallo, P.E., General Manager 

SUBJECT: Compliance with CFR Requirements for Debarment and Screening of Contractors for Debarment and Suspension

DATE: April 4, 2025

In accordance with the Federal Acquisition Regulations (FAR), Title 48, Subpart 9.4 and more specifically at FAR 9.400-9.409 and the Code of Federal Regulations at 2 CFR Part 180 and 2 CFR Part 200, Guam Waterworks Authority (GWA) must ensure compliance with federal regulations regarding debarment and suspension of contractors.

Effective immediately, all procurement and contracting personnel must verify that potential and awarded contractors, subcontractors and vendors selected for award or issued a Purchase Order for ANY federal grant-funded CIP or procurement are not listed on the System for Award Management (SAM) Exclusions List (<https://sam.gov/>) before awarding any contracts or agreements or entering and processing any Purchase Orders. If a selected contractor, subcontractor or vendor appears on the SAM Exclusion List, proper notification must be made immediately. See below for more detail.

Responsibilities:

- Bidder OR Vendor Pre-Bid Notification:** Invitation for bids (IFBs) and Request for Proposals (RFP's) for General Procurement and Engineering CIP Bid Documents must include a written provision specifying a prohibition against suspension and debarment. All offers and bidders should be cautioned to comply with 5GCA Chapter 5, Article 9, subsection §5426 and FAR 9.400-9.409 to communicate that GWA will not issue an award, Purchase Order, or enter into a contract with any supplier (s) or contractor (s) on the grounds of suspension or debarment under the IFB or RFP.
- Verification Requirement:** Prior to awarding a contract, GWA procurement or Engineering CIP personnel must independently check the SAM Exclusions List to confirm that the selected contractor, and subcontractors either identified in the bid submission OR to be approved before or after award, or any prime vendor issued a direct Purchase Order is not a suspended, debarred, or excluded. This check must be documented and included in the contract file.

Maintaining Vendor Logs for IFBs and RFPs

Attachment 2: Memorandum from the GM Re: Compliance with CFR Requirements for Debarment and Screening of Contractors for Debarment and Suspension, April 4, 2025 (cont'd)

Memo to: All Procurement and Engineering CIP Personnel

Re: Compliance with CFR Requirements for Debarment and Screening of Contractors for Debarment and Suspension

April 4, 2025

Page 2 of 2

3. **Documentation:** Print or save a screenshot of the SAM search results which must include the date of research, or the posting date of the list and maintain it in the procurement records.
4. **Contractor Certification:** For all federally funded procurements, whether fully funded or partially funded by federal grant funds, all contractors must certify that they are not debarred or suspended by signing a debarment and suspension certification form as part of their bid and/or contract submission. Legal Counsel will provide the template for this certification.
5. **Compliance Monitoring:** The Procurement Office will conduct periodic reviews of both standard procurements and Engineering CIP procurements to ensure adherence to this requirement. Any non-compliance may result in corrective action.
6. **Reporting:** If a contractor is found to be debarred or suspended, procurement personnel must immediately notify, GWA's Supply Management Administrator, Legal Counsel, and the Chief Financial Officer (CFO), for further action a cc to the General Manager for awareness.


Failure to comply with these federal requirements may result in financial penalties and jeopardize GWA's eligibility for federal funding. Your cooperation in adhering to this mandate is essential to maintaining compliance and safeguarding GWA's funding sources.

If you have any questions or need further guidance, please contact the Procurement Office.

Thank you for your immediate attention to this matter.

Maintaining Vendor Logs for IFBs and RFPs

Attachment 3: Vendor Log



Gloria B. Nelson Public Service Building
688 Route 15, Mangilao, Guam 96913
P.O. Box 3010, Hagåtña, Guam 96932
Tel. No. (671) 300-6846/48
Fax No. (671) 648-3290

MAINTAINING VENDOR LOGS FOR IFBS AND RFPs
VENDOR LOG

IFB/RFP NO.:

IFB/RFP NAME:

IFB/RFP OPENING DATE:

IFB/RFP OPENING TIME:

VENDOR LOG										
VENDOR/ COMPANY NAME	POC FULL NAME (PLEASE PRINT CLEARLY)	POC EMAIL	TELEPHONE #	REQUEST FOR BID/PROPOSAL PACKAGE			BID SUBMISSION			ELIGIBILITY STATUS
			FAX #	DATE	TIME	METHOD (email, in-person, etc.)	DATE	TIME	RECEIVED BY	
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										
15										

Maintaining Vendor Logs for IFBs and RFPs

Attachment 4: Debarment and Suspension Certification Form

Gloria B. Nelson Public Service Building
688 Route 15
Mangilao, Guam 96813

**MAINTAINING VENDOR LOGS FOR IFBS AND RFPS
DEBARMENT AND SUSPENSION CERTIFICATION FORM**

Name and Title of Authorized Representative:	Doing Business As (DBA):
Address:	IFB/RFP NO.
Phone number:	
Email Address:	

Instructions For Certification Regarding Debarment and Suspension

READ CAREFULLY BEFORE SIGNING THE CERTIFICATION. Federal regulations and GWA procurement policy to comply with screening of contractors for debarment and suspension require contractors and bidders to sign this certification in order to participate in this procurement which may directly or indirectly involve federal funds.

