

18.0 Documentation Storage Process Report

December 2017



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Overview

The Documentation Storage process provides an informational path of documentation used in the procurement and payment of a good or service to the University of Illinois.

Note: Contracts created and modified by other offices were not addressed during this BPI process and limited to the departments of Purchasing at each University, University Payables, Strategic Procurement, and the Office of Procurement Diversity.

Illinois Mandate Symbol - 

University Policy Symbol - 

Professional Mandate Symbol - 

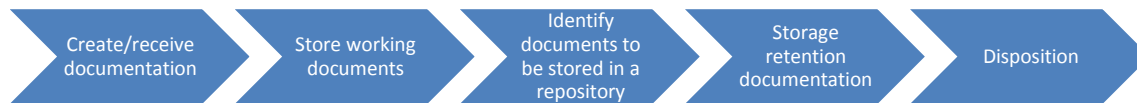
Process Executive Summary

Business Process

The process Documentation Storage exists to comply with the Federal Laws, State Laws, and University Policies and Procedures regarding the retention and storage of key documentation from the Purchasing department at each University, University Payables, Strategic Procurement, and the Office of Procurement Diversity. Contracts created and modified by other offices were not addressed during this BPI process and is limited to the departments stated above. The process will adhere to the laws and policies with regards to:

- Preparing documentation for retention
- Determining working locations for each document
- Determine documentation for archival
 - Include file order
 - Naming convention
- Determine storage location and additional amendments/updates to the file
- Disposition of documentation

Current Process Activities



Approach

The current state process activities were mapped by the Subject Matter Expert (SME) and project process team. A SIPOC diagram was created to capture the tasks executed by the University System departments. The SME project team identified opportunities for improvement and brainstormed potential solutions. The current state was presented, issues were identified, and recommendations were discussed at customer focus group meetings in the University System. The process report was presented to the Source2Pay Director Council where they ranked the proposed recommendations for implementation.

Key Findings

- Inconsistency on how long to retain information
 - P-Card Receipts
 - T-Card Receipts
 - Copies of documents - invoices
- What format to keep documentation in – Paper P-Card receipts or Scan electronic P-Card receipts
- Lack of physical space to store all necessary paper documents

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- Lack of knowledge regarding resources and guidance available through Records and Information Management Services (RIMS)
- When dealing with grant funds, determining which has precedent: University policy or the stated policies in the grant.

Improvement Recommendations

The process team identified 20 suggested improvements. From the 20 suggested improvements, the team selected three improvements to recommend for implementation. The Director Council reviewed the 3 recommendations and ranked the proposed recommendations for implementation.

Listed are the top four recommendations for implementation:

1. Create and execute a communication plan to provide information regarding the retention of documentation pertaining to Purchasing at each University and Procurement
2. Have a standardized documentation archival process for Purchasing
3. Mandatory training for new hires, and continuing on-going training on documentation storage for the Purchasing Office and Procurement Services (Payable, Strategic Procurement, and the Office of Diversity)

Chapter 1: SIPOC Diagram

| Process Name | Date |
|----------------------------|--------------|
| 18.0 Documentation Storage | October 2017 |

| SUPPLIERS | INPUTS | PROCESS | OUTPUTS | CUSTOMERS |
|---|--|--|---|--|
| <u>Who</u> provides input to the process | <u>What</u> goes into the process | <u>How</u> the inputs are transformed to outputs | <u>What</u> comes out of the process | <u>Who</u> received the outputs of the process |
| University Departments Purchasing Payables Strategic Procurement Office of Procurement Diversity Vendor SPO/CPO | Documentation Metadata Tags/ index | Create/receive documentation Store working documents Identify documents to be stored in a repository Storage retention documentation Disposition | Hard copy/paper Data files Digital files/images Metadata | University Departments Purchasing Payables Strategic Procurement Office of Procurement Diversity Audit (Internal and External) State of Illinois University Contract Records Office |

Chapter 2: Suppliers

Suppliers provide input to the process:

University Departments

What they care about: Adherence to University mandates with regard to document retention.

When they care: Each time a Purchasing, Payables, Strategic Procurement or Office of Procurement Diversity process is executed that would require document retention.

Purchasing

What they care about: Adherence to Federal, State, and University statutes and mandates with regard to document retention.

When they care: Each time a procurement is conducted.

University Payables

What they care about: Adherence to Federal, State, and University mandates and best business practices with regard to document retention.

When they care: Each time a payables process is executed that would require document retention.

Strategic Procurement

What they care about: Adherence to Federal, State, and University statutes and mandates, and best business practices with regard to document retention.

When they care: Each time a solicitation is conducted and contract is offered that would require document retention.

Office of Procurement Diversity

What they care about: Adherence to Federal, State, and University statutes and mandates, and best business practices with regard to document retention.

When they care: Each time a procurement is conducted.

Vendor

What they care about: Accurate information being provided by University of Illinois System.

When they care: Each time a procurement is conducted that would require additional documentation as requested by a representative of the University of Illinois System.

State Procurement Office/Chief Procurement Officer

What they care about: Adherence to State mandates with regard to document retention.

When they care: Each time a procurement is made that would require document retention.

Business Rules

Administration rules

Department procedures

Federal, State and Private grant policies

Illinois State Procurement Code

OBFS policies and procedures

RIMS policies

University Procurement Policies

Chapter 3: Inputs

Inputs are information or verification which goes into the process

Documentation

Purchasing/Strategic Procurement:

- Purchase Order Documents – Quotes, Vendor terms, Clauses (e.g. labor), internal documents (Vendor insurance, Department approvals, results from the review of the excluded parties list).
- Contracts – Contract, contract routing/approvals, Supporting Documents (Certificate of Insurance, disclosures, pricing, terms, email communications).
- Solicitations – Original solicitation documentation, vendor responses, evaluations, approvals (State, PPB) opening documents, original department request, Sole Source document.

