PURCHASE MANAGER PLAYBOOK

SOPs, Policies, Registers & Formats

JD | SOPs | Policies | Registers | Formats

Use: This document is the operating manual for the Purchase Manager (PUR-M). Follow the Swara Authority & Escalation Matrix strictly. No PO/WO without approved comparative + written approval evidence. ERP PO only. No GRN = no payment. Maintain an auditable trail for every procurement action (RFQs, quotations, CS, approvals, POs, GRNs, invoices, correspondence).

Section	Evidence / File Location (suggested)
PUR Job Description (JD) + KPI Scorecard	00_Admin & Governance / HR / JDs
PUR SOPs (SOP-01 to SOP-18) - one-by-one	07_Procurement / SOPs
PUR Policies (POL-01 to POL-12) - one-by-one	00_Admin & Governance / Policies / Procurement
PUR Registers (REG-01 to REG-20) - printable templates	07_Procurement / Registers
PUR Formats/Templates (FMT-01 to FMT-18) - printable templates	07_Procurement / Formats
Escalation Triggers + Mandatory Message Format	00_Admin & Governance / Escalations
30-60-90 day onboarding plan (PUR-M)	00_Admin & Governance / HR / Onboarding

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How to use: Print registers & formats for the procurement file. Keep scans in the project folder. If a record is missing, treat it as a risk and escalate. This playbook is designed to be auditable - keep evidence.

1. Role Overview & Job Description (PUR-M)

Role purpose: Own end-to-end procurement governance for Swara projects (HO (1) + Sites (5)). Ensure timely availability of materials and subcontract services at the best landed cost, with strict compliance to the Swara Authority & Escalation Matrix. Maintain an auditable trail for every purchase decision (RFQ, quotes, comparative, approvals, ERP PO, GRN, invoice matching).

Grade: L5 (Sr Manager / Functional Head) as per Swara Salary Grade Structure. Typical monthly band: A 1.00L | B 1.40L | C 1.80L (as per HR policy).

Reports to: PM-HO (Project Manager - HO). **Functional coordination:** ACC-H (Chief Accountant) for payment/document controls; APM (Planning) for lookahead and long-lead deadlines.

Works closely with: PM-S, SSE, SE, SUP, STORE, SAFE, QA/QC (if applicable), Sales/CRM (handover procurement), and IT/ERP coordinator (access & master data).

1.1 Key responsibilities (Must)

- Own vendor onboarding/empanelment with KYC, verification and ERP vendor master creation.
- Run RFQ - comparative - negotiation - PO cycle with 3-quote discipline and exception control.
- Set up rate contracts and preferred vendor lists for repetitive materials (cement/steel/RMC/blocks).
- Plan long-lead procurement aligned to master schedule (lifts, facade, panels, pumps, DG, etc.).
- Expedite deliveries and prevent material shortages; maintain early-warning tracker for 48-72 hr stoppage risk.
- Coordinate with STORE for GRN discipline and with Accounts for 3-way match (PO + GRN + invoice).
- Support subcontractor sourcing and compliance packs for work orders (with PM-HO/PM-S).
- Maintain procurement MIS: open POs, long-lead status, savings/variance, vendor performance and risk flags.
- Enforce ethical procurement: zero gifts/commissions; declare conflicts; protect company data and pricing.
- Procurement close-out: warranty/AMC documents collection, credit note closures, vendor DLP contact list.

1.2 Daily / Weekly / Monthly routine

Daily:

- Review open PO and delivery tracker; identify items with delivery due within next 3 days.
- Call/confirm dispatch for critical materials; update PM-S and STORE for receiving readiness.
- Clear pending approvals/queries (PM-HO/ACC-H/OWN) for RFQ/CS/PO items.
- Review shortage tracker (cement/steel/critical items) with STORE and take reorder actions.
- Handle urgent vendor issues: quality complaints, replacements, documentation gaps.

Weekly:

- Conduct procurement review call with PM-HO + APM + PM-S (lookahead 2 weeks) for material priorities.
- Update long-lead items tracker and decision deadlines; escalate risks early.
- Review vendor performance (delivery/quality/doc discipline) and corrective actions.
- Check price movements (cement/steel) and propose rate contract changes/backup vendors.

Monthly:

- Publish procurement MIS dashboard: savings/variance vs benchmark, open POs, top risks and actions.
- Audit random sample of POs for 3-quote + approval evidence + ERP discipline.
- Review AVL/empanelment list: add/remove vendors and plan rate contracts for next month.
- Align with Accounts on vendor payment priority list and documentation gaps that delay payments.

1.3 KPI Scorecard (track monthly)

- On-time delivery rate for critical items (%)
- Number of work stoppages due to material shortage (target: 0)
- PO cycle time (PR to PO days) for normal items
- Savings/variance vs benchmark rates (monthly)
- Documentation compliance: % POs with complete audit trail (target: 100%)
- Vendor quality failure rate and replacement closure time
- Emergency purchase count (target: minimal; monitored)

1.4 Procurement authority summary (quick view)

Decision / Transaction	Initiate	Review	Approve	Execute / Owner	Key Controls
Vendor onboarding / empanelment	PUR-M / Dept	PM-HO + ACC-H	OWN (or DIR)	PUR-M	KYC + GST + bank + 2 refs + rate comparison; E
Purchase indent approval (site)	SE/SUP/Dept	SSE/PM-S	PM-S (site) / PM-HO	PUR-M / STORE	Indent must match BOQ/WBS; attach consumptio
PO release (normal items)	PUR-M	PM-HO + ACC-H	PM-HO	PUR-M	3 quotations; rate justification; delivery timeline; E
PO release (critical / high value)	PUR-M	PM-HO + ACC-H	OWN (or DIR)	PUR-M	High value threshold per policy; attach technical a
Material shortage (will stop work within 48-72 hrs)	SUP/SE	SSE/PM-S	PM-HO	PUR-M	Escalate within 24 hrs; maintain evidence and ET

2. Phase Map (Phase 0-11) - PUR-M responsibilities & evidence

Use this as a phase-wise checklist. For each phase, the Purchase Manager must ensure evidence is filed in the correct folder. Procurement is a continuous function, but the focus changes by phase.

