# LOYOLA UNIVERSITY
# CHICAGO
# PURCHASING DEPARTMENT

The purpose of this document is to provide guidance and instruction on the adherence to certain requirements as set forth in the University Contract Policy. A copy of the policy can be found under the policy section of the purchasing website at the following link: http://www.luc.edu/purchasing/contractpolicy/index.shtml. As a result of the Contract Policy, all University Departments are required to centralize all of their relevant executed contracts, agreements and other legally binding documentation in the University's central repository (DocFinity). While the Contract Policy requires all contracts in excess of $150,000 are added to the central repository, Departments are encouraged to utilize this system to archive all of their contracts, regardless of dollar amount. Certain exceptions do apply (Gifts and Sponsored Programs).

It is the goal of this process to document all executed contracts and also ensure that, where required, no disbursements are made by LUC without a final executed agreement on file. In accordance with the University Contract Policy, the Accounts Payable Department will not process any single payment in excess of $150,000 without the existence of the appropriate documentation. Special considerations will be made by the Purchasing Department to review account activities when the aggregate spend of a vendor exceeds $150,000. It will be the responsibility of each department to make sure the requisite documentation is imported and archived timely to ensure an uninterrupted flow of payment to vendors.

Throughout this document we will provide guidance on the following:

1. Test (Q&A) vs. Production Environments
2. Basic System Overview and Navigation
3. Importing Documentation
4. Creating Batches
5. Indexing Documentation
6. Contract Management BPM
7. Accounts Payable BPM
8. Searching and Retrieval
9. System Security

Be advised that should a department require the additional document types or a change in security or access they can contact the ECM team at ecmrequest@luc.edu or Purchasing Department at purchasing@luc.edu.

## 1. Test (Q&A) vs. Production Environments

Note: Both the Q&A and Production environments reside within the University firewall and in order to access outside of the University network requires the requisite remote access rights. (VPN, Global Connect, etc.).

Test (Q&A) Environment

The Test, or Q&A(Quality and Assurance), environment is a space where you can test the application for different scenarios to ensure that the system is working the way it is intended to with respect to expectation and established business processes. In most cases, this environment will be used before official go-live dates to verify process integrity. Once a department is live in Production, the Q&A environment can be used as a sand box to test other issues that may arise during normal use. If there is a unique issue, it is recommended you test this issue in the Q&A environment in order to ensure that it fits within the scope of the live Production environment. Should the Production environment not satisfy the issue, you will have to contact the help desk at extension 8-4487 or e-mail to helpdesk@luc.edu in order to rectify the situation. The Q&A environment can be accessed at: https://docfinqa11.luc.edu.

Production Environment

The Production environment is the live system where you will be able to scan, import, index and retrieve your contracts, agreements and other legally binding documentation. Please recall that each department is required to capture all of their relevant documentation in excess of $150,000 and requiring a payment obligation on the behalf of the University. This environment is only available to authorized users as defined by each department. We will discuss the features of the Production environment in the following sections. The Production environment can be accessed at: https://docfinity.luc.edu.

***Important: The Q&A and Production environments appear to be very similar so please use caution when accessing the intended workspace.***

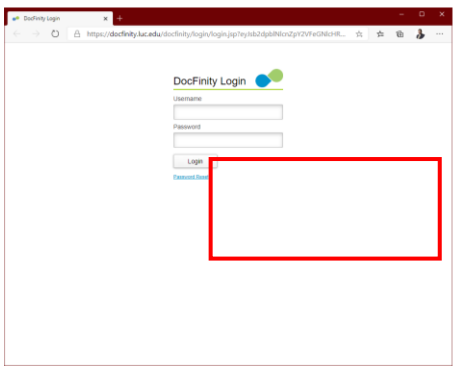
## 2. Basic System Overview and Navigation

DocFinity as a resource can be used to house any type of document including but not limited to the following: Pdf documents, Microsoft Office Files (Excel, Word, Power Point, Access, Visio), .tiff, .jpg, e-mails.

Recall:

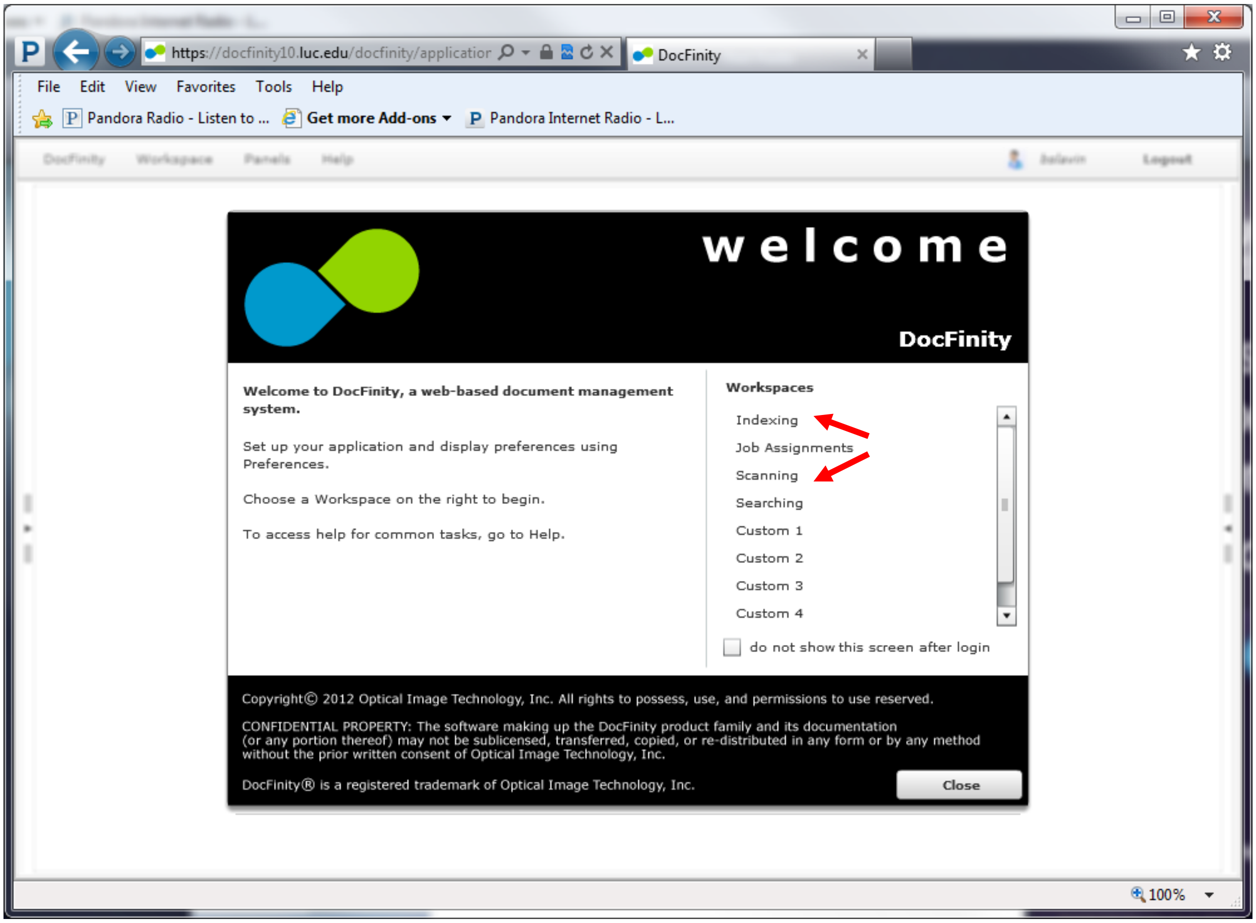
Q&A: [https://docfinqa11.luc.edu](https://docfinqa11.luc.edu).
Production: [https://docfinity.luc.edu](https://docfinity.luc.edu).

To log in to either environment you will be required to use your regular network user id and password as the credentials. Once entered, click on *Submit*.




When you log in, you will be provided a dashboard for navigation. Be advised that your navigation pane will only provide those workspaces that the user has security to access.