Payables:

- 1099s
- ACH documentation
- Card Services: P-Card (department maintains), T-Card (documentation is in TEM)
- Direct Pay (anything that is not a purchase order): Pay to vendor via TEM that did not issue a Purchase Order via TEM
- Email communications
- Employee reimbursement: Business justification for reimbursement
- Encumbrance: Wire form, invoice, business justification form, special handing form with number
- Exceptions e.g. – Purchase Order, Direct Pay, P-Card, T-Card, Travel
- Invoice: Paper and electronic
- Reports from Payables
- Return Checks
- Returned mail from USPS
- Unclaimed Property
- Vendor address update notifications
- Vendor Information Form
- Vendor notices
- W-8/W-9

Office of Procurement Diversity

- Compliance forms
- Copy of RFP/Bid Document
- Correspondence from a vendor
- Curing information between bids
- Diversity Goal Established/Exception Form

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- Diversity Goal Setting Request Form
- Diversity Goal Setting Worksheet
- Diversity Utilization Plan Analysis Form
- Diversity Utilization Plan Compliance Determination Form
- Goal Setting Request Receipt
- Utilization Plan Receipt
- Utilization Plan/Letter of Intent
- Vendor's request to substitute a vendor

Formats include:

- Microsoft Office (doc, .docx, xls, .xlsx,, etc)
- .jpg
- .csv (file containing comma separated values)
- .dcf (The Digital Rights Management content format file for encoding media files for copy right protection purpose.)
- .pdf
- .tif
- Electronically signed document that is certified certificate-based for authentication
- iCS – Versions, emails, excel, MSWord, .pdf, with the final in the format of a .pdf
- Paper

Metadata

System data that shows who and when a document was created, modified, and approved

Tags/index

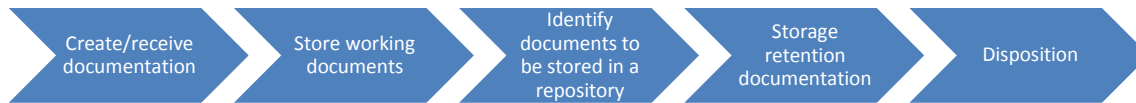
User-criteria that is added to a record to allow for easy searching

Business Rules

None

Chapter 4: Process

A process is defined as the method for transforming inputs into outputs:



Create/Receive documentation

Prepare and/or receive documentation that will need to be vetted for retention

Store working documents

Determine temporary locations for each document that may be required for long-term storage

Identify documents to be stored in a repository

Determine which documentation needs to be retained.

The Purchasing Departments at each University follow a checklist in ordering the documents for storage within a file.

UIUC – Order of the file:

Invitation for Bid (IFB) and Request for Proposal (RFP):

1. Bulletin Posting
2. Notice Status
3. Bid Tab Sheet
4. Sign In Sheet
5. Award Recommendations (Buyer & Department
6. Master Blank document with Approval coversheet
7. Evaluation Matrices (if RFP)
8. Non-Awarded Vendor Response(s) (including No Bids, clarifications requests, responses & BAFOs)
9. Original Department Request
10. Any Notes pertinent to the file

The Awarded Vendor Response(s) are indexed separately.

Sole Sources (SS):

1. Bulletin Posting
2. Notice Status
3. Sole Source Justification Part 1
4. Sole Source Justification Part 2
5. Vendor Quote(s)
6. Disclosures

UIUC follows a file naming convention, see appendix B for details

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UIS – Order of the file:

Invitation for Bid (IFB) and Request for Proposal (RFP):

1. Bulletin Postings & Waiver
2. Office of Procurement Diversity documentation
3. Bid Tab Sheet
4. Sign In Sheet
5. BID/RFP acceptance sheet/confidentiality forms
6. Evaluation Matrices (if RFP) Best & Final Offer Information (RFP)
7. Non-Awarded Vendor Response(s) (including No Bids, clarifications requests, responses & BAFOs)
8. Award Recommendation Sheet to SPO and forms from the Department
9. Any Notes pertinent to the file

The Awarded Vendor Response(s) are indexed separately.

Sole Sources (SS):

1. Bulletin Posting
2. Notice Status
3. Sole Source Justification Part 1
4. Sole Source Justification Part 2
5. Disclosures

UIS has a specific naming convention used for the BID and the RFP files

UIC – Order of the file

Invitation for Bid (IFB) and Request for Proposal (RFP):

1. Bulletin Posting
2. PPB Waiver for awardee
3. Bid Tabulation Sheet
4. List of vendors who downloaded from the IPHEC website.
5. Pre-proposal conference sign in sheet and any handouts provided by the vendors.
6. Award Recommendations to the Board of Trustees and/or recommendations signed by the Director of Purchasing
7. Roll Call minutes from the meeting awarding the authorization to proceed with the procurement.
8. Original blank RFP or Bid documents
9. Evaluation Matrices (if RFP)
10. Non-Awarded Vendor Response(s) (including No Bids, clarifications requests, responses & BAFOs)
11. Original Department Request through iBuy and/or UIC Solicitation Information Form
12. Any Notes pertinent to the file, including any and all federal & state requirement documents including Financial Disclosure forms.

The Awarded Vendor Response(s) are filed with the contract. Or in a separate folder under the Procurement number.

Sole Sources (SS):

1. Bulletin Posting
2. PPB Waiver
3. Signed Sole Source Justification Part 1
4. Signed Sole Source Justification Part 2
5. Vendor Quote(s)
6. Disclosures
7. Contracts (if applicable) are filed separately in iCS along with copies of all of these documents.

