Reference Manual

SWIFT P/T Contracting

User Guide

October 29, 2015

Version # 1

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INTRODUCTION

There are three general types of contract documents that can be created within SWIFT: purchasing contract documents, purchase order documents, and ad hoc documents.

Purchasing Contract documents include:

- Professional/Technical Contracts: Electronic documents and signatures are **mandatory**. Only the office of State Procurement can approve any exceptions to allow for collecting wet signatures on a printed copy of the document. Documents include the standard P/T Contract, Master Contracts, Work Orders, Annual Plan Agreements (via PO), Interagency, Joint Powers, UofM, Income Agreements and Number Contract Only. (Note that for Master Contracts, you can add signers as needed for additional State Agencies)
- Grant Contracts: It is at the **discretion** of each Agency to determine whether or not they use the electronic document processes for their grant programs. The Office of Grants Management templates are available in SWIFT for each agency's use.
- Construction Contracts and Real Estate Leases are **exempted** from these processes and are not included.

Purchase Order documents include:

- P/T Annual Plan Agreements. These are the individual Purchase Orders done with specific vendors underneath the authority of the original Annual Plan Memo contract in SWIFT.

Ad Hoc documents include any additional standard internal forms. For example:

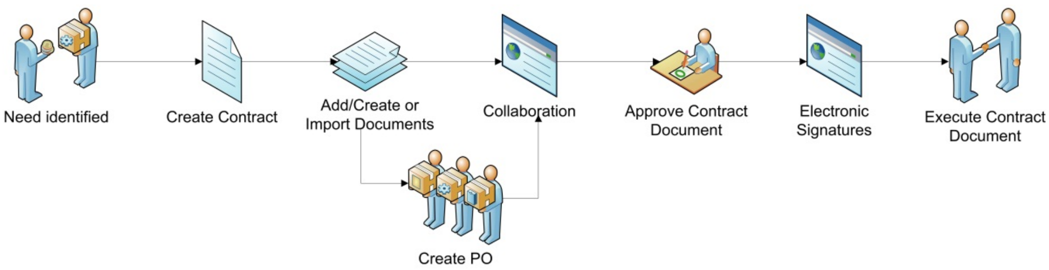
- Single Source Request Form
- 16A/16C Violation Memo
- Amendment Cover Sheet
- Affirmative Action Certification Form
- Annual Plan memo between Agency and MMD

NOTE: Document not created in SWIFT – but still need SWIFT Shell/Contract ID #:

- IT contracts (MN.IT Services does for agencies under consolidation)
- Number Contract Only ($0.00)
- MOU and MOA (rarely done, normally federal agency documents)
- Agency specific contracts not currently within SWIFT Contract Library

TYPICAL CONTRACT SEQUENCE

Most contracts follow a similar sequence of steps, whether manually entered directly in Supplier Contract or created in Strategic Sourcing.



Need Identified – from Strategic Sourcing event or Contract Request assignment

Step 1 - Before you start working in SWIFT

- Inform vendor of requirement to obtain User ID and E-Signature authority set up. This can take a few days, the process should be started early on. The Vendor Authorization to Sign quick reference guide will guide vendors through this process, http://www.mn.gov/mmb-stat/documents/swift/vendor/vnd-auth-to-sign-qrg.pdf . The vendor help desk can assist with this process and locating the quick reference guide: 651-201-8100, option 1.

Step 2 – Create Contract (+ shell if needed)

- If the contract is generated in Strategic Sourcing, search in Supplier Contract for the contract, make any necessary changes to the Supplier Contract document, and then save. The vendor and item detail, as well as contract terms, are integrated from the sourcing event.
- If the contract is not generated from a sourcing event, Supplier Contract document shell is entered manually. Select the contract type, vendor, and dates the contract is in effect, and then enter the item details or item category. Save the contract shell when the contract header is complete.

Step 3 – Add/Create or Import Documents

- After completing and saving the contract header part of the shell, add specific documents to the contract. Either create a new document or import an existing document. Use the configuration wizards to help create the document using existing online templates.

Step 4 – Collaboration / Peer Review and Encumbrance

- Collaboration can be done internally or externally to SWIFT.
- Peer review (Quality Assurance/Quality Control) is also done at this point. Internal or external to SWIFT.While contract is out for Peer Review, the creation of the purchase order to encumber funds will need to be completed. Follow Agency standard practices for routing of Encumbrance Worksheet and entry of the purchase order in SWIFT. Once the purchase order is created, move to Step 5.

Step 5 – Approve Contract Document

- Only certain SWIFT user roles are authorized to approve contracts in SWIFT. Check with your Agency's P/T Contract Coordinator or SWIFT Security Administrator to identify the user(s) within your Agency.

Note: If using wet signatures (if vendor requires more than one contract signer or is not set up – skip **Step 6 – Electronic Signatures**. Contract document can be emailed to vendor to sign; vendor can scan and email back or mail signed document and have Agency scan and upload the signed document.)

Step 6 – Electronic Signatures

- SWIFT first routes the contract for external signature by the vendor via the Supplier Portal.
- Next, SWIFT routes it to internal signers. Roles default for each different document type.
    - Encumbrance Verification Signer, State Agency Signer, and Department of Administration Signer.
- Agency may also Ad Hoc specific SWIFT users as document signers, when needed.
- Additional State Agencies can be added for Master Contracts, but only one vendor signature allowed.

Step 7 – Execute Contract Document

- Execute the contract document once all signatures have been obtained, to place it in force.
- After it is executed, you must return to the Supplier Contract document and set the status to "Approved" to make it available for use with purchase orders. The Purchase Order can be Dispatched at this point.

CREATING AND EDITING CONTRACT DOCUMENTS

Document creation checklist

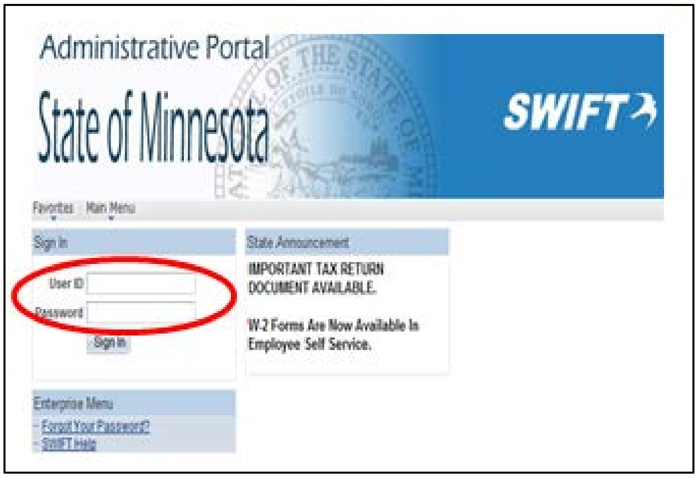
- Locate / create contract shell
- Add contract document
    - Create new document
    - Import existing document
- Edit Document (check out)
- Check In edited document
- Add attachments or related documents (optional)
    - Exhibits to contract
    - Amendment Cover Sheet
    - MS16A/C Violation Memo
    - Encumbrance Worksheet
- View document version history (optional)

Note that you cannot pull a contract template out of the SWIFT library until a "shell" has been created. The shell does not need to be in an approved status to start working on a document.

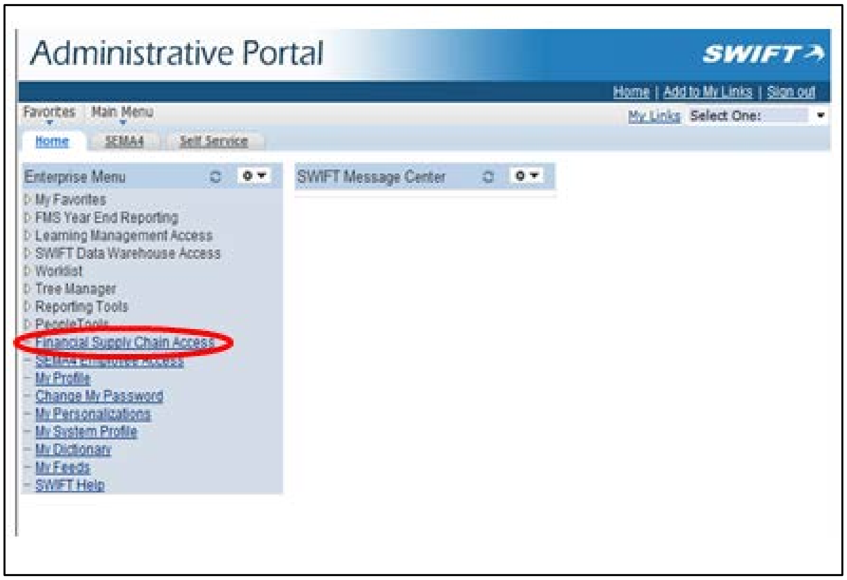
Login

NAVIGATION: https://portal.swift.state.mn.us/psp/por91ap/EMPLOYEE/EMPL/h/?tab=PAPP_GUEST

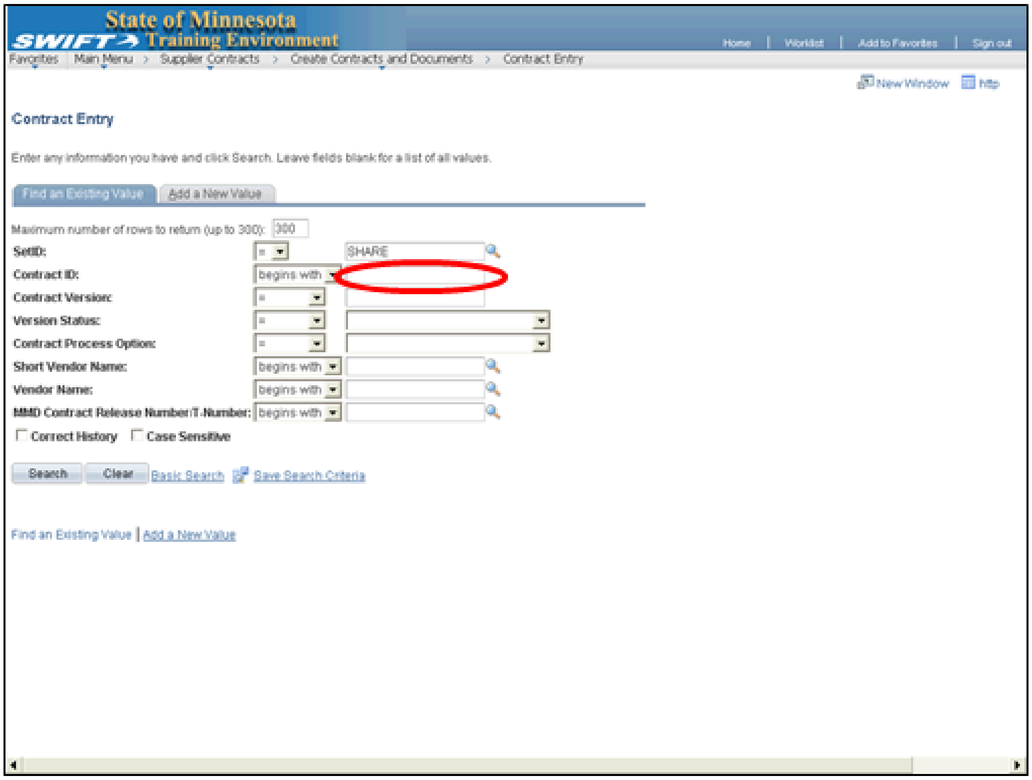
User Name: Employee ID **Password:** Self Service Password



Navigation: Financial Supply Chain Access, Supplier Contracts, Create Contracts and Documents, Contract Entry



a. P/T Contract Shell If Shell was created from a sourcing event, locate the contract to add documents by searching the Contract ID or some other variable, such as the Vendor Name (ID number).



b. If Shell was not created from a Strategic Sourcing event follow steps below:

CREATING A NEW PURCHASING CONTRACT

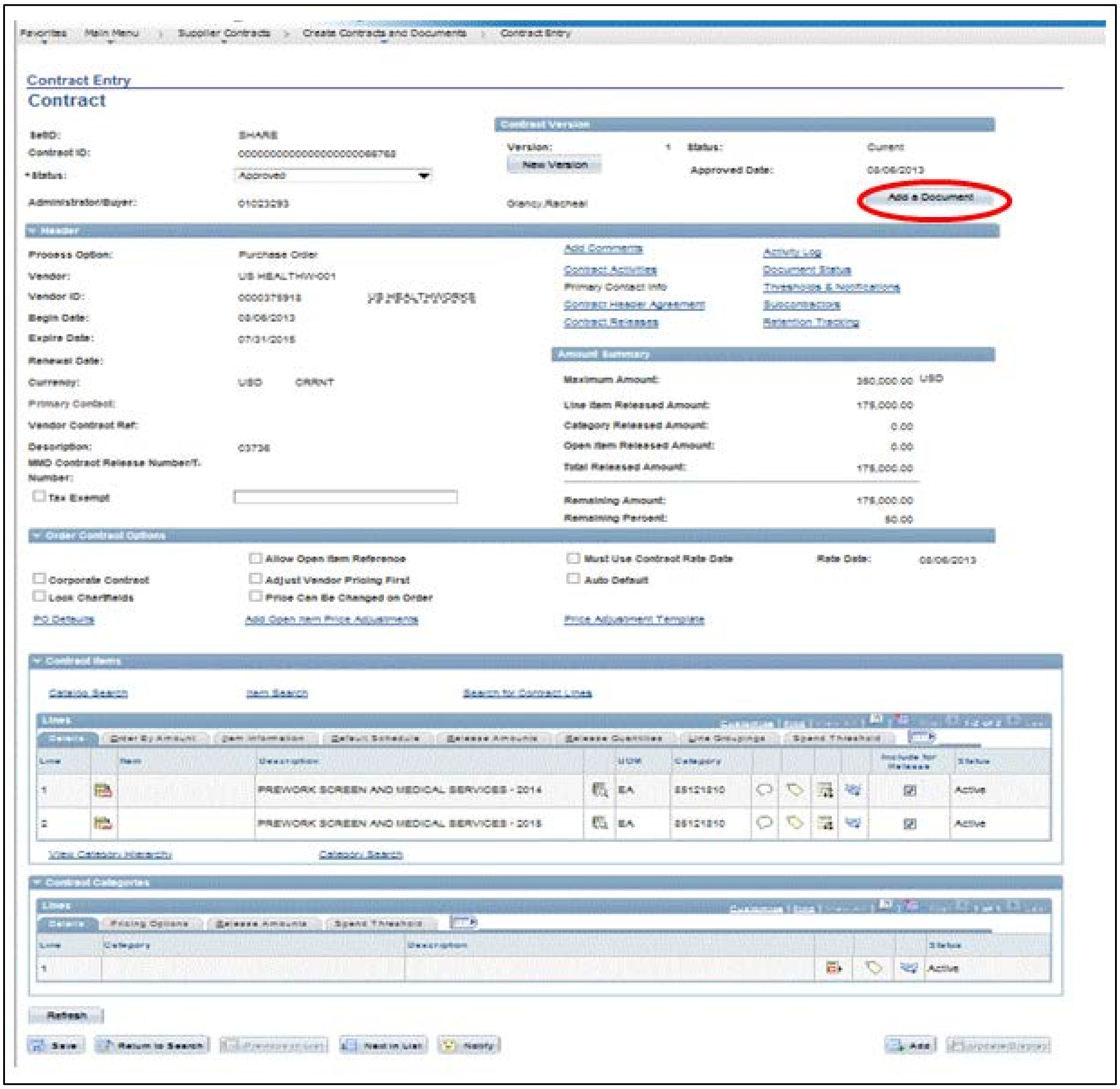
NAVIGATION: Financial Supply Chain Access, Supplier Contracts, Create Contracts and Documents, Contract Entry