Phase 0 - Governance & Setup

Responsibilities:

- Set procurement governance: 3-quote rule, PO/WO templates, approval matrix mapping, folder structure.
- Create initial Approved Vendor List (AVL) and Vendor Master skeleton; onboard priority vendors.
- Define critical materials list and standard lead times; set reorder triggers with STORE.
- Coordinate ERP access with IT/ERP coordinator (role-based access, maker-checker).

Minimum evidence / outputs:

- Procurement SOP pack approved
- AVL + Vendor Master Register
- PO/WO templates
- Lead time reference sheet

Phase 1 - Due Diligence & Pre-development

Responsibilities:

- Market check for demolition/disposal, utility shifting, barricading and safety vendors (redevelopment).
- Collect rate benchmarks for feasibility: RCC, MEP, finishing, lifts, facade (high level).
- Identify approval-linked vendors (lift agency, fire consultants, testing labs) and their lead times.

Minimum evidence / outputs:

- Vendor pre-screen list
- Rate benchmark sheet
- Long-lead preliminary list

Phase 2 - Feasibility & Offer Structuring

Responsibilities:

- Support feasibility cost plan with current market rates and risk allowances.
- Prepare preliminary package strategy: rate contracts vs tenders; long-lead decision calendar.
- Validate obligations cost (rent/corpus shifting, member commitments) with vendor options.

Minimum evidence / outputs:

- Cost benchmark inputs
- Procurement calendar v1
- Package strategy note

Phase 3 - Society Consensus & Documentation

Responsibilities:

- Support stakeholder commitments with vendor feasibility (shifting, temporary services) - if promised in term sheet.
- Prepare procurement assumptions list for commitments (timelines, costs, availability).

Minimum evidence / outputs:

- Assumptions log entries
- Vendor availability confirmations (if any)

Phase 4 - Agreement & Legal Closure

Responsibilities:

- Align procurement T&Cs; with legal clauses: warranties, penalties, insurance requirements, dispute mechanism.
- Ensure subcontractor compliance pack (insurance, labour license) standards are defined.

Minimum evidence / outputs:

- Standard PO T&Cs;
- Subcontract compliance checklist

Phase 5 - Design Finalisation & Value Engineering

Responsibilities:

- Lock approved makes/specs with Design team; update AVL by category.
- Initiate long-lead RFQs (lifts, facade, panels) after design freeze and approvals.
- VE support: alternate vendors/options with cost-time-quality impact.

Minimum evidence / outputs:

- Approved makes list (procurement view)
- Long-lead RFQs + CS
- VE option sheets

Phase 6 - Approvals & RERA Compliance

Responsibilities:

- Coordinate vendor documents for authority submissions (lift drawings, DG specs, transformer details).
- Onboard testing labs/inspection agencies early (fire, lift, electrical) as required.

Minimum evidence / outputs:

- Vendor submission documents file
- Testing agency empanelment

Phase 7 - Vacate & Transit Management

Responsibilities:

- Support shifting/barricading/temporary works procurement; ensure safety compliance.
- Track vendor commitments that impact transit rent start/stop triggers (where applicable).

Minimum evidence / outputs:

- Shifting vendor PO/WO

■ Temporary works procurement log

Phase 8 - Demolition & Enabling Works

Responsibilities:

■ Procure demolition contractor and debris disposal with strict safety and compliance clauses.

■ Arrange permits-linked vendors: barricading, dust suppression, neighbour protection.

Minimum evidence / outputs:

■ Demolition WO pack

■ Disposal route & receipts log

■ Safety compliance documents

Phase 9 - Construction Execution & Controls

Responsibilities:

■ Run full procurement cycle across RCC/MEP/finishing; maintain rate contracts and delivery expediting.

■ Prevent shortages with daily tracking; maintain 3-way match discipline for payments.

■ Vendor performance review and backup vendor readiness.

Minimum evidence / outputs:

■ Open PO tracker

■ Shortage tracker

■ Monthly procurement MIS

■ Vendor scorecards

Phase 10 - Completion, Handover & Close-out

Responsibilities:

■ Close procurement: collect warranties/manuals, clear credit notes, close open POs.

■ Support handover kit: vendor contacts, spares list, AMC proposals.

Minimum evidence / outputs:

■ Warranty/AMC register

■ Closed PO register

■ Vendor contact list for handover

Phase 11 - DLP & Post-Handover

Responsibilities:

■ Coordinate warranty claims with vendors; procure spares where needed with approvals.

■ Support retention release process with documentation and performance evidence.

Minimum evidence / outputs:

■ DLP vendor issue log support

■ Warranty claim correspondence

■ Retention release checklist support

3. SOPs (In-depth, One-by-One)

Follow these SOPs exactly. Attach evidence for every step. If approvals are not in writing, treat them as NOT approved.

3.1 SOP-01 - Vendor Onboarding & Empanelment (New Vendor)

Objective: Create only compliant, verified vendors in ERP to reduce fraud, tax risk and delivery failures.

When to use: Whenever a new vendor/subcontractor is proposed OR an existing vendor changes GST/bank/ownership.