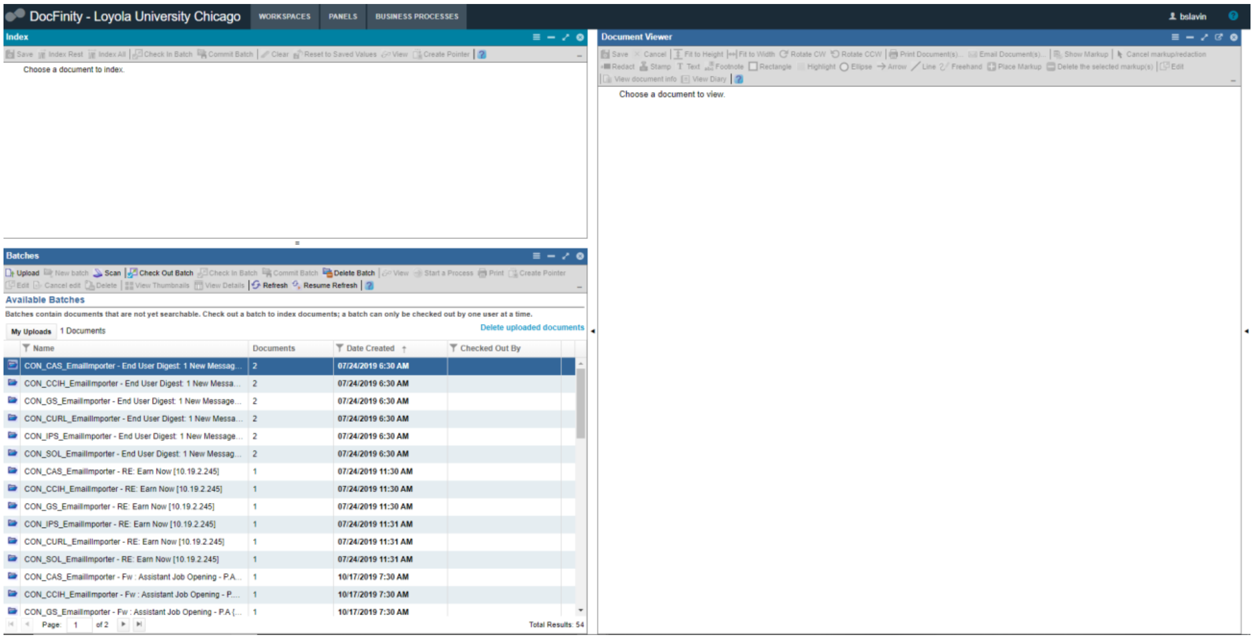
The primary Workspaces that users of the Contracts repository will have access to are the Indexing and Searching Workspace.



In the Indexing Workspace:

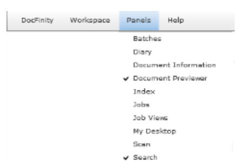
a. Panels: Each workspace is laid out in “panels”. The panels each represent a specific function in the workspace. They can easily be modified in various ways. They can be resized or rearrgaed like any other window. In addition, additional panels can be added by clicking on the Panels option in the menu bar and clicking the desired panel.


b. Batches: This section lists all of the batches that have been establised. Document can be imported using “My Uploads” or thru e-mail importer. These processes will be discussed later.
c. Indexing Panel: Area where you will assign index values for your document
d. Document Previewer: This is the area where you can view your document.
e. Thumbnails Space: If your document contains multiple pages you can view thumbnails of the pages.
f. Document Navigation Arrows: You can advance through a given documents pages or between the Document in a batch.
g. Document Actions Drop Down: You can access a panel to perform various document actions suc as: email, open as PDF, Markup, etc.
h. Zoom in and Out




<u>In the Searching Workspace:</u>

a. Panels: Each workspace is laid out in panels. The panels each represent a specific function in the workspace. These panels can be modified in various ways. They can be resized or rearrgaed linke any other window. In addition, additional panels can be added by clicking on the Panels option in the menu bar and clicking the desired panel.

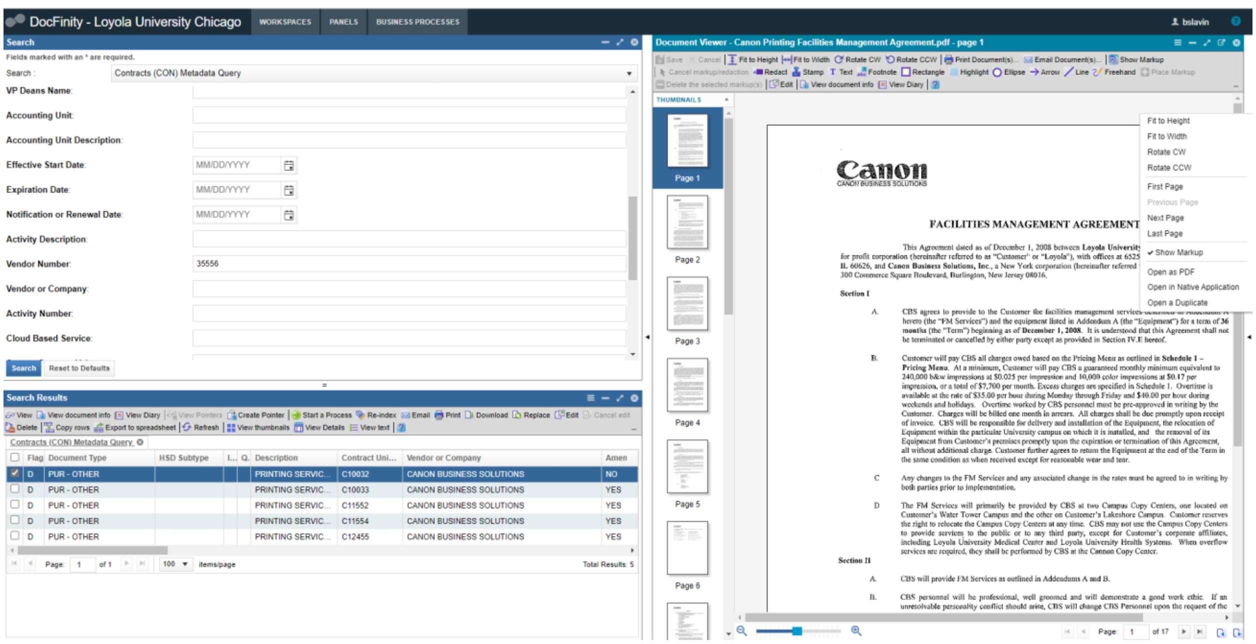



b. Search: This is the area where you can query for a document (or documents) you would like to review. We have a number of different querries available for searching for contracts:
   - Contracts Metadata Query: With this query engine you can search for a document by setting any of the estiblished criteria in the indexing list. The more fileds you enter the more refined your search becomes.
   - Contracts Full Text Search: With a full text search you can query by a work or phrase and the results will provide you with any document that contains that word or phrase. Be aware that the ability of DocFinity to provide for a Full Text Search depends on the quality of the image as it is imported into the systems. In order for this to work, the document must be a generation one,

native document or one that was scanned from a native document at a DPI of greater than 300.

- Other Custom Queries: Each department has specific needs unique to their own business operation. Custom queries can be created on an as needed basis to meet those needs.

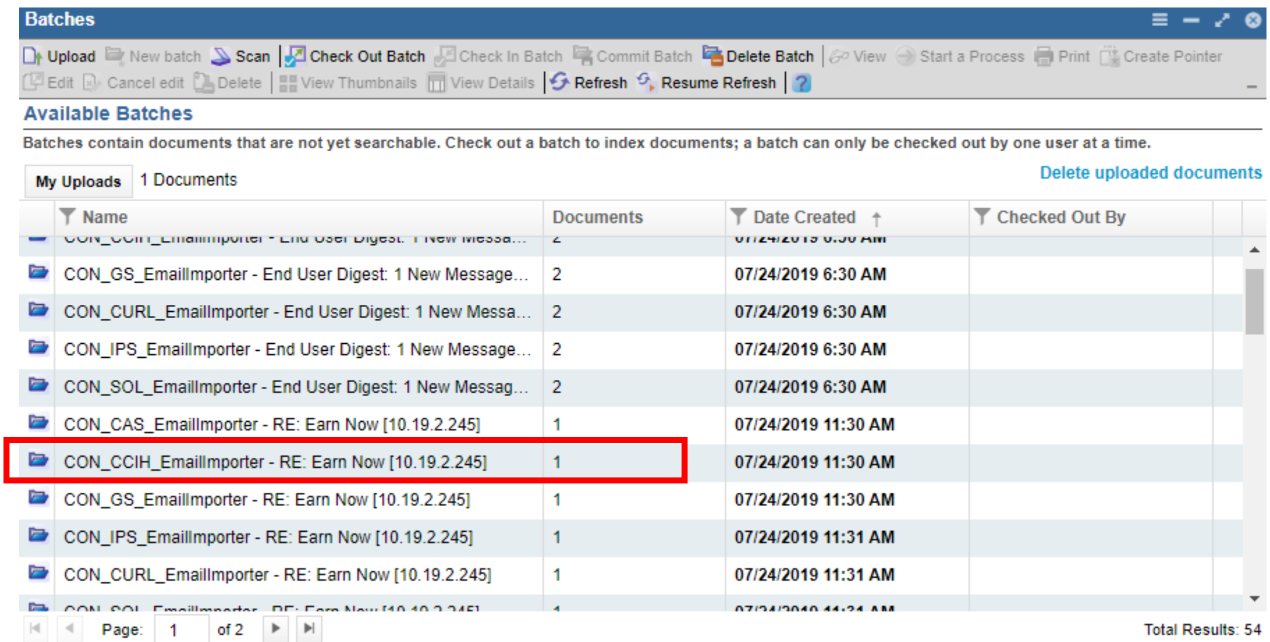
c. Search Results: Based on the criteria and querry performed, the Search Results window will provide all of the documents that meet your search criteria.
d. Search Pane Action Items: These will be discussed in section 6. Searching.
e. Document Previewer: This is the area where you can view your document.
f. Thumbnails Space: If your document contains multiple pages you can view thumbnails of the pages.
g. Document Navigation Arrows: You can advance through a given documents pages or between the Document in a batch.
h. Document Actions Drop Down: You can access a panel to perform various document actions suc as: email, open as PDF, Markup, etc.
i. Zoom in and Out