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When UIC is storing their documents, the documents are placed in a box, with an assigned number on the box. The Box Number is entered into a spreadsheet along with the documentation numbers, such as RFP number, purchaser order number.

University Payables

Storage of paper documents are arranged in the order they are processed, and placed in boxes. The boxes are stored at University Payables, and at HOV.

When electronic files are generated, the naming convention includes the invoice number from the first batch, how many documents within the batch the DMI number. The DMI number is located on the storage box, and entered into a log sheet. The log sheet includes the first and last number of the DMI number, the date, type of documents, and the destruction date.

Storage retention documentation

Determination of storage location for required documentation, and amendment of those documents as needed

Disposition

Destruction, deletion, or archiving stored documentation

Business Rules

OBFS Policies and Procedures (Section 1)

Office of Procurement Diversity file storage order

Repository rules for minimum tag data for indexing

RIMS rules interpreting State procurement code

State procurement code regarding document retention

Strategic Procurement file naming conventions

UIC Purchasing file storage order

UIS Purchasing file storage order

UIUC Purchasing file storage order

UIUC working documents storage policy

University General Rules (Section 4)

University standards for naming conventions

- UIUC Naming convention ([Appendix B](#))

UPAY processing rules

Chapter 5: Outputs

Outputs are the resulting information or entities that are produced as part of the process:

Hard copy/paper

Data files

Digital files/images

Metadata

Business Rules

None

Chapter 6: Customers

Customers receive the output of the process.

University Departments

What they want: Guidance from University of Illinois System RIMS as to document retention rules and regulations

University Purchasing Departments

What they want: Guidance from University of Illinois System RIMS as to document retention rules and regulations

University System Payables

What they want: Guidance from University of Illinois System RIMS as to document retention rules and regulations

Strategic Procurement

What they want: Guidance from University of Illinois System RIMS as to document retention rules and regulations

Office of Procurement Diversity

What they want: Guidance from University of Illinois System RIMS as to document retention rules and regulations

Audit (Internal and External)

What they want: Access to retained documentation so as to ensure adherence to all retention rules and regulations; as well as proof of compliance with various Federal and State mandates.

Business Rules

Freedom of Information Act (FOIA)

Chapter 7: Customer - Oversight Roles

Customers who provide oversight and what oversight is needed: (Example Funders, OBFS, Auditors, Board of Trustees (BOT), Legislature, Public)

State of Illinois

What they want: Adherence to State Procurement Code with regard to document retention for Purchasing and Payables activities

University Audit

What they want: Access to retained documentation so as to ensure adherence to all rules and regulations, and University policies; as well as proof of compliance with various Federal and State mandates.

General Public

What they want: Access to documents that are eligible for release through FOIA requests

External auditors

What they want: Access to retained documentation so as to ensure adherence to all rules and regulations.

Other Universities

What they want: Access to retained documentation so as to ensure adherence to all retention rules and regulations with regard to sub awards that they have awarded to the University of Illinois System.

Board of Trustees

What they want: access to any contract within the repository

University Contract Records Office

What they want: manage the security of the contract repository, maintain searching, reporting, contracts upon request

University Counsel

What they want: access to any contract within the repository

Business Rules

None

Chapter 8: Questionnaire for Current State Analysis

1. Why does the process exist?

Process exists to comply with the Federal laws, State laws, and University of Illinois System policies regarding the retention and storage of key documentation from Purchasing at each University, University Payables, Strategic Procurement, and the Office of Procurement Diversity process.

Note: Contracts created and modified by other offices were not addressed during this BPI process and limited to the departments stated above.

2. What is the purpose of the process?

The purpose of the process is to adhere to Federal, State, and University of Illinois policies with regard to document retention and destruction.

3. What are the process boundaries (i.e., when does it start and end?)

When does the process start: Identification of what documents are required to be kept for Purchasing and Procurement Services

When does the process end: Retained according to the requirements for Federal/State/University/Departmental retention policies, and receipt of permission to destroy from State and/or the University of Illinois Systems Records and Information Management Systems (RIMS)

4. What are the major activities/steps in the process?

See [Chapter 4: Process](#) (Ctrl-click to follow link)

5. What is the expected outcome or output of the process?

See [Chapter 5: Outputs](#) (Ctrl-click to follow link)

6. Who uses the output of the process, and why?

See [Chapter 6: Customers](#) (Ctrl-click to follow link)

7. Who benefits from the process, and how?

- Auditing
- Board of Trustees
- Legal Counsel
- Payables
- Purchasing
- University Departments

All benefit through adherence to Federal, State, University document retention mandates, and through the retention of historical information for information/knowledge transfer to predecessors to the process.

- University Contract Records Office benefits by meeting the State of Illinois Filing Rules
- General public benefits through the ability to discover documentation through a FOIA request

8. What information is necessary for the process?

See [Chapter 3: Inputs](#) (Ctrl-click to follow link)

9. Where does that information come from?

See [Chapter 2: Suppliers](#) (Ctrl-click to follow link)

10. What effect does that information have on the process and output?

Accountability and transparency for the process.

