County of Westchester

Onbase Unity Client-Workflow Manual

Board of Acquisition & Contract

Resolution Submission (Departmental Process)

Version 2

Information Technology – Workflow Group

October 24, 2018

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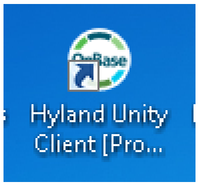
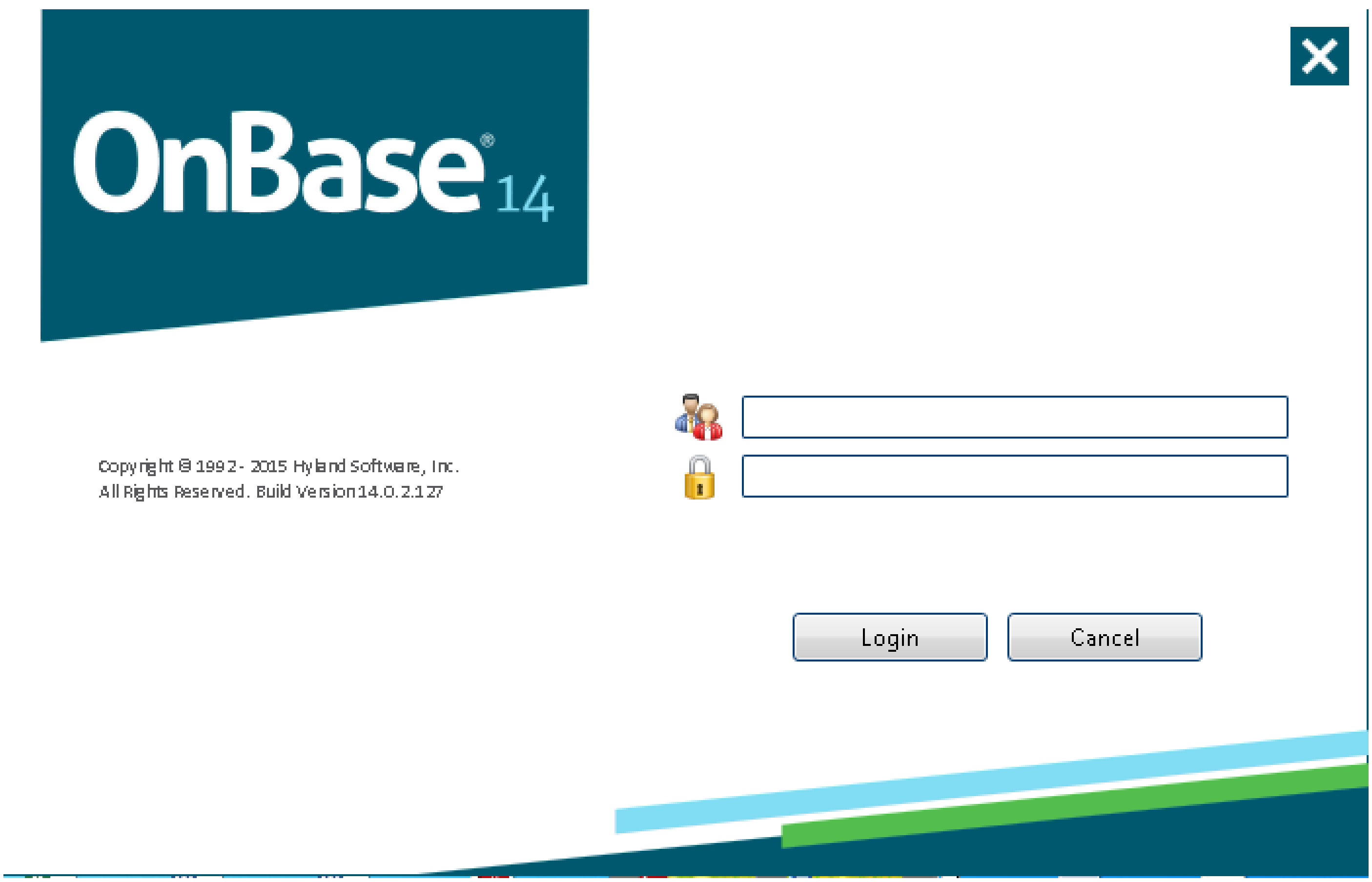
Accessing the Onbase Workflow

Login to Onbase

Double Click on the Hyland Unity Client (Production) icon on your desktop.



You will then see the Onbase Login screen. Login in with your Onbase credentials and click on the "Login" button.



GENERAL INFORMATION REGARDING THE WORKFLOW

Glossary

The following terminology is used throughout this manual:

Term Definition

UNIQE ID (identification) – Unique number assigned to each A&C Submission Package

Life Cycle The passage of a document through your normal business processing (i.e. From Originator to Department Approver is part of the A&C life cycle).

Queue A Queue is a stop or state that a document can be in during the business process. The queue is the point at which work is performed on the document. This work will vary from one queue to another and depends on the state of the document at the time.

Workflow A workflow module allows you to enhance your normal business process by allowing you to use the system not only to store documents but also to track the progress of those documents through your normal business process. This workflow module has been designed specifically for the County of Westchester's A&C Resolution Submission process

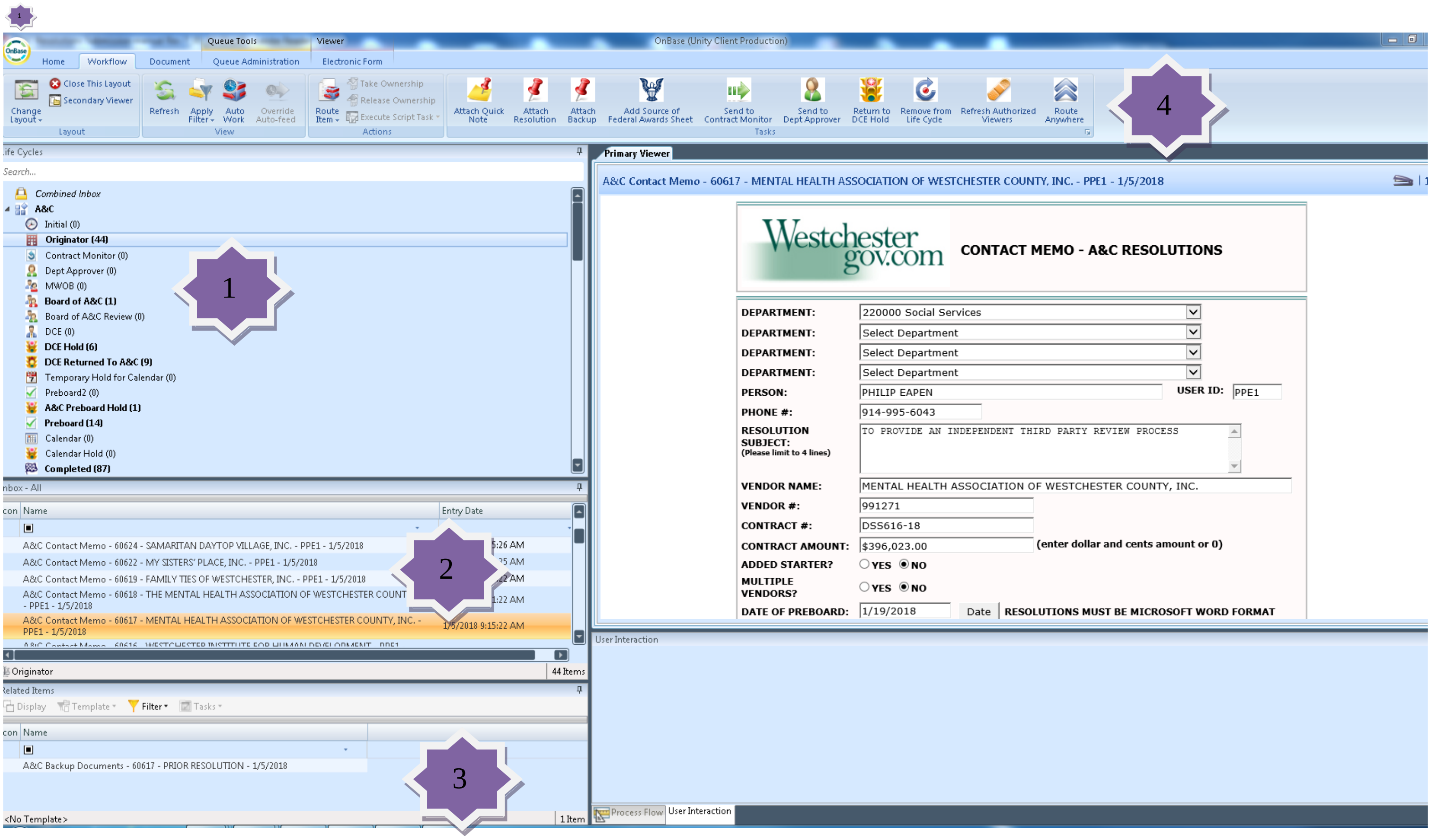
Dialog Box A "pop-up" window that appears requesting further input on a specific area. For example, when printing, a Print Dialog box will appear requesting such information as Portrait or Landscape.