## 3. Importing Documentation

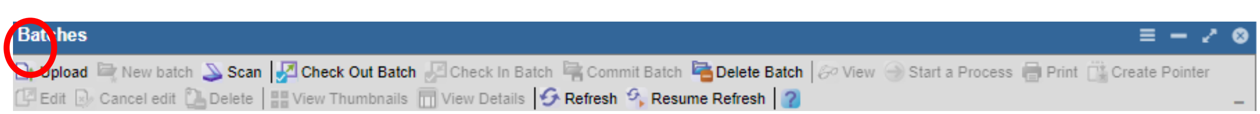
There are two methods for importing documentation into DocFinity: E-mail Importer and My-Uploads.

<u>E-Mail Importer:</u> E-mail Importer is a useful tool to import documents into DocFinity. Through this process, you can e-mail items to DocFinity using a department specific and unique e-mail address that will be assigned to you at the time your department is live with the DocFinity System. When you have a document, you can forward those items (including important e-mails or other attachments) to the Indexing Workspace. These documents will automatically appear in the Batches list shortly after they have been sent. Each document sent via this method will show in the list as an e-mail importer document and will include a date and time stamp.

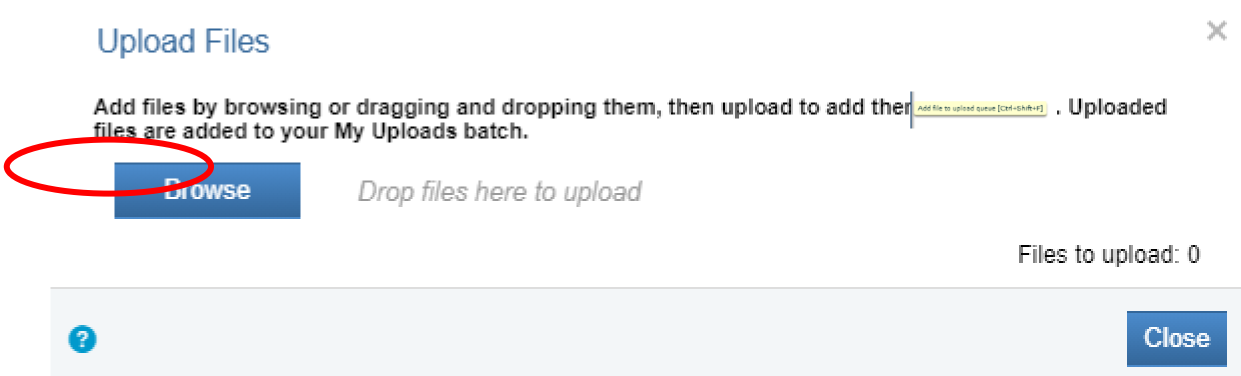



<u>"My Uploads:"</u> "My Uploads" can be used to import documents that you have residing on your local or network drives. This will be the most convenient process for importing historical documents that currently exist. Once you have uploaded document you can immediately index them or create a batch for indexing at a later time. The process for using "My Uploads" is as follows:

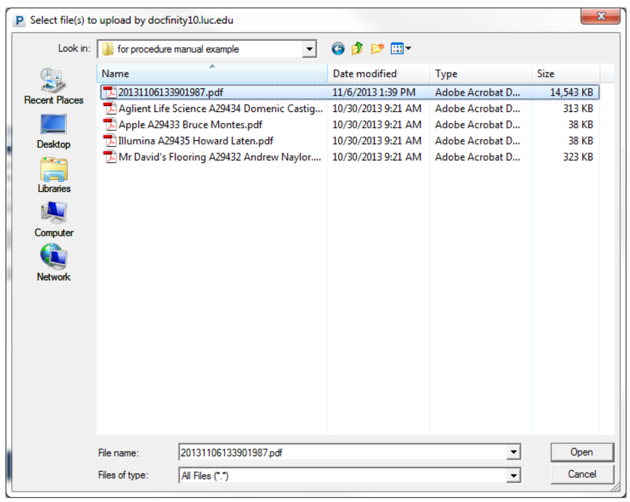
- From the Indexing Workspace select the Upload Files button from the Batches Button Bar. You will be prompted with a new Upload Files window.



- In the Upload Files window, select the “Add file to upload queue” button 

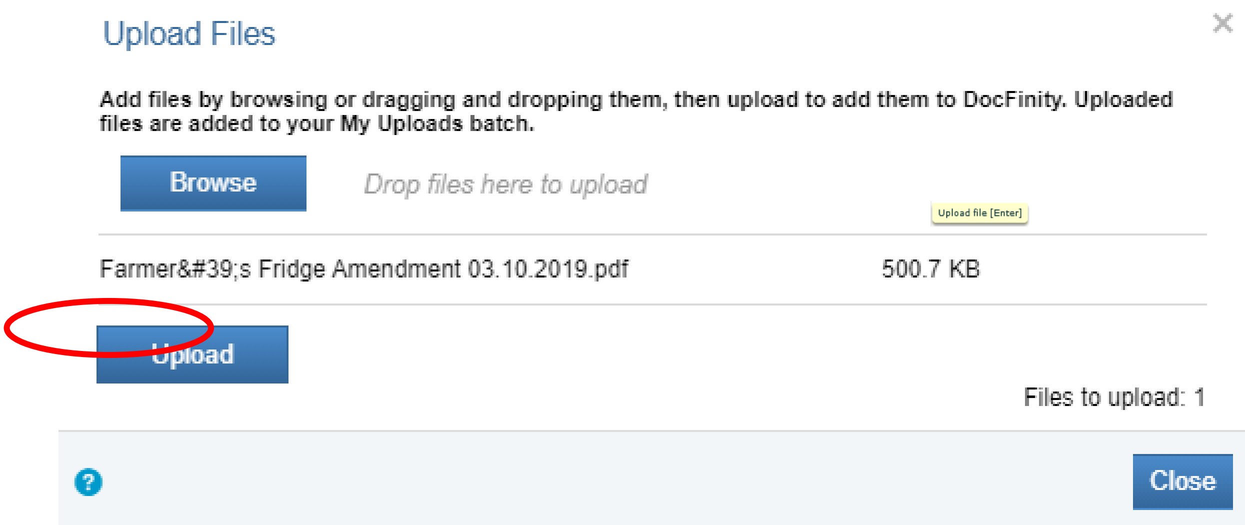



- Locate and select the file(s) that you would like to import into DocFinity.




You can select multiple files by using the Shift or Ctrl + Click methodology or you can select one at a time by going through these steps and then going back and clicking on the  to go to additional locations for other files.

- Once you have selected the files for import, you can complete the import by clicking on the Upload File button 