CLICK - Add a New Value

1) Set ID is SHARE
2) Leave Contract ID with default of NEXT (The system will assign the next available number)
3) Select Contract Process Option of Purchase Order
4) Click the **ADD** Button
5) Enter Contract Information
   - a. Administrator/Buyer
   - b. Search for Vendor Name or Vendor ID (Number)
   - c. Click **PO Defaults hyperlink**, select **Origin** code
     - Click **OK**, return to contract header page
   - d. Beginning Date
   - e. Expiration Date (if applicable)
   - f. Vendor Contract Reference (internal document tracking number), follow Agency procedures
   - g. Description
   - h. MMD Contract Release/T-Number (if applicable)
   - i. Enter Maximum Amount (if applicable)

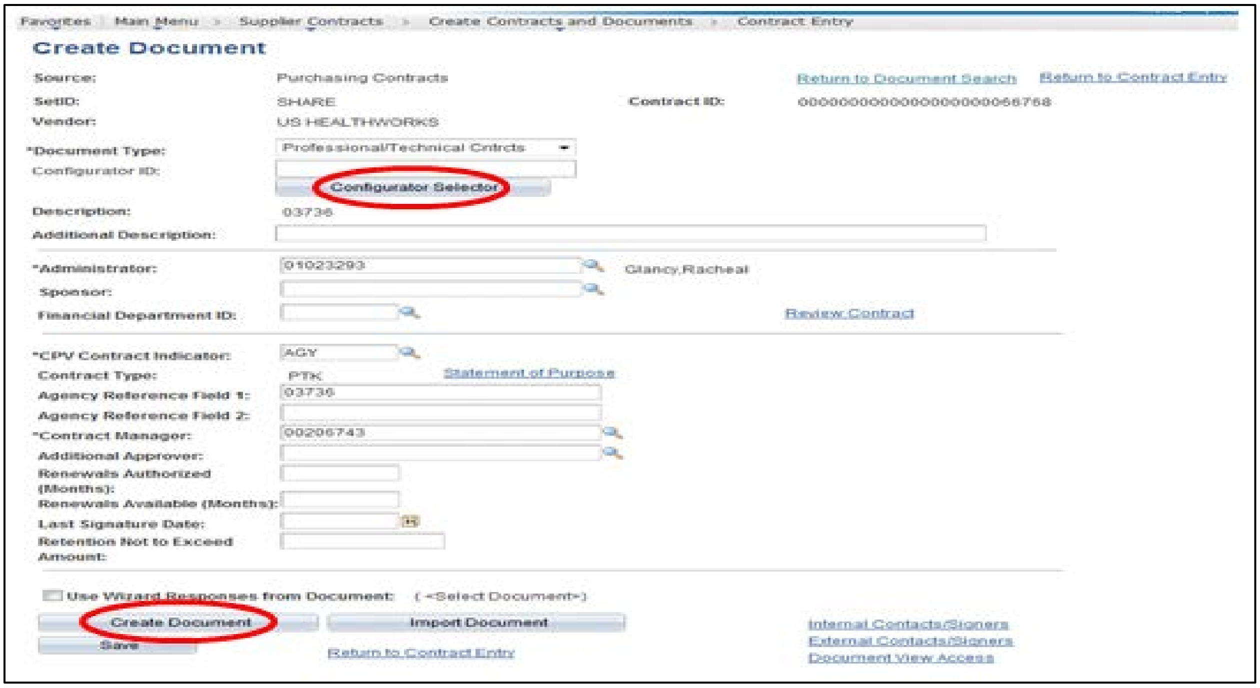
j. Enter **Contract Line Description** (Leave **Item** field blank when not using items pre-assigned in SWIFT)
   i. Enter Unit of Measure (UOM)
   ii. Enter Category
k. Click the **Lines Details** icon
   i. Click Amt. Only (if applicable)
   ii. Enter Merchandise Amount
   iii. Enter Base Price Amount
   iv. Click **OK**, return to contract header page
l. Select **Release Amounts** Tab
   i. Enter Fiscal Year
   ii. Enter Maximum Line Amount

6) Click **Save**, at bottom of page



1. From the *Contract Entry* page, click the **Add Document** button at the upper right to open the Create Document page.
2. To select the appropriate configurator, select the Document Type from the drop down list and then click the **Configurator Selector** button; (If not using a template in SWIFT, answer **NO**). Detailed instructions can be found at http://www.mn.gov/mmb/accounting/swift/training-support/reference-guides/supplier-contract.jsp , under resource document **Phase 2 Changes to Supplier Contracts for All Agencies**.
3. Click Finish when you have answered all necessary questions. SWIFT returns you to the Create Document page.
4. Complete the remaining required fields
   a. For Contract Type click spyglass and select contract type from list:
      - PTK (for P/T Contract)
      - GRK (for Grant Contract)
      - IAK (for Interagency Agreement)
      - JPK (for Joint Powers Agreement)
      - MWK (for Work Order Contract)
      - MPK (for Master Contract)
      - RPK (for Income Contract)
      - APK (for Annual Plan Agreement)
      - BCC (for Construction Contract)
      - OCC (for CM @ Risk Contract)
      - ONK (Number Contract Only)
   b. For CPV Contract Indicator click spyglass and select from list:
      - AGY (All other contracts)
      - CPV (Available to all CPV Members)
      - STW (Statewide use)
   c. For Sourcing Method click spyglass and select from list:
      - Emergency (Emergency)
      - Other (Other)
      - RFB (Competitive Bid (Request for Bid))
      - RFP (Competitive Proposal (Request for Proposal))
      - SS (Single Source)
   d. Click on and complete the Statement of Purpose hyperlink
5. Enter the **Contract Manager**, which is required. This person will be inserted into the approval workflow path. Enter an Additional Approver if desired. This person will also part of the approval workflow path.
   a. For most agencies, the **Contract Manager** will be the same person and the **Administrator** (Contract Specialist).
6. You have the option to create the document immediately or to save the page and come back later to complete the document creation.
   a. If you save the page to come back later, access this page again by clicking the **Maintain Document** button on the *Contract Entry* page.
   b. To create the document immediately, click the **Create Document** button and answer questions until you get the correct document.

c. Whether you create the document right away, or return later to create it, SWIFT displays the *Document Management* page for your document.



1. Click **Edit Document**. When prompted, to open or save the document, click **Open** (usually).

   a. **Open** the document if your system defaults to MS Word as the application for XML files. If you click **Open** the document automatically opens in MS Word (this is the easiest option), click **Enable Editing** button to make revisions to document. When you are finished editing the document, save it, **with the same filename; (DO NOT change the file name)** to your desktop or an easily accessible folder.

   b. **Save** the document if your system opens the XML file directly in your browser. In this case, it's easier to save the file first, to your desktop or easily accessible folder, and then open MS Word and open the XML file out of that folder. When you are finished editing, save the file again **with the same filename; DO NOT change the file name.**

   c. You *must* use the "Track Changes" feature in MS Word. When editing is complete, go back and accept all changes before saving the file.

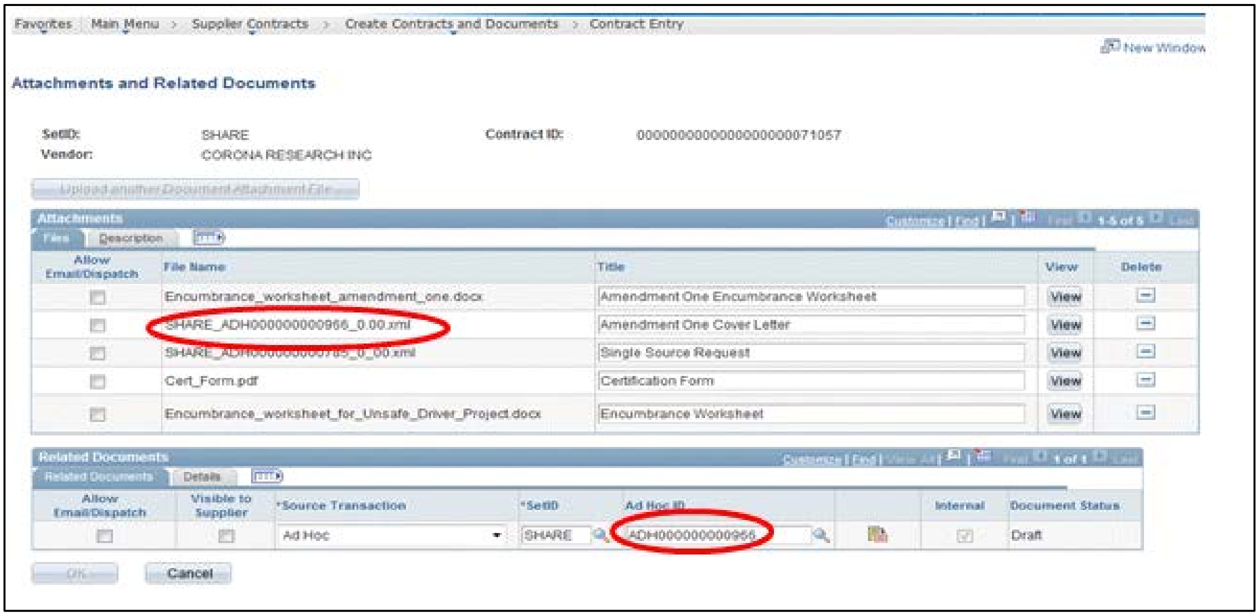
2. Save the document **with the same file name**. This is important because SWIFT will only accept the same XML file to **Check In**; if you save using a different file name you will receive an error message regarding a different version being checked in then the version checked out. Saving the document with a different file name creates issues with file versions in the SWIFT document history when you are creating amendments.

3. Before you "**Check In**" the contract, peer review, encumbrance and pre-approval should occur outside of SWIFT. If Agency choses to use the Collaboration function within SWIFT, see COLLABORATION – PEER REVIEW – ENCUMBRANCE section below in this manual. Make sure everything is finalized before you check anything back in!

4. When editing is finished, click the **Check In** button to upload the revised document back into SWIFT. (To back out of editing the document and discard changes, click the **Cancel Check Out** button.)

5. SWIFT opens the **Check In Document** page. You must indicate whether the changes constitute a minor or major change. You must also provide a comment documenting the changes made.
    a. A minor change is something cosmetic; a major change is a content change, such as a change in vendors or revision to standard terms and conditions language.
6. When page complete, click **OK**.
7. Browse for the document to check in and click **Upload**.
    a. SWIFT opens a dialog box to browse and select the document to upload; verify the document being uploaded in SWIFT to ensure it is the correct one!
8. To add other files, click the **Add Attachments/Related Documents** link at the bottom of the Document Management page.
9. Document attachments **(A)** include contract attachments, such as Work Plan, Budget and Gantt; they generally derive from outside SWIFT.
10. Related documents **(B)** are other SWIFT-created contract or Ad Hoc documents. They may be similar to (A), but created within SWIFT. They might also be other contract documents, such as Evaluations, Encumbrance Forms, Insurance Certificate, Human Rights Certificate, etc. (and other RFP or Master Contract documents that need to be referenced in association with a Work Order contract).
11. To add attachments **(A),** click the **Upload a Document Attachment File** button. SWIFT opens a dialog box to browse and select the attachment file to upload.
12. MAKE SURE FILE NAME IS NOT TOO LONG.
13. After file is uploaded, you must give it a title, which might be different from the file name. (For example, Attachment A: Work Plan; Attachment B: Budget and Gantt.) You can also give it a description, which allows more characters than the title field.
14. Decide if the attachment should be available to vendor and others who might access the contract document. If yes, click the **Allow Email/Dispatch** checkbox.
15. You MUST verify the attachment to ensure it is the correct version by clicking the **View** button. Remove an attachment by clicking the *Delete* icon. To add more attachments, click **Upload another Document Attachment File** and follow the steps described above.
    a. If you need to edit an attachment, you should delete it from here and re-upload the revised version.
16. To add related documents **(B),** Identify the Source Transaction: *Ad Hoc*, Purchase Order, or Purchasing Contract*. See instructions for creating Ad Hoc documents below, under the section CREATING AND EDITING AD HOC DOCUMENTS.
17. Enter **SHARE** as the Set ID
18. Enter or look up the ID of the related document.
19. Click the **Allow Email/Dispatch** checkbox to allow this document to be included when the primary contract document is emailed or dispatched
20. Click **Visible to Supplier** checkbox if document should be made available to the supplier.
21. Add more related documents by clicking the *Add* (+) icon at the right end of the row. Delete the selected document by clicking the *Delete* (-) icon.

22. When all attachments and related documents have been added, click **OK** to return to *Document Management*.



23. Click the link at the bottom of the page to display the Document Version History.

   a. To compare documents, click to select the two versions to compare. Then click the ***Compare Selected Word Documents*** button.

NOTE: SET DEFAULT TO MICROSOFT WORD ON XML FILES.