Eform Electronic Form

Icon A picture representation of a queue or action tool within the program.

Navigating Workflow

Workflow Navigation



1) Workflow Queues – Queues that you have access to will be listed in this window pane. The number after the queue name is the number of documents that are waiting to be worked on.
2) Inbox – When you enter a queue you will be listed with the documents waiting to be worked on. The document information is listed and sortable by the column information.
3) Work Folder – The work folder displays all related documents that have been configured to help complete the workflow process.
4) Tasks – The lists of ad hoc tasks you have access to complete in the current queue. These will perform specific actions on the selected document.

<u>Note:</u> If your screen does not look like the above, with 4 window panes, you may want to change your layout. At the left in the ribbon, click on **Change Layout** and select Classic. Select Yes to change your layout and your screen layout will change.

A & C Workflow Queues

A queue is a stop or state that a document can be in during the business process. The queue is the point at which work is performed on the document. The work that is performed will vary from one queue to another and will depend on the state and queue that the document is in at the time. The arrangement of the queues and the transitions made between them, determine the visual representation of the life cycle.

<u>The A&C Resolution Submissions Workflow departmental queues are:</u>

- ***AC - Originator***

The Originator queue pertains to the person in the department that is responsible for creating the package of resolution documents for submission to A&C. Originator staff creates the Contact Memo first, then will attach any additional supporting documentation.

- ***AC – Contract Monitor***

Once the Contact Memo document is created and appropriate documents (resolution & backup) attached to it by the Originator, the package is forwarded to this Contract Monitor queue for review. Revisions can be made, documents can be attached, and it can either be sent on for approval or sent back to the originator for more information. ***(Note: Some departments may choose not to have this queue, and A&C packages will go directly from Originator to Department approver.)***

- ***AC – Department Approver***

Once the submission package is created and reviewed by the contract monitor, it goes to the department approver. From here it can be sent back, or approved and sent on to the Board of A&C for inclusion on the next PreBoard meeting.

Workflow Mail

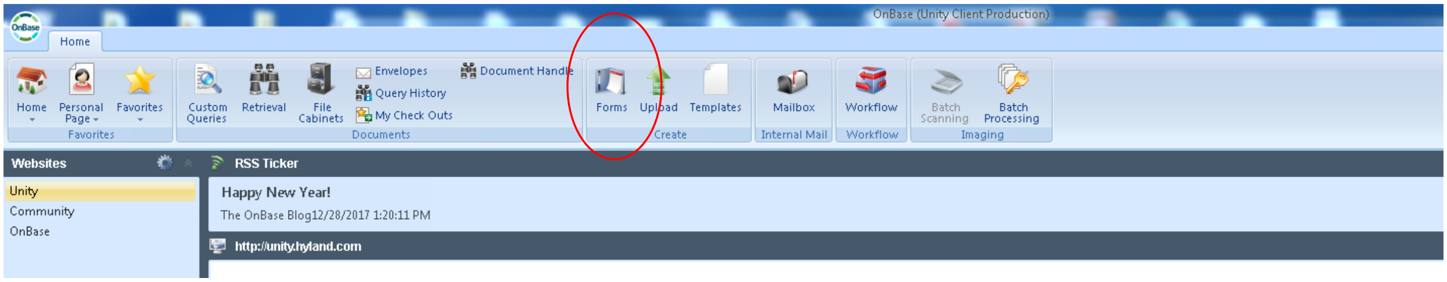
Once a submission package is forwarded on to the next queue in the workfllow, an Outlook email will be sent to members of that queue to notify them that there is something for their review .

The people in the following departmental workflow queues will get Outlook email anytime a document arrives in their queue for processing:

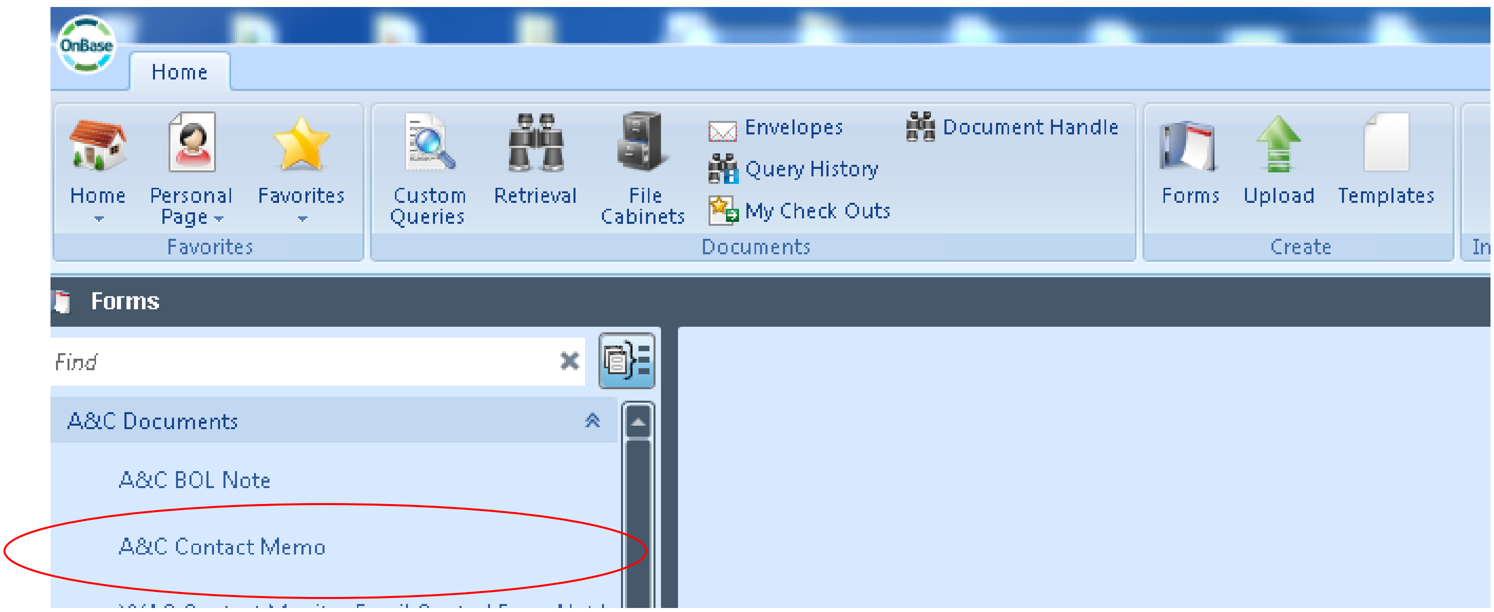
Originator (Returned for more information)
Contract Monitor
Department Approver