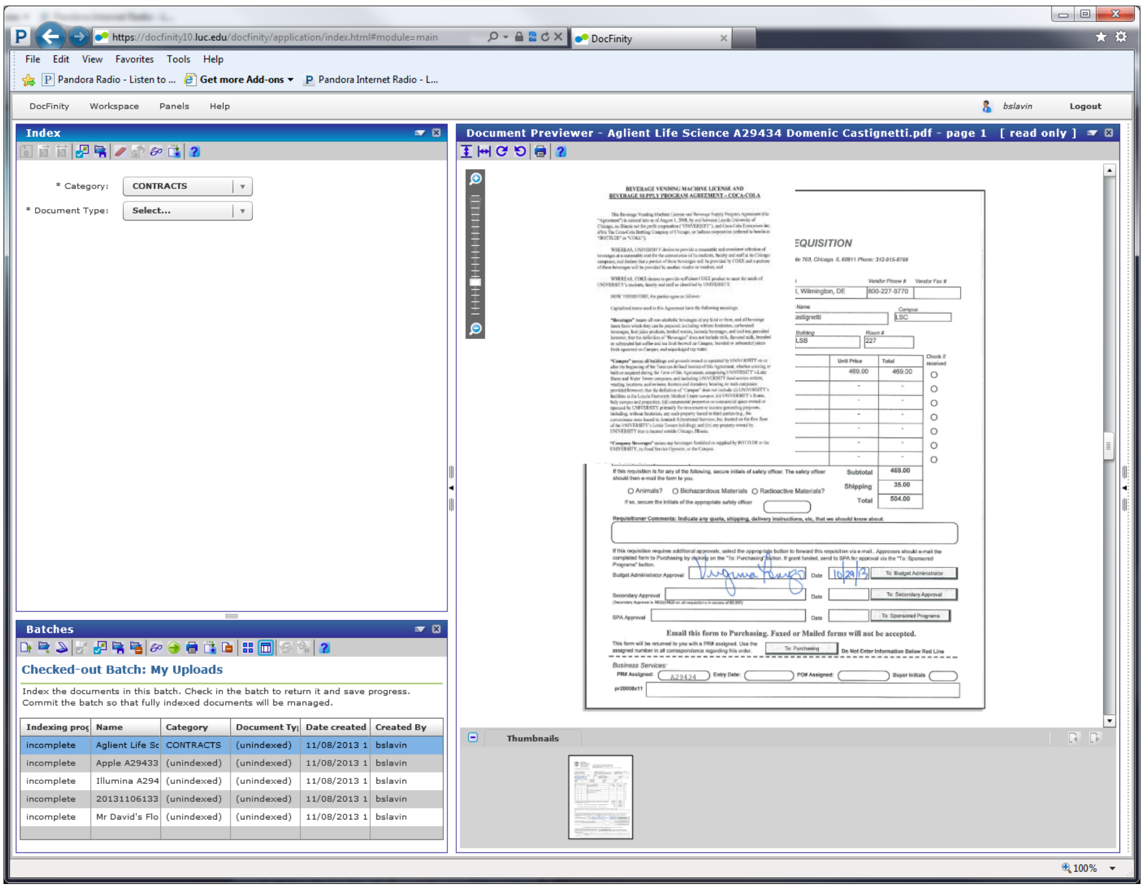



- Upon Uploading the files you will notice if the Upload was successful by Green Stars in the Status field. Should there be an issue, you will be prompted to re-try the import process. Upon a successful upload, you can click on the Close Button.

- Once you click on Close you will be routed to the Indexing Step in the DocFinity process. At this stage you can either save these documents as a batch for later indexing (section 4 Creating Batches) or you can index the documentation (section 5 Indexing Documentation).

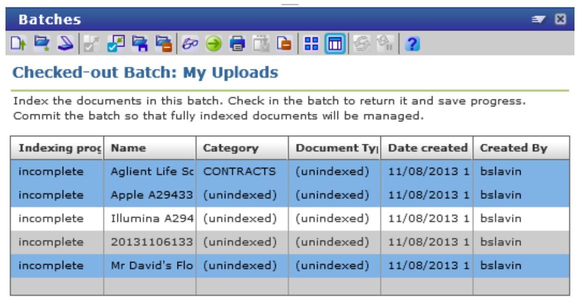
## 4. Creating Batches

Any documentation sent to DocFinity using the e-mail importer will automatically create a batch in the Indexing Workspace. When using “My Uploads” you will have the ability to create a batch or batches of the documentation imported using the steps above. In order to create a batch of items imported:



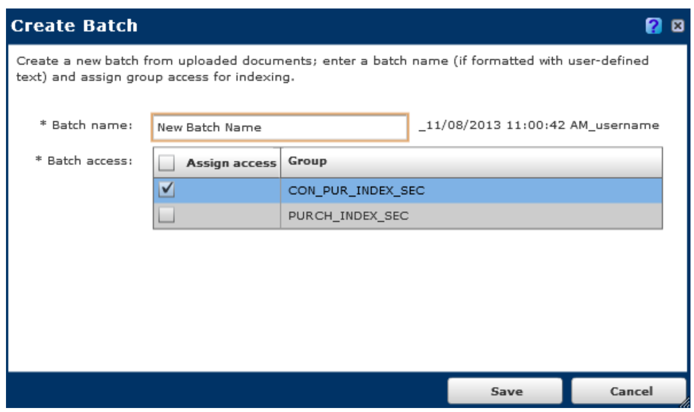

| Indexing proc | Name | Category | Document Ty | Date created | Created By |
|---|---|---|---|---|---|
| incomplete | Aglient Life Sc | CONTRACTS | (unindexed) | 11/08/2013 1 | bslavin |
| incomplete | Apple A29433 | (unindexed) | (unindexed) | 11/08/2013 1 | bslavin |
| incomplete | Illumina A294 | (unindexed) | (unindexed) | 11/08/2013 1 | bslavin |
| incomplete | 20131106133 | (unindexed) | (unindexed) | 11/08/2013 1 | bslavin |
| incomplete | Mr David's Flo | (unindexed) | (unindexed) | 11/08/2013 1 | bslavin |

- From the documents window, you can highlight one or more documents to include in your custom batch. You can use the Shift or CTRL + <Click> method to make these selections. Notice in the following example that we have selected 3 items for our custom batch (see the blue highlighted items).

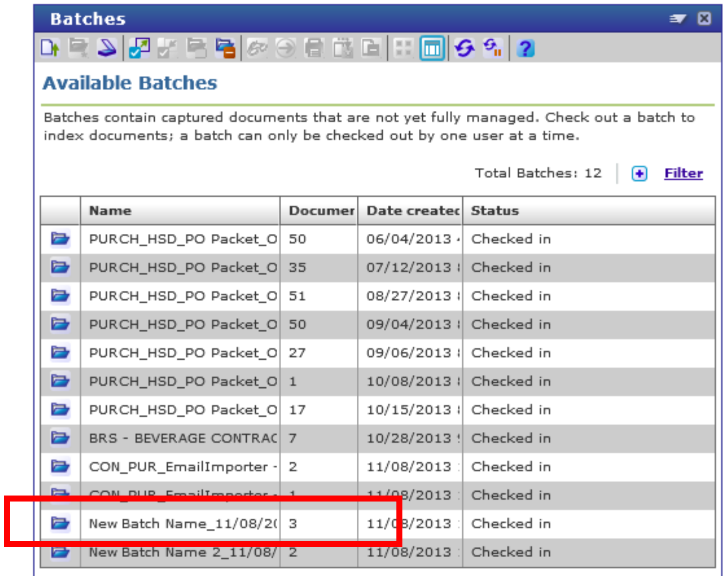



- Now that we have selected the items for our batch, we can proceed with defining the batch by clicking on the Create a new batch button from the Button Bar: 

  Once you select your documents and click on the button, you will be prompted with the Create Batch Window. From this window you can assign a Batch name and Access Group (your group will be assigend to you during the implementation and training process) and then Click Save.




- You will need to create new batches or index (see section 5 Indexing Documentation) all of the documents imported. Once all have been addressed you will now notice that you have a new batch (or batches) in your Batch listing.

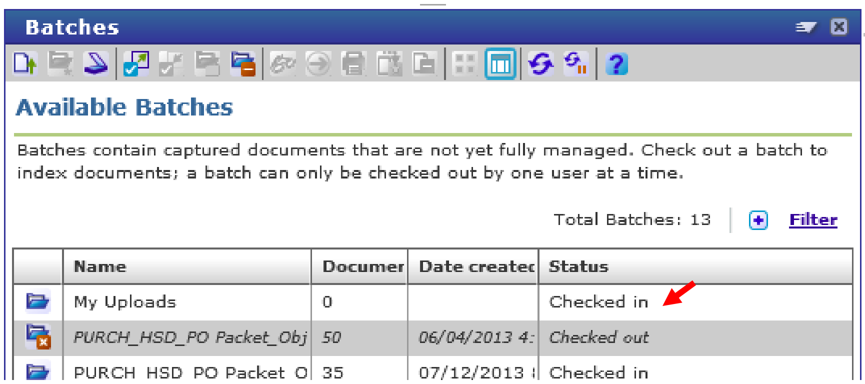



## 5. Indexing Documentation

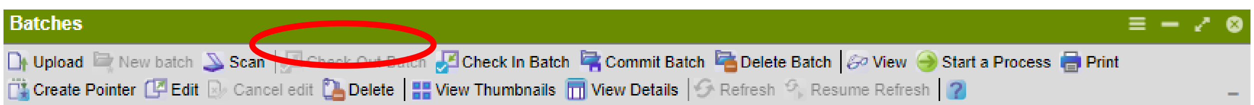
For the Contracts repository in the DocFinity system, there are standard index values that must be used with each repository. Departments currently have the ability to become more granular in the indexing schema. Under the current structure, the following are all of the used index fields across all Contract repositories. The standard index values are **in bold.**

| INDEX VALUES | | | |
|---|---|---|---|
| **Accounting Unit** | **Contract Unique ID** | Grant Administrator | Required Total |
| **Accounting Unit Description** | **Department Name** | HSD Subtype | **Status** |
| **Activity Description** | **Department Number** | ITS Subtype | **Subtype** |
| **Activity Number** | **Description** | **Lease** | **Vendor Number** |
| **Amendment** | **Effective Start Date** | **LUC Payment Obligation** | **Vendor or Company** |
| **Approx Contract Value** | **Event Date** | Notes | Voluntary or Mandatory |
| **AU Description** | **Exhibit or Attachment** | Payment Frequency | **VP Deans Name** |
| **Board Approval Received** | **Expiration Date** | QSB Subtype | **VP Deans Number** |
| Campus | Federal or Non Federal | **Reference Unique ID** | Workflow Indicator |
| Cancellation Date | Fiscal Year | Reporting Period Beginning | |
| Cloud Based Service | Fully Executed | Reporting Period Ending | |

It is important to note that when indexing documents in DocFinity, you cannot have multiple batches open at a given time. If you have a batch open (i.e., checked out), you must complete that batch. If you have a problem that requires follow up and you would like to put a batch "to the side for later," you must check the batch back in. For example, to open a batch, first verify if it is available for review. The status field will indicate if a batch is available (see image below).