All SWIFT users' computers must be set up to use Microsoft Word as the default program when working with XML files. You must set the default program for XML-based files to Microsoft Word, rather than XML Editor. In order to view and update SWIFT contract documents, all computers will need to be set up to use Microsoft Word as the default program when working with XML files (all contract documents are XML based). See the link to the **SWIFT Quick Reference Guide** "Setting Default to Word on XML Files."

http://mn.gov/mmb-stat/documents/swift/training/referenceguides/swift-sc-setting-default-to-word-qrg.pdf

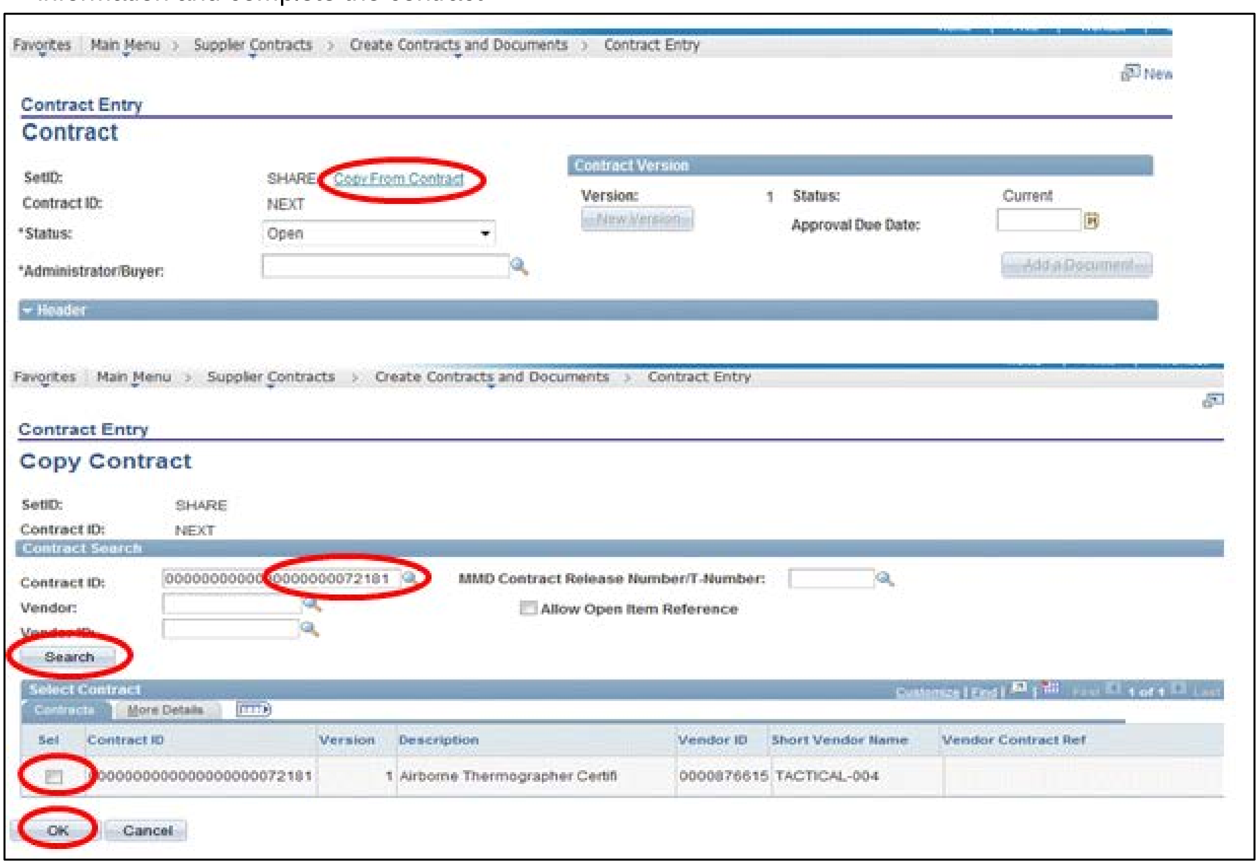
ADDING A CONTRACT BY COPYING FROM AN EXISTING CONTRACT

If you have an existing Contract to copy and you do not want to retype everything.

NAVIGATION: Financial Supply Chain Access, Supplier Contracts, Create Contracts and Documents, Contract Entry

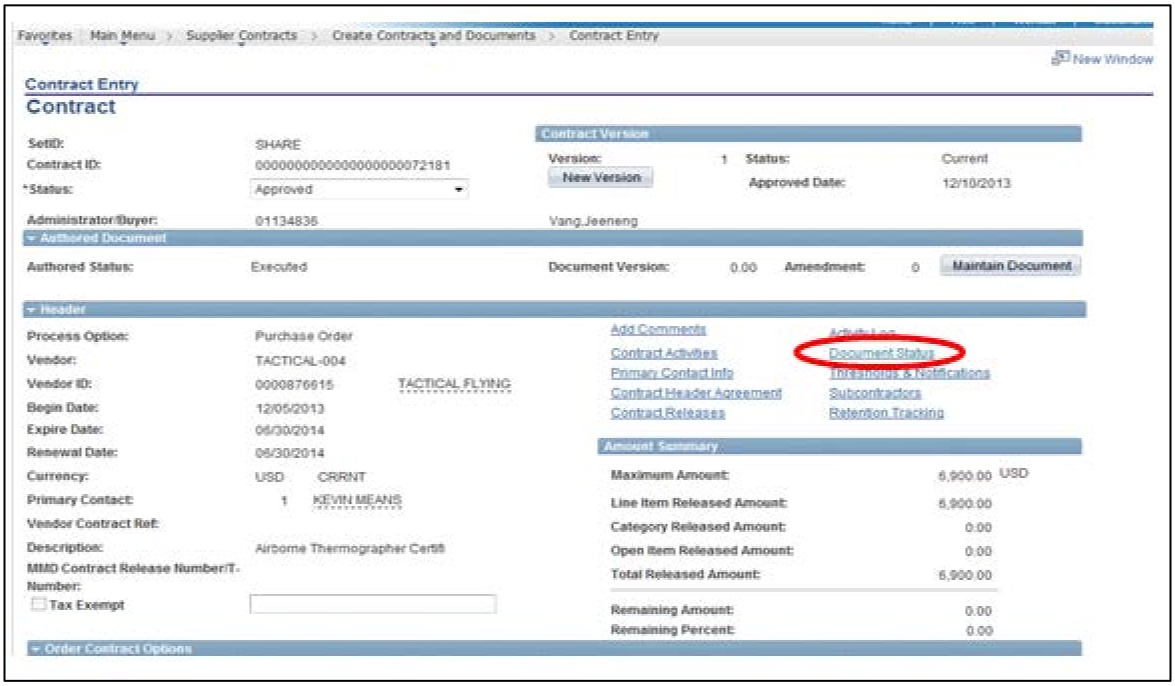
CLICK - Add a New Value

1. Set ID is SHARE
2. Leave Contract ID with default of NEXT (The system will assign the next available number)
3. Select Contract Process Option of Purchase Order
4. Click the **ADD** button
5. Click the **Copy from Contract** link
6. Enter Contract ID or click the spyglass and search for contract to be copied
7. Click **Search** button
8. Check the Sel (Select) box for the contract
9. Click **OK**
10. All details of the original contract are copied over. You should review and update line or header information and complete the contract



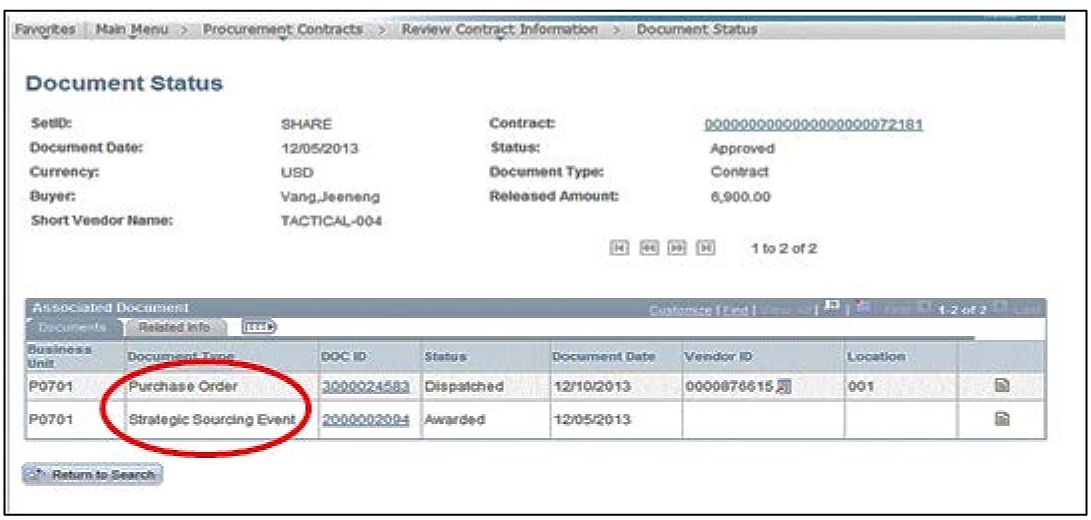
FINDING THE STRATEGIC SOURCING EVENT (RFP) TIED TO A CONTRACT

1. On the Contract Entry page, there is a hyperlink called "Document Status" and it will give you links to any Strategic Sourcing, Requisition, Purchase Orders or Vouchers tied to the contract.



2. Click the "Document Status" hyperlink - under "Header" on right.

3. A new "Document Status" page will open in a new window. This will have a list of all items related to the contract, including the Strategic Sourcing event, Purchase Orders and Vouchers.



CREATING, EDITING, AND ATTACHING AD HOC DOCUMENTS (e.g. Certs and Single Source)

NOTES:

- Use this process for the Professional Technical Certification Form, Professional Technical Single Source and Grant Single Source (select PT Ad Hoc or Grant Ad Hoc). On the contract Document Management page, under Attachments and Related Documents, enter description that this Ad Hoc document #xxx related to this contract and do NOT make it visible to vendor.
- MS16A/C Violation forms should be generated in SWIFT as an Ad Hoc document. When form is completed, select signers and route for internal electronic signatures.
- Ad Hoc documents aren't necessarily related to a specific contract type.
- They may be general documents applicable to various contracts, such as a non-disclosure agreement or human rights certification, or specific to one contract but is not the contract itself, such as a document detailing the special terms related to an RFP. After the contract is awarded, those terms need to be included with the contract as an attachment or related document.
- This process will also be used in the future for Master Contract, Work Order Certifications.

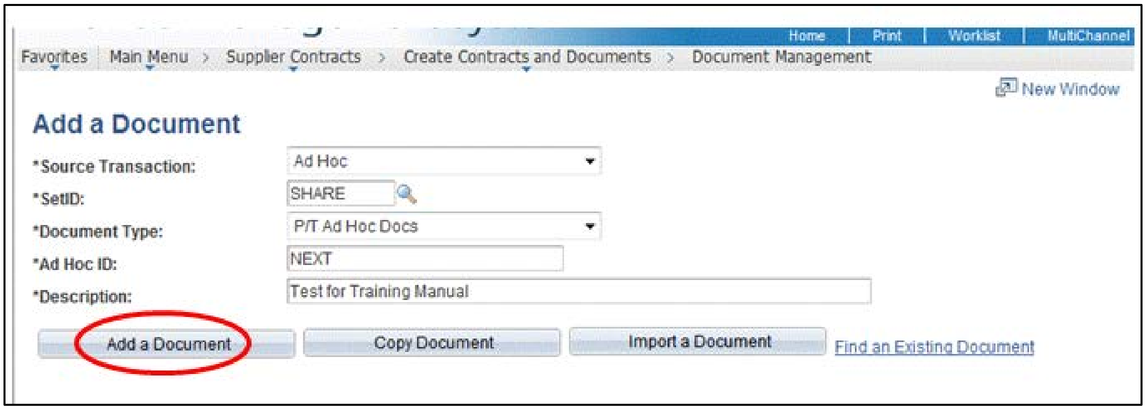
You may create your Ad Hoc document before creating your Supplier Contract "Shell". You can link the documents later under the ***Attachments and Related Documents*** section.

Creating an Ad Hoc document is similar to creating contract document. However, because the document is not initially associated with any specific contract, the navigation is different. To create an Ad Hoc document, you must navigate directly to the *Document Management* page.

Navigation: Financial Supply Chain Access, Supplier Contracts, Create Contracts and Documents, Document Management

Instructions for Ad Hoc Documents can also be found on SWIFT website at http://www.mn.gov/mmb/accounting/swift/training-support/reference-guides/supplier-contract.jsp under ***Ad Hoc Documents***.

1. Select Ad Hoc as the Source Transaction
2. The Set ID is always SHARE
3. Select the Document Type
4. The Ad Hoc ID defaults to "NEXT," which lets SWIFT assign a sequential document ID with the prefix ADH.
    - Naming the Ad Hoc document: Start with the sequential document ID that is assigned, following that, you can add the Agency internal document tracking number for easier reference. Be sure to include the Ad Hoc number to the Agency's internal tracking database (if applicable), in the comment field.
5. Enter the ***Description*** of the document (label it document type and project title)



6. You have three options to create the document:

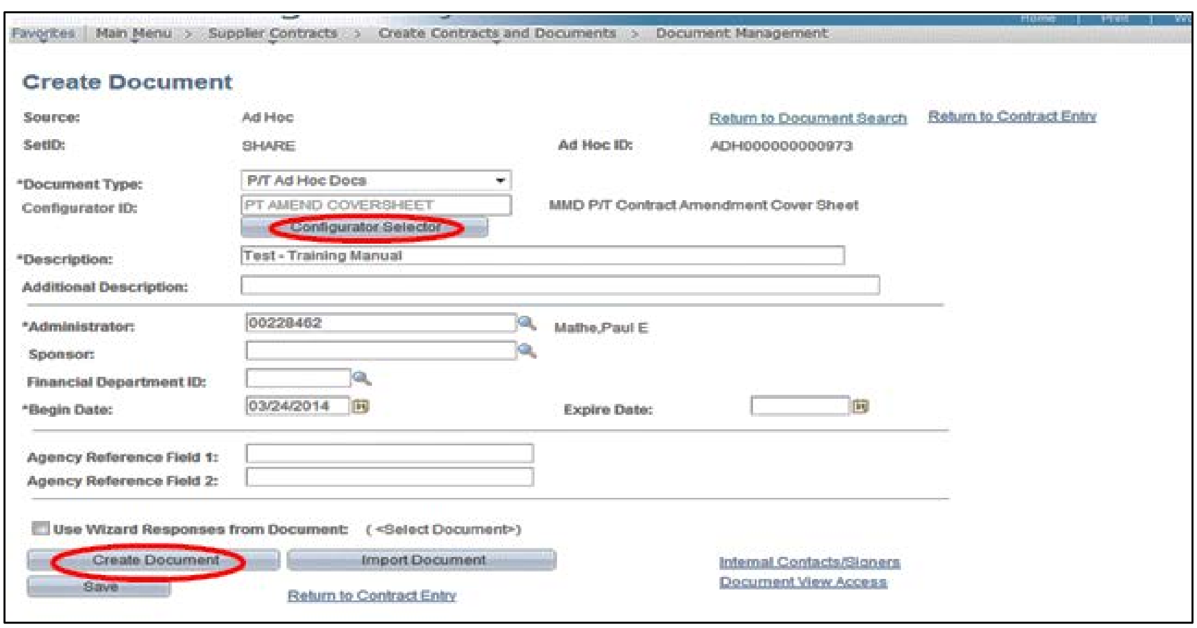
- Click **Add a Document** to create new ad hoc document using a SWIFT library template. Follow steps from previous section, **Create a New Purchasing Contract**.
- Click **Copy Document** to use another previously created SWIFT Ad Hoc document as the source for this new one. Follow steps from previous section, **Create a New Purchasing Contract**.
- Click **Import a Document** to use a non-SWIFT document as the source for this one (such as vendor contract documents, where the vendor requires that we use their document format. These are known as vendor papers or Statement of Work).

7. Click **Configurator Selector**

8. Answer questions

9. Pick template if available from drop down list; if no template is available, hit **Cancel** and upload document using **Import a Document** process.

• Ad Hoc documents may be routed for electronic signatures. If wet signatures are obtained, upload the signed document using the **Import Document**.