Creating a New Contact Memo

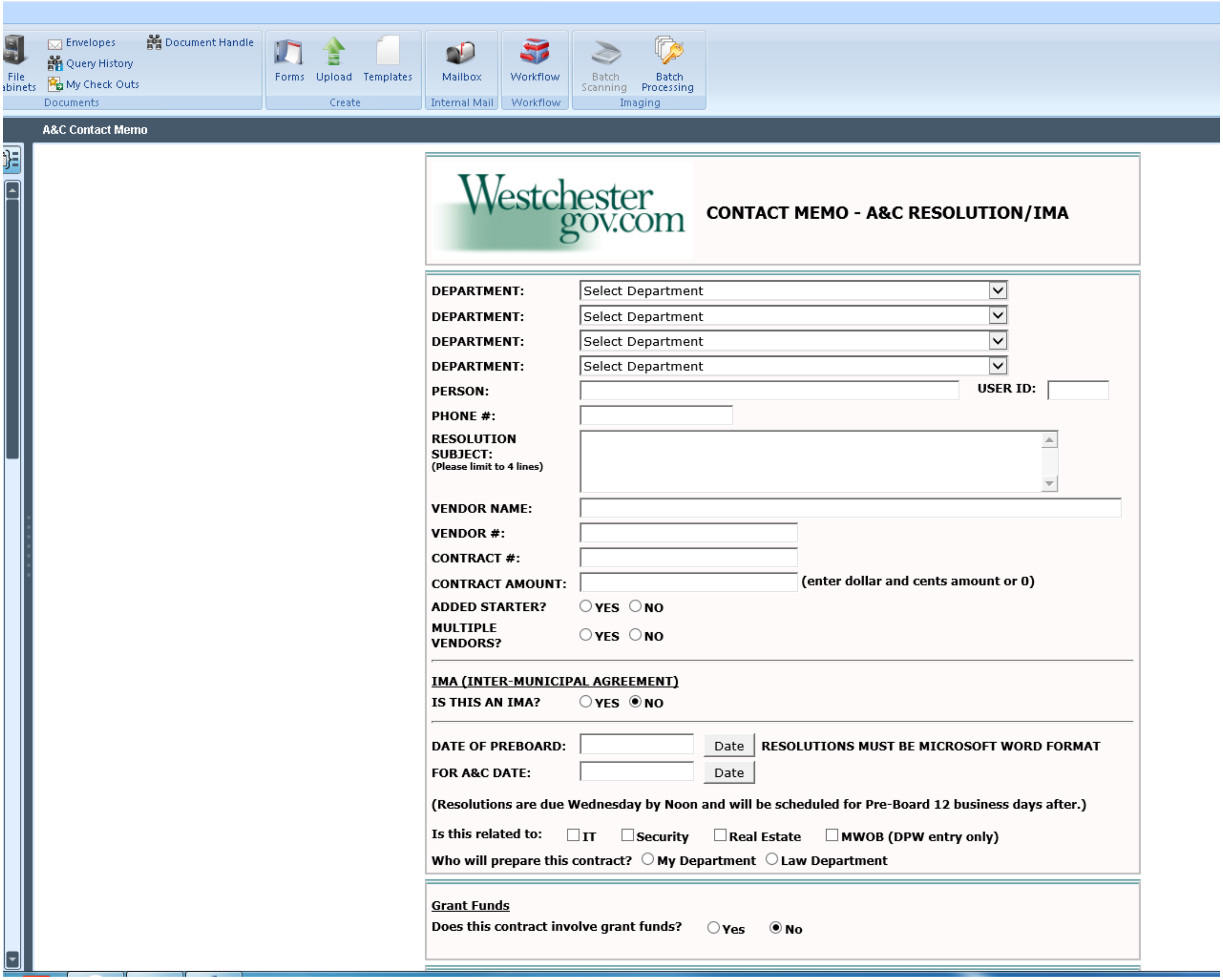
To create a new A & C Contact Memo, Click on the “Forms” button on the ribbon (see below)



Then click on the A & C Contact Memo in the Forms section A & C Documents list.



The Contact Memo form will appear in the Preview window.



Creating A Contact Memo Cover Sheet

Below is a description of how to enter the data on the Contact Memo

Field Name	Status	Notes
• Department	Required	Select from the drop down list. (There are four allowed because there can be up to four departments that may have to approve a resolution. In most cases, there is only one.)
• Person	Required	The name of the person filling out this form. The contact person
• User ID	Required	Person filling out the form. Must be filled in
• Phone #	Required	Person filling out the form. Must be filled in
• Resolution Subject	Required	A thorough and concise description of the resolution subject

Field Name	Status	Notes
• Vendor Name	Required	Must be filled in
• Vendor #	Required	If the vendor already has a County vendor number, fill it in. If not, enter N/A.
• Contract #	Required	If this is an amendment, enetr the contract #. If not, enter N/A.
• **Added Starter?**	Required (normally “No”)	NOTE: Added Starters **cannot** be submitted without prior approval by the Deputy County Executive. Added starter are Resolutions that are submitted after the deadline established by the Board of Acquisition & Contract for submissions
• **Multipurpose vendors?**		

IMA (Inter-municipal Agreement)

The IMA section is new on this Contact Memo form. It was added to the contact memo because some IMAs do need the Board of A&C approval.

- Is this an IMA?

If you select "Yes", then the section expands to include the BOL Approved Date and the BOL ACT/Local Law.

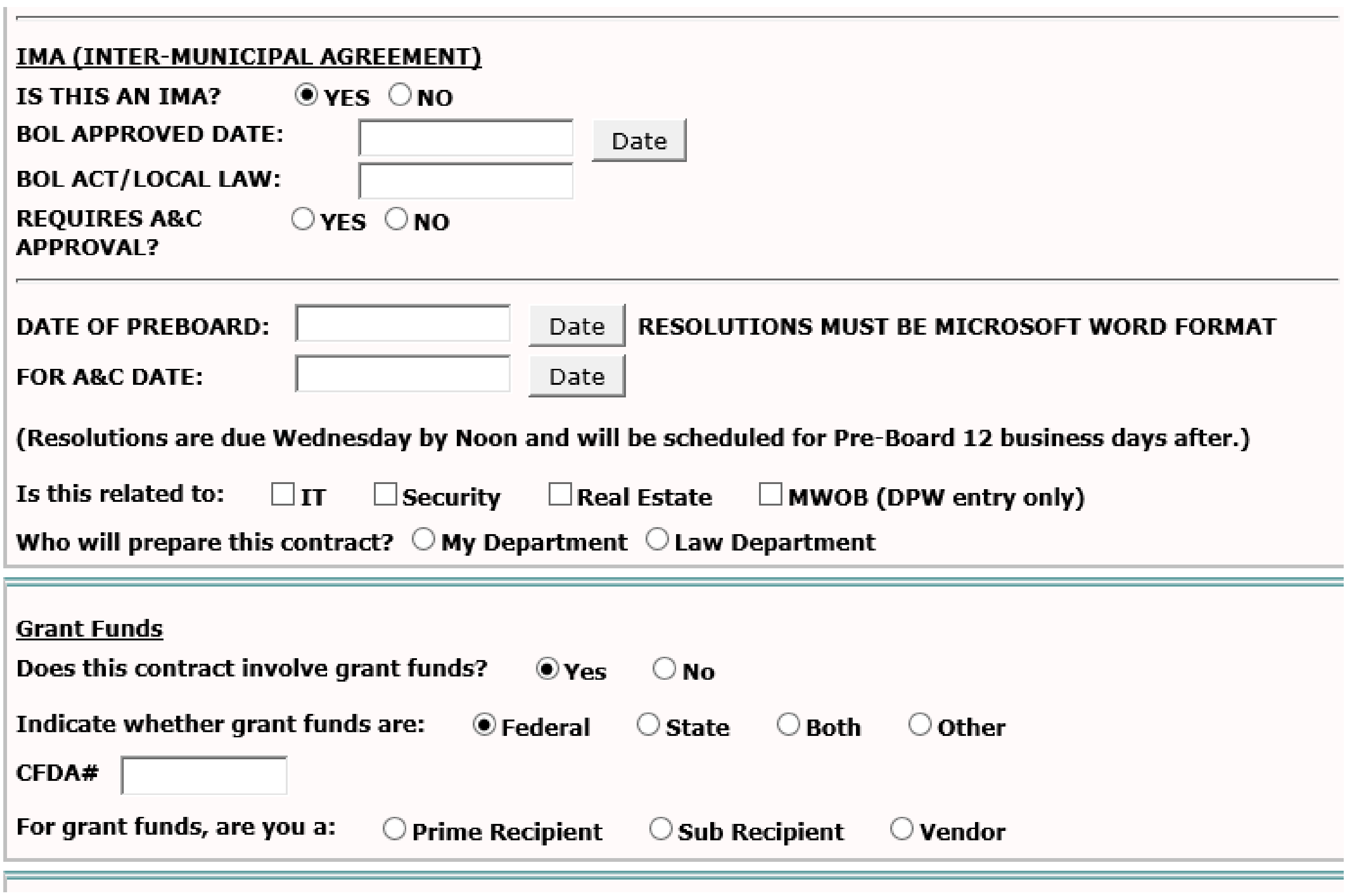
- Requires A&C approval?