Step-by-step process:

- Collect Vendor KYC pack: PAN, GST, Address proof, cancelled cheque, bank letter, MSME (if any), 2 references, contact person IDs.
- Perform basic verification: GST status check, bank account name match, phone verification, reference call, site visit if high value.
- Compare rates with at least 2 alternate vendors (rate benchmark).
- Prepare Vendor Empanelment Note with category, proposed credit terms, lead time, warranty/AMC, risk flags.
- Get approvals as per Authority Matrix: Initiate PUR-M, Review PM-HO + ACC-H, Approve OWN (or DIR).
- Create vendor in ERP vendor master only after approval; attach approval evidence (email/ERP note/WhatsApp screenshot).
- Assign vendor category, payment terms, TDS/TCS mapping, and upload KYC documents in the project folder.
- Add vendor to Approved Vendor List (AVL) with rating (A/B/C) and review date.

Mandatory controls:

- No vendor code without written approval (no exceptions).
- Bank details must be verified; changes require fresh approval and re-KYC.
- High value/critical vendors: mandatory site visit or video call + reference verification.

Outputs / evidence to file:

- Approved Vendor Empanelment Note
- ERP Vendor Code
- KYC folder scan
- Approved Vendor List update

Escalation triggers:

- Any mismatch in bank/GST/name -> escalate to ACC-H + PM-HO same day.
- Any vendor refusal to share KYC -> reject and report to PM-HO.

3.2 SOP-02 - Indent / Purchase Requisition (PR) Intake & Validation

Objective: Ensure site indents match BOQ/WBS, consumption and stock; avoid duplicate/early purchases.

When to use: Every time a site raises an indent/PR for material/service/tool.

Step-by-step process:

- Receive PR from SE/SUP/STORE with required attachments: BOQ reference or WBS activity, required date, quantity, spec/make, delivery location.
- Check stock availability and consumption with STORE (cement/steel/finish items) before processing.
- Verify technical specification with SSE/PM-S (approved make, grade, size).
- Classify PR: Normal / Critical / Long-lead / Emergency.
- Confirm approval authority: PM-S for site-approved items; PM-HO/OWN for high value or non-BOQ items as per matrix.
- Log PR in PR Register and assign PR number for tracking.
- Convert approved PR into RFQ/PO process.

Mandatory controls:

- Indent must match BOQ/WBS; non-BOQ requires Variation Note approval.
- No verbal PR; must be in ERP/email/PR format with date and signatures.
- Critical items must have lookahead confirmation (2-week plan) from Planning/APM.

Outputs / evidence to file:

- Validated PR with tracking number
- Updated PR Register
- RFQ initiation

Escalation triggers:

- If material will stop work within 48-72 hours -> escalate to PM-HO within 24 hrs (as per matrix).

3.3 SOP-03 - RFQ Creation & Quotation Collection (3-Quote Rule)

Objective: Obtain comparable quotes with clear scope to enable fair selection and audit-proof decisions.

When to use: For every procurement where rate contract is not already in place.

Step-by-step process:

- Prepare RFQ with clear specification: brand/make, grade, scope, quantity, delivery schedule, unloading responsibility, payment terms, warranty.
- Send RFQ to minimum 3 eligible vendors (from AVL) with due date/time.
- Maintain RFQ Log with vendor list, sent date, follow-up dates.
- Clarify queries in writing (same info to all vendors).
- Receive quotes in written format (email/letterhead); ensure quote validity date and GST breakup.
- Reject non-comparable quotes (missing spec/terms) and request revised quote.

Mandatory controls:

- Minimum 3 quotes; if not possible, write an exception note approved by PM-HO.
- No WhatsApp-only quote unless vendor also emails/letterheads it for audit.
- Keep version control: RFQ v1/v2; ensure all vendors get same version.

Outputs / evidence to file:

- RFQ document

- Quotation set (3+)
- RFQ Register updated

Escalation triggers:

- If quotes not received by due date and item is critical -> escalate to PM-HO with vendor follow-up evidence.

3.4 SOP-04 - Comparative Statement (Technical + Commercial) & Recommendation

Objective: Create a transparent comparison including hidden costs and delivery risks.

When to use: After receiving quotations for a PR/RFQ.

Step-by-step process:

- Prepare Technical Comparison: spec compliance, make/grade, warranty, delivery capability, past performance.
- Prepare Commercial Comparison: base rate, GST, freight, unloading, credit terms, advance, replacement terms, total landed cost.
- Identify deviations and clarifications needed; obtain written confirmations.
- Prepare Recommendation Note stating selected vendor and reasons (price, delivery, quality, terms).
- Get review/approval as per matrix: PM-HO + ACC-H for normal PO; OWN for critical/high value.

Mandatory controls:

- Always compare on landed cost, not only base rate.
- Attach quotes, clarifications, and last purchase reference rates (if available).

Outputs / evidence to file:

- Comparative Statement (CS)
- Recommendation Note
- Approval evidence

Escalation triggers:

- If selected vendor is not lowest, justification must be written and approved by PM-HO/OWN.

3.5 SOP-05 - Negotiation & Final Rate Closure (with Minutes)

Objective: Improve rates/terms without compromising quality and ensure record of commitments.

When to use: Before final PO/WO issuance for material/service packages.

Step-by-step process:

- Negotiate on rate, delivery timeline, credit period, unloading, wastage, replacement, penalties for delays.
- Record negotiation minutes: date, attendees, final rates, validity, agreed terms, special commitments.
- Confirm negotiated terms over email from vendor.
- Update comparative and obtain final approval if rate changed materially.

Mandatory controls:

- No negotiation without documenting final terms.
- Any commitment impacting cost/time must be written (email).

Outputs / evidence to file:

- Negotiation Minutes
- Final Quote/Email confirmation
- Updated CS if required

Escalation triggers:

- If vendor refuses written confirmation -> do not issue PO; escalate to PM-HO.

3.6 SOP-06 - PO Issuance in ERP (Normal Items)

Objective: Issue clean POs with correct scope, delivery schedule, and audit trail (ERP PO only).

When to use: For all normal purchases after approval.