- If you have a batch open and you would like to return it to the un-indexed queue, you can simply click on the "Check In Batch" button from the button bar . This will return the bacth and allow you to access a different batch for indexing.




Important Note: The indexing of documentation is meant to cover 3 areas of documentation: The original Contract or Agreement, any Amendment or Extension, and Attachments, Exhibits or supporting documentation.

Each document that is indexed will be given a system generated unique identification number (Contract ID Number). This number will be used to reference and link the subsidiary documents (amendments and attachments) to the original agreement. For the sake of an example we will index three documents to show how we can link the documentation together.

When you begin indexing, please take note of common index fields:

- Contract Unique ID: This is a system generated number that will be used to help identify and track the document in the system. We recommend that you keep track of these ID's in your records.
- Reference Unique ID Number: This field will be used to link the Amendments and Attachments to the Original document.
- Department and VP/Dean Information: This information defaults based upon the creator of the document. It is tied to the User ID. This information will help analyze contracts on a department and division wide basis.
- Vendor Information: The Vendor information requested is the vendor information that would be used when requesting payments through the Accounts Payable Departments. If you are familiar with the Vendor Number you may populate it in the Vendor # filed. If you do this the Vendor Name will automatically populate. If you do not know the vendor

number, please leave the defaulting 'XXXXXX' and indicate the vendor name manually in the field provided.

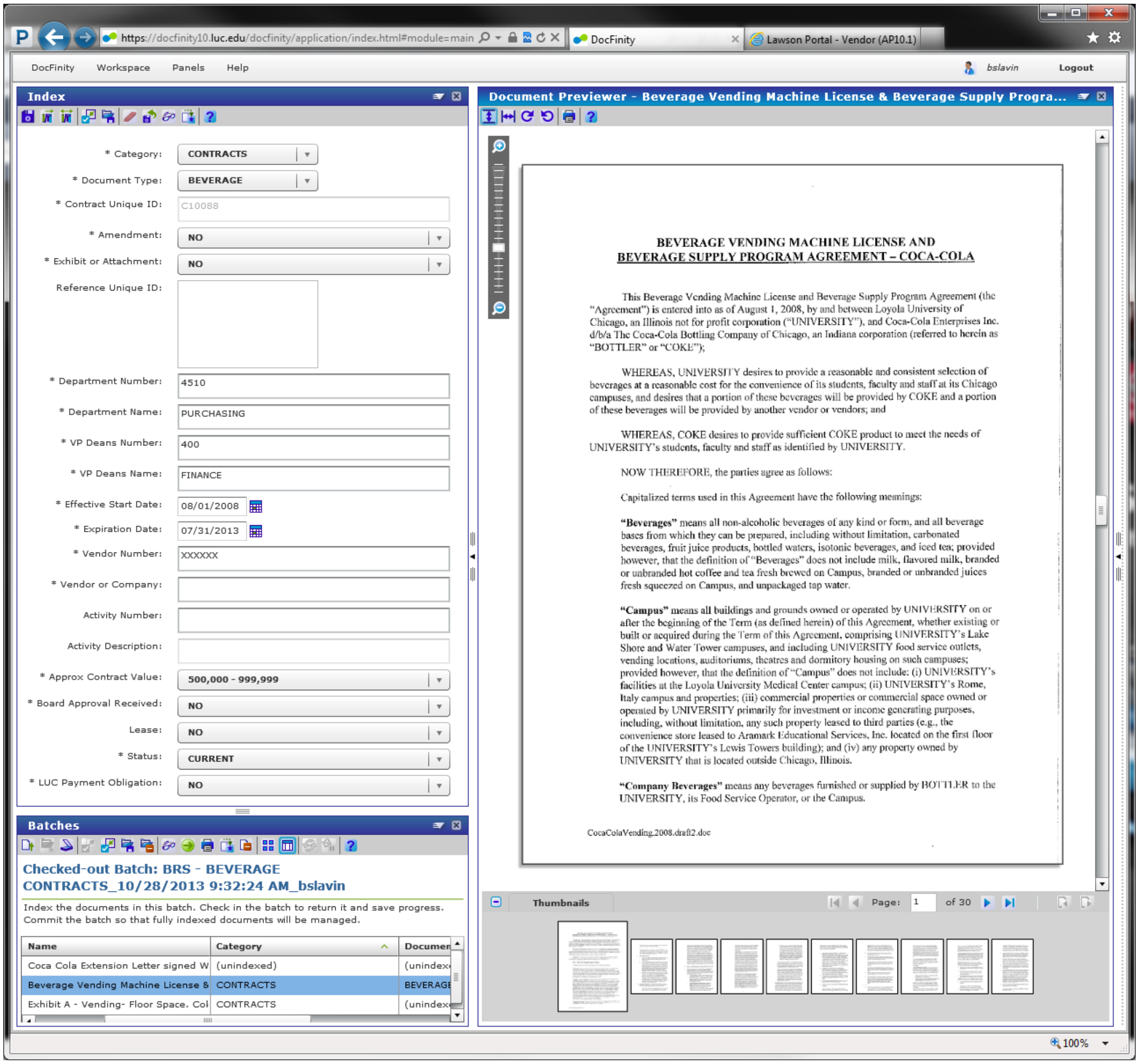
- Activity: This is the capital project number assigned to construction and other high dollar capital projects. If your contract pertains to an Activity, it should be provided.
- Approximate Contract Value: It is understood that it is difficult to estimate a contracts value. Please provide a best approximation for indexing purposes.
- LUC Payment Obligation: Does the contract or agreement in question require a payment obligation on behalf of the University. In other words do you anticipate completing a Check Request for this vendor at some point in the future?

*Example 1: Indexing the Original Contract, Agreement, or Legally Binding Document:*

The first step is to import your document and create the relative batch. To index the document, select the desired batch from the Indexing Workspace Batches pane listing. Once you open the batch, the Batches Pane will now list the documents that are within your batch. Locate the document you would like to index and double click on that item.

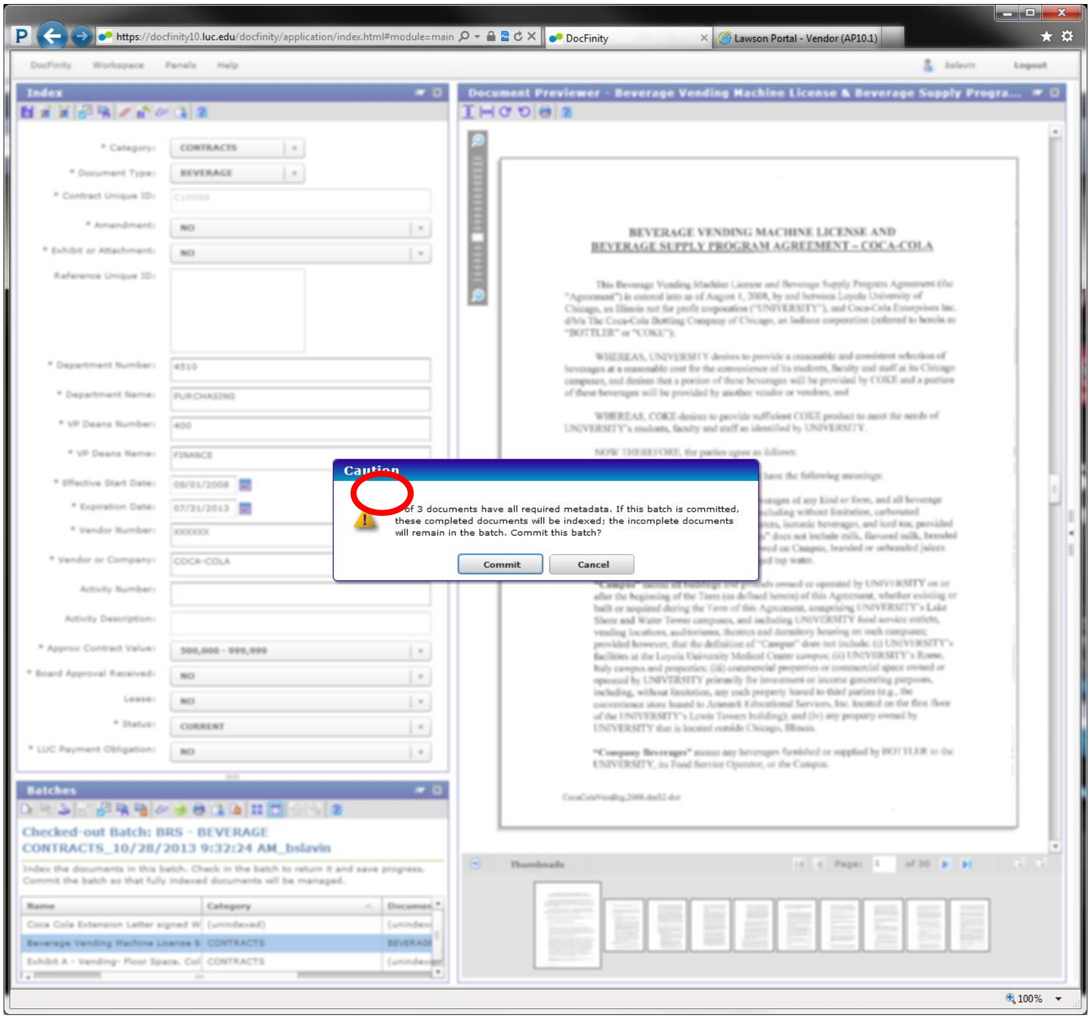
When this is done, the document will display in the Document Previewer Window. You can also view the pages by navigating through the thumbnails that can be displayed at the bottom of the Document Previewer pane.