If you select "Yes", the IMA contact memo will go through the normal Board of A&C approval process but you must include the BOL Approved Date,

BOL ACT/Local Law

And you must upload/attach the BOL/ACT Local Law document

If you select "No", then the IMA contact memo will skip the Board of A&C approval and go straight into the Contracts Management workflow.



IMA (INTER-MUNICIPAL AGREEMENT)

IS THIS AN IMA? (•) YES ( ) NO

BOL APPROVED DATE: [ ] Date

BOL ACT/LOCAL LAW: [ ]

REQUIRES A&C APPROVAL? ( ) YES ( ) NO

DATE OF PREBOARD: [ ] Date RESOLUTIONS MUST BE MICROSOFT WORD FORMAT

FOR A&C DATE: [ ] Date

(Resolutions are due Wednesday by Noon and will be scheduled for Pre-Board 12 business days after.)

Is this related to: ☐ IT ☐ Security ☐ Real Estate ☐ MWOB (DPW entry only)

Who will prepare this contract? ( ) My Department ( ) Law Department

Grant Funds

Does this contract involve grant funds? (•) Yes ( ) No

Indicate whether grant funds are: (•) Federal ( ) State ( ) Both ( ) Other

CFDA# [ ]

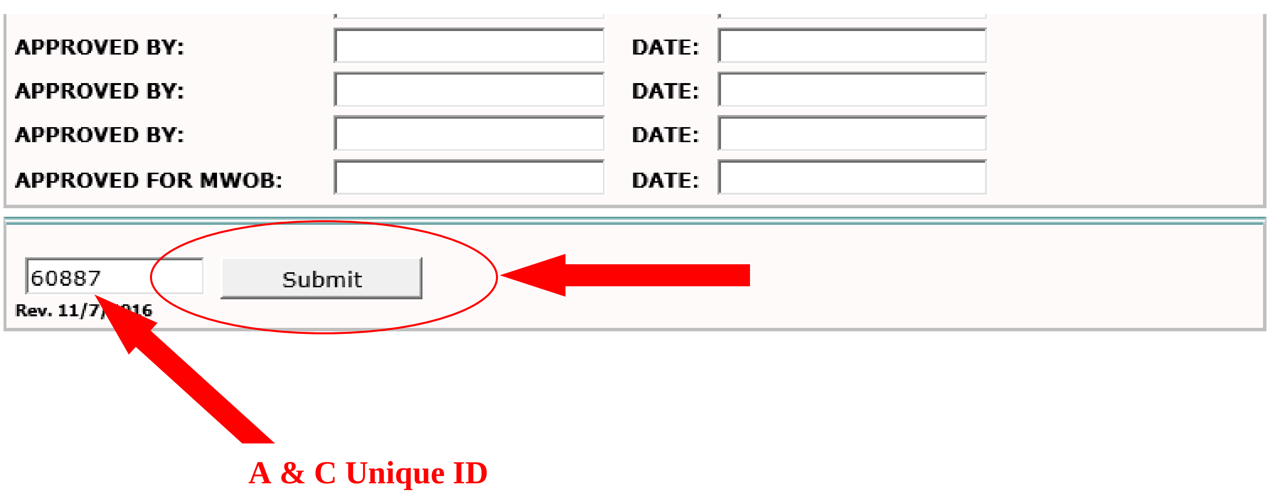
For grant funds, are you a: ( ) Prime Recipient ( ) Sub Recipient ( ) Vendor

- Date of Preboard — Required — Format is mm/dd/yyyy. Click on DATE button to display a calendar to select date
- A&C Date — Required — Format is mm/dd/yyyy. Click on DATE button to display a calendar to select date
- Related To? — Not required — If either the IT, Security, or Real Estate box is selected the form will not be allowed to be submitted unless at least two departments are selected

<u>Grant Funds</u>

- Does this contract involve grant funds? — Required — Check yes or no. If you select "Yes", the section will expand.
- Indicate whether grant funds are: — Select either "Federal", "State", "Both", or "Other" If you select either "Federal" or "Both", you must fill out the CFDA#.
- CFDA# — Required for Federal or Both
- For grand funds are you a: — Can select "Prime Recipient", "Sub Recipient", or "Vendor"
- Check Boxes — Not Required — These check boxes are reminders of some things that should be reviewed before submitting the document. These are common reasons for rejection. It will not stop the form from being submitted, but it may be sent back and delayed if you forget an item on the list
- Approved By — Not required — These will be filled in automatically in the workflow as they are approved by the department approver(s)
- Unique ID — System Generated — A document number is automatically filled in. It is helpful to keep track of this number. All documents attached to the contact memo in the submission package will share the same unique ID number

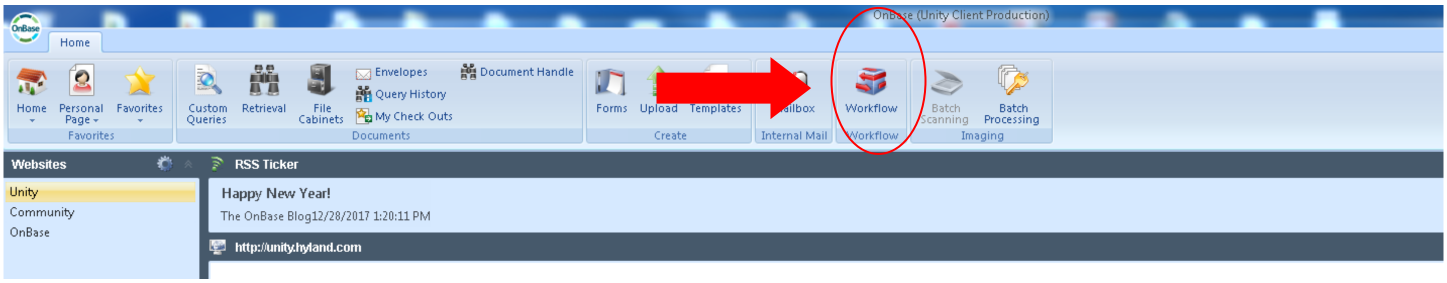
After completing the form, click on the Submit button on the bottom left of the form. The request will be forwarded to the Originator queue in the A&C Workflow.



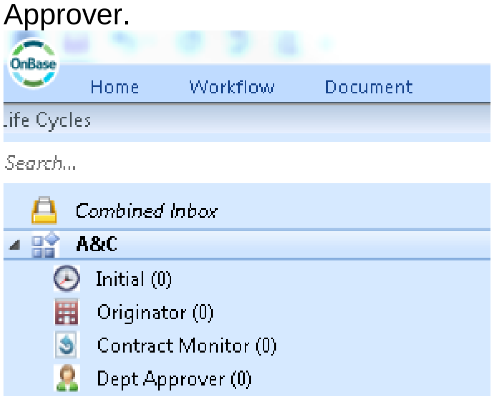
WORKFLOW QUEUES and TASKS

Each Contact Memo you create and submit will run through the following queues within your department before going to the Board of A&C. The form name assigned to your request is determined by the data input within the 'Vendor Name' field. This form name will appear within the document section of each queue and each request will be assigned a unique ID number.

To enter the Workflow, you must click on the Workflow button on the top Ribbon. See below.