Step-by-step process:

- Verify approvals and attach evidence to PO file (email/ERP note).
- Create PO in ERP with correct item code/spec, quantity, rate, GST, delivery address, delivery date, unloading terms.
- Include standard T&Cs;: rejection rights, replacement timeline, penalty for delays, warranty, invoice requirements.
- Send PO to vendor and obtain acknowledgement (email).
- Update PO Register and Delivery Tracker.

Mandatory controls:

- No manual PO; ERP PO only.
- PO must reference PR number and approval note.

Outputs / evidence to file:

- ERP PO PDF
- Vendor acknowledgement
- PO Register update

Escalation triggers:

- If approvals missing -> hold PO and escalate to PM-HO (no bypass).

3.7 SOP-07 - PO Issuance (Critical / High Value)

Objective: Apply tighter controls for high value items to protect cashflow and project risk.

When to use: For critical/high value items as defined in internal threshold or long-lead packages.

Step-by-step process:

- Prepare High Value Purchase Note: budget availability, schedule impact, technical approval, vendor capability, payment milestones.
- Obtain approvals: PUR-M initiates, PM-HO + ACC-H review, OWN approves.
- If advance payment required, ensure security: BG/LC/SD or staged supply against payment.
- Issue ERP PO with milestone delivery schedule and penalty/LD clause.
- Track manufacturing/delivery weekly; share status with APM + PM-S.

Mandatory controls:

- Advance payments only with OWN approval and security controls.
- Long-lead items must be tied to master schedule (APM) and tracked weekly.

Outputs / evidence to file:

- High Value Purchase Note
- Approved ERP PO
- Long-lead tracker update

Escalation triggers:

- Any delay risk impacting critical path -> escalate to PM-HO within 24 hrs with evidence.

3.8 SOP-08 - Rate Contract / Framework Agreement Setup

Objective: Lock stable rates and supply assurance for repetitive materials (cement, steel, RMC, blocks, sand).

When to use: At project start or when consumption becomes predictable (Phase 0/2/5/9).

Step-by-step process:

- Identify materials suitable for rate contract and estimated monthly quantities.
- Invite vendors and negotiate rate + transport + credit terms + revision trigger mechanism.
- Sign rate contract or issue annual/quarterly rate letter with validity dates.
- Create Rate Contract Register and communicate rates to all sites.
- Review rate contracts monthly and renew/renegotiate as needed.

Mandatory controls:

- Rate contract must state GST, transport, unloading, payment terms clearly.
- Any deviation from rate contract requires written approval.

Outputs / evidence to file:

- Rate Contract document
- Rate Contract Register update
- Communication to sites

Escalation triggers:

- If vendor changes rate before validity -> escalate to PM-HO and activate backup vendor.

3.9 SOP-09 - Long-Lead Item Planning & Procurement Calendar

Objective: Prevent schedule delays by ordering long-lead items on time (lifts, facade, electrical panels, DG).

When to use: During Phase 2/5 and before reaching related construction milestones.

Step-by-step process:

- Create long-lead list with lead times and decision deadlines (design freeze dependencies).
- Align with APM master schedule and create procurement calendar (by month/week).
- Initiate RFQ/CS early; close vendor within decision deadline.
- Issue PO with manufacturing timeline and inspection points.
- Track weekly until delivery and installation readiness.

Mandatory controls:

- No long-lead PO without design freeze sign-off.
- Weekly tracking is mandatory for long-lead items.

Outputs / evidence to file:

- Long-lead Items List
- Procurement Calendar
- Status tracker

Escalation triggers:

- If decision deadline missed -> escalate to PM-HO same day (schedule impact).

3.10 SOP-10 - Expediting & Delivery Follow-up

Objective: Ensure on-time deliveries with proactive follow-ups and escalation before work stops.

When to use: For every open PO, especially critical materials and daily consumption items.

Step-by-step process:

- Maintain Delivery Tracker (Open POs) with promised delivery dates.
- Call vendor 48 hrs before dispatch; confirm vehicle number, challan, unloading arrangement.
- Coordinate with STORE for receiving readiness and space.
- If delivery slips, update tracker with reason and new ETA; inform PM-S and APM if critical.
- Escalate early if stoppage risk within 48-72 hrs.

Mandatory controls:

- No surprises: delivery slip must be communicated before work stops.
- Maintain evidence: call log, WhatsApp/email confirmations.

Outputs / evidence to file:

- Updated Delivery Tracker
- Dispatch confirmations

Escalation triggers:

- Work stoppage risk -> escalate as per matrix (PUR-M -> PM-HO within 24 hrs).

3.11 SOP-11 - GRN, Quality Checks & Rejection Coordination (with STORE/QA)

Objective: Ensure only compliant materials enter the project; protect billing and warranties.

When to use: On every material receipt at site.

Step-by-step process:

- Ensure STORE receives material against PO and checks quantity, damage, batch details.
- For critical materials, ensure QA/Engineer checks specification (test certificates, samples).
- If mismatch/damage: record on challan with vendor signature, take photos, raise discrepancy note.
- Generate GRN only after PO-challan matching; if partial acceptance, mention short/excess.
- Communicate rejection/return requirements to vendor and update registers.

Mandatory controls:

- No GRN = no payment (strict).
- Do not accept substituted brands without written technical approval.

Outputs / evidence to file:

- GRN
- Discrepancy/Rejection note (if any)
- Photo evidence

Escalation triggers:

- Repeated quality failures -> escalate to PM-HO and trigger vendor performance review.

3.12 SOP-12 - Invoice & Payment Package (3-Way Match) Submission to Accounts

Objective: Enable fast payments without compliance risk by completing 3-way matching.

When to use: Whenever vendor submits invoice for delivered items/services.

Step-by-step process:

- Collect invoice and ensure it matches PO description, rates, GST, and delivery location.
- Attach supporting docs: PO, GRN, challans, test certificates (if applicable), approval notes.
- Confirm TDS/TCS applicability and correct vendor GSTIN and place of supply.
- Submit complete payment package to ACC-O/ACC-H as per schedule.
- Track payment status and communicate with vendor; avoid panic escalations.