11. Who is primarily responsible for the process?

Each department is responsible for the required archiving of all documentation pertinent to their processes:

- Office of Procurement Diversity
- Strategic Procurement
- University Department
- University Payables
- University Purchasing Departments
- University Contract Records Office

12. What other units/organizations participate in or support the process?

- AITS
- Banking vendors
- CIO
- HOV
- Office of Procurement Diversity
- RIMS
- State Procurement Office
- University Audit (External and internal)
- University Cash Management
- University Cashiering
- University Legal Counsel
- University Risk Management
- University Tax Department

13. What Information Technology system(s) support the process?

- 1099 Pro
- Banner
- BDM/Application Extender
- BOX.net
- Convey
- HOV
- iBuy
- iCS
- IPHEC Procurement Bulletin
- Microsoft Office Suite
- Network drives
- P-Card

- RightFax
- SharePoint
- TEM

14. What policies guide or constrain the process?

- Board of Trustees General Rules
- Campus Admin Manual (CAM)
- Federal Acquisition Regulations (FAR)
- Illinois Procurement Code IL CS500 20-155
- Illinois State Records Act (5 ILCS 160/)
- Illinois State Finance Act (30 ILCS 105/9A)
- Internal Revenue Service (IRS)
- OBFS Policy and Procedures (Sections 7.6, 8, 8.6, and 15)
- University General Rules (Section 4)
- University Policies

15. How often does the process get executed?

The process gets executed daily.

Payables – 3,000 – 5,000 documents archived daily

Purchasing 50 – 100 documents archived daily

Strategic Procurement - during the time of a solicitation

16. What are potential defects with respect to the process?

- Access to archived data is limited to the owner of the data (i.e. Payable, Purchasing, Strategic Procurement)
- Acronyms/shared understanding
- All systems don't interface together
- Calculation of recycle date
- Current process very time consuming with paper process
- Details of the process are not documented and consistent across departments
- Inconsistent placement of information in the documentation
- Inconsistent terminology
- Knowledge of where the documents are housed
- Lack of staff to fully complete process in a timely manner
- No centralized location for all information
- No unified workflow
- Older technology and systems in place
- Paper files unable to track
 - Damage to paper files

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- System aren't easily updateable
- Too many auxiliary systems
- Knowledge of retention requirements

How often do the potential defects occur? - Daily

17. What types of challenges have employees who participate in the process raised?

- Acronyms/shared understanding
- Knowledge of where the documents are housed
- Lack of staff to fully complete the process in a timely manner
- Inconsistent placement of information in the documentation
- No centralized location for all information

18. What types of challenges or concerns have customers raised?

Participants in the process do not always have the correct access

19. Will the process be changed by another initiative in the near future?

- Banner upgrade 2018
- E-Bidding in the IPHEC Procurement Bulletin
- ERP reevaluation
- Extender upgrade in 2018
- New web form for Vendor information
- University resources and staffing
- Workflow initiative
- ITPC-0471 iCS to EDW (metadata access only)
- Data Migration to BDMS/Legacy contracts to iCS (use of 1 system vs. multiple contract repository databases)
- Research feeder tool to auto import research agreements into iCS
- Requirements to electronically file with the State of Illinois

Chapter 9: Questionnaire for Potential Process Improvement Candidates

1. How would the process operate differently in the “Perfect Situation?”

Everything is scanned or in electronic format, not having a need to keep paper files

Easy access to documents

- Give access to the end users or departments
- Procurement Services and Purchasing departments have access to all documents

One system used for all documentation

Security and access by document type

- Activity based access

All related documents in a procurement transaction are cross referenced and link together (e.g. Requisition, Solicitation/RFP, Contract, Purchase Order, and supporting documentation) to allow access to each document supporting the transaction

Using a workflow to prompt for correct storage and disposal of a document

Ability to search and report within the details of the document (Metadata)

Ability to allow the state to access University contracts, and eliminate the need to send to the state the University information

Update all procurement application to capture and generate electronic files for ease of access, storage and retaining (e.g. E-bidding, contracts templates, online contract negotiations, and contracts)

2. What does the team hope to achieve through this improvement?

- Accessibility
- Consistency among all Universities with retention periods
- Ease of use (storing documents and knowing when to dispose)
- One system
- Transparency

3. Who would benefit from the desired improvement to the process?

- University staff who are responsible for completing the process
- University servers

a. How would we know?

Server and usage space would improve

Reduction maintenance tickets

Fewer support calls

Physical reduction in storage space

Risk associated with retaining physical documentation

Ability to retrieve stored documents quicker

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4. What data can be provided with respect to the process performance (e.g. service rating, cycle time, customer survey responses, etc.)?

- Per cubic foot when storage is requested – reduction in storage and requests
- Reduction is cost of space
- The time it takes to find a document – time saving for staff
- Possible reduction in the number of penalty fees incurred due to missed FOIA deadlines

5. Who should be included in any improvement discussions for the process?

- AITS
- Assistant Vice President for Business and Finance, University of Illinois System, OBFS (UIUC)
- Auditors
- Department Units
- Procurement Services
- Purchasing from each University
- RIMS
- University Payables' Customer Service

Chapter 10: Current State Metrics

Metrics in three areas is being collected on each process. These metrics will be used to measure success in the future state.

- How long does the process take from start to finish?
 - Determination of what needs to be stored and where it is found are the most time-consuming portions. Waiting on receiving all required documentation can sometimes stretch to over a year to prepare documentation for storage.
 - Paper
 - Can take 1-2 hours
 - Electronic
 - 10-15 minutes to build the PDF
 - Indexing takes 5 minutes

- How many touchpoints are there per process?

The number of touchpoints will depend on the department generating the document, and what the documentation contains. One person to as many as seven people may touch a document to be stored.

- How many steps are involved in each process?

Depending on the department and the University the number of steps involved may be at least seven and as many as 24.steps

Chapter 11: Feedback from Customer Focus Groups – Current State

The Current State process was presented to each University's Customer Focus Group on October 9, October 10, and October 11, 2017. A total of eight people attended with one person in attendance from UIC, two people from UIS, and five people from UIUC.