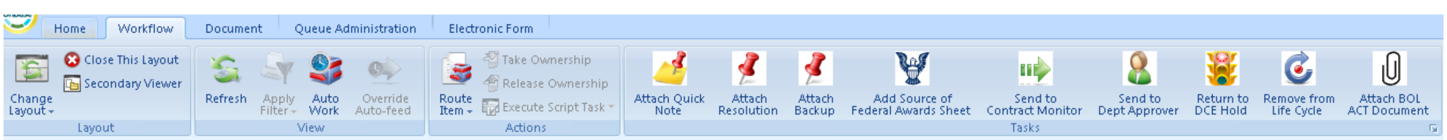


Once in the A&C workflow, you will see the three main queues, Originator, Contract Monitor, and Dept Approver.



AC - Originator

Once a form has been created and submitted, it will appear in the Department's Originator queue. The form can be edited in this queue. This is also the queue that a request is returned to if additional information is required by Contract Monitor or Department Approver. This queue has the following tasks, which must be double clicked in order to access:

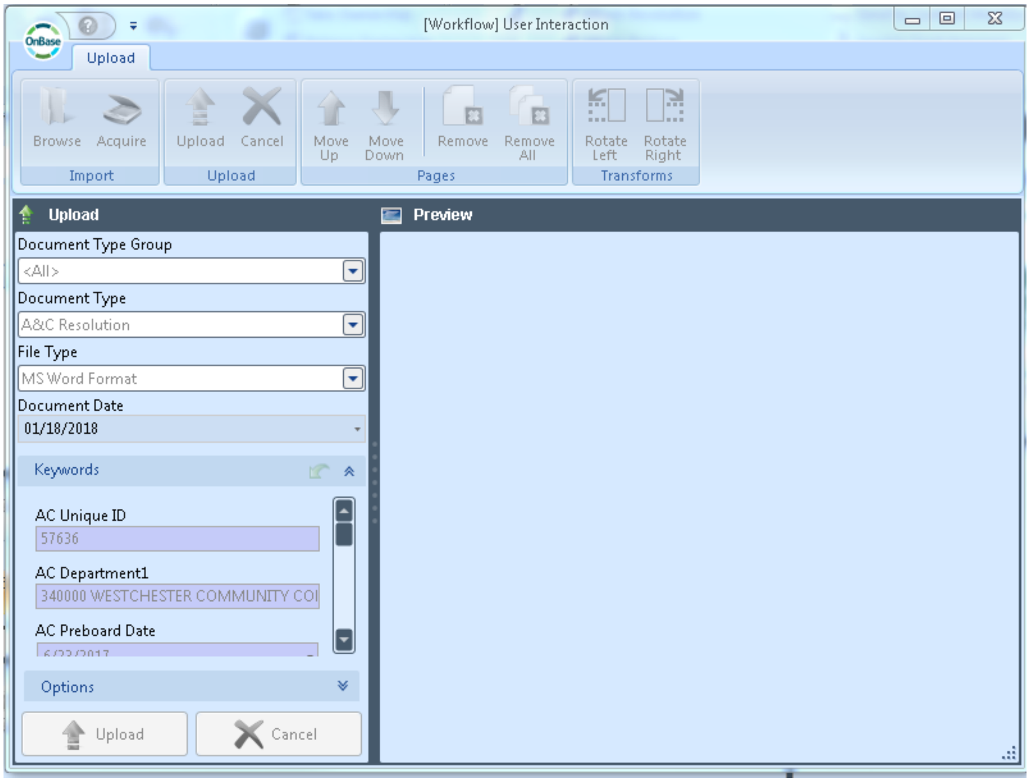


- ***Attach A Quick Note****

Allows the user to create an Eform with a blank text field for quick notes, questions, or additional information without having to open Word for additional documentation. This quick note becomes part of the package but will only be available to workflow users within the department.

- ***Attach Resolution****

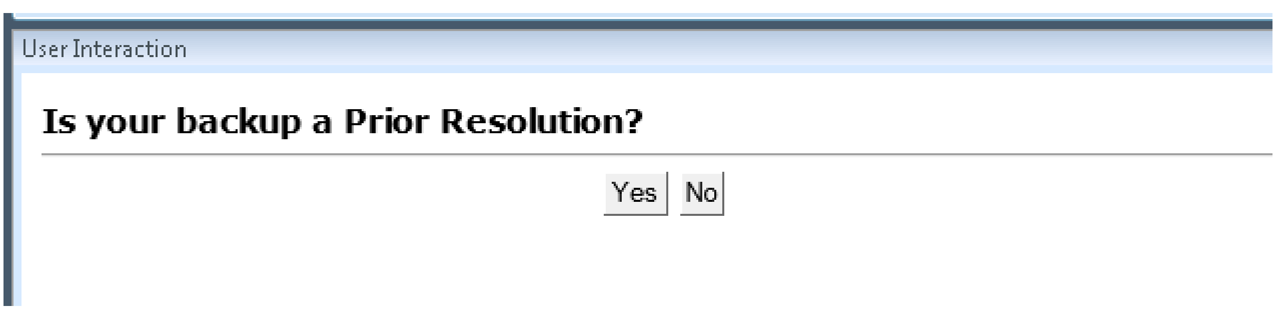
Opens up an import dialog box (see example below). You will be allowed to attach a resolution, in Word format, that has been completed and resides somewhere on the network. Browse to the document and click the import button. When first adding the resolution it will ask to add a comment. You can add one or simply click the no comment button.

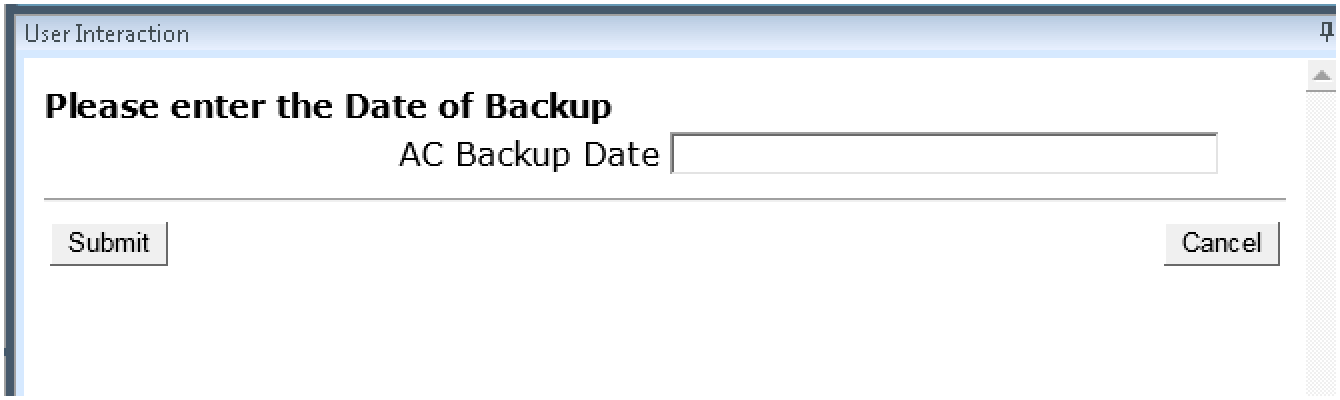


- ***Attach Backup****

Opens up an import dialog box. You will be allowed to attach the backup documents for the resolution. These should be on the network in PDF format, so they may need to be scanned and saved ahead of time first. Browse to the document and click the import button. In the User Interaction window you will need to answer what type of backup is being attached, as this will determine how it is named. It can be either: Prior Resolution, Prior Trust Budget, Bid Response, or Other. You will then need to enter the date of the backup in **mm/dd/yyyy** format (see example):

User Interaction Boxes – Attaching a Backup





- ***Add Source of Federal Awards Sheet* –** If this is selected under Grant Funds, it will be required to upload the Federal Awards Sheet.

- ***Send To Contract Monitor***

Allows the Originator to send the submission package to the Contract Monitor for review.

- ***Send To Department Approver***

Allows the Originator to send the submission package to the Department Approver for review and approval.