Mandatory controls:

- Incomplete package must not be forwarded; fix within 24 hrs.
- Any rate difference must be corrected via debit/credit note or revised invoice.

Outputs / evidence to file:

- Payment package file
- Updated Payment Tracker
- Vendor communication record

Escalation triggers:

- Vendor threatening stop-work due to payment -> escalate via ACC-H to PM-HO (as per matrix).

3.13 SOP-13 - Returns, Replacements & Credit Notes

Objective: Close loop on rejected materials and recover cost via replacement/credit notes.

When to use: Whenever material is rejected or short/excess occurs.

Step-by-step process:

- Issue Material Rejection Note with photos and reference to PO/GRN.
- Coordinate pickup/return challan; record quantities returned.
- Obtain replacement delivery timeline or credit note confirmation.
- Update Return/Replacement Register and inform Accounts for debit/credit accounting.
- Close item only after replacement received/credit posted.

Mandatory controls:

- No silent rejection; everything must be documented.
- Do not adjust quantities informally; maintain records.

Outputs / evidence to file:

- Rejection Note
- Return challan
- Credit note / Replacement proof

Escalation triggers:

- If vendor delays replacement beyond agreed timeline -> escalate to PM-HO and activate alternate vendor.

3.14 SOP-14 - Emergency Purchase Procedure (Controlled Exception)

Objective: Allow urgent purchases without breaking governance; ensure post-facto audit trail.

When to use: Only when work stoppage risk is immediate and standard RFQ cycle is not possible.

Step-by-step process:

- Get verbal urgency confirmation from PM-S and inform PM-HO immediately.
- Prepare Emergency Purchase Note: item, quantity, reason, impact, vendor, rate, delivery timeline.
- Obtain minimum 1 backup quote if time permits; justify if not possible.
- Issue emergency PO with proper approval evidence; ensure GRN and invoice matching later.
- Within 48 hrs, regularize: upload note, approvals, and complete comparative for audit.

Mandatory controls:

- Emergency purchase is exception, not routine.
- Repeat emergencies -> root cause review with APM/PM-HO.

Outputs / evidence to file:

- Emergency Purchase Note
- Emergency PO
- Post-facto documentation

Escalation triggers:

- If emergencies repeat 2 times in 7 days -> escalate to PM-HO for system fix.

3.15 SOP-15 - Vendor Performance Review & Corrective Actions

Objective: Improve delivery/quality and remove underperforming vendors.

When to use: Monthly review or when repeated issues occur.

Step-by-step process:

- Score vendors on delivery, quality, responsiveness, documentation, pricing.
- Issue warning/corrective action email for poor performance with evidence.
- If no improvement, downgrade vendor rating or stop orders.
- For severe cases (fraud/quality): propose blacklisting to PM-HO + OWN.
- Maintain Vendor Performance Register and share with sites.

Mandatory controls:

- Blacklisting requires written evidence and OWN approval.
- Avoid single-source dependency; maintain alternates.

Outputs / evidence to file:

- Vendor Scorecards
- Corrective action emails
- AVL updates

Escalation triggers:

- Any fraud suspicion -> immediate escalation to ACC-H + PM-HO + OWN.

3.16 SOP-16 - Subcontractor Procurement Support (WO packages)

Objective: Support PM-HO/PM-S with clean subcontractor onboarding and work order documentation.

When to use: When subcontractor appointment is required (civil/MEP/finishes).

Step-by-step process:

- Collect subcontractor proposals and compliance docs (insurance, labour license, GST).
- Prepare technical + commercial comparative with QS/PM-S inputs.
- Ensure safety clauses, penalty, SLA and scope clarity are included.
- Submit recommendation to PM-HO + ACC-H for review and OWN for approval.
- After approval, support WO issuance and vendor code creation.

Mandatory controls:

- No subcontractor starts work without signed WO and safety compliance.
- Scope gaps create claims; ensure BOQ and drawings are attached.

Outputs / evidence to file:

- Subcontractor comparative
- Approval note
- WO/contract pack

Escalation triggers:

- If subcontractor mobilises without WO -> escalate to PM-HO immediately.

3.17 SOP-17 - Procurement MIS (Weekly/Monthly) & Cost Saving Tracker

Objective: Provide management visibility: open POs, risks, savings, and vendor issues.

When to use: Weekly (sites) and Monthly (management).

Step-by-step process:

- Generate open PO list and critical shortages list; share with PM-HO/PM-S.
- Track price variance vs budget/benchmark; log savings or overruns with reasons.
- Publish long-lead tracker status and decision deadlines.
- Compile vendor performance issues and corrective actions.
- Maintain Procurement Savings & Risk Register.

Mandatory controls:

- MIS must be evidence-backed (PO numbers, emails, dates).
- No hiding delays; early escalation is valued.

Outputs / evidence to file:

- Weekly procurement report
- Monthly procurement dashboard
- Savings tracker

Escalation triggers:

- Any cost overrun risk >5% in a package -> escalate to PM-HO with mitigation plan.

3.18 SOP-18 - Procurement Close-out (Project Completion & DLP Readiness)

Objective: Close procurement cleanly and secure warranties/AMC/spares for handover and DLP.

When to use: During Phase 10 completion and Phase 11 DLP period.

Step-by-step process:

- Identify final procurement items and stop ordering non-essential materials.
- Collect warranty cards, manuals, test certificates, AMC contacts for key equipment (lifts, pumps, panels).
- Close open POs: pending deliveries, credit notes, returns.
- Prepare vendor contact list for DLP and escalation.
- Support retention release checklist with Accounts and PM-HO.

Mandatory controls:

- No final payment without warranty/hand over documents where applicable.
- Retention release only after defect-free performance confirmation.