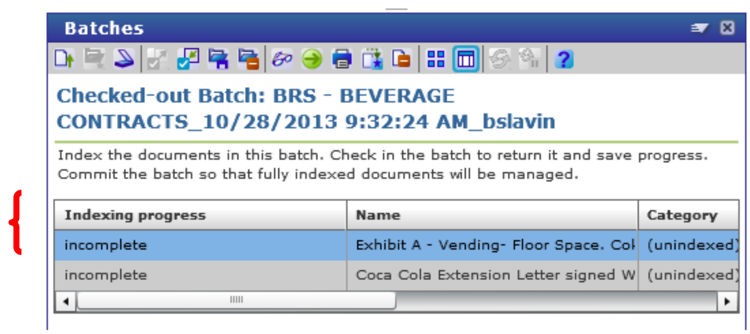
In the Index pane, you will need to populate the index values as necessary. Be advised that any index value designated with a '*' is a required field.




Once you have finished populating all of the relevant index information, you can either continuing indexing any other documents in the batch or you can complete the indexing process by clicking on the Commit Batch Button from the toolbar 


When committed, the system will indicate what portion of the current batch can be completed based upon the number of documents and the completion of all required index fields. If there are some completed documents, the system will allow those to complete and will remove those from your list. Any incomplete documents can be addressed or returned to queue (checked back in) for later action.




Notice only 1 of 3 was committed and the other 2 remain on the list.

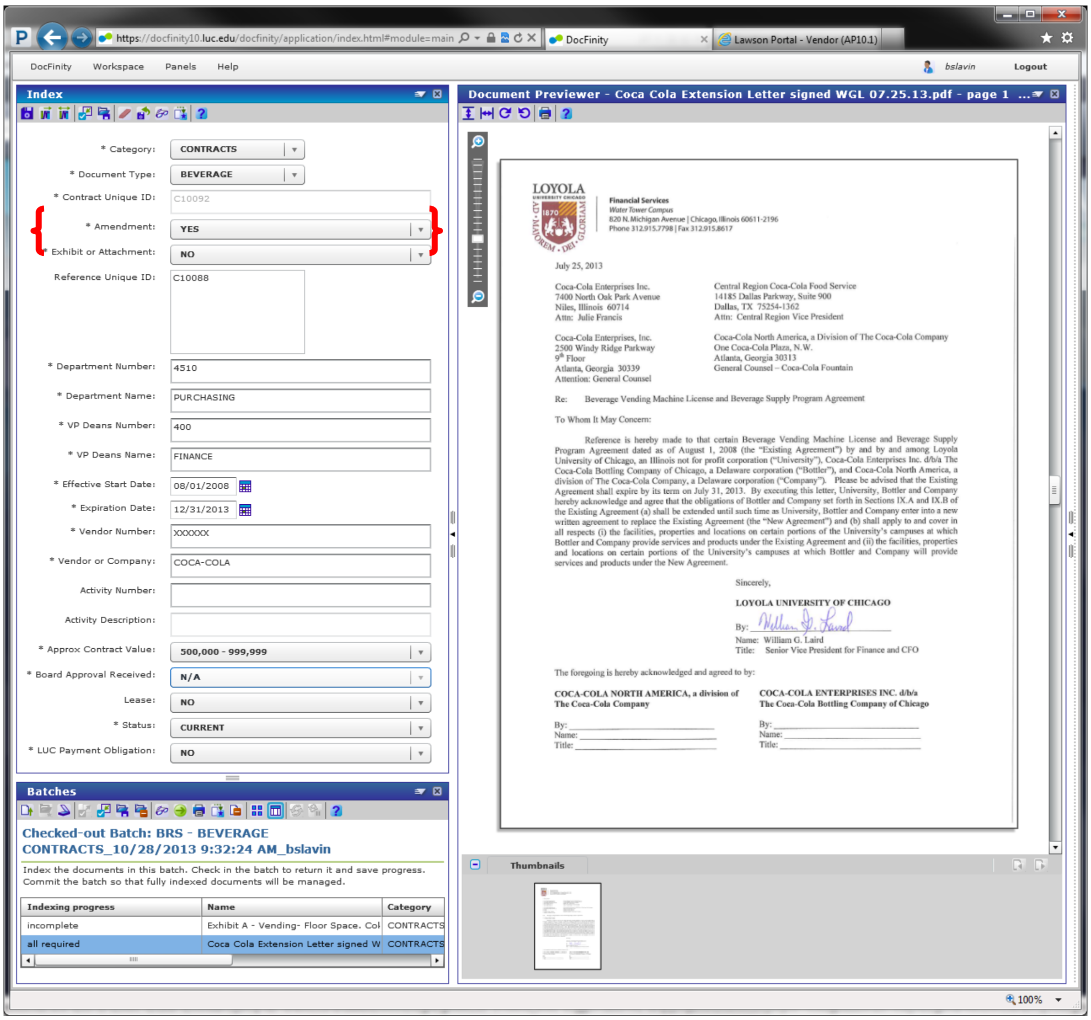
*Example 2: Indexing an Amendment or Extension*

The steps to take for this type of document are the same as the example above. There are only two elements that change. When an Original Contract or Agreement already exists in the DocFinity system, it will have an associated Unique Contract ID Number. For Example 1, the assigned Unique Contract ID was C10088. We will use this reference for this example.

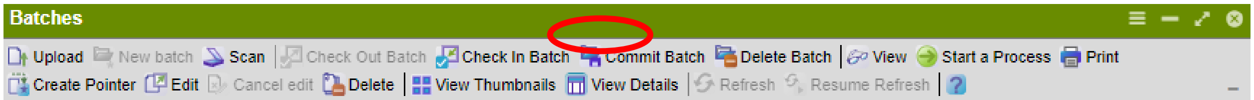
As we complete the routine steps for importing a document, we will have to address two index fields differently: The Amendment (or Extension) field and the Reference Unique ID field. All other fields are consistent with normal considerations. For this Extension the index values will be as evidenced in the below screen shot.

Please notice:

- Amendment field is now set to Y for ‘yes’ as this document n Amendment.
- Reference Unique ID field now references The Unique ID from the Original Document (C10088). This will link this new document to the original document. The importance of this feature will be further evidenced during Section 6 Searching.




Once you have finished populating all of the relevant index information, you can either continuing indexing any other documents in the batch or you can complete the indexing process by clicking on the Commit Batch Button from the toolbar 




When committed, the system will indicate what portion of the current batch can be completed based upon the number of documents and the completion of all required index fields. If there are some completed documents, the system will allow those to complete and will remove those from your list. Any incomplete documents can be addressed or returned to queue (checked back in) for later action.