10. Click **Create Document** (Same process as when creating a contract defined on Page 9 above)

11. Click **Edit Document** (Same process for editing contract as defined on Page 9 above) or ***Import Document*** (see ***Import A Document*** section on Page 16 below)

12. Write down your Ad Hoc document number

13. Click on ***Electronic Signature*** Setup link

14. Choose your signers by Type and Type ID (User ID) number

• Select correct authorized State Agency Signer and then click (+) icon to add role for Admin Signer (see ***Internal Signatures – P/T Contracts*** Quick Reference Guide (QRG) for signature process)

• Admin Signer- by User ID number (select Christina Wong)

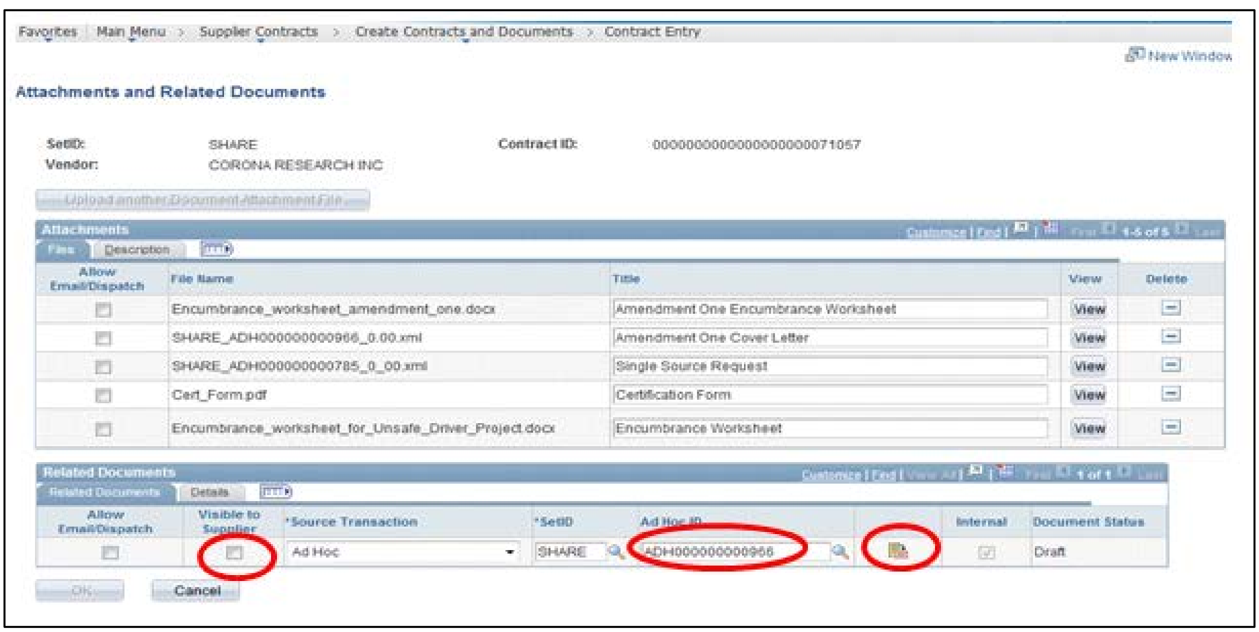
15. ***Validate Signer Data***

16. Click on ***Route for Electronic Signature*** (once this is complete your Ad Hoc Document is being routed electronically for signatures).

17. Create your contract (see ***creating a New Purchasing Contract*** process on Page 6 above).

18. On the contract page – under ***Attachments and Related Documents*** (Related Documents section), indicate that this Ad Hoc document (ADH number) is related to this contract and do NOT make it visible to vendor. (When pulling these into a contract, choose Set ID "Share" and then search Ad Hoc ID by number using the spyglass icon, otherwise it won't work.)

19. Once the Ad Hoc Document has been approved and signed by the Agency Authorized Signer and the Department of Administration Authorized Signer, the agency Contract Specialist can submit the Contract for Approvals (follow instructions for Document Approvals process on Page 18 below).



How to View an Ad Hoc Document

Navigation: Financials Supply Chain Access, Supplier Contracts, Create Contracts and Documents, Document Management

Instructions can also be found on SWIFT QRG at http://www.mn.gov/mmb/accounting/swift/training-support/reference-guides/supplier-contract.jsp under Ad Hoc Documents, section View a Document.

Follow the steps below:

1. Click ***Find an Existing Document*** link – (This document will be easy to find if you put the Ad Hoc number in the Agency internal tracking database as suggested in Step 4 of ***Creating and Editing Ad Hoc Documents*** above.)
2. Enter Search Criteria (enter Administrator User ID or click on spyglass icon for Ad Hoc ID field to find your Ad Hoc document (ADH number)
3. Click **Search** button
4. Click the Document ID hyperlink of the Document you searched (this takes you back to the SWIFT Ad Hoc Document Management page)
5. Click the ***View Document*** button, click Open and original Ad Hoc document will display

Alternative method:

Navigation: Financials Supply Chain Access/Supplier Contracts/Create Contracts and Documents/Contract Entry

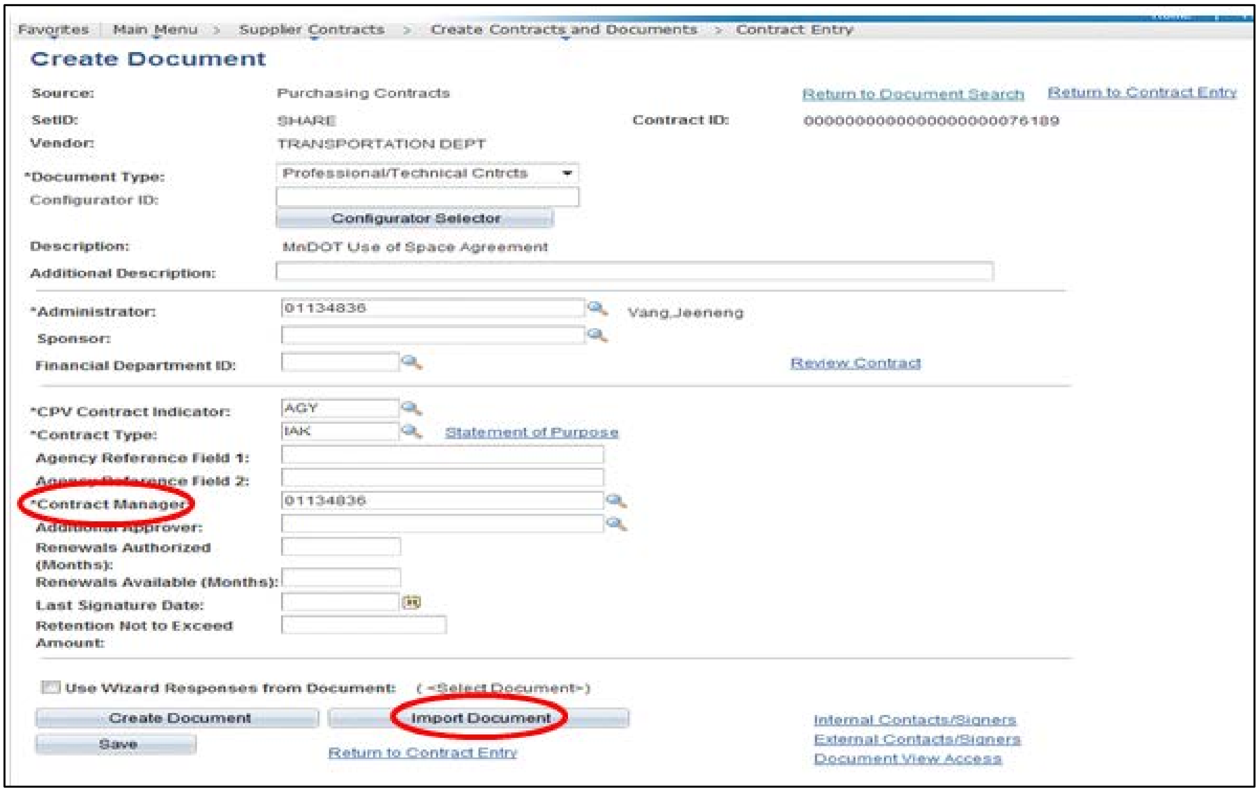
1. Click ***Find an Existing Value*** tab
2. Enter contract number in the Contract ID field and set drop down to "Contains"
3. Click **Search** button
4. Click the Document ID hyperlink of the Document you searched (this takes you to the Contract Entry page)
5. Click the ***Maintain Document*** button
6. Click ***Modify Attachments/Related Documents*** link
7. In the **Related Documents Section** click on icon (***Transfer to Document***), which is located after the Ad Hoc ID number and hour glass, this will open a new window and take you to the Ad Hoc Document Management page (see screen shot on Page 16 above).
8. Click on **View Document** (this is your Ad Hoc Document Management page)
9. Close MS Word Document after viewing

TO IMPORT A DOCUMENT

Navigation: Financial Supply Chain Access, Supplier Contracts, Create Contracts and Documents, Contract Entry

1. Complete the *Create Document* page as you would normally. The Contract Manager is required; enter Additional Approvers, if desired.

2. Click **Import Document**.



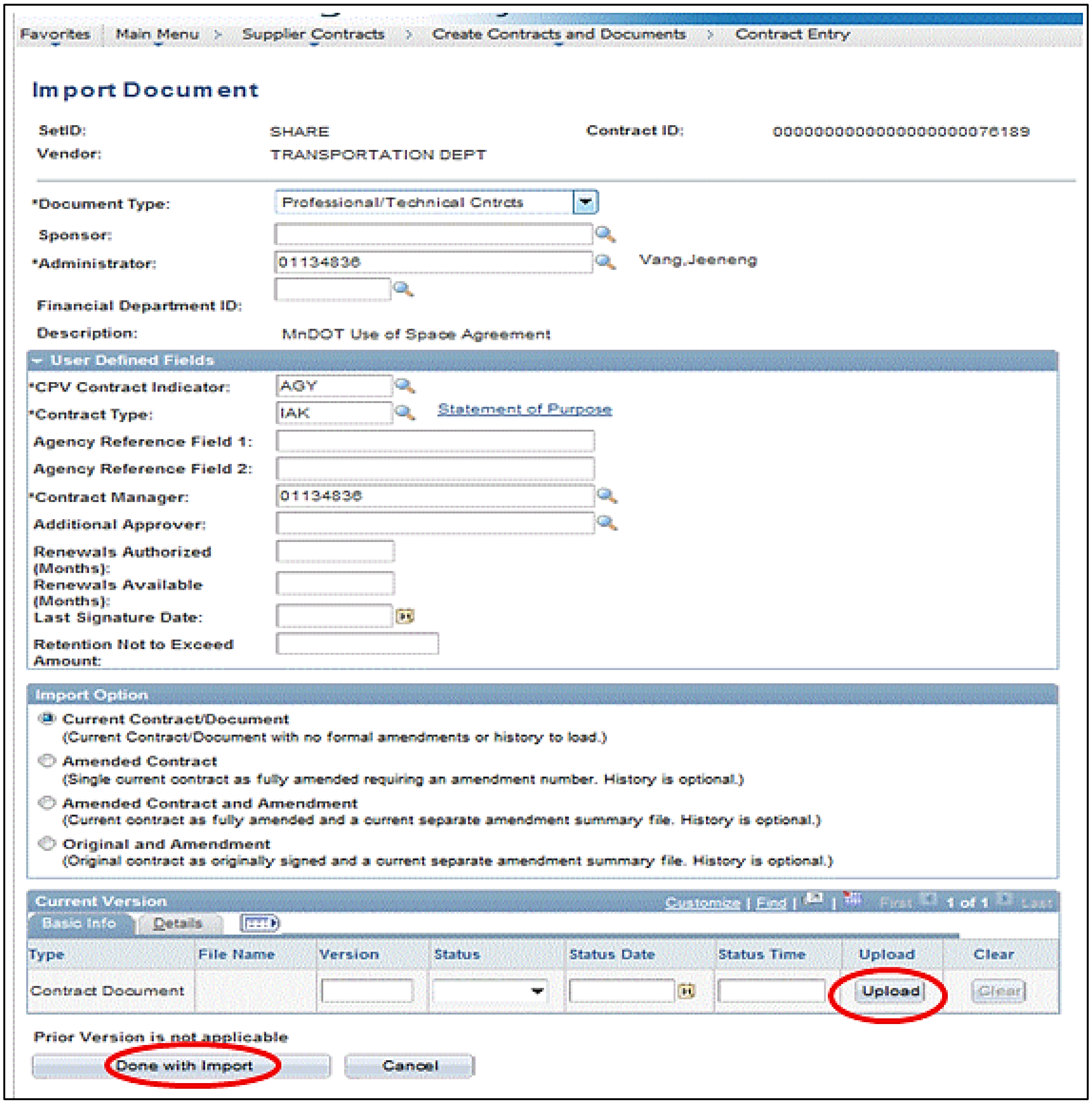
3. SWIFT opens the ***Import Document*** page. Select the appropriate import option. The default is "Current Contract/Document," which indicates you are importing a document as the original contract document. Selecting one of the other options opens additional fields in the Upload section below.

a. Version indicates the contract version you are uploading.

b. Status is either "Draft" or "Executed"

c. Status Date indicates when the status changed. If it is "Draft", enter the current date. If the document has already been executed, enter the execution date.

d. Status Time is not required.



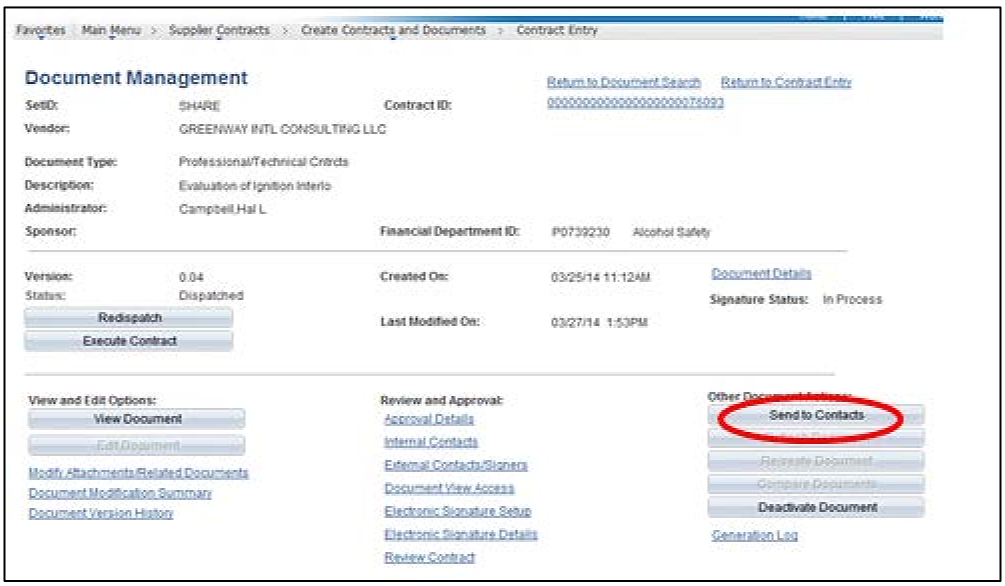
4. Click **Upload**. SWIFT opens a dialog box to browse for your document. Find the document and then click **OK** to load the document into SWIFT.
5. When you have selected and uploaded the imported document, click ***Done with Import***.
6. SWIFT opens the ***Document Management*** page, indicating that the document was imported.

OTHER DOCUMENT ACTIONS: Send to Contacts

The **Send to Contacts** button allows you to send a copy of the current version of the document to any individual you identify. This enables you to send the document to someone who is not set up as an official collaborator who may just need to see the document.