Outputs / evidence to file:

- Warranty & manual folder
- Closed PO register
- DLP vendor list

Escalation triggers:

- Missing warranty docs -> hold payment and escalate to PM-HO/ACC-H.

4. Policies (In-depth, One-by-One)

Policies are non-negotiable rules. Any exception must be written and approved as per authority limits.

POL-01 - Three-Quotation Rule & Exception Control

Policy statement: All purchases must be supported by minimum 3 comparable quotations. Exceptions are allowed only with written justification and PM-HO approval (OWN approval for high value).

Rules / enforcement:

- Quotes must be based on same RFQ/spec and same delivery schedule.
- If only 1-2 vendors exist, attach market evidence and approve exception.
- Emergency purchases must be regularised within 48 hours with documentation.

POL-02 - Approved Makes / Specification Compliance

Policy statement: Procurement must follow approved makes and specifications signed-off by Design/Execution. Substitutions require written technical approval before ordering or accepting material.

Rules / enforcement:

- PO must mention make/grade clearly.
- Store must not accept substitutes without written approval.
- Any substitution must update the Approved Makes list and be filed.

POL-03 - Vendor KYC & Bank Detail Verification

Policy statement: No vendor onboarding or bank change is permitted without complete KYC and verification to prevent fraud and tax exposure.

Rules / enforcement:

- KYC is mandatory: GST, PAN, address, bank proof, authorised signatory proof.
- Bank changes require re-approval and confirmation call to vendor.
- All KYC documents must be stored in the project folder and ERP attachments.

POL-04 - Ethical Procurement / Conflict of Interest

Policy statement: Procurement decisions must be free from gifts, commissions, or conflicts. Any conflict must be declared.

Rules / enforcement:

- No cash/commission/gifts from vendors; report attempts to PM-HO.
- Do not share competitor quotes with vendors.
- Declare any family/friend relationship with vendors.

POL-05 - Advance Payment & Security Control

Policy statement: Advance payments are restricted and must be protected with security instruments (BG/SD/LC) or staged supply against delivery.

Rules / enforcement:

- Advance requires approval as per matrix (usually OWN for critical/high value).
- Advance must reference PO and delivery milestone.
- No advance without vendor acknowledgment and delivery schedule.

POL-06 - Standard Payment Terms & Documentation Discipline

Policy statement: Payments will be processed only with complete 3-way match (PO + GRN + Invoice) and statutory compliance (TDS/GST).

Rules / enforcement:

- No GRN = no payment.
- Invoice must match PO rates; differences require credit/debit note.
- Maintain payment schedule to avoid ad-hoc pressure payments.

POL-07 - Emergency Purchase Policy

Policy statement: Emergency purchases are exceptions used only to prevent immediate work stoppage. They must be documented, approved and regularised quickly.

Rules / enforcement:

- Emergency Purchase Note is mandatory.
- At least one backup quote if time permits.
- Repeat emergencies trigger root-cause review with APM/PM-HO.

POL-08 - Price Validity, Escalation & Rate Revision

Policy statement: All quotes must have validity dates. Rate revisions must be controlled through approved variation/price escalation notes.

Rules / enforcement:

- Prefer fixed rates for defined periods for major materials.
- If escalation clause exists, document triggers and indices used.
- Any rate revision requires approval and updated PO/WO.

POL-09 - Vendor Performance, Downgrade & Blacklisting

Policy statement: Vendors are rated periodically. Repeated failure leads to downgrade or blacklisting with evidence and approvals.

Rules / enforcement:

- Maintain vendor scorecards monthly.
- Downgrade after repeated delays/quality failures.
- Blacklisting only with PM-HO + OWN approval and evidence.

POL-10 - Record Retention & Audit Readiness

Policy statement: Every procurement decision must be auditable: RFQ, quotes, CS, approvals, PO, GRN, invoice, and correspondence must be stored and retrievable.

Rules / enforcement:

- Scan and file signed documents within 24 hours.
- Use consistent file naming and folder structure.
- Audit findings must be closed with corrective actions.

POL-11 - Inter-Site Material Transfer Control

Policy statement: Material transfers between sites must be documented and approved to avoid stock mismatches and losses.

Rules / enforcement:

- Use Transfer Challan with authorised signatures.
- Update both site stock ledgers and reconciliation.
- Critical materials (cement/steel) require PM-S + ACC-H visibility.

POL-12 - Authority & Escalation Compliance (Procurement)

Policy statement: Follow Swara Authority and Escalation Matrix strictly. If approval is not in writing (email/ERP/WhatsApp screenshot attached), treat it as NOT approved.

Rules / enforcement:

- PO/WO must match approval limits and authority codes.
- Escalate material shortage risk early (48-72 hrs rule).
- No bypass of PM-HO/ACC-H/OWN approvals.

5. Registers (One-by-One) - printable templates

Print these registers for the procurement file (or maintain in ERP/Excel) and keep them updated. Minimum templates are provided below; add rows as needed.

REG-01 - Vendor Master Register

Purpose: Single source of truth for all approved vendors (category, compliance, bank, rating).

Vendor Code	Vendor Name	Category	GSTIN/PAN	Bank A/c (last 4)	Contact	Terms	Rating	Approved By	Status	Remarks

REG-02 - Vendor KYC Checklist Tracker

Purpose: Track KYC completeness and validity of documents.

Vendor Code	KYC Received (Y/N)	GST Verified	PAN Verified	Bank Verified	References Checked	Date	Owner	Status	Remarks

REG-03 - Empanelment / AVL Register

Purpose: Approved Vendor List by category with periodic review dates.

Category	Vendor Name	Rating	Last Purchase Date	Performance Notes	Next Review Date	Decision (Keep/Watch/Remove)

REG-04 - Purchase Requisition (PR) / Indent Register

Purpose: Track PR lifecycle from receipt to PO issuance.