Campus Focus Group Summary

Departments save documents in the format of either electronic or paper. Original documentation includes P-Card transaction receipts. Electronic documents are saved one of the following locations: Box, email, portal service, shared drive, or SharePoint. Some departments were aware of and do contact RIMS for assistance when disposing of documentation. There is uncertainty in the departments on what to save and how long to save the documentation.

Campus Focus Group Report

Documentation is saved in either the electronic format or paper. Paper documentation may be copies of invoices and original documentation including P-Card receipts, T-Card receipts, shipping receipts, and packing slips. P-Card receipt are either retained in a department's business office or by the P-Card holder. When an electronic document is created, some department get rid of the paper copy, sometimes this includes the original P-Card receipt.

Departments save the electronic documents either in Box.com, email, portal service, shared drive, or SharePoint. Paper documents reside in file cabinets or in boxes in storerooms or in warehouses. Some Departments maintain logs of the paper documentation within a box. The logs consists of date, description of what is in the box, and an assigned box number.

Some department will contact the Records and Information Management Services (RIMS) for assistance when needing to depose of documentation. Some departments weren't aware of RIMS and the service they provide.

The amount of retention time for documentation depends on University policy and if a grant is involved, the specifics within the grant.

Issues noted include:

- Inconsistency on how long to retain information
 - P-Card Receipts
 - T-Card Receipts
 - Copies of documents - invoices
- What format to keep documentation in – Paper P-Card receipts or convert P-Card receipts by scanning
- Not enough space to store paper
- Know about Records and Information Management Services (RIMS)
- Which has priority University Policy or Grant

Chapter 12: Opportunities for Improvements

The following opportunities for improvement were identified through team discussions that provided feedback: focus groups, and Director Council. Issues were categorized into six, covering Communications, Documentation, Policy and Procedures, Resources, Technology, and Training. Issues shown in **Bold** are connected to a Recommendation for Improvement in [Chapter 15: Recommendations for Improvements](#)

| Communications – Issues related to providing information | |
|--|---|
| C1 | Access to archived data is limited to the owner of the data (i.e. Payable, Purchasing, Strategic Procurement, Office of Procurement Diversity) |
| C2 | Use of acronyms/lack of shared understanding |
| C3 | Calculation of recycle date |
| C4 | Inconsistent terminology |
| C5 | Knowledge of where the documents are housed |
| C6 | Unable to track Paper files |
| C7 | Damage to paper files |
| C8 | Knowledge of retention requirements |
| C9 | Participants in the process do not always have the correct access |
| C10 | Inconsistency on how long to retain information - P-Card Receipts, T-Card Receipts, Copies of documents - invoices |
| C11 | Not enough space to store paper |
| C12 | Not knowing about Records and Information Management Services (RIMS) |

| Documentation – Issues related to lack of documentation | |
|---|---|
| D1 | Details of the process are not documented and consistent across departments |

| Policy/Procedures – Issues related to Procurement Policies and Procedures | |
|---|--|
| P1 | Access to archived data is limited to the owner of the data (i.e. Payable, Purchasing, Strategic Procurement, Office of Procurement Diversity) |
| P2 | Calculation of recycle date |
| P3 | Current process very time consuming with paper process |
| P4 | Details of the process are not documented and consistent across departments |
| P5 | Inconsistent placement of information in the documentation |
| P6 | Unable to track paper files |
| P7 | Damage to paper files |
| P8 | Too many auxiliary systems |

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| Policy/Procedures – Issues related to Procurement Policies and Procedures | |
|---|---|
| P9 | Inconsistency on how long to retain information - P-Card Receipts, T-Card Receipts, Copies of documents - invoices |
| P10 | What format to keep documentation in – Paper P-Card receipts or scan P-Card receipts |
| P11 | Not enough space to store paper, when business requirement is to retain paper |

| Resources (Financial, Human) – Issues related to lack of sufficient staff or funding | |
|--|--|
| R1 | All systems don't interface together |
| R2 | Lack of staff to fully complete process in a timely manner |
| R3 | Older technology and systems in place |
| R4 | System aren't easily updateable |
| R5 | Too many auxiliary systems |
| R6 | Not enough space to store paper |

| Technology – Issues related to system's lack of functionality to support the process | |
|--|---|
| T1 | Access to archived data is limited to the owner of the data (i.e. Payable, Purchasing, Strategic Procurement, Office of Procurement Diversity) |
| T2 | All systems don't interface together |
| T3 | Current process very time consuming with paper process |
| T4 | No centralized location for all information |
| T5 | No unified workflow |
| T6 | Older technology and systems in place |
| T7 | Paper files unable to track |
| T8 | Damage to paper files |
| T9 | System aren't easily updateable |
| T10 | Too many auxiliary systems |
| T11 | Participants in the process do not always have the correct access |
| T12 | Not enough space to store paper |
| T13 | Too long to get anything implemented |
| T14 | Lack of management support for education |

| Training – Issues related to lack of understanding the process | |
|--|---|
| TR1 | Access to archived data is limited to the owner of the data (i.e. Payables, Purchasing, Strategic Procurement, Office of Procurement Diversity) |
| TR2 | Use of acronyms/lack of shared understanding |

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| Training – Issues related to lack of understanding the process | |
|--|---|
| TR3 | Calculation of recycle date |
| TR4 | Details of the process are not documented and consistent across departments |
| TR5 | Inconsistent placement of information in the documentation |
| TR6 | Inconsistent terminology |
| TR7 | Knowledge of where the documents are housed |
| TR8 | Paper files unable to track |
| TR9 | Knowledge of retention requirements |
| TR10 | Participants in the process do not always have the correct access |
| TR11 | Inconsistency on how long to retain information - P-Card Receipts, T-Card Receipts, Copies of documents - invoices |
| TR12 | What format to keep documentation in – Paper P-Card receipts or scan P-Card receipts |
| TR13 | Not knowing about Records and Information Management Services (RIMS) |
| TR14 | Determining which has priority; University Policy or Grant |