- ***Return To DCE Hold***

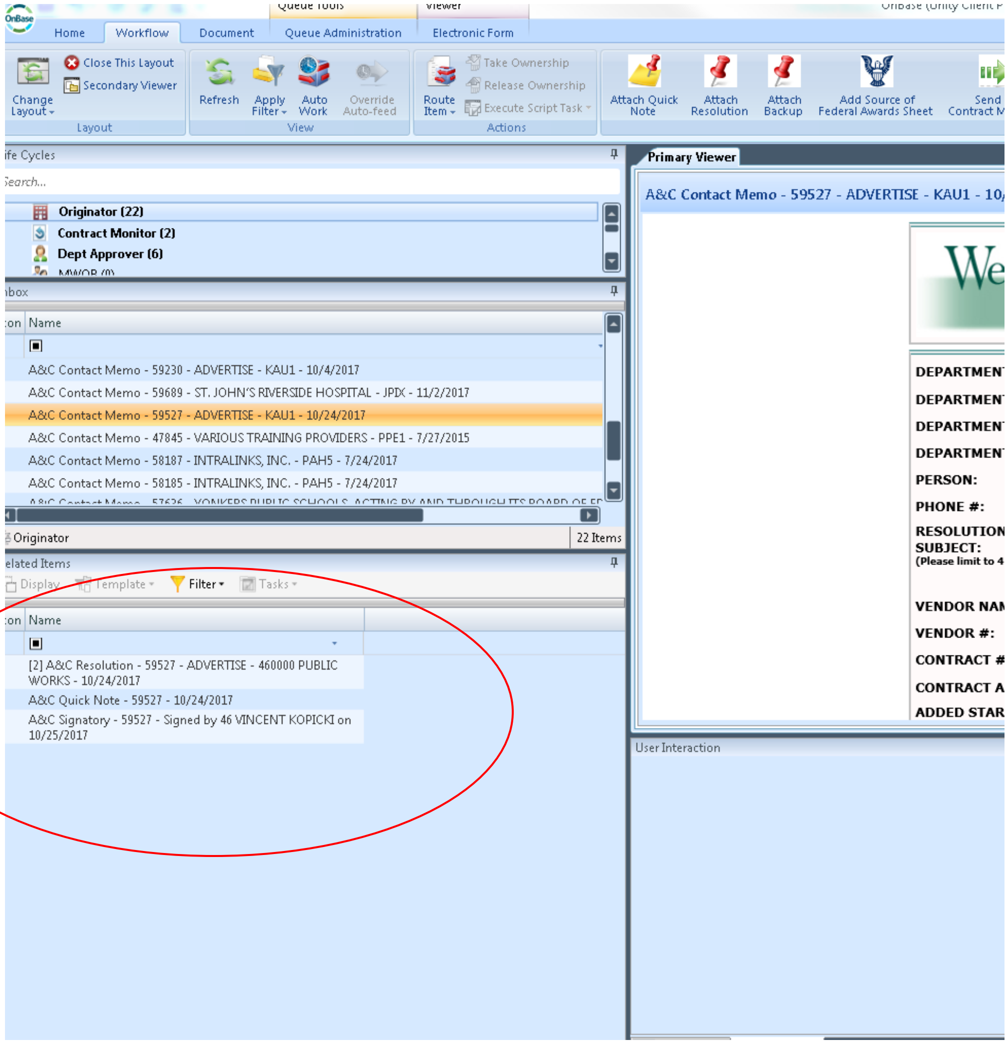
If there is a question that needs to be answered by the Deputy County Executive regarding the submitted resoultion, it will be sent back to the Originator queue for action and an email will be sent to notify the Originator. After the issue is resolved this task button is used to return it to the DCE queue for review.

- ***Remove From Lifecycle***

Allows the Originator to remove this package from the lifecycle before it is submitted to A&C for whatever reason.

- ***Attach BOL ACT Document* –** If the Contact Memo is for an IMA, it is required that you upload the BOL ACT document.

**** As documents are added to the Resolution Submission Package (including Quick Notes, Resolution, Backup, BOL ACT, etc.), you will be able to see them listed in the Work Folder window under Related Items, as shown here:***
See bottom

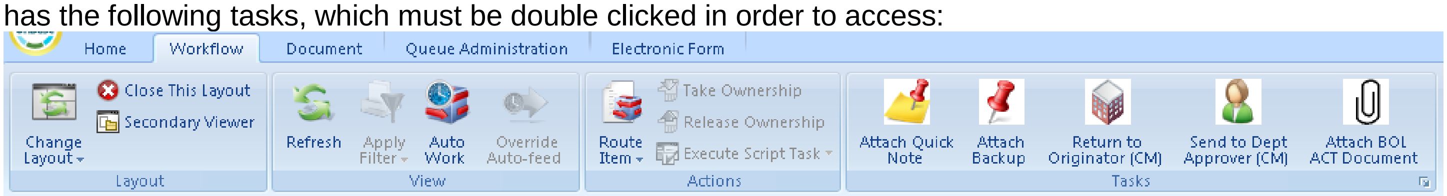


WORKFLOW QUEUES and TASKS

(Continued)

Contract Monitor

Once the Originator has created the Contact Memo and attached the necessary documents, they are routed to this queue for review. (Not all departments have a Contract Monitor. Some departments will have the submission packages sent from the Originator queue directly to the Department Approver queue.) department managerial approval prior to further submission to Budget. The form can be edited in this queue. This queue has the following tasks, which must be double clicked in order to access:



- ***Attach A Quick Note***

Allows the user to create an Eform with a blank text field for quick notes, questions, or additional information without having to open Word for additional documentation. This quick note becomes part of the package but will only be available to workflow users within the department.

- ***Attach Backup***

Opens up an import dialog box. You will be allowed to attach the backup documents for the resolution. These should be on the network in PDF format, so they may need to be scanned and saved ahead of time first. Browse to the document and click the import button. In the User Interaction window you will need to answer what type of backup is being attached, as this will determine how it is named. It can be either: Prior Resolution, Prior Trust Budget, Bid Response, or Other. You will then need to enter the date of the backup in **mm/dd/yyy** format.

- ***Return To Originator***

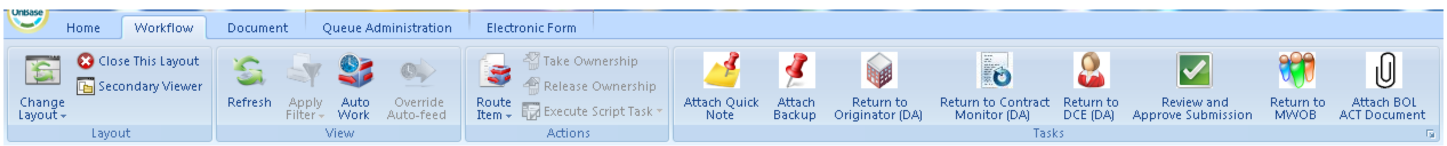
Allows the Contract Manager to return the request to the person that filled it out for more information or to attach documentation. A Quick Note can be used form to indicate why the form is being returned.

- ***Send To Department Approver***

Allows the Contract Monitor to send the submission package to the Department Approver for review and approval.

- ***Attach BOL ACT Document*** – If the Contact Memo is for an IMA, it is required that you upload the BOL ACT document.

Department Approver



- ***Attach A Quick Note***

Allows the user to create an Eform with a blank text field for quick notes, questions, or additional information without having to open Word for additional documentation. This quick note becomes part of the package but will only be available to workflow users within the department.

- ***Attach Backup***

Opens up an import dialog box. You will be allowed to attach the backup documents for the resolution. These should be on the network in PDF format, so they may need to be scanned and saved ahead of time first. Browse to the document and click the import button. In the User Interaction window you will need to answer what type of backup is being attached, as this will determine how it is named. It can be either: Prior Resolution, Prior Trust Budget, Bid Response, or Other. You will then need to enter the date of the backup in **mm/dd/yyy** format.

- ***Return To Originator (DA)***

Allows the Department Approver to return the request to the person that filled it out for more information or to attach documentation. A Quick Note can be used form to indicate why the form is being returned.

- ***Return To Contract Monitor (DA)***

Allows the Department Approver to return the request to the Contract Monitor for more information or to attach documentation. A Quick Note can be used form to indicate why the form is being returned.