PR No.	Date	Site/Project	Requested By	Item/Scope	Qty	Need By	Status	Approved By	PO No.	Remarks

REG-05 - RFQ Log Register

Purpose: Track RFQs issued and responses received.

RFQ No.	Date Sent	Item/Scope	Vendors Sent To	Quote Due Date	Responses Received	Status	Remarks

REG-06 - Quotation Register

Purpose: Archive received quotations with validity and key terms.

RFQ No.	Vendor	Quote Date	Validity	Rate Summary	Payment Terms	Delivery Time	File Ref	Remarks

REG-07 - Comparative Statement (CS) Log

Purpose: Track all CS prepared and approved.

CS No.	Date	Item/Package	Vendors Compared	Selected Vendor	Approved By	PO/WO No.	Savings/Variance	Remarks

REG-08 - Negotiation Minutes Log

Purpose: Maintain record of negotiations and final terms.

Meeting Date	Vendor	Item/Package	Attendees	Final Rate	Key Terms	Validity	Confirmed By (email)	Remarks

REG-09 - PO Register (ERP)

Purpose: Master register of all POs issued.

PO No.	Date	Vendor	Site/Project	Amount	Delivery Date	Status(Open/Closed)	GRN No.	Invoice No.	Remarks

REG-10 - Open PO & Delivery Tracker

Purpose: Daily tracker of dispatch and delivery commitments.

PO No.	Vendor	Item	Promised Dispatch	Promised Delivery	Actual Delivery	Delay Reason	Next Action	Owner	Status

REG-11 - Critical Material Shortage Tracker

Purpose: Early warning for materials that can stop work within 48-72 hrs.

Site	Material	Current Stock	Consumption/day	Days Cover	Reorder Trigger	PO Status	ETA	Escalation Sent (Y/N)	Remarks

REG-12 - Rate Contract Register

Purpose: Track rate contracts/framework agreements and validity.

Material/Service	Vendor	Rate	Validity From	Validity To	Terms	Approved By	Revision History	Remarks

REG-13 - Long-Lead Items Register

Purpose: Track long-lead packages with decision deadlines and delivery milestones.

Item/Package	Lead Time	Decision Deadline	Vendor	PO Date	Manufacturing Status	Delivery ETA	Installation Window	Risk	Remarks

REG-14 - Material Rejection / Return Register

Purpose: Track rejected materials, returns and replacements/credits.

Date	Site	Vendor	PO/GRN Ref	Item	Qty Rejected/Returned	Reason	Replacement/ Credit Note	Closure Date	Remarks

REG-15 - Emergency Purchase Register

Purpose: Log emergency purchases and post-facto regularisation.

Date	Site	Item	Reason	Amount	Vendor	Approval Evidence	Regularised CS (Y/N)	Owner	Remarks

REG-16 - Inter-Site Transfer Register

Purpose: Track transfer challans and stock adjustments between sites.

Date	From Site	To Site	Material	Qty	Transfer Challan No.	Approved By	Received By	Status	Remarks

REG-17 - Subcontractor Compliance Register

Purpose: Track subcontractor documentation compliance for work orders.

Subcontractor	Scope	GST/PAN	Insurance	Labour License	Safety Docs	WO No.	Start Date	Status	Remarks

REG-18 - Vendor Performance Scorecard Register

Purpose: Monthly vendor rating for delivery/quality/compliance.

Vendor	Month	Delivery Score	Quality Score	Doc Score	Price Competitiveness	Overall Rating	Action	Remarks

REG-19 - Procurement Savings / Variance Register

Purpose: Track savings vs benchmark and overruns with reasons.

Package/Item	Benchmark Rate	Final Rate	Qty	Savings/Variance	Reason	Approved By	Date	Remarks

REG-20 - Warranty/AMC Documents Register (Handover & DLP)

Purpose: Ensure warranty manuals and AMC contacts collected before final payments.

Equipment	Vendor	Warranty Period	Manuals Received(Y/N)	Test Certificates	AMC Contact	Final Payment Status	Remarks

6. Formats & Templates (One-by-One) - printable templates

Use these templates to standardise procurement documentation. Keep numbering and file naming consistent (FMT codes).

FMT-01 - Vendor Onboarding / Empanelment Form

Field / Block	Entry
Vendor legal name	
GSTIN & PAN	
Registered address	
Factory/warehouse address	
Bank details + cancelled cheque	
Key contact person + phone/email	
Category of supply/services	
References (2)	
Proposed credit terms	
Declaration: no conflict of interest	

FMT-02 - Vendor KYC Checklist

Field / Block	Entry
GST certificate copy	
PAN card copy	
Bank proof	
MSME/Udyam (if any)	
Address proof	
Authorised signatory proof	
Past supply references	
Signed acceptance of Swara PO terms	

FMT-03 - RFQ Template (Email/Letter)

Field / Block	Entry
RFQ No. & date	
Project/site delivery address	
Item/spec/make/grade	
Quantity + delivery schedule	
Terms: GST, freight, unloading	
Payment terms + credit period	
Warranty/replacement terms	
Quote validity date	
Contact for clarifications	

FMT-04 - Technical Comparison Sheet

Field / Block	Entry
Spec compliance (Y/N)	
Make/grade match	
Test certificate availability	
Warranty/AMC terms	
Delivery capability	
Past performance notes	

FMT-05 - Commercial Comparative Sheet

Field / Block	Entry
Base rate	
GST	
Freight	
Unloading	
Total landed cost	
Credit period	
Advance requirement	
Replacement terms	
Delivery timeline	

FMT-06 - Negotiation Minutes Template

Field / Block	Entry
Date & time	
Vendor name	
Attendees	
Items discussed	
Final negotiated rate	
Agreed delivery schedule	
Credit/payment terms	
Penalties/LD (if any)	
Vendor confirmation email reference	