The Contractor certifies that, neither the Contractor firm nor any owner, partner, director, officer, or principal of the Contractor, nor any person in a position with management responsible for the administration of federal funds:

- (a) Is presently debarred, suspended, proposed for debarment, or declared ineligible or voluntarily excluded from participating in this procurement due to a finding, declaration, or application for debarment made by any federal, state, or local department/agency;
- (b) The Contractor further certifies that it shall not knowingly enter into any transaction with any subcontractor, material supplier, or vendor who is debarred, suspended, declared ineligible, or voluntarily excluded from participating in this procurement due to a finding, declaration, or application for debarment made by any federal, state, or local department/agency.

By your signature below, you certify the above to be true and correct AND you further acknowledge that GWA will not issue an award, Purchase Order, or enter into a contract with any supplier(s) or contractor(s) on the grounds of suspension or debarment under this advertised IFB or RFP.

Dated this _____ day of _____, _____.

By: _____
Authorized Signature for Contractor

Printed Name and Title

Maintaining Vendor Logs for IFBs and RFPs

Attachment 5: Purchasing Verification of Debarment Form



Gloria B. Nelson Public Service Building
688 Route 15
Mangilao, Guam 96913

MAINTAINING VENDOR LOGS FOR IFBS AND RFPs **PURCHASING VERIFICATION OF DEBARMENT FORM**

Project Name:

Invitation for Bid Number: _____ IFB No: _____

Request for Proposal Number: _____ RFP No: _____

Requisition No: _____ REQ: _____

Vendor Information:

Vendor Name: _____

Vendor Address: _____

Contact Person: _____

Phone Number: _____

Email Address: _____

Debarment Verification Statement:

In accordance with federal procurement regulations 2 CFR Part 180 and applicable local laws to be in compliance with 5 GCA§5426, the Purchasing Department has verified that the above-named vendor:

- ☐ Is **not listed** on the U.S. Government's System for Award Management (SAM) Exclusions list.
- ☐ Is **not suspended, debarred, or otherwise excluded** from receiving federal or state contracts.
- ☐ Has been checked against applicable debarment databases (e.g., SAM.gov).

Verification Details:

Buyer Name: _____

Date of Verification: _____

Signature: _____

Date: _____

Maintaining Vendor Logs for IFBs and RFPs

Attachment 6: Debarment Notification



Gloria B. Nelson Public Service Building
688 Route 15
Mangilao, Guam 96913

MAINTAINING VENDOR LOGS FOR IFBS AND RFPs
DEBARMENT NOTIFICATION

Date:

[Company Name]
[Company Address]
[City, State ZIP Code]

Subject: Notification of Suspension of Vendor Services

Dear **[Vendor's Name]**,

The Guam Waterworks Authority (GWA) standard procurement review process involves the Procurement Division conducting a verification of all vendors who have submitted prior to award. This includes confirming the vendor's status on the System for Award Management (SAM.gov) to ensure that vendors are not debarred, suspended, or otherwise ineligible to participate in government contracts. During this review, it was noted that your company, **[Vendor Name]**, has been listed under the following status:

☐ Debarment

☐ Suspended

We kindly request that you review your company's status and provide any clarification or supporting documents lifting the debarment or suspension, if applicable, to confirm your eligibility to participate in the procurement.

This step is part of GWA's compliance with procurement laws and regulations to maintain transparency and accountability. Your timely response will assist us in completing the review process prior to final award. Please feel free to contact our office at procurement@guamwaterworks.org should you have any questions or require further guidance opportunities.

Sincerely,

Vince Guerrero
Supply Management Administrator

Acknowledgment of Receipt

Received by: _____ Date: _____

cc;
Procurement File

Maintaining Vendor Logs for IFBs and RFPs

Attachment 7: Debarment Notification (Routine Review)



Gloria B. Nelson Public Service Building
688 Route 15
Mangilao, Guam 96913

MAINTAINING VENDOR LOGS FOR IFBS AND RFPs
DEBARMENT NOTIFICATION (ROUTINE REVIEW)

Date:

[Company Name]

[Company Address]

[City, State ZIP Code]

Subject: Notification of Suspension of Vendor Services

Dear **[Vendor's Name]**,

The Guam Waterworks Authority (GWA) Procurement Division recently conducted a routine review of vendor status on Sam.gov. During this review, it was noted that your company, **[Vendor Name]**, has been listed under the following status:

☐ Debarment

☐ Suspended

As a part of our standard process, GWA is required to ensure that all vendors are not debarred, suspended, or otherwise ineligible to participate in procurement activities, therefore, the current contract for [] has been terminated effective immediately.

We kindly request that you review your company's status and provide any clarification or supporting documents, if applicable.

Thank you for your prompt attention on this matter. Please feel free to contact our office at procurement@guamwaterworks.org should you have any questions or require further guidance opportunities.

Sincerely,

Vince Guerrero
Supply Management Administrator

Cc:
Procurement file