- ***Return to DCE (DA)***

- ***Review and Approve Submission***

Allows the Department Approver to approve the resolution package. A question will be displayed in the User Interaction Box asking if you would like to 'Sign and Date' this package. Clicking the 'yes' button will place the date and user id of approver on the eform, and forwards the resolution package to the Board of A&C. Approving the resolution package creats an additional document in the package, called a ***Signatory***. The signatory contains the name of the Department Approver in the title for quick reference. The main reason for this document is for when there are multiple departments selected and more than one person needs to approve it. ***It will not move on to the Board of A&C queue until all required approvers have approved it in the workflow. That is the reason why it will remain in an Department Approvers queue even after you have approved it – it is waitng for the additional approver(s) to approve it. Do not***

approve it a second time if you see a Signatory already in the package with your name.

- ***Return to MWOB***
- ***Attach BOL ACT Document* –** If the Contact Memo is for an IMA, it is required that you upload the BOL ACT document.

After-Submission Process Description Summary

After submission of the resolution package to the Board of Acquisition & Contract by the Department Approver, it is reviewed within several different workflow queues prior to being placed on the agenda for the PreBoard meeting. There are reviewers in A&C, the PreBoard members review it, and the Deputy County Executive reviews it.

Any comments, issues, or questions regarding the resolution package will be entered into a document called a ‘Narrative’. Multiple entries can be made to the Narrative, which becomes another document attached to the package, and can be seen in the **Related Items** window.

The package will not be approved with substantive issues. Departments will no longer have the opportunity to correct Resolution packages at any time during the BAC cycle, including during the period between submission and the PreBoard meeting. Instead, all incomplete and/or inaccurate Resolution packages submitted to BAC will be pulled at the time of the PreBoard meeting and removed from the calendar for the following week’s BAC meeting. Resubmission of a corrected Resolution package for the following BAC cycle will be required. Those not approved will be sent back to the Department Originator after the PreBoard meeting and a new package must be resubmitted after fixing the problems identified in the narrative.

Resolution Packages That Are Rejected At Preboard

If a resolution package is rejected at the Preboard meeting, a description of the reason(s) will be written on the Narrative document that the PreBoard members will update. The entire package including the Narrative will be sent back to the Originator queue, where if the package is to be resubmitted, the corrections and/or updates will be made on the existing resolution package. That package will then be resubmitted through the approval process for the following week’s PreBoard meeting. **The system assigned number will not change – a resubmitted resolution package will keep the same number as the original submission.**

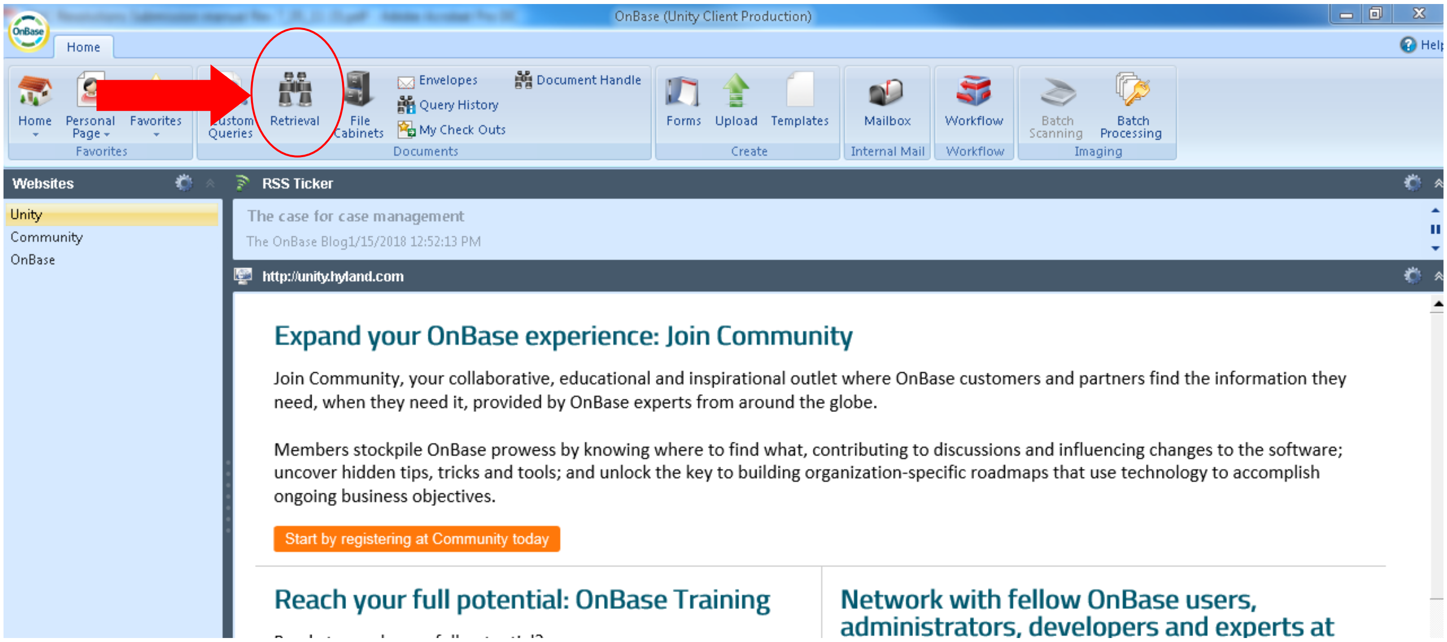
When resubmitting a rejected package, the following changes must be made:
- *Update the ‘**PreBoard Date**’ and ‘**A&C Date**’ fields to reflect the new dates on the Contact Memo*
- *In the ‘**Subject**’ box on the Contact Memo, type in the word ‘**RESUBMISSION**’ before the information that was previously written in, so it can be distinguished as a resubmission*
- *Type an ‘**R**’ on the cover letter of the Resolution document, ‘**R1**’ for a second resubmission, etc., as was done previously in the manual process*

DOCUMENT RETRIEVAL

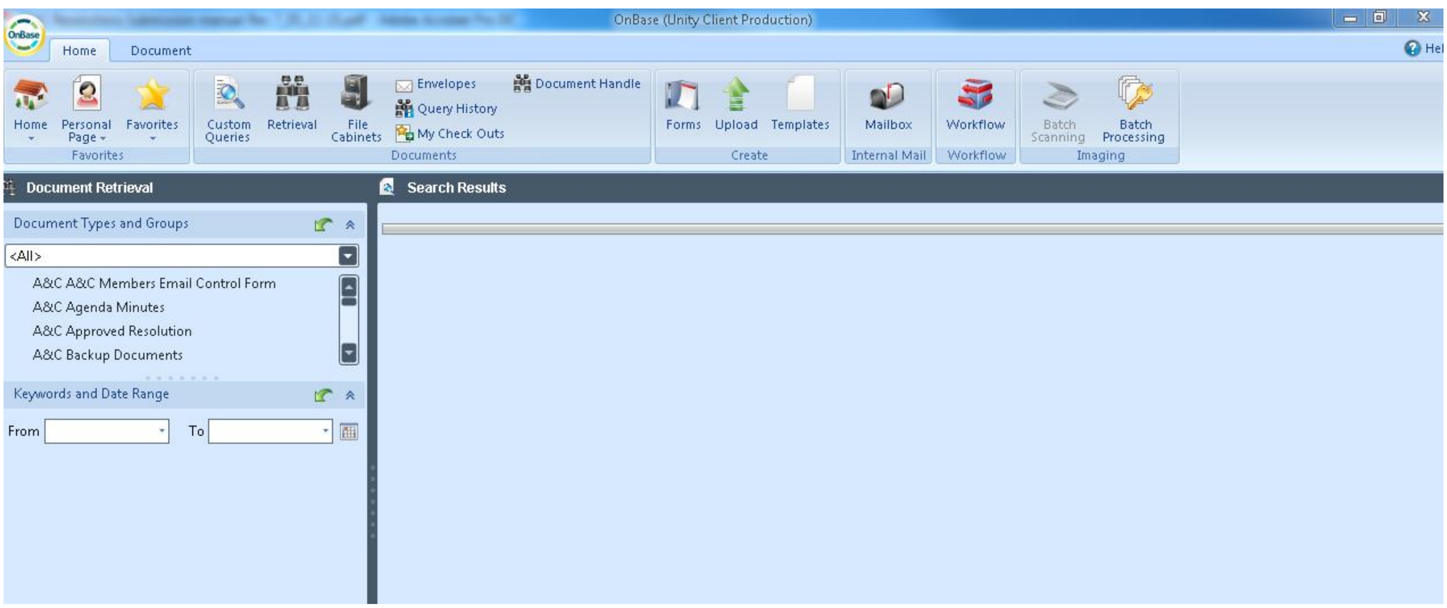
Overview

The **Document Retrieval Dialog** box will help you locate documents stored in the system. You may limit your document search by document group, document type, document date, and keywords. The more specific the search criteria you provide, the greater the chance of locating the exact document(s) contained within the system.
You can open the Document Retrieval dialog by clicking on the Retrieval button from the toolbar.