FMT-07 - Purchase Approval Note (PAN)

Field / Block	Entry
PR reference	
Scope/item details	
Vendor options & CS summary	
Selected vendor + reasons	
Budget availability confirmation	
Payment terms + milestones	
Approvals (PM-HO/ACC-H/OWN)	
Attachments list	

FMT-08 - PO Checklist (Before Issue)

Field / Block	Entry
PR approved	
3 quotes/exception note	
CS approved	
Vendor KYC complete	
Budget available	
Delivery date confirmed	
T&Cs attached	
ERP PO generated	
Vendor acknowledgement received	

FMT-09 - Rate Contract / Framework Agreement Note

Field / Block	Entry
Material/service	
Vendor	
Rate and validity	
Revision clause	
Monthly quantity estimate	
Payment terms	
Delivery terms	
Approvals	
Communication to sites	

FMT-10 - Delivery Follow-up / Escalation Message

Field / Block	Entry
Subject: Delivery risk – [Item] – [Site] – [Date]	
PO no. + promised date	
Current status + delay reason	
Impact (work stoppage in X days)	
Support/decision needed	
Evidence (vendor message/call log)	

FMT-11 - GRN Discrepancy / Shortage Report

Field / Block	Entry
PO/GRN reference	
Item and quantity received vs ordered	
Damage/shortage details	
Photos attached (Y/N)	
Vendor acknowledgement	
Action required (replacement/credit)	
Owner + target closure date	

FMT-12 - Material Rejection Note

Field / Block	Entry
Date	
Site	
Vendor	
PO/GRN reference	
Item	
Qty rejected	
Reason (spec mismatch/damage)	
Photos	
Replacement required by	
Approved by (SSE/PM-S)	

FMT-13 - Return / Replacement Challan Format

Field / Block	Entry
From site to vendor	
Item + qty returned	
Condition	
Transport details	
Vendor receiver sign	
Storekeeper sign	
Reference (PO/GRN)	

FMT-14 - Emergency Purchase Justification Note

Field / Block	Entry
Item + qty	
Reason for emergency	
Impact if not purchased	
Vendor + rate	
Approval evidence	
Post-facto regularisation plan (within 48 hrs)	

FMT-15 - Vendor Performance Evaluation Form

Field / Block	Entry
Vendor name	
Period	
Delivery score	
Quality score	
Doc compliance score	
Communication score	
Overall rating	
Corrective actions	
Next review date	

FMT-16 - Vendor Blacklisting Proposal / Notice Draft

Field / Block	Entry
Vendor details	
Reasons + evidence references	
Impact summary	
Prior warnings issued	
Proposed action: suspend/blacklist	
Approvals (PM-HO/OWN)	
Communication date	

FMT-17 - Inter-Site Transfer Challan

Field / Block	Entry
From site	
To site	
Material + qty	
Vehicle details	
Issued by (STORE)	
Approved by (PM-S)	
Received by (STORE)	
Stock ledger update confirmation	

FMT-18 - Warranty & Handover Vendor File Checklist

Field / Block	Entry
Equipment list	
Warranty cards	
Manuals	
Test certificates	
AMC contact details	
Spare parts list	
Vendor escalation contacts	
Final payment hold/release status	

Appendix A: Quick Reference - authority limits & escalation triggers (Procurement)

Keep this page pinned in the procurement file. When in doubt, follow the escalation ladder and attach evidence.

A1. Escalation triggers (Procurement-related)

Category	Trigger	Level 1	Level 2	Level 3
Material shortage	Material will stop work within 48 hrs	SE -> STORE/PUR-M (same-day)	PUR-M -> PM-HO (24 hrs)	PM-HO -> OWN (48 hrs)
Payment/cashflow	Vendor charge threatening stop-work / critical payment-hold	ACC -> ACC-H (same day)	ACC-H -> PM-HO (24 hrs)	PM-HO -> OWN (48 hrs)
Progress delay (procurement-linked)	Critical-path activity drift due to procurement delays	PUR-M -> PM-HO (same day)	PUR-M -> PM-HO (same day)	PM-HO -> OWN (48 hrs)

A2. Mandatory escalation message format (copy-paste)

Subject: Escalation - [Category] - [Site/Zone] - [Date]

■ Issue summary (one line)

■ Impact: Time/Cost/Quality/Safety (quantify if possible)

■ Evidence: PO/PR/GRN/Photo/Tracker ref

■ Action taken so far (micro-actions)

■ Support/Decision required + deadline

Appendix B: 30-60-90 day onboarding plan (PUR-M)

Use this plan to onboard a new Purchase Manager or reset procurement discipline in an existing setup.

30 Days

- Understand Swara authority matrix, approval limits, escalation format; align procurement workflow end-to-end.
- Review existing vendor master, AVL, rate contracts, open POs and site shortage patterns.
- Standardise RFQ, CS, negotiation minutes, PO checklist templates; train STORE + site team on documentation discipline.
- Set up procurement calendar with APM for long-lead items and critical materials.
- Implement daily open PO tracker and weekly procurement review cadence.

60 Days

- Set rate contracts for cement/steel/RMC and top repetitive items; create backup vendor list per category.
- Reduce PO cycle time and emergency purchases by improving lookahead planning with sites.
- Start monthly vendor performance scorecards and corrective actions.
- Strengthen 3-way match discipline with STORE + Accounts to reduce payment delays and vendor complaints.

90 Days

- Deliver procurement MIS dashboard (savings, risks, vendor performance) with evidence-backed decisions.
- Achieve stable stock availability (0 work stoppage due to shortage) and reduce rejections/returns.
- Complete procurement audit readiness: 100% POs with complete trail; close legacy gaps.
- Prepare procurement close-out checklist for upcoming handover/DLP items (warranties/AMC/spares).