Chapter 13: Suggested Improvements

The following recommendations came from discussions with the process team members, and/or the Director Council, and/or University System focus groups. Not all improvements were selected by the process team. The selected improvements were presented to the University focus groups for feedback, and are recommended from review by the Director Council. A Suggested Improvement displayed in **bold** is associated with a Recommendation for Improvement, and is further discussed in [Chapter 15: Recommendations for Improvements](#)

| Number | Category | Suggested Improvement |
|--------|------------------------------|---|
| 1 | Communications | Communicate via OBFS News direct at decision making level |
| 2 | Communications | Same Communication and in the same spot email, OBFS blasts “Did you know... Training” |
| 3 | Communications | Post list of acronyms on website |
| 4 | Communications | Create a communication plan to educate regarding RIMS |
| 5 | Documentation | Produce a glossary to explain acronyms and terminology |
| 6 | Documentation | Follow State guidelines/RIMS |
| 7 | Policy and Procedures | Have one system. Don’t allow units to have their own separate system (PMM, Prism) |
| 8 | Policy and Procedures | Policy and procedures the same across “like” departments such as purchasing and end user departments |
| 9 | Policy and Procedures | Add links to applicable Policy to forms, include a link to policy change |
| 10 | Policy and Procedures | BPI, define procedures for documentation storage for users, when, where, and why |
| 11 | Policy and Procedures | Defined guidelines for documentation storage |
| 12 | Resources | Hire part-time staff and students when work load is heavy |
| 13 | Technology | One System for all data input |
| 14 | Technology | Technology must have a technology review for compatibility |
| 15 | Training | Mandatory training when hired and department training on-going |
| 16 | Training | Training is the same across the board for all universities |
| 17 | Training | Update Acronym Library of OBFS Library |
| 18 | Training | Train staff to use designated acronyms and don’t make up their own |
| 19 | Training | If training is available mandate base on decision making authority |
| 20 | Training | Internal certification program |

Chapter 14: Feedback from Customer Focus Groups – Future State

The Future State process was presented to each University's Customer Focus Group on Monday, November 13, 2017 – Wednesday, November 15, 2017. A total of six people attended with one person in attendance from UIC, one person from UIS, and four people from UIUC.

Customer Focus Group Summary

The three recommendations for improvement and the future requirements were presented. The attendee all agreed the recommendation would improve the process and the future requirements represented the functionality needed.

Customer Focus Group Report

Create and execute a communication plan to provide information regarding the retention of documentation pertaining to Purchasing at each University and Procurement Services (Payable, Strategic Procurement, and Office of Diversity)

- Felt this would be very helpful
- Include AFO and business managers as recipients of the information
- Recommend communication to everyone who has access to the various Banner forms

Have a standard documentation archival process for purchase

- Thought this was a good idea
- Currently having issues in accessing the BDM application to unless the owner. The user have a work around to access invoices and purchase orders

Mandatory training for new hires and continuing on-going training on documentation storage for the Purchasing Office on each University and procurement services

- Felt this was a big issue and would be very helpful

Chapter 15: Recommendations for Improvements

The recommendations have been identified for improvement. Four different categories were identified for the improvements, and each improvement received a level of implementation. The categories include Communications, Policy and Procedures, Training, and Technology. There are two levels of implementation: “short-term” indicates improvements suggested for the current system and process prior to the development of an RFP, and “long-term” indicates improvement to the process with an RFP for a new system. The recommendations are in order to make the process better, help the users understand the process, and make sure the process works.

| Number | Describe Potential Solutions | Category | Implementation Level | Related Issue(s) |
|--------|---|----------------|----------------------|--------------------------------|
| 1 | <p>Create and execute a communication plan to provide information regarding the retention of documentation pertaining to Purchasing at each University and Procurement Services (Payables, Strategic Procurement and Office of Diversity)</p> <p>The plan will include:</p> <ul style="list-style-type: none"> • Defined target audience (such as OBFS News subscribers, Business Manager’s Groups at each University, people who have access to Banner Finance functionality) • Mode of communication (such as email, updates to website, presentation) • Specific information to be communicated, such as: <ul style="list-style-type: none"> ○ What information is archive by Purchasing, Payable, Strategic Procurement, Office of Diversity ○ What format the documentation is archived in paper or electronic ○ How long to retain documentation ○ How to request disposal of documentation <p>A working group on this project includes:</p> <ul style="list-style-type: none"> • Purchasing from each University • Procurement Services with representation from Strategic Procurement, and Office of Diversity and also representation from each area within Payables • Records and Information Management Systems (RIMS) • OBFS – Business Solutions and Support’s Communication Team | Communications | Short Term | C2, C4, C8, C10, C12, P10, TR2 |