Home Page (select the Retrieval button from the ribbon – the binoculars icon)



Document Retrieval Screen:



There are many ways in which you can limit your search and each of these ways corresponds to a keyword on the document and/or the range of dates selected In the above example, after selecting the **Document Type Group**, all the associated **Document Types** are listed in the second window. The 'A&C Contact Memo' was the selected, and all searchable keywords are listed below. You may enter as many or as few of these keywords as you wish. Once information has been entered, click the **Find** button to perform the search. If there are documents in the system that meet the search criteria, the Document Search Results Window will open with the resulting list of documents. If no documents were found, you will be told that no documents matched the criteria specified.
Keeping track of the Unique ID assigned at the time of submission is the best easiest way to find a specific submission package. In that case, you would highlight all the document types (by double clicking in the second window), then enter the Unique ID. All documents in that package will be listed. Double click on the specific document in the list that you want to view and it will pen.

Document Retrieval Concepts

Before you begin utilizing the advanced capabilities of the OnBase Client Module, it is important that you understand the basic concepts of a document, document type, document type group, and keyword. These concepts are fundamental in your understanding of the OnBase System.

- ***Document***

A document is a specific piece of information that will be stored electronically in the OnBase system. An A&C Contact Memo is an example of a document.

- ***Document Type Group***

Document type groups are defined to group together a set of similar document types, providing the broadest search category. Unless this document type group was configured to allow group searching, you will also have to select one or more document types on the right side of the dialog as well. For example, *A&C Documents* may be a document type group that contains all the various types of A&C documents mentioned above.

- ***Document Type***

Each document that is brought into the OnBase system is assigned to a document type. The document type determines which keywords are associated with a document. For example, the document types that are in the *A&C Documents* Document Type Group may be the A&C Contact Memo, A&C Resolution, A&C Backup, etc.
The search criteria associated with a document type will be displayed under the keyword section of the dialog box when the document type is selected. You can select more than one document type by holding down the Ctrl or Shift keys as you select the document types. As more document types are selected, the list of search criteria in the keywords section will be limited to only those keywords that all the selected document types have in common.

- ***Keywords***

A keyword is an identifying piece of information used to locate documents stored in the OnBase system. In the *Sample of Document Retrieval Screen* shown above, some of the keywords established for the A&C Contact Memo are shown, such as A&C Unique ID.

- ***Dates***

The Dates section allows you to specify a specific date or range of dates that the documents found must match or be within. The desired months can be selected from the list box, or a range of dates may be typed into the **From** and **To** edit fields. There are also several common date searches that can be selected automatically, such as Month To Date, Year To Date, etc. (see example of Document Retrieval Screen). The **Date** section of the **Retrieval Dialog** may be filled automatically by specifying a Default Date in the **User Options**.

- ***Action Buttons***

  - **Find** Executes a search using the information configured in the Document Retrieval dialog.
  - **Text Search** Opens an additional dialog box allowing you to conduct a more specialized search for specific text within any of the document types selected. This kind of search generally takes much longer to return results.
  - **Note Search** Opens an additional dialog box allowing you to conduct a more specialized search for documents that have a particular type of note or by a specific string existing in a note. We have not used this function in this application.
  - **Clear All** Clears all highlighted information and information entered in the edit fields.
  - **Clear Keywords** Clears only the information entered in the keyword edit fields.
  - **Exit** Exits the Document Retrieval dialog box without executing a search.

Document Retrieval Procedure

Follow this procedure to conduct a basic document retrieval using the document retrieval dialog box: documents icon located on the client toolbar or;

- Click on the **Retrieval** button from the **Home** tab ribbon.
- Highlight the appropriate document type group from the **Document Type Groups** list box. If you elect to limit your search by document type group, you must also select a document type. Selecting a document type group is optional.
- Highlight the appropriate document type from the **Document Types** list box. You will not be able to execute a search until you select a document type. You may select multiple document types by holding down the shift key or Ctrl key when you make your selection. This option may be used in conjunction with the document type group, date, and keyword search options.
- If you wish to conduct a search using a **Date Range**, enter a “from” date and a “to” date in the *From* and *To* edit fields, or highlight the appropriate dates from the *Dates* list box. A date search can only be executed after you have selected a document type.
- Enter the necessary information in the **Keywords** edit fields if you wish to conduct a search using keywords. The edit fields will differ depending on the document type(s) you have selected. A keyword search can only be executed after you have selected a document type.
- Click the **Find** button.
- If there are documents in the system that meet the search criteria, the Document Search Results Window will appear displaying the documents. If there are no matching documents in the system, a system message box will appear, indicating that no documents were found. Check to make sure your search criteria were configured correctly and conduct your search again, if necessary.

Locating the A&C Contact Memo in the Life Cycle

Within the Document Retrieval dialog, you can find the status of the A&C Submission Package as follows:
- To find the status of the A&C Submission using the Document Retrieval dialog box, you must select the “A&C Contact Memo” document type.
- To find out where the document is within the life cycle, select the document and right click on it. Select ‘Workflow’, then ‘Workflow Queues’ from the drop down menu. A dialog box will appear stating the name of the life cycle and the current queue in which it is located.

Sample of the Workflow Queue

PRINTING

Overview

Text and image documents, whether open or selected from a list, may be printed by using any of the available print menu options. When you elect to print documents you are creating a print job. Many print jobs may contain single documents, while others may contain multiple documents. Access to basic printing is spread throughout the client application. When documents are selected for printing, the **Print** dialog will appear.

Printing Documents

- Select the document(s) from the Document Search Results window.
- Select the **Document** tab from the ribbon and click on the **Send To** button.
- Then click **Print** from the menu.
- You will see the Print dialog window appear on the right.
- Make the desired selections and then click on the ***Print*** button.

QUICK REFERENCE SHEET

Login to Onase Unity Client

- Click on the Hyland Unity Client [Production] icon.
- Enter your Onbase User Name and Password.
- Click the Login button.

Creating New Contact Memo Forms

- From the **Home** tab, click on the **Forms** button and select **A&C Contact Memo**.
- Input the correct information for the remaining fields. *(see specific sections within the manual for further information)*
- Click on the ***Submit*** button at the bottom of the Contact Memo form to add the form to the Onbase A & C workflow
- The form will be submitted to the ***A&C – Originator queue*** where any attachments can be added if necessary.
- It then goes to the ***A&C Contract Monitor*** or ***A&C Department Approver*** queue, which ever was selected, for review and approval and submission to A&C. If the Originator and Contract Monitor are the same person, they still need to go to each queue to perform the appropriate functions.

Document Retrieval

- Click on the **Retrieval** button from the **Home** tab ribbon.
- You will be at the Document Retrieval screen.
- Select the Document Types and Groups.
- Enter the search criteria desired under the keywords and Date Range section.
- Click on the ***Find*** button to perform the search.

Finding the Status of an A&C Submission Package

- On the Document Retrieval dialog box, select the ***A&C Contact Memo*** document type.
- Select the document and right click on it.
- Select Workflow, then Workflow Queues from the drop down menu
- A dialog box will appear stating the name of the life cycle and the current queue in which it is located.

Printing

- Select the document(s) from the Document Search Results window.
- Select the **Document** tab from the ribbon and click on the **Send To** button.
- Then click **Print** from the menu.
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