
WEST ASCENSION PARISH HOSPITAL

MONTHLY PROCUREMENT COMPLIANCE CHECKLIST

Reporting Month: _____

Prepared By: _____

Department: _____

Reviewed By (CFO): _____

Compliance Officer Review: _____

Date Completed: _____

PURPOSE

This checklist is intended to ensure compliance with:

- Louisiana Public Bid Law
- WAPH Procurement Policy
- Board Resolutions
- Delegated Purchasing Authority
- Contract Administration Requirements
- Louisiana Ethics Requirements
- Legislative Auditor Recommendations

Any "No" response requires documentation of corrective action.

SECTION 1 – PROCUREMENT PLANNING

Budget & Planning Review

- ☐ All purchases were included in an approved operating or capital budget.
- ☐ Procurement needs were forecasted in advance.

- ☐ No purchases were made without identified funding.
- ☐ Procurement requests included business justification.
- ☐ Procurement requests included estimated costs.
- ☐ Procurement requests identified procurement method.
- ☐ Departments avoided last-minute or rushed purchases.
- ☐ Capital purchases were reviewed against the Capital Budget.

Vendor Planning

- ☐ Vendor availability was evaluated before procurement.
- ☐ Alternative vendors were considered where appropriate.
- ☐ Procurement schedules were developed for major purchases.
- ☐ Procurement timelines supported competitive procurement requirements.

Findings

Comments:

SECTION 2 – PUBLIC BID LAW COMPLIANCE

Competitive Procurement

- ☐ Procurement thresholds were reviewed prior to purchase.
- ☐ Public Bid Law requirements were evaluated.
- ☐ Competitive solicitation was performed when required.
- ☐ Bid advertisements were maintained in procurement files.
- ☐ Bid opening documentation was completed.

- ☐ Bid tabulations were retained.
- ☐ Award recommendations were documented.
- ☐ Board approval was obtained when required.

Procurement Documentation

- ☐ Procurement files contain complete documentation.
- ☐ Vendor selection rationale was documented.
- ☐ Approval signatures are present.
- ☐ Required legal reviews were completed.

Bid Splitting Review

- ☐ No purchases appear to have been artificially divided.
- ☐ No sequential purchases were used to avoid bidding thresholds.
- ☐ No procurements were structured to avoid approval requirements.

Exceptions

- ☐ All procurement exceptions were documented.
- ☐ Exception approvals were obtained.
- ☐ Exceptions were reported to management.

Findings

Comments:

SECTION 3 – CONTRACT MANAGEMENT**New Contracts**

- ☐ All new contracts were executed before services began.
- ☐ Contracts contain required signatures.
- ☐ Contracts identify scope of work.
- ☐ Contracts specify compensation terms.
- ☐ Contracts specify termination provisions.
- ☐ Contracts contain insurance requirements when applicable.
- ☐ Contracts were reviewed by legal counsel when required.

Existing Contracts

- ☐ Contract expiration dates were monitored.
- ☐ Contract performance was reviewed.
- ☐ Vendor obligations were fulfilled.
- ☐ Contract files are complete.
- ☐ Contract amendments were approved and documented.

Contract Amendments

- ☐ Contract increases exceeding policy thresholds were reported.
- ☐ Amendments exceeding 10% were reviewed.
- ☐ Amendments exceeding Board thresholds received approval.
- ☐ Audit Committee reporting requirements were met.

Findings

Comments:

SECTION 4 – INVOICE AND PAYMENT REVIEW

Invoice Controls

- ☐ All invoices contained sufficient detail.
- ☐ Invoice amounts match contract terms.
- ☐ Invoice amounts match purchase orders when applicable.
- ☐ Invoice calculations were verified.
- ☐ Duplicate payment review was completed.
- ☐ Supporting documents were attached.

Approval Controls

- ☐ Department approval obtained.
- ☐ Purchasing approval obtained when required.
- ☐ CFO approval obtained when required.
- ☐ Board approval obtained when required.

Payment Controls

- ☐ Payments were made only after receipt of goods or services.
- ☐ Vendor information was verified.
- ☐ No unusual vendor payments identified.
- ☐ No unsupported expenditures identified.