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| Number | Describe Potential Solutions | Category | Implementation Level | Related Issue(s) |
|--------|--|-----------------------|----------------------|-----------------------|
| 2 | <p>Have a standardized documentation archival process for Purchasing</p> <p>Form a working group consisting of representatives from the purchasing department at each University, include the Directors and staff who performs the documentation archival process. The goal will be to create a Standard Policy/Procedures to store and archive purchasing documentation.</p> <p>The benefit would include ease of implementation when migrating to an electronic process to archive, retrieve, and flag documents for retention and destruction.</p> <p><i>Note from Director Council – UIC medical may require different rules.</i></p> | Policy and Procedures | Short Term | C5, P4, TR4, TR5, TR6 |

| Number | Describe Potential Solutions | Category | Implementation Level | Related Issue(s) |
|--------|---|----------|----------------------|--|
| 3 | <p>Mandatory training for new employees to the department and/or new to the position on documentation storage for the Purchasing Office and Procurement Services (Payable, Strategic Procurement, and the Office of Diversity)</p> <p>To insure all employee will have the same understanding, a baseline training will be given to each employee within Purchasing and Procurement Services at the time of implementation.</p> <p>The training would provide consistent information across all Universities. Training would include:</p> <ul style="list-style-type: none"> • Standardized documentation policies and procedures • Training from the RIMS office • Training on BDM • Training on common acronyms and terminology <p>One benefit is the ability to incorporate this training program as part of the certification program in the future.</p> | Training | Short Term | C2, C4, C8, P4, P5, P9, P10, TR2, TR4, TR5, TR6, TR9, TR11, TR12, TR13, TR14 |

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| Number | Describe Potential Solutions | Category | Implementation Level | Related Issue(s) |
|--------|--|----------|----------------------|------------------|
| | <i>Note from Director Council – Question the priority of this recommendation with the cost value return.</i> | | | |

| Number | Describe Potential Solutions | Category | Implementation Level | Related Issue(s) |
|----------|--|------------|----------------------|------------------|
| 4 | <p>Automatically index the purchase order in BDM.</p> <p>This removes the need to print the purchase order and any documentation to rescan and generate an index. This process is a current project.</p> <p>A decision will need to be made to either re-index current documents, or implement going forward.</p> | Technology | Short Term | P3, P5, R2, T3 |

| Number | Describe Potential Solutions | Category | Implementation Level | Related Issue(s) |
|----------|---|------------|----------------------|-------------------------------------|
| 5 | <p>One system to store all Purchasing and Procurement Services offices' documentation</p> <p>Benefits would include being able to view a completed procurement transaction through all steps of the process: from the time research began, received approvals, created a requisition, generated a purchase orders, attached any receiving documentation, any supporting documentations, the invoice, and any reconciliation.</p> | Technology | Long Term | T1, T2, T4, T5, T6, T7, T8, T9, T10 |

Chapter 16: Solutions Prioritization Matrix

The recommendation for improvements were reviewed and the potential solutions were prioritized by the Director Council. The below matrix contains the potential solutions for short term implementation and each ranked score.

| Solution Prioritization Matrix: Documentation Storage | | | | | | | | |
|---|--|-------------------|---|---|---|---|--|---------|
| | Describe Potential Solutions | Category | Ease of Implementation: | Permanence of the Solution: | Impact of the Solution: | Cost of the Solution: | Total Score (Average of The total product from each participant): | Ranking |
| | | | 1 (very difficult) - 5 (very easy) | 1 (temporary) - 5 (permanent) | 1 (low) - 5 (high) | 1 (high) - 5 (low) | | |
| | | | Avg of attribute from each participant) | Avg of attribute from each participant) | Avg of attribute from each participant) | Avg of attribute from each participant) | | |
| 1 | Create and execute a communication plan to provide information regarding the retention of documentation pertaining to Purchasing at each University and Procurement Services (Payables, Strategic Procurement and Office of Diversity) | Communications | 3 | 2.43 | 2.29 | 2.86 | 63.71 | 3 |
| 2 | Have a standardized documentation archival process for Purchasing | Policy/Procedures | 3 | 3.14 | 2.71 | 3.14 | 91.71 | 2 |
| 3 | Mandatory training for new hires, and continuing on-going training on documentation storage for the Purchasing Office and Procurement Services (Payable, Strategic Procurement, and the Office of Diversity) | Training | 3 | 2.71 | 2.57 | 3 | 92.86 | 1 |

Chapter 17: Future State SIPOC Diagram

| Process Name | Date |
|---|---------------|
| 18.0 Documentation Storage – Future State | November 2017 |

| SUPPLIERS | INPUTS | PROCESS | OUTPUTS | CUSTOMERS |
|--|---|--|---|---|
| <u>Who</u> provides input to the process | <u>What</u> goes into the process | <u>How</u> the inputs are transformed to outputs | <u>What</u> comes out of the process | <u>Who</u> received the outputs of the process |
| University Departments Purchasing Payables Strategic Procurement Vendor SPO/CPO Officer of Procurement Diversity | Documentation Metadata Tags/Index | Create/receive documentation Store working documents Identify documents to be stored in repository Storage retention documentation Disposition Security (Activity/Role) | Data files Digital files/images Metadata Reports | University Departments Purchasing Payables Strategic Procurement Officer of Procurement Diversity Audit (Internal and External) State of Illinois General Public University Contract Records Office Vendor |

Chapter 18: Future State Requirements

This is a comprehensive list of functional requirements and technical requirements for the future state of the Documentation Storage process. Excluded from this list are any requirements for functionality outside of the scope of this specific process, such as security, accessibility, etc, which will be handled in a different process.