Navigation: Financial Supply Chain Access, Supplier Contracts, Create Contracts and Documents, Contract Entry

1. Click ***Find an Existing Value*** tab
2. Enter contract number in the Contract ID field and set drop down to “Contains”
3. Click **Search** button
4. Click the Document ID hyperlink of the Document you searched (this takes you to the Contract Entry page)
5. Click the ***Maintain Document*** button



6. Click **Send to Contacts**. SWIFT opens the *Send to Contacts* page. Complete the necessary information:

   a. Delivery Method – choose “Email” send contract and any attachments or related documents (Note: “Manual” is used to route documents for electronic signature)

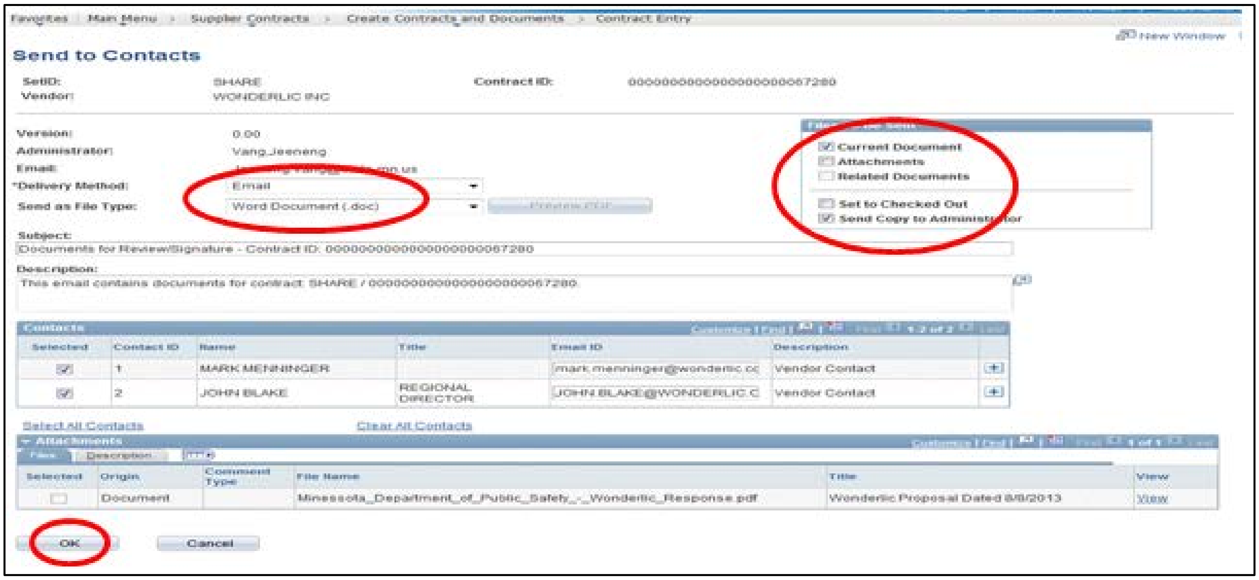
   b. Send as File Type – choose Word Document (.docx) or Word 2003 XML (.xml)

   c. Files to be sent – select which document/attachments to send. If document includes attachments or related documents, and they are authorized to be sent, those checkboxes will be active.

      - Decide whether to set the document status to “Checked Out.” This prevents anyone from making changes while the document is out.
      - Decide whether to Send Copy to Administrator. If “Email” is chosen as the Delivery Method, the Subject Line – becomes the document attachment name.

   d. Description – becomes body text of the email. Field disappears if “Manual” Delivery Method is chosen.

e. Contacts – choose recipients - internal or external contacts. Add multiple contacts by clicking the Add Row (+) icon. Click the check box to select the contact to receive the document.



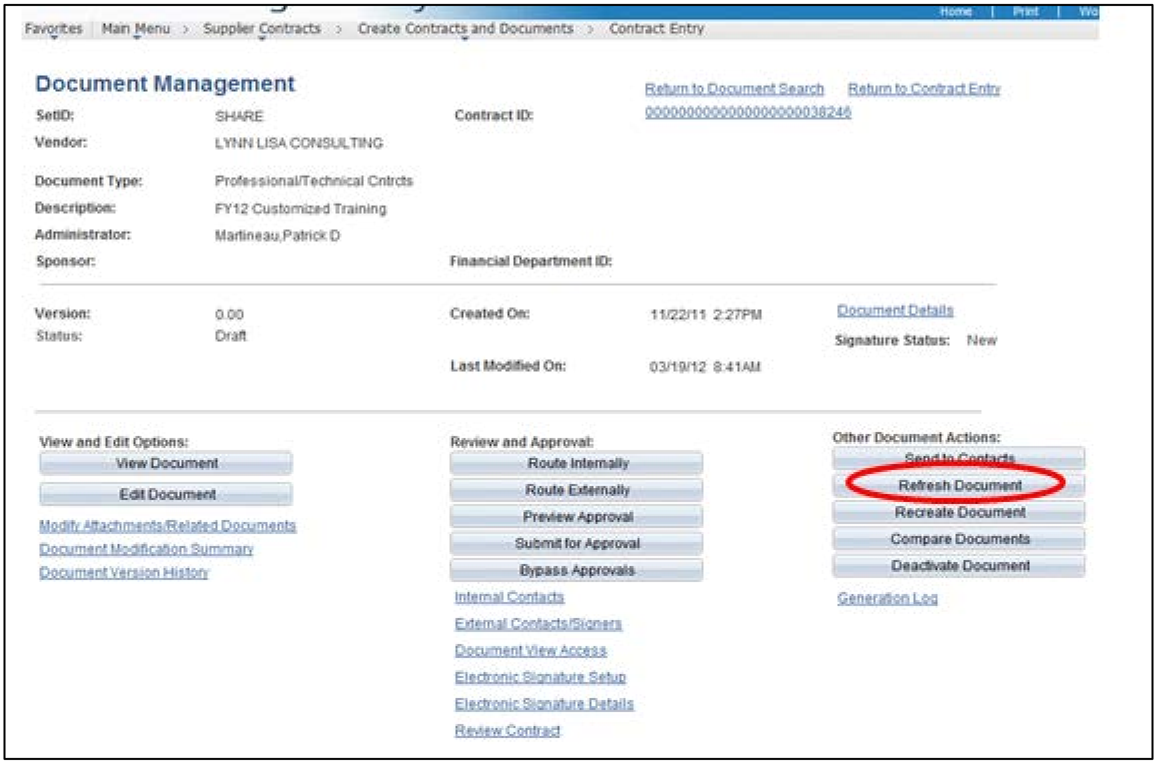
7. Click **OK** to send the document.

OTHER DOCUMENT ACTIONS: Refreshing a Contract Document

Refreshing a contract document re-engages the wizard so you can change your responses. Don't need to recreate the document and enter all of the information again, just any new responses. If there's no wizard associated with document, SWIFT updates it with any new contract language. This is important if you created the document but have not used it for a while. Use the Refresh option to make sure you have the most up to date contract (terms and conditions) language for that document.

Navigation: Financial Supply Chain Access, Supplier Contracts, Create Contracts and Documents, Contract Entry

1. Click ***Find an Existing Value*** tab
2. Enter contract number in the Contract ID field and set drop down to "Contains"
3. Click **Search** button
4. Click the Document ID hyperlink of the Document you searched (this takes you to the Contract Entry page)
5. Click the **Maintain Document** button
6. Click the **Refresh Document** button. SWIFT opens the ***Refresh Document Options*** page. If there is a wizard, you must complete the wizard questions first. Indicate whether this is a minor or major version change and the reason for the change. **Note:** SWIFT discards any previous changes you made to a document when you refresh it.



7. Click **OK** to complete the Refresh.

COLLABORATION – PEER REVIEW – ENCUMBRANCE

Collaboration and Peer Review can be done either internal or external to SWIFT. Internal collaboration allows Contract Administrator to solicit feedback and comments from other state SWIFT users. Instructions on internal collaboration can be located at http://www.mn.gov/mmb/accounting/swift/training-support/reference-guides/supplier-contract.jsp , Internal Collaboration on Contracts.

Navigation: Financial Supply Chain Access, Supplier Contracts, Create Contracts and Documents, Contract Entry

1. Click ***Find an Existing Value*** tab

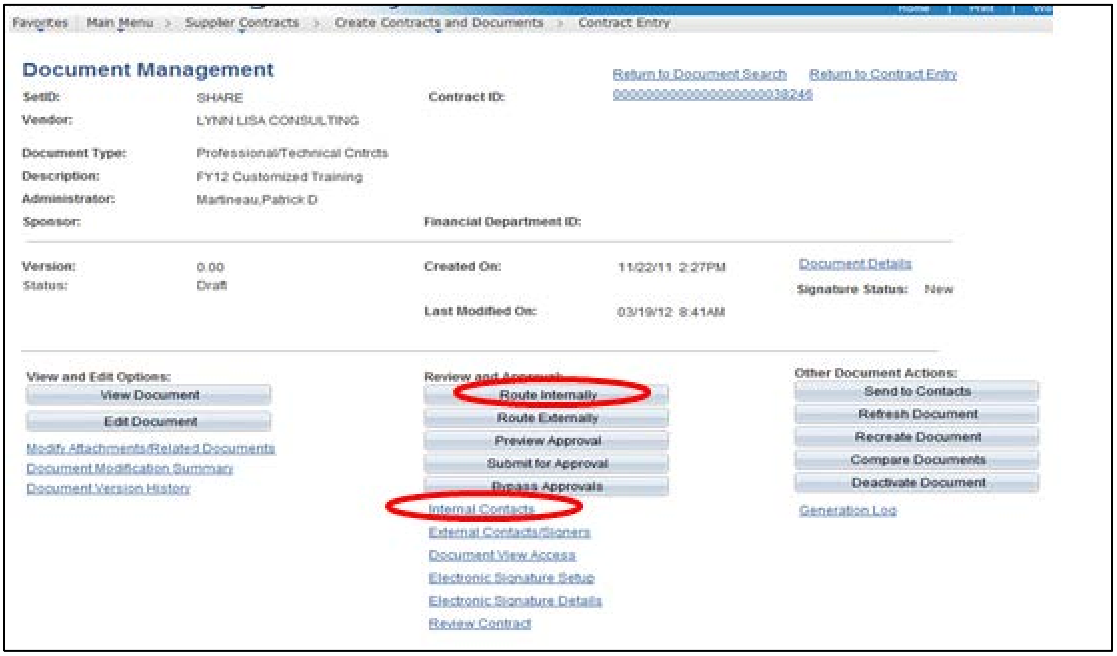
2. Enter contract number in the Contract ID field and set drop down to “Contains”

3. Click **Search** button

4. Click the Document ID hyperlink of the Document you searched (this takes you to the Contract Entry page)

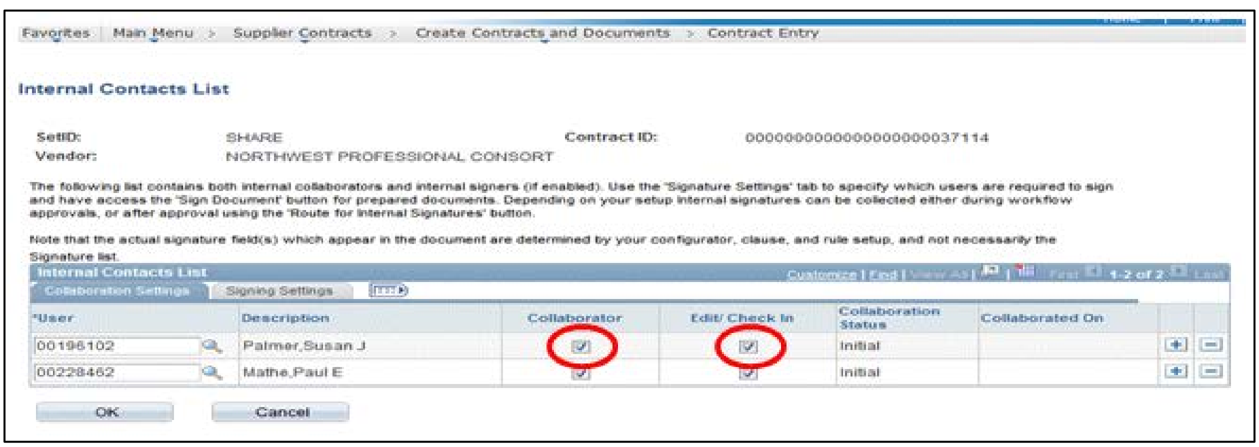
5. Click the ***Maintain Document*** button

6. Click on ***Internal Contacts***



• Contract Administrator may allow collaborator to review only and provided comments; or

• Collaborator can edit document and provided comments.



• Once collaborators have been identified, click ***Route Internally*** to notify collaborators.

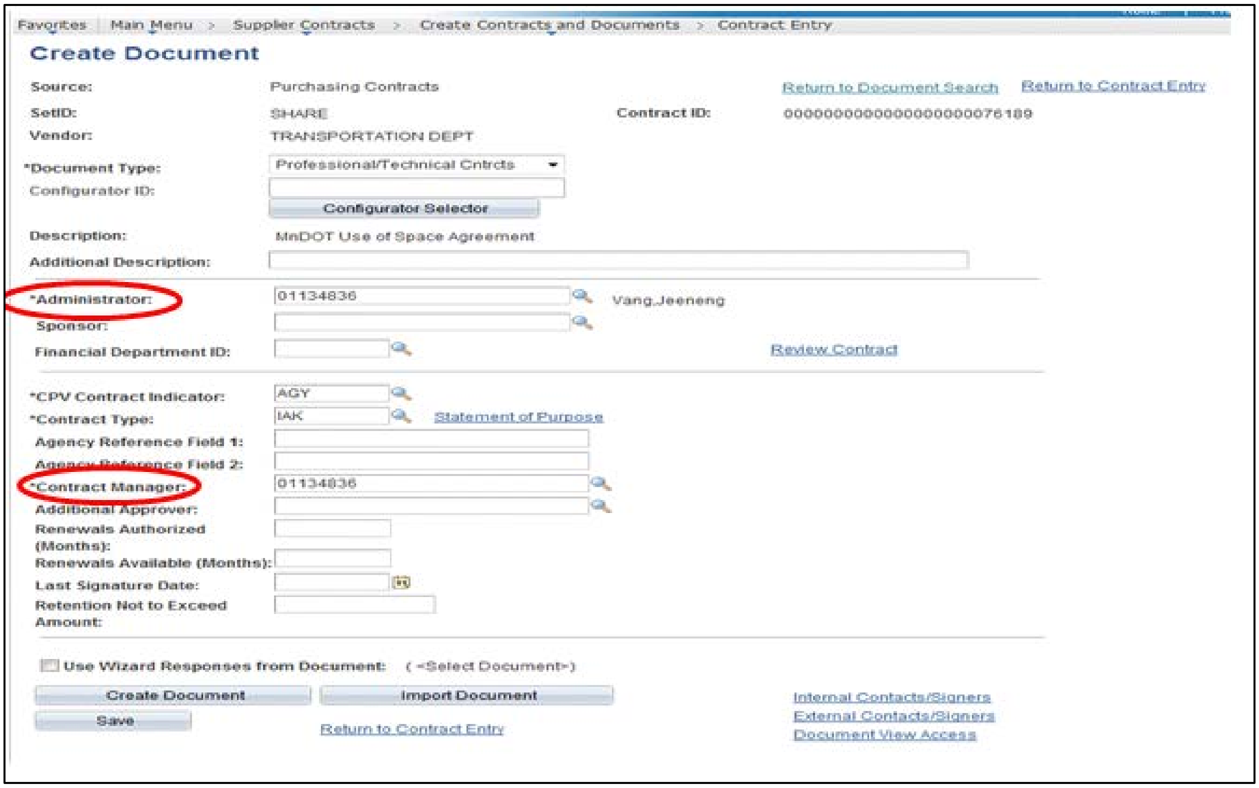
• While out for Collaboration and Peer Review; complete the **Encumbrance Worksheet** and follow internal business process for routing of document for creation of the purchase order to encumber funds. Once the purchase order is created, edit the contract document to add the SWIFT purchase order number, than move to **Document Approvals** process below. **If contract amount is over $100,000.00 the Affirmative Action/human rights document must be sent to MDHR in order to process purchase order**

EQUAL PAY CERTIFICATION. If the Response to this solicitation could be in excess of $500,000, the Responder must obtain an Equal Pay Certificate from the Minnesota Department of Human Rights (MDHR) or claim an exemption prior to contract execution. **.**

- NOTE: For Professional Technical, Construction, Lease and Grant POs (not Service), check to only show purchase order for vendor to see in SWIFT when in dispatched status. Thus, purchase orders for these types of contract types should not be dispatched until all signatures have been collected. Once purchase order is budget checked, it should be set to "Hold for further processing" until Purchasing Specialist has been notified by Contract Specialist that all signatures have been collected.