Credit Card Transactions

- ☐ Credit card transactions reviewed.
- ☐ Receipts were available.
- ☐ Business purpose documented.
- ☐ No prohibited expenditures identified.

Findings

Comments:

SECTION 5 – ETHICS AND CONFLICT OF INTEREST REVIEW

Vendor Relationships

- ☐ Procurement staff completed annual conflict disclosures.
- ☐ No conflicts of interest were identified.
- ☐ No undisclosed relationships with vendors exist.
- ☐ Vendor selection decisions were objective.

Gifts & Gratuities

- ☐ No gifts, favors, or benefits were accepted from vendors.
- ☐ No vendor-sponsored travel was accepted without approval.
- ☐ Ethics concerns were reported when identified.

Related-Party Transactions

- ☐ Related-party transactions were reviewed.
- ☐ Related-party transactions were disclosed.
- ☐ Appropriate approvals were obtained.

Dual Employment Considerations

- ☐ No procurement employee has undisclosed outside public employment.
- ☐ Dual employment disclosures are current.

Findings

Comments:

SECTION 6 – SOLE SOURCE AND EMERGENCY PROCUREMENT REVIEW

Sole Source Procurements

- ☐ Sole-source justification completed.
- ☐ Market review documented.
- ☐ Legal review completed.
- ☐ Management approval obtained.
- ☐ Board approval obtained if required.

Emergency Procurements

- ☐ Emergency condition documented.
- ☐ Competitive procurement impractical due to emergency.
- ☐ Emergency approval documented.
- ☐ Emergency procurement reported to the Audit Committee.

Findings

Comments:

SECTION 7 – VENDOR MANAGEMENT REVIEW

Vendor Monitoring

- ☐ Vendor performance issues documented.
- ☐ Vendor complaints reviewed.
- ☐ Contract compliance monitored.
- ☐ Insurance certificates current.
- ☐ Licenses and certifications verified when applicable.

Vendor Concentration

- ☐ Top ten vendor spending reviewed.
- ☐ Vendor concentration risks assessed.
- ☐ Excessive dependence on any vendor evaluated.

Findings

Comments:

SECTION 8 – CORRECTIVE ACTION REVIEW

Prior Findings

- ☐ Prior month findings reviewed.
- ☐ Corrective actions completed.
- ☐ Open items tracked.
- ☐ Responsible parties assigned.
- ☐ Completion deadlines established.

Audit Findings

- ☐ Legislative Auditor recommendations reviewed.

- ☐ Internal audit recommendations reviewed.
- ☐ Procurement policy violations addressed.
- ☐ Compliance deficiencies remediated.

Repeat Findings

- ☐ Repeat issues identified.
- ☐ Root cause analysis completed.
- ☐ Additional controls implemented.

Findings

Comments:

SECTION 9 – MONTHLY PROCUREMENT COMPLIANCE CERTIFICATION

Compliance Summary

Area	Compliant	Findings
Procurement Planning	☐ Yes ☐ No	_____
Bid Law Compliance	☐ Yes ☐ No	_____

Contracts	☐ Yes ☐ No	_____
Invoice Review	☐ Yes ☐ No	_____
Ethics Review	☐ Yes ☐ No	_____
Sole Source/Emergency	☐ Yes ☐ No	_____
Vendor Management	☐ Yes ☐ No	_____
Corrective Actions	☐ Yes ☐ No	_____

Overall Assessment

- ☐ Fully Compliant
- ☐ Minor Issues Noted
- ☐ Corrective Action Required
- ☐ Significant Compliance Concern

Required Corrective Actions

Finding	Responsible Person	Due Date	Status

Certification

I certify that this Monthly Procurement Compliance Checklist has been completed, supporting documentation has been reviewed, and any deficiencies identified have been assigned corrective action.

Prepared By: _____

Date: _____

Chief Financial Officer: _____

Date: _____

Compliance Officer: _____

Date: _____

CEO Review: _____

Date: _____

Audit Committee Review (Quarterly): _____

Date: _____