1. Ability to store data electronically
 - a. Example: Attach a credit card purchase receipt
 - b. Example: Scan a document directly into system
2. Ability to use workflow functionality in a process to store and retrieve documentation
 - a. Example: Ability to link an attached/scan credit card purchase receipt to a reconciliation
 - b. Example: Attach a .pdf as supporting documentation to a purchase requisition
 - c. Example: Attached a 'Special Payment Request' form to a Requisition/Purchase Order
3. Ability to drop and drag a file to attach as a document
4. Ability to copy and paste a portion of a file and create a document as a .pdf
5. Ability to have a web based system supported by more than one browser for full system capabilities
6. Ability to flag/tag a document as temporary/working document and move to Archive
7. Ability to establish business rules based on "type of document" to automatically move to Archive
8. Ability to create reports based on data
9. Ability to define fields within a document (tags/index)
10. Ability to create reports based on defined fields within a document
11. Ability to search and display back defined fields within a document
12. Ability to create a simple search and also support complex search of defined data fields
13. Ability to export a data file containing the results based on a search of defined data fields in a document
14. Ability to support security based on Activity, Roles, and Activity and Roles
15. Ability to support the receiving of multi file types, such as
 - a. .csv
 - b. .dcf (The Digital Rights Management content format file for encoding media files for copy right protection purpose)
 - c. .jpg
 - d. .pdf
 - e. .tif
 - f. Electronically signed document that is certified certificate-based for authentication
 - g. MSOffice file formats (.xls, .xlsx, .doc, docx,)
16. Ability to link documents out to another application

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17. Ability to capture historical trail on document that included who did what when
18. Ability to import data files
 - a. Example – process a file from the invoice processor (e.g. HOV currently)
19. Ability to export data files
 - a. Example – contract document to be provided to University's Contract Office or the State of Illinois
20. Ability to customize an entry portal for backend system for storage
21. Ability to include an index number to track and assign when the documentation can be disposed
22. Ability to include bar-coding on documents and link to a single transaction/artifact to help determine when the document can be disposed
23. Ability to index multiple pages verses one index per page of a document
24. Ability to have versioning with date/time

Chapter 19: Subject Matter Expert Team

The following individuals participated on the Subject Matter Expert Team of the BPI Documentation Storage project:

| Name | University/Department | Title |
|------------------------|------------------------------------|------------------------------------|
| Adam LeGrande | UIUC/AITS | Asst Dir Offc Data Autom |
| Barb LeGrant | UIUC/AITS | Assoc Dir Bus Info Syst |
| Carla Ross | UIC/Psychiatry - CS | Director of Finance |
| Connie Langley | UIUC/OBFS – University Payables | Coord Vender Database Mgmt |
| Ed Hill | UIUC/AITS | Enterprise Syst Spec |
| Hilarie Maloney | UIUC/OBFS – AVP Business & Finance | Coord BSFIN |
| Kristina Miller | UIUC/OBFS – University Payables | Data Anly Oper Support Coordinator |
| Megan Wells | UIUC/Purchasing | Contract Coordinator |
| Nelly Davis | UIUC/OBFS – AVP Business & Finance | Business/Administrative Associate |
| Rich Gegg | UIUC/AITS | Asst Dir Records Info Mgmt |
| Ruth Rios | UIC/Purchasing | Assistant Director |
| Sherri Eddings | UIUC/OBFS – Strategic Procurement | Bus Assoc - Sr Sorc & Contr Spec |
| Vernell Hammons | UIC/OBFS – Procurement Diversity | Supplier Diversity Coordinator |
| Wendy Gochanour | UIS/OBFS Purchasing | Business/Administrative Associate |

Chapter 20: University Focus Group Participants

The following list of individuals participated in a University Focus Group meeting either during the current state and/or the future state of the BPI Documentation Storage project.

| Name | University |
|------------------------|------------|
| Barnard, Jo | UIS |
| Black, Jennifer | UIUC |
| Dillavou, Darce | UIUC |
| Gochanour, Wendy | UIS |
| Gomez, Jane | UIUC |
| Grant, Treva | UIS |
| Helmuth, Angie | UIUC |
| Helregel, Sandra | UIUC |
| Rodriguez, Yolanda | UIC |
| Thomas-Eichorn, Shelly | UIUC |
| West, Brent | UIUC |

Appendix A: Business Glossary

Records and Information Management Systems

RIMS

HOV

Vendor located in Rantoul that scans invoices and provides electronic image and indexing files

Appendix B: UIUC Purchasing Naming Conventions Matrix

| Document | Naming Convention |
|--|---|
| Name Convention Rules for <u>ALL</u> Documents: <ul style="list-style-type: none"> ➤ There are no spaces, underlines or other characters used in the document name. ➤ Capital Letters are used to differentiate between words, e.g., CapitalWorks. | |
| Sole Source Justification Form (SSJF) | <ul style="list-style-type: none"> • BuyerCode~FiscalYear~Requisition# <ul style="list-style-type: none"> • Buyer Code = 1+3 digit buyer initials • Fiscal Year = Last two digits of fiscal year • Requisition# = Banner or iBuy Requisition # • Vendor = Vendor Name (If no Requisition #) • If there is no Requisition #, the vendor name is substituted. • Example: 1DJL12R0123456 or 1DJL12CarpetWeavers • The naming convention is also used as the PPB posting number. |
| Solicitation | <ul style="list-style-type: none"> • BuyerCode~FiscalYear~Sequential# <ul style="list-style-type: none"> • Buyer Code = 1+3 digit buyer initials • Fiscal Year = Last two digits of fiscal year • Sequential # = Begins with 01 • Example: 1DJL1101 • The naming convention is also used as the PPB posting number. |
| Contract Template | <ul style="list-style-type: none"> • C~BuyerCode~FiscalYear~Requisition# <ul style="list-style-type: none"> • C = Type the letter "C" • Buyer Code = 1+3 digit buyer initials • Fiscal Year = Last two digits of fiscal year • Requisition# = Banner Requisition # • Vendor = Vendor Name (If no Requisition #) • If there is no Requisition #, the vendor name is substituted. • Example: C1DJL12R0123456 or C1DJL12CarpetWeavers |
| Amendments | <ul style="list-style-type: none"> • Add "A#" to the end of the document number • The # is sequential starting with A1 • Example: 1ABC1101A1 |
| State Conflict of Interest Form | <ul style="list-style-type: none"> • Use the Solicitation Naming Convention • Add to the end: COI • Example: 1DJL1101COI |