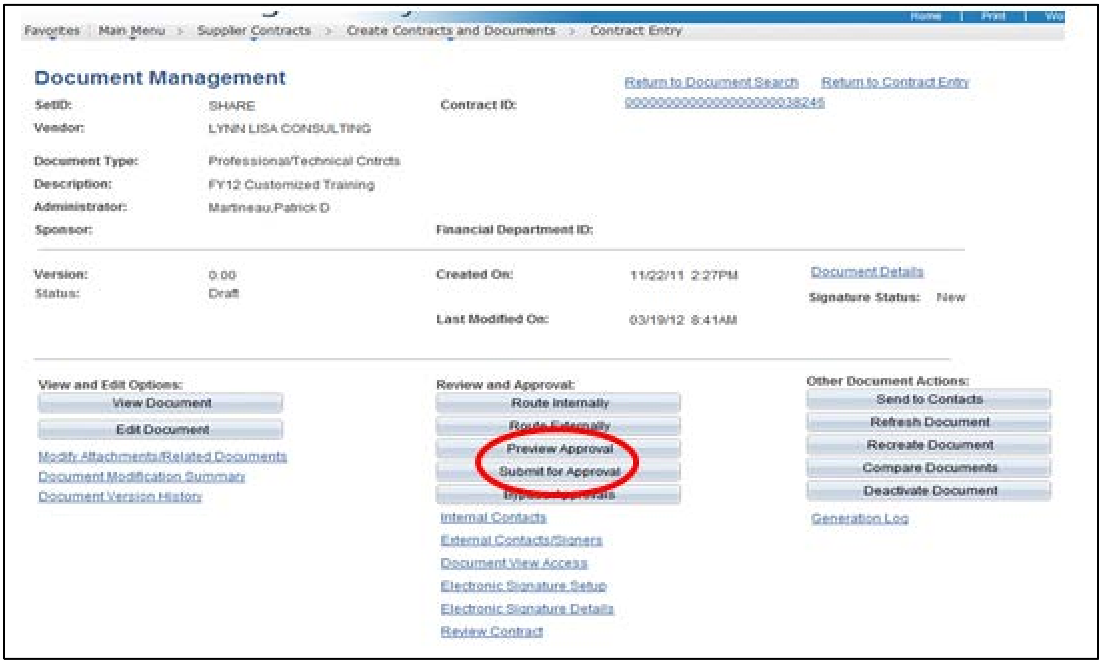
DOCUMENT APPROVALS

- Contract Administrator (= **Contract Specialist**) - identified on the Contract Entry page. May or may not be the person sending the contract document for approval. If it is, SWIFT workflow is set to self-approve and email notification is sent to the Contract Administrator and the **Approve** or **Deny** buttons are available on the Document Management page. If it's not the same person, Contract Administrator is notified via email and can access the document in their worklist.
- Contract Manager (= **Contract Specialist or Program Manager**) – this person is identified on the Create Document page. It is a required field. This may be the same person as the Contract Administrator.
    - If you need to go back and change the Contract Manager to the Contract Administrator (=**Contract Specialist**), you will need to: Return to Contract Entry. Change status to **Open**, then click **Save**; click on **Maintain Document**, click on hyperlink **Document Details**, change Contract Manager and click **Save**. Go back to *Contract Entry* page and change status back to **Approved** and click **Save**.
- Additional Approver – also identified on the *Create Document* page. This field is optional. If no Additional Approver was identified, SWIFT skips this approval step.
    - Contract Coordinator – person at the agency responsible for reviewing Professional Technical contracts before they are sent for signature. ***(GRANTS do not need to go through this step; however Peer Review may still be required.)*** There might be more than one Contract Coordinator at an agency. If so, all users with this security role will receive notification and a hyperlink in their worklist. Only one of the Contract Coordinators needs to approve the document; the first person that approves, email notification is sent back to Contract Administrator that document is approved.
    - If your agency does not use the Collaboration feature; to avoid issues with revising a contract after it has been checked back in: **AFTER** Peer Review and encumbrance, and **BEFORE** you upload the contract & attachments into SWIFT – provide P/T Contract Coordinator with a hard copy (or email copy) of the entire packet. P/T Contract Coordinator will do **PRE**-approval at that time and let you know of any comments/questions that need to be resolved before routing for approval. Only after the pre-approval is complete and any changes (if needed) are made, take one last look over the documents to ensure no new document formatting quirks have appeared – **THEN** upload/check back in your contract and attachments into SWIFT and route for Approvals.



Navigation: Financial Supply Chain Access, Supplier Contracts, Create Contracts and Documents, Contract Entry

1. Click ***Find an Existing Value*** tab
2. Enter contract number in the Contract ID field and set drop down to “Contains”
3. Click **Search** button
4. Click the Document ID hyperlink of the Document you searched (this takes you to the Contract Entry page)
5. Click the ***Maintain Document*** button



6. Click the **Preview Approvals** button to confirm that approvals are set up correctly first.

   a. If Contract Administrator and Contract Manager are the same person SWIFT will send email notification for each role; so you will need to approve the document twice.

7. When ready for the contract document to be approved, click **Submit for Approval**. Document Approval Status page opens. If you're the Contract Administrator, click Return to Document Management to click **Approve**. Notice of approval will be emailed from SWIFT and a hyperlink will show up in your worklist for the document approval.

8. Click **Approve** to approve the document. SWIFT opens the Document Approval Status page.

9. Click the **Approve** button again to confirm approval.

10. When all approvers have approved the document, SWIFT updates the *Document Approval* Status page to show the result for each approver. SWIFT also changes the document status to "Approved". The Contract Administrator is notified by email that the document is approved.

11. If **Denied by Contract Coordinator**, you will receive a notification that it was denied. Document will return to draft status, and there should be comments indicating why the approval was denied. The Contract Administrator (= **Contract Specialist**) will need to make changes to the document.

    a. If making a change to the contract, be sure to click ***Edit Document*** to check it out, save document with same file name to your desktop or file folder, make changes to document and click **Check-In** to upload document back into SWIFT. Click **View Document** and verify changes were accepted properly.

    b. If making changes to attachments, be sure to remove current version from SWIFT. Make the changes to the attachment and upload new version, see instruction under – ***Creating a New Purchasing Contract***, on Page 10, Step 15.

CANCELLING THE APPROVAL PROCESS

Navigation: Financial Supply Chain Access, Supplier Contracts, Create Contracts and Documents, Contract Entry

1. Click ***Find an Existing Value*** tab
2. Enter contract number in the Contract ID field and set drop down to “Contains”
3. Click ***Search*** button
4. Click the Document ID hyperlink of the Document you searched (this takes you to the Contract Entry page)
5. Click the ***Maintain Document*** button
6. Click the ***Approval Details*** link to open the Document Approvals Status page.
7. On the Document Approvals Status page, click the ***Cancel Approval Process*** button.
8. Click ***Return to Document Management*** to complete the cancellation.
9. To verify that approvals have been cancelled, from the Document Management page, click the ***Approval Details*** link. When you cancel the approval, SWIFT updates the Document Approval Status page to indicate that approval was terminated.
10. If all else fails, click on ***Edit Document*** and which will check out document. Then click ***Cancel Check Out***, this will take document out of the approval status.

MANAGING THE DOCUMENT SIGNATURE PROCESS

Navigation: Financial Supply Chain Access, Supplier Contracts, Create Contracts and Documents, Contract Entry

Note: Technically documents can be added during the signature process up until the contract is in Executed status. However, this ability should be used very sparingly and should NEVER change the terms and conditions of the contract or attachments (exhibits) to the contract (e.g., MS16C to show that no work has been done prior to execution when start date has passed; renaming an attachment in SWIFT - not on the attachment itself; attaching copy of the RFP document).

Note: that if more than one Vendor signature is required you cannot route contract electronically through SWIFT. EXCEPTION: More than one State Agency signer can sign a contract.

ROUTING FOR ELECTRONIC SIGNATURES

1. Click Find an Existing Value tab
2. Enter contract number in the Contract ID field and set drop down to “Contains”
3. Click **Search** button
4. Click the Document ID hyperlink of the Document you searched (this takes you to the Contract Entry page)
5. Click the ***Maintain Document*** button
6. On the Document Management page, click the **Dispatch** button. Dispatching configures the document so that external users can view and sign it.

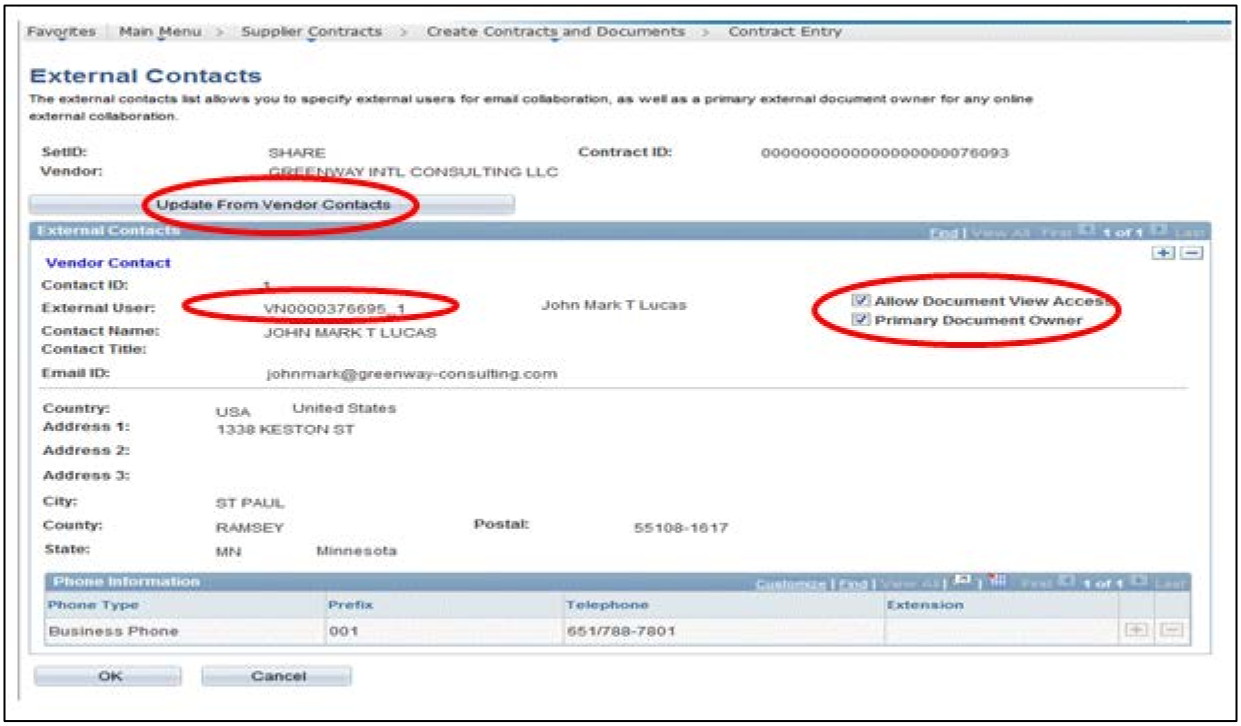
7. When obtaining electronic signatures, choose “Manual” as the Delivery Method and click **OK**

8. Click on ***External Contacts/Signers*** link and then click on **Update from Vendor Contacts** button. This will ensure that any recent changes made by the vendor to their “Contacts” information is refreshed here, otherwise they will not be able to view or open attachments.

   a. Make sure the ***External User*** information is populated with the VN number (see example below).

   b. Click the ***Primary Document Owner*** check box.

   c. Note that anytime a vendor says they have gotten their User ID and Contact information filled out correctly, and still can’t see the document, these fields are usually the first thing to check.



9. Click **OK** and return to the *Document Management* page.

10. Set up the electronic signature routing. On the Document Management page, click the Electronic ***Signature Setup*** link.

11. Click spyglass in the vendor’s User ID field and select the vendor contact who will sign the contract. (Note only one vendor signature can be obtained.)

   a. Position Title must be entered. If one is not provided, use Document Signer or Authorized Vendor Signer.

   b. Troubleshooting: If the vendor’s User ID or Name are missing or not correct, you can check their Vendor Contact info as follows:

      (1) **Navigation:** Main Menu, Vendors, Vendor. If the Vendor ID is known, enter the vendor number; otherwise under Name 1, select “Contains” from the dropdown menu, enter the Vendor name and click the **Search** button. Select appropriate vendor from the search results by clicking the hyperlink for their name.

(2) Select ***Contacts*** tab at top of page and then click on View All on right side of blue bar labeled Vendor Contact.

(3) Locate the individual and ensure they have the following information in place:

a. ***Authorized to Sign Contracts*** box is checked, as well as ***Allow Document View Access*** box.

b. They have their own distinct Vendor User ID (VN number) with no one else's name listed next to it.

c. The **Effective Status** is at **Active**.

d. If the name is not correct or Vendor User ID is missing, you will need to contact the vendor and have them refer to the vendor instructions to update their contact information.

e. Note that the contract cannot be routed for signatures until this info is correct and active.