*Example 3: Indexing an Exhibit or Attachment*

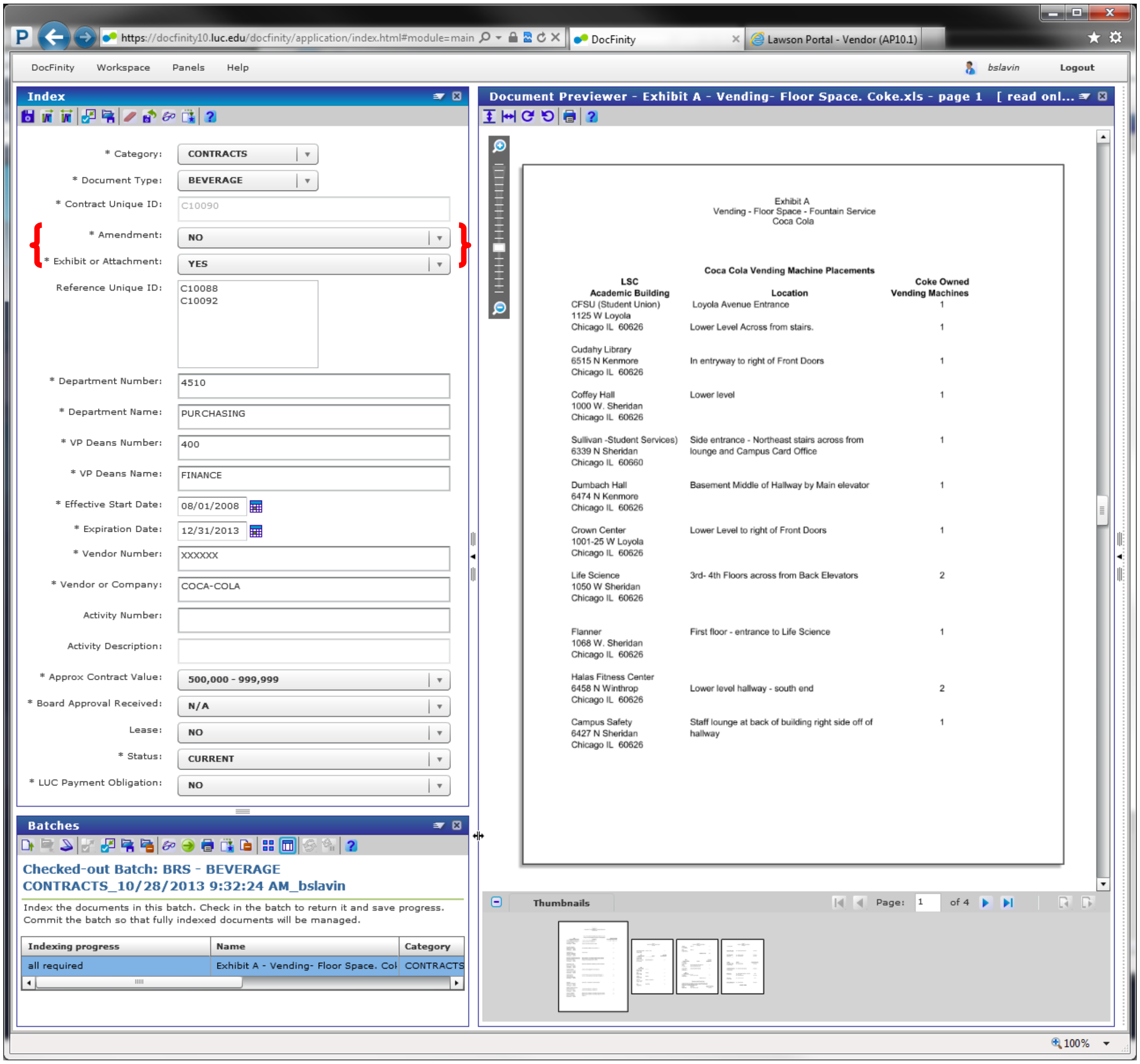
Often times, exhibits or attachments are part of the formal contract or agreement. In those cases these items can be captured as part of that "document." In other instances, the exhibit or attachment can be included separately such as an Excel or Visio file. In these cases we can import these files and index them in the same way as above. There are only two elements that require additional considerations.

Remember, when an Original Contract or Agreement already exists in the DocFinity system, it will have an associated Unique Contract ID Number. For Example 1, the assigned Unique Contract ID was C10088. We will again use this reference number for this example.

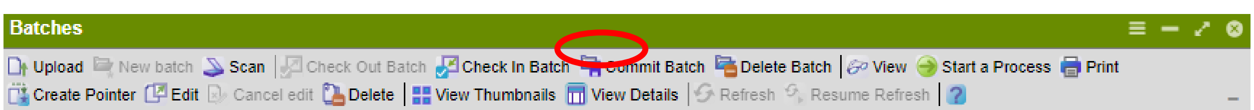
As we complete the routine steps for importing a document, we will have to address two index fields differently: The Exhibit or Attachment field and the Reference Unique ID field. All other fields are consistent with normal considerations. For this exhibit index values will be as evidenced in the below screen shot.

Please notice:

- Exhibit or Attachment field is now set to Y for 'yes' as this document is an Exhibit.
- Reference Unique ID field now references The Unique ID from the Original Document (C10088). This will link this new document to the original document. The importance of this feature will be further evidenced during Section 6 Searching.
    - Additionally we could also include the Contract Unique ID from Example 2. This will allow us to link this Exhibit to both the Original Contract and the Amendment.



Once you have finished populating all of the relevant index information, you can either continuing indexing any other documents in the batch or you can complete the indexing process by clicking on the Commit Batch Button from the toolbar 




When committed, the system will indicate what portion of the current batch can be completed based upon the number of documents and the completion of all required index fields. If there are some completed documents, the system will allow those to complete and will remove those from your list. Any incomplete documents can be addressed or returned to queue (checked back in) for later action.

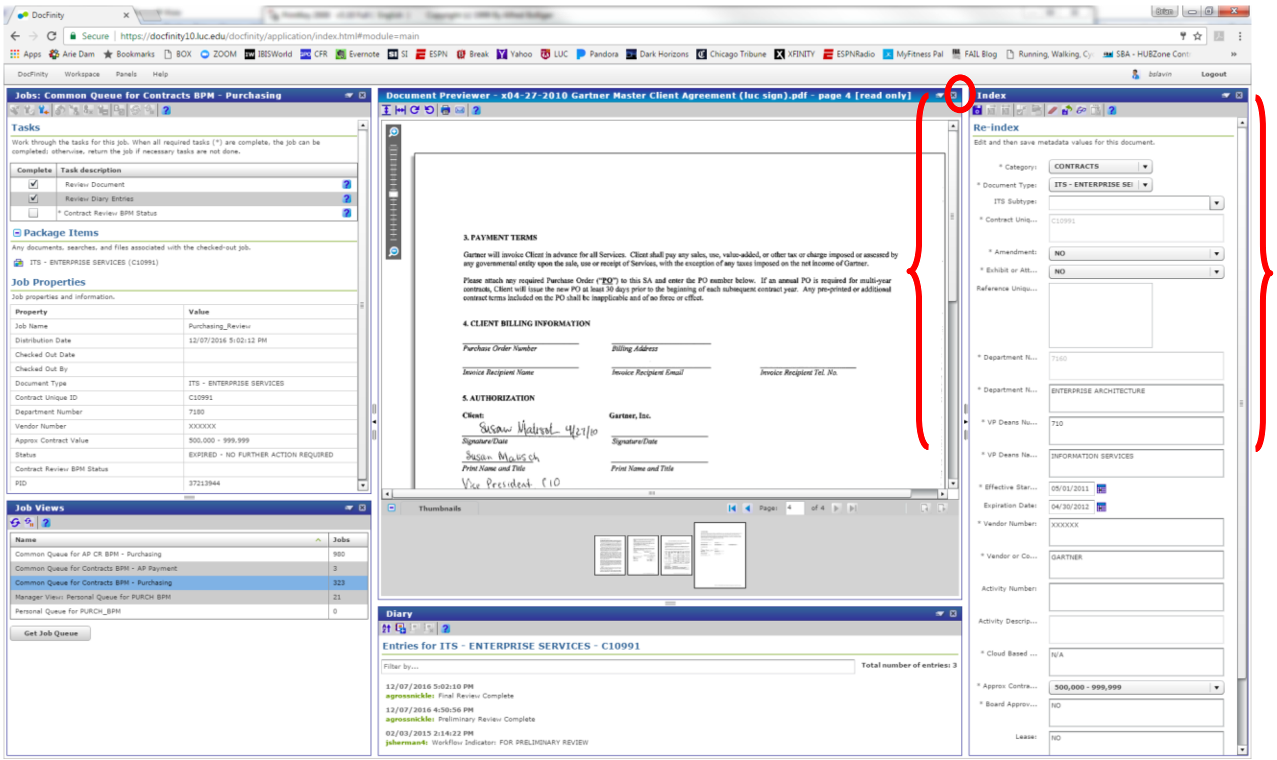
## 6. Contract Management BPM

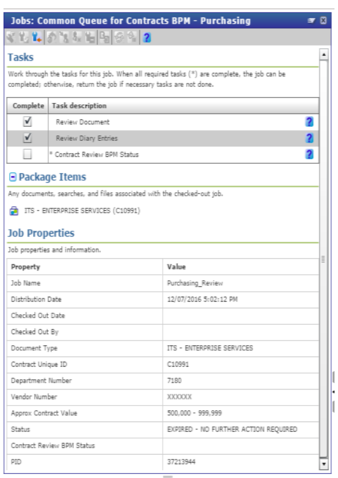
Once users have indexed and released their Executed Agreements in DocFinity, Procurement Services Contract Management will begin a detailed review through the DocFinity Business Process Management routine. This process will ensure that the document indexed are executed in accordance with the University Contract Policy. The process for this review is as follows:

The designated Contract Management personnel will log into the DocFintiy Contract Review BPM to review each document. The individual will review each document for the following criteria:

- Contract Completeness: are all of the pages included and legible?
- Exhibits or Attachments: are the necessary exhibits or attachments provided per the terms of the agreement?
- Amendment: confirm that the document is appropriately marked as an amendment.
- Reference Unique IDs: ensure that all other related documents are referenced appropriately.
- Contract Execution: is the contract executed by an authorized designee of the University?
- Index Accuracy: are the indices accurate?
- Vendor Assignment: has the document been assigned to a Vendor?
- Contract Vendor: is the vendor assigned a currently designated Contract Vendor with the University?
- Notification or Reminder: did the department provide a reasonable notification or reminder date?
- Auto-Renewal: does the contract automatically renew itself at the end of the primary term?
- Approximate Contract Value: Confirm that the document has been appropriately valued.

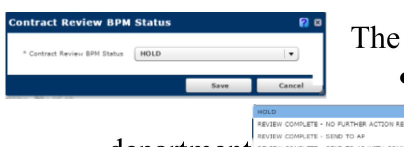
As exceptions to the above are identified, the Contract Management personnel should re-index the information as necessary by making a change in the index panel and saving their changes.




Once the indexes are confirmed, the individual must initiate the workflow by clicking on the **“Contract Review BPM Status”** from the task description panel.

Upon selection, the user will be prompted with a number of selections:




The user will select:

- Hold if it is determined that something is missing and the department needs to be contacted.
- Review Complete if there is no further action required.
- Review Complete – Send to AP (with or without comment) if the contract Vendor needs to be designated as a Contract Vendor

Once the selection for BPM routing has been completed, the user will select “**Commit Job**” 

from the tool bar to execute the BPM. The user can then move to the next document in the workflow.

## 7. Accounts Payable BPM

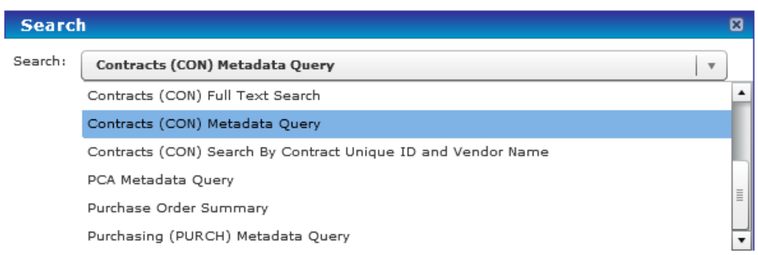
In the process of the Contract Management BPM, if a document is deemed to require Accounts Payable Review, the selected BPM will send the document to AP through the predefined workflow. It is the responsibility of Accounts Payable to access this BPM queue to find those vendors that need to be designated as Contract Vendors in the Lawson System. Once this designation has been made, the AP representative will release the document from the BPM queue.

## 8. Searching and Retrieval

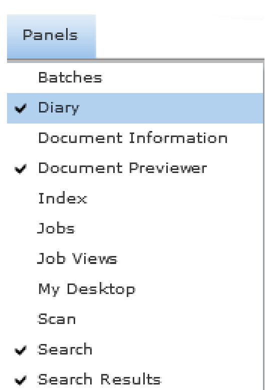
Documentation will be ready for Searching and Retrieval once all of the appropriate indexing fields have been populated and the relative batches have been committed. Batches that are not properly committed will not appear in the search workspace.

There are various types of searches that can be done in order to find a document you are looking for. The most common is the Metadata Query which gives you the ability to search for a document using any one of the index values that were assigned to a document. Additionally, we have the ability to perform a Full Text Search which is a highly advanced feature for searching for a word or phrase within a given document. Be aware that the ability of DocFinity to provide for a Full Text Search depends on the quality of the image as it is imported into the system. In order for this to work, the document must be a first generation native document or one that was scanned from a native document at a DPI of greater than 300. Finally, custom queries can be created for each department upon request. This can be done in order to specifically identify unique needs for each department. For the sake of our manual, we will only be discussing the Metadata query.

By opening the Search Workspace you can select the query method you would like to use by clicking on the Search drop down:

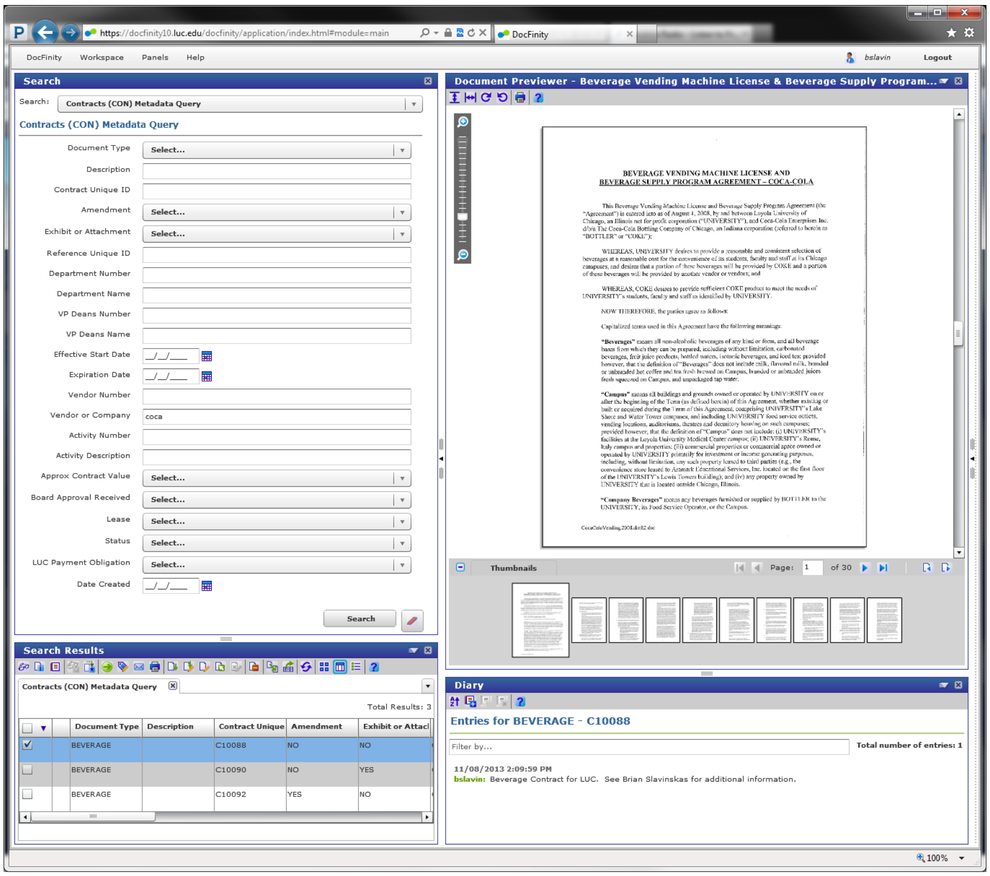



It is recommended that in Search Workspace that you activate the Diary Entry Panel by clicking on the Panel option in the menu bar and then selecting Diary Entry from the drop down. Users can enter and review diary entries that are entered by users to give important information about the documents in question.



*Contracts Metadata Query*

By using this query, you can search by any index value.  The more index values you enter, the more streamlined your search will be.  Once you indicate your search criteria you can hit <Enter> or click on Search.  Your results will appear in the Search Results pane.  You can scroll down or sort by each column by clicking on the column headers to find your desired document.  Once identified, you can double click on the item to open the document in the Document Viewer panel.




Once you have your documet in the Previewer pane you can decide to take certain actions via the document tool bar.  Actions that are available include the following:

-  E-mail the Document:  You have the option to e-mail the document to a recipient.  An e-mail box will open within the DocFinity Application and you can send a message and attach a copy of the document in a .pdf format.
-  Print the Document: Users can also select to print the document if necessary.  In order to use this feature, the printers would need to be set up within the DocFinity Application.  This is done by the ECM staff.
-  Download the Document:  This will allow you to save the document in it's native Application.  For example, an Excel File would download as an .xlsx file.