12. For internal signers, SWIFT defaults the required signers by role (R). The Encumbrance Verification Signer and the State Agency Signer are both required signers on all contracts. Professional Technical contracts will also default the MMD signer. You have the option to override the defaulted values. For example, when routing by role (R), SWIFT sends email notification to all users with that role, and places the contract in all of those users' worklists. If you want to have a specific user with that role sign the document, (e.g. PT Contract Coordinator instead of MMD for PT contracts under $50K) you would select (U) under **Type** and select that user's information instead of the defaulted role-based information. Under ***Type ID*** and ***Position Title***, simply type over the default values with the user information desired.

a. For ***Encumbrance Verification***, select "R" for Role rather than "U" for User if your agency has multiple individuals assigned to this role. Only use "U" if routing Annual Plan Agreement contract documents if they were created from the Purchase Order, otherwise the electronic signature process will not work. [This is a SWIFT software glitch that is being worked on]

(1) Routing for signature using the "R" Role process will allow other purchasers (or Accounting Officers) to provide back up when needed. The primary purchaser (or Accounting Officer) will work this out with the other purchasers (or Accounting Officers) so that they know to otherwise ignore these electronic signature notifications, unless they are out of the office.

b. For ***State Agency Signer***, follow your agency's business process for routing of electronic signatures. You may change "R" Role to "U" User if there are specific contract types that need to be routed to specific individuals for signature.

c. For PT contracts up to $50K, enter PT Contract Coordinator as "U" User instead of the default role of ***MMD P/T Dept. of Admin*** "R" Role. This can only be done if the agency's PT Contract Coordinator has delegated authority from MMD to sign contracts.

d. For Master Contract Work Orders that don't require MMD's signature, remove their role by clicking the (–) icon to delete the role and route.

13. When all signer details are entered, click the **Validate Signer Data** button. You should see a confirmation that all signer data is valid. (If not valid, return to the Electronic Signature Setup page to correct).

14. Click the **Route for Electronic Signatures** button.

15. You can cancel the signature process by clicking **Cancel Signature Process**. Once the Signature process is cancelled you will need to start over at step 11 above.

16. Further instruction on the internal signature process with sample screen shots can be found on the MMB website at http://www.mn.gov/mmb/accounting/swift/training-support/reference-guides/supplier-contract

After the vendor receives notification for electronic signature of the contract.

a. If the vendor can find the contract document, but can't sign it (e.g. the button for them to Execute/Sign or Deny is grey and they are unable to click) that means that the document was Dispatched and routed to a different contact from the company, or it was Dispatched and not routed for signatures. Click the **Redispatch** button and follow the process in Steps 8 – 14 above.

b. If the vendor can find the contract document, but can't see the contract document (View Document) or attachments; this most likely means that the contract document was routed for electronic signatures, but not Dispatched. Otherwise the vendor may have pop-up blockers enabled or their default program is not set to open documents (XML format) in MS Word.

c. If the vendor can't find the contract document at all, most likely it means that the **Update from Vendor Contacts** button was not clicked to bring in the most current vendor information prior to routing for signatures.

SIGNING THE CONTRACT DOCUMENT – INTERNAL SIGNER

1. If you have any document signer roles, you may receive email notification that there is a contract document to be signed. The email notification includes a hyperlink that opens the Document Management page. You may also access the pending document via your worklist. Make sure you are logged into SWIFT and click the hyperlink from the email notification to open the Document Management page.

2. Click the ***Electronic Signature Details*** link to sign the document.

3. **Encumbrance Verification signers**. Note: For Professional Technical, Construction, Lease and Grant purchase orders (not Service); the purchase order will only show up for vendor to see in SWIFT when in **"Dispatched"** status. Thus, purchase orders for these types of contract types should not be dispatched until all signatures have been obtained. Once purchase order is budget checked, it should be set to **"Hold for further processing"** until Purchasing Specialist has been notified by Contract Specialist (Administrator) that all signatures have been obtained.

4. Enter any comments related to the document and then click **Execute/Sign**. If for any reason you refuse to sign the document, enter comments explaining your decision and click **Deny**.

   a. **Note to Contract Specialist**: If denied, keep in mind that this has already been signed by the vendor so changes to the contract cannot be made at this time. If denied; click ***Electronic Signature Setup***, click ***Cancel Signature Process***, click ***Edit Document*** and make any necessary revisions and Check-In the document and initiate the approval and signature process again.

5. After you sign the contract document, SWIFT routes the document to the next signer on the list by emailing notification and placing the document on that user's worklist. If the signers were established by "R" Role, SWIFT notifies all users with that role.

6. Further instruction on the internal signature process with sample screen shots can be found on the MMB website at http://www.mn.gov/mmb/accounting/swift/training-support/reference-guides/supplier-contract.jsp, under ***Internal Signatures – Supplier Contracts***.

EXECUTING THE CONTRACT DOCUMENT

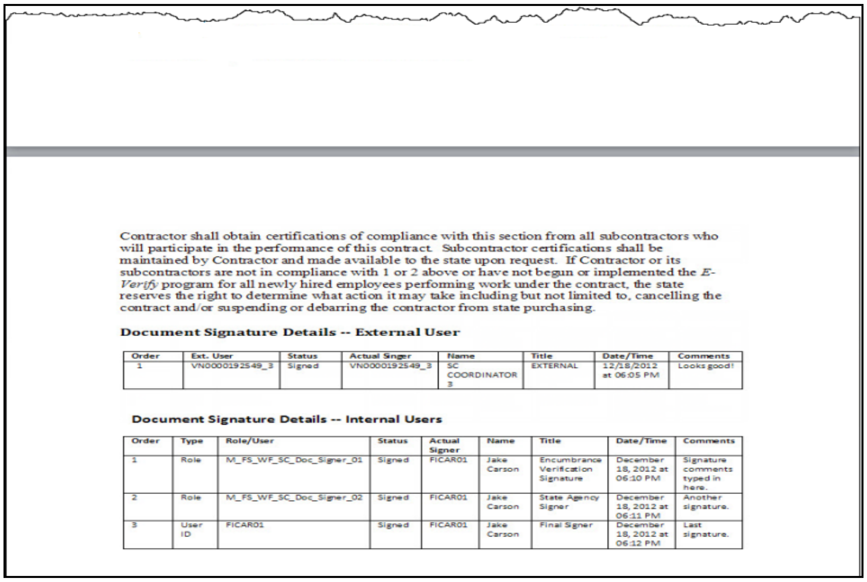
1. When all signers have signed the contract document, SWIFT updates the signature status under the ***Electronic Signature Details*** section to “Signed.”

2. Contract Specialist (Administrator) should notify Purchasing Specialist that all signatures have been obtained and that the “***Hold for further processing***” can be removed and the purchase order can be dispatched. (This will enable vendor to see any purchase order info in the Supplier Portal and Accounts Payable will be able to make payment on invoices.

3. Once purchase order is dispatched, you can now execute the contract by clicking ***Execute Contract*** from the Document Management page.

   a. Contract is legally considered “executed” when the last signature is obtained, but this step is required to complete the process in SWIFT.

*Electronic signatures appear at the bottom of the contract document and on the Electronic Signatures Details page


Contractor shall obtain certifications of compliance with this section from all subcontractors who will participate in the performance of this contract. Subcontractor certifications shall be maintained by Contractor and made available to the state upon request. If Contractor or its subcontractors are not in compliance with 1 or 2 above or have not begun or implemented the *E-Verify* program for all newly hired employees performing work under the contract, the state reserves the right to determine what action it may take including but not limited to, cancelling the contract and/or suspending or debarring the contractor from state purchasing.

Document Signature Details -- External User

Order	Ext. User	Status	Actual Singer	Name	Title	Date/Time	Comments
1	VN0000192549_3	Signed	VN0000192549_3	SC COORDINATOR 3	EXTERNAL	12/18/2012 at 06:05 PM	Looks good!

Document Signature Details -- Internal Users

Order	Type	Role/User	Status	Actual Signer	Name	Title	Date/Time	Comments
1	Role	M_FS_WF_SC_Doc_Signer_01	Signed	FICAR01	Jake Carson	Encumbrance Verification Signature	December 18, 2012 at 06:10 PM	Signature comments typed in here.
2	Role	M_FS_WF_SC_Doc_Signer_02	Signed	FICAR01	Jake Carson	State Agency Signer	December 18, 2012 at 06:11 PM	Another signature.
3	User ID	FICAR01	Signed	FICAR01	Jake Carson	Final Signer	December 18, 2012 at 06:12 PM	Last signature.

UPON EXECUTION:

• Note that there is no auto-notification to vendor when contract is executed. Be sure to send vendor an electronic copy once fully signed. Use the **Send to Contacts** button as described in **OTHER DOCUMENT ACTIONS: Send to Contacts** on Pages 18 – 20 above.

• Refer to agency's ***Operating Procedure*** or ***Contract Checklist*** once contract or amendment is executed, regarding processes required for documentation and processing of required forms for agency files.

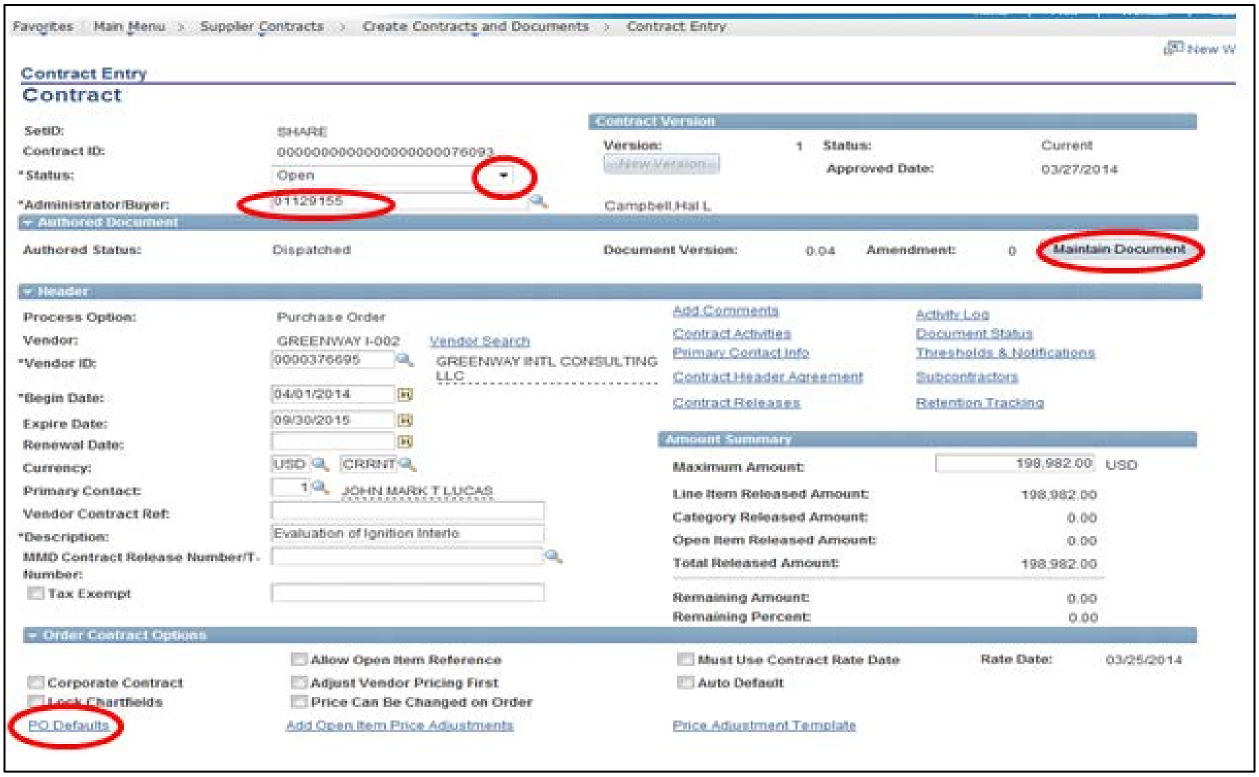
AFTER EXECUTION:

• Adding documents after execution: Documents or attachments cannot be added once a contract is in Executed status. A contract amendment is required in order to add documents or attachments.

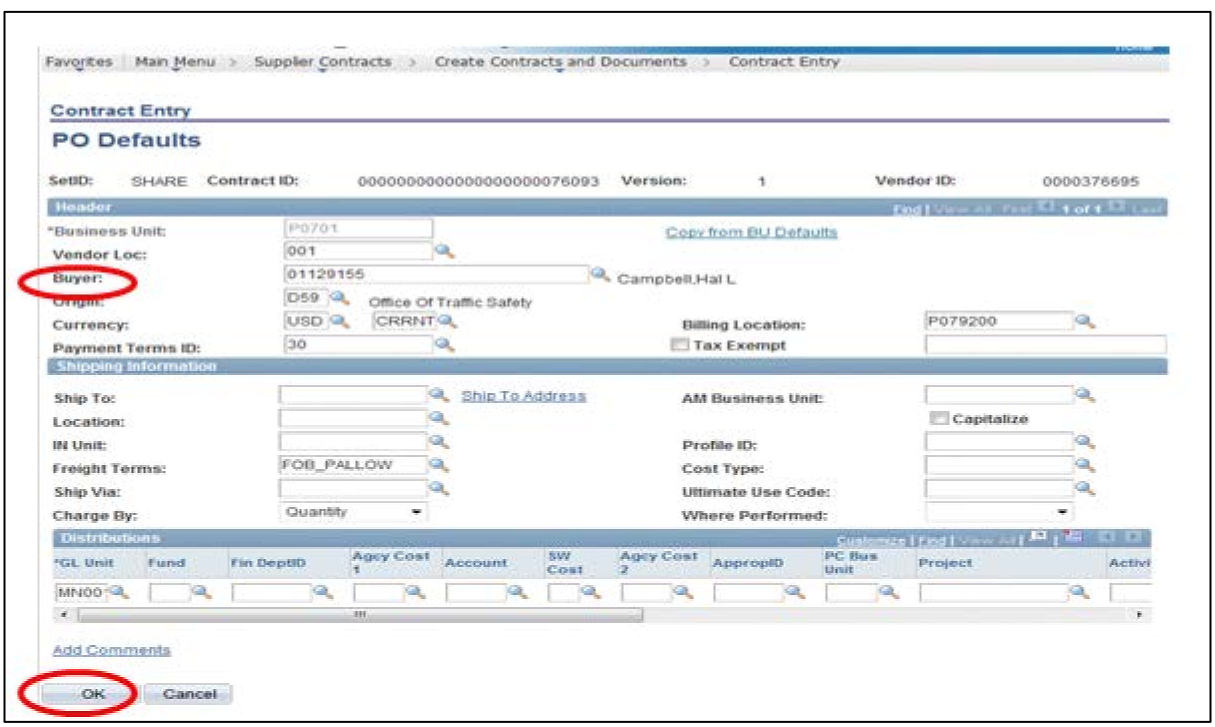
TO CHANGE ADMINISTRATOR WHEN ORIGINAL PERSON IS NOT WORKING ON THE CONTRACT/AMENDMENT

Navigation: Financial Supply Chain Access, Supplier Contracts, Create Contracts and Documents, Contract Entry

1. Click ***Find an Existing Value*** tab
2. Enter contract number in the Contract ID field and set drop down to "Contains"
3. Click **Search** button
4. Click the Document ID hyperlink of the Document you searched (this takes you to the Contract Entry page)



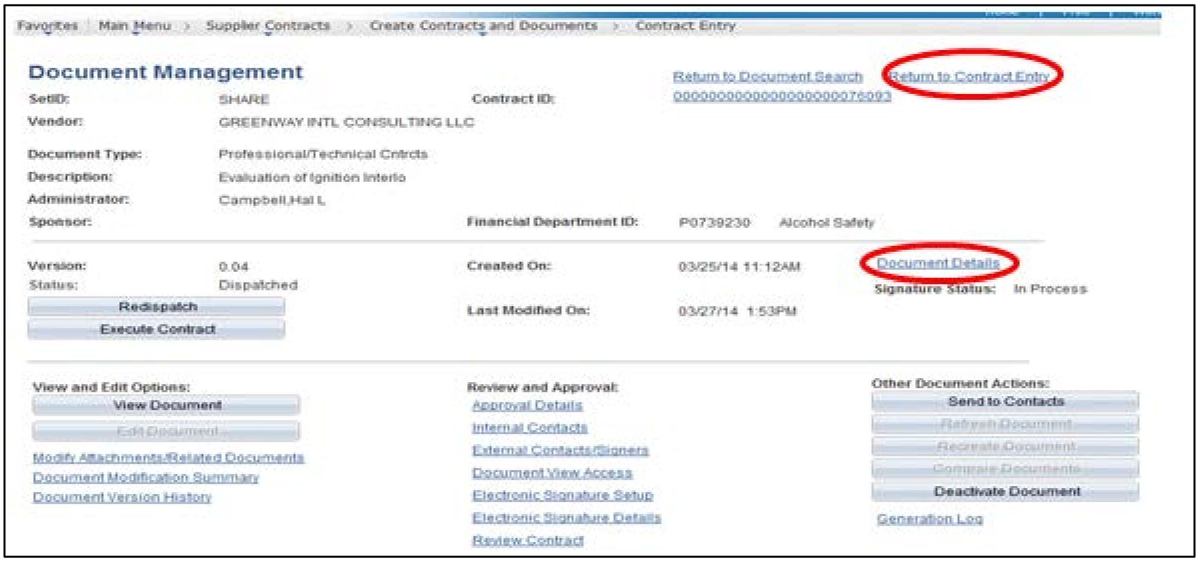
5. On the Supplier Contract Entry page, click the dropdown icon and change status to **Open**
6. Click on ***Administrator/Buyer*** and change to new person assigned as Administrator/Buyer
7. Click on ***PO Defaults*** hyperlink and change **Buyer** to same person as Administrator/Buyer



8. Click **OK** to return to Contract Entry page

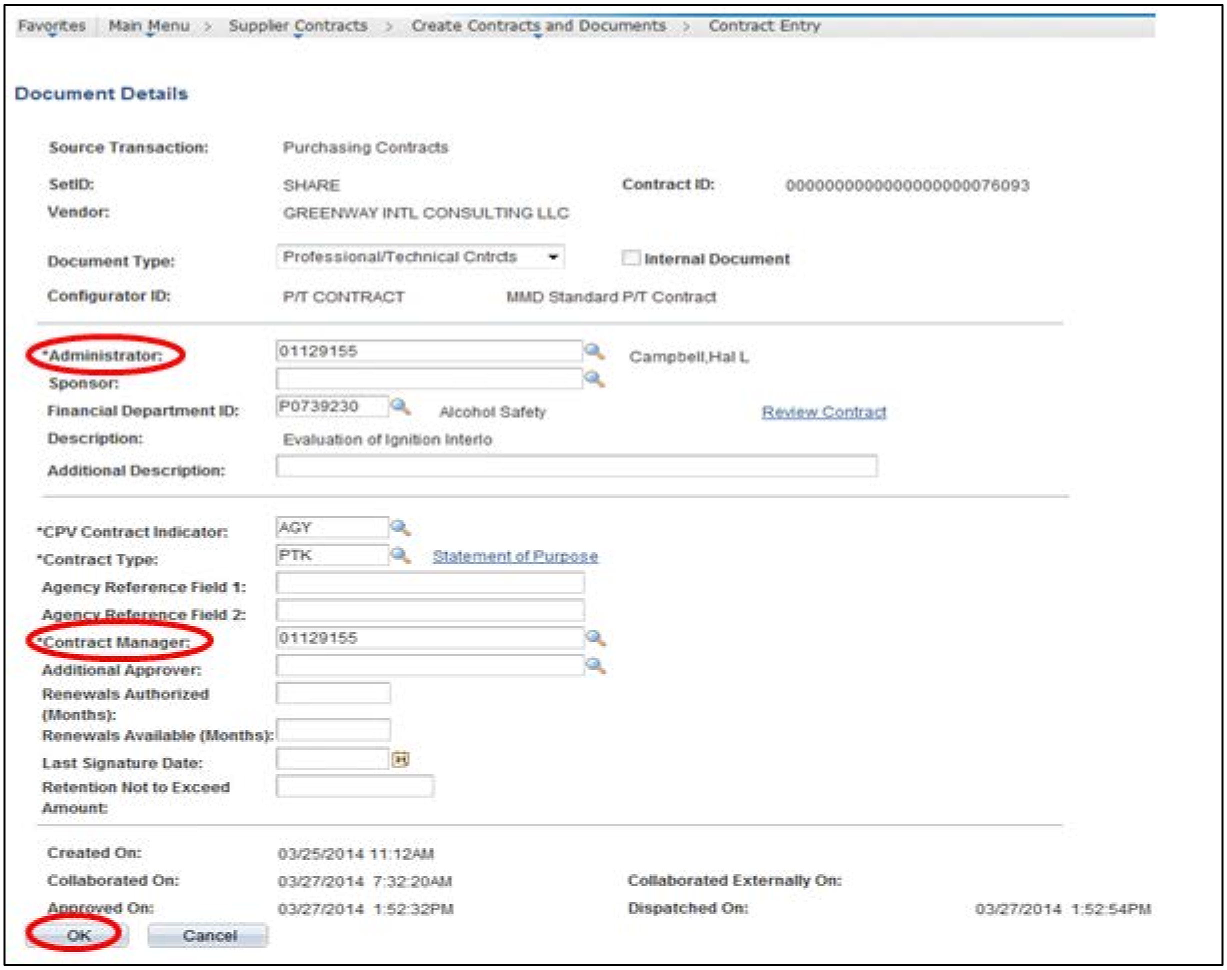
9. Click **Maintain Document** button

10. From Document Management page click ***Document Details*** hyperlink



11. On the ***Document Details*** page, change the Administrator and the Contract Manager if they currently are the same person. Otherwise if they are different people, only change the Administrator.

- Note: The only individuals that can reassign an Administrator/Buyer to another person are the current Administrator/Buyer, the P/T Contract Coordinator if they have SWIFT security clearance for all Supplier Contract Admin roles, or a MMB SWIFT Representative with security clearance for the Supplier Contract module.



12. Click **OK** to return to Document Management page.

13. Click ***Return to Contract Entry*** at top of Document Management page.

14. From Contract Entry page, change Status back to Approved and click **Save**.

AMENDING CONTRACT DOCUMENTS/CREATING AN AMENDMENT

General Notes:

- 1st step –Verify vendor is set up for electronic signature authority in SWIFT. If not, refer them to the Vendor Authorization to Sign quick reference guide at http://www.mn.gov/mmb-stat/documents/swift/vendor/vnd-auth-to-sign-qrg.pdf or to the vendor help desk at 651-201-8100, option 1

- There are two ways to create an amendment in SWIFT:
  1) When Contract Does Not Exist In SWIFT
  2) When Contract Already Exist In SWIFT

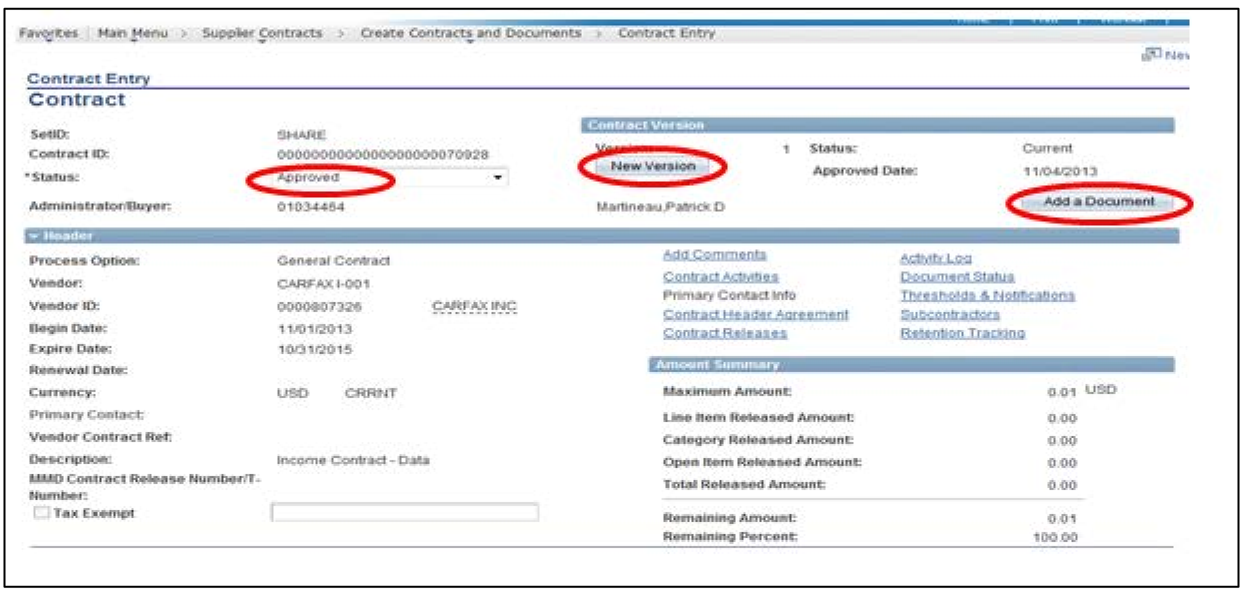
- Based on your Agency's business process, Peer Review and Preliminary Approval should occur outside of SWIFT and BEFORE you ***Check-In*** the amendment document or upload any attachments into SWIFT. This may follow a similar business process as defined in ***Create a New Purchasing Contract***, Pages 9 – 11.

A. WHEN CONTRACT DOES NOT EXIST IN SWIFT:

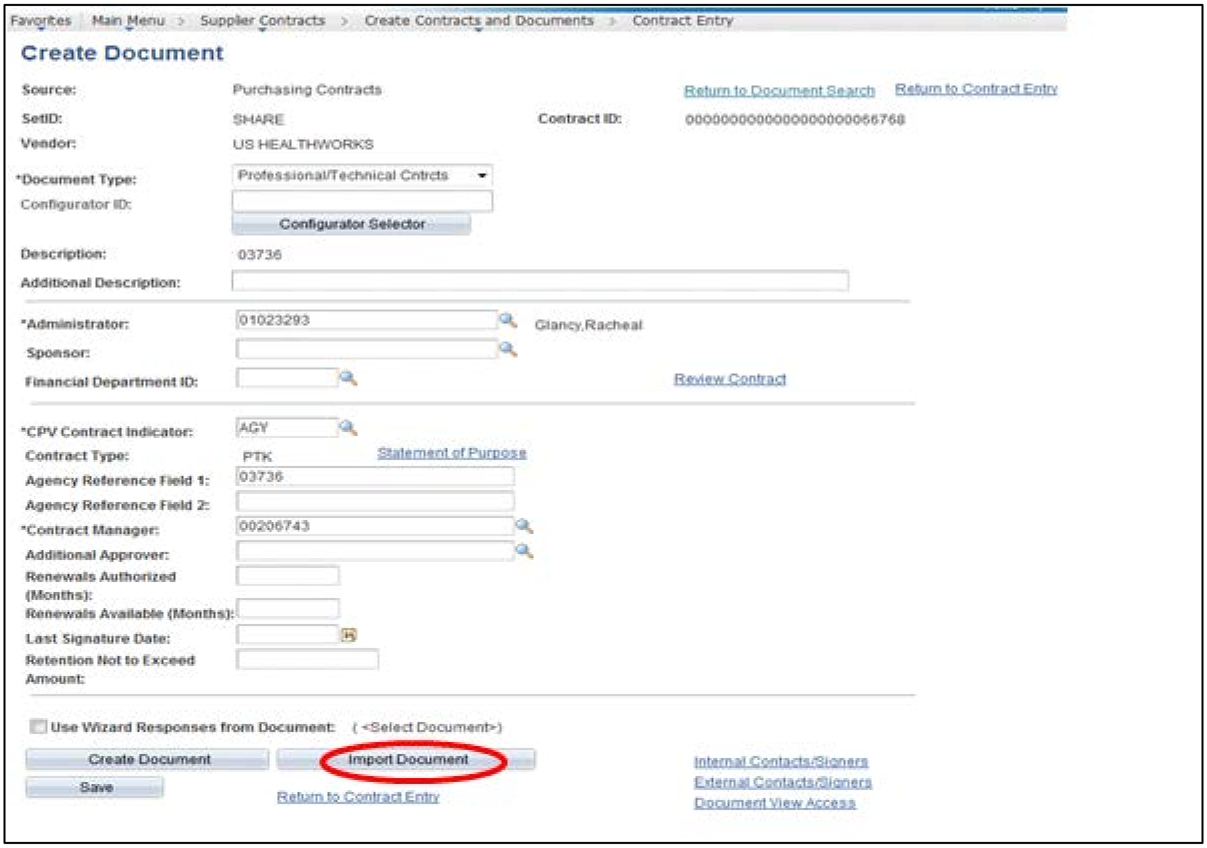
Upon assignment to Contract Specialist (Administrator): Based on Agency's business process, contact your agency P/T Contract Coordinator or other agency designee to obtain copies of the original contract, any prior amendments, and any change orders since last amendment which have been scanned already into an agency database, or need to be scanned from paper copies. The original contract and any previous amendments will need to be uploaded into SWIFT in .pdf format.

Navigation: Financial Supply Chain Access, Supplier Contracts, Create Contracts and Documents, Contract Entry

1. Click ***Find an Existing Value*** tab
   a. Enter contract number in the Contract ID field and set drop down to "Contains"
   b. Click **Search** button
   c. Under Search Results, click hyperlink of "Current" most recent version (if you have more than one choice)
2. If the contract amendment extends the expiration date of the contract, increases or decreases the contract amount; click ***New Version*** and select "Reason" to change status: amendment, and click **OK**; otherwise, if the amendment only adds or revises the duties of the contractor, change status to **Open**, click **Save** and select "Reason" to change status: amendment, and click **OK**.
3. Click on ***Add a Document*** button.



4. At the bottom of the page, select the ***Import Document*** button to import the original contract and all previous amendments of the contract;



A. These steps must be done before creating a new amendment:

i. If there are not previous amendments, click “Current Contract/Document”.

(1) Import PDF copy of original contract – set as executed (same process as used on Pages 17 – 18)

ii. If there are previous amendments, click “Original and Amendment”.

(1) Under the Current Version bar you will import PDF copy of the original contract.

a) It is version 1

b) Status = Executed

c) Enter the execution date under Status Date

(2) Under the Current Version bar, where type is Amendment file, import the most recently executed amendment (see sample below Amendment #2).

a) Status = Executed

b) Enter the execution date under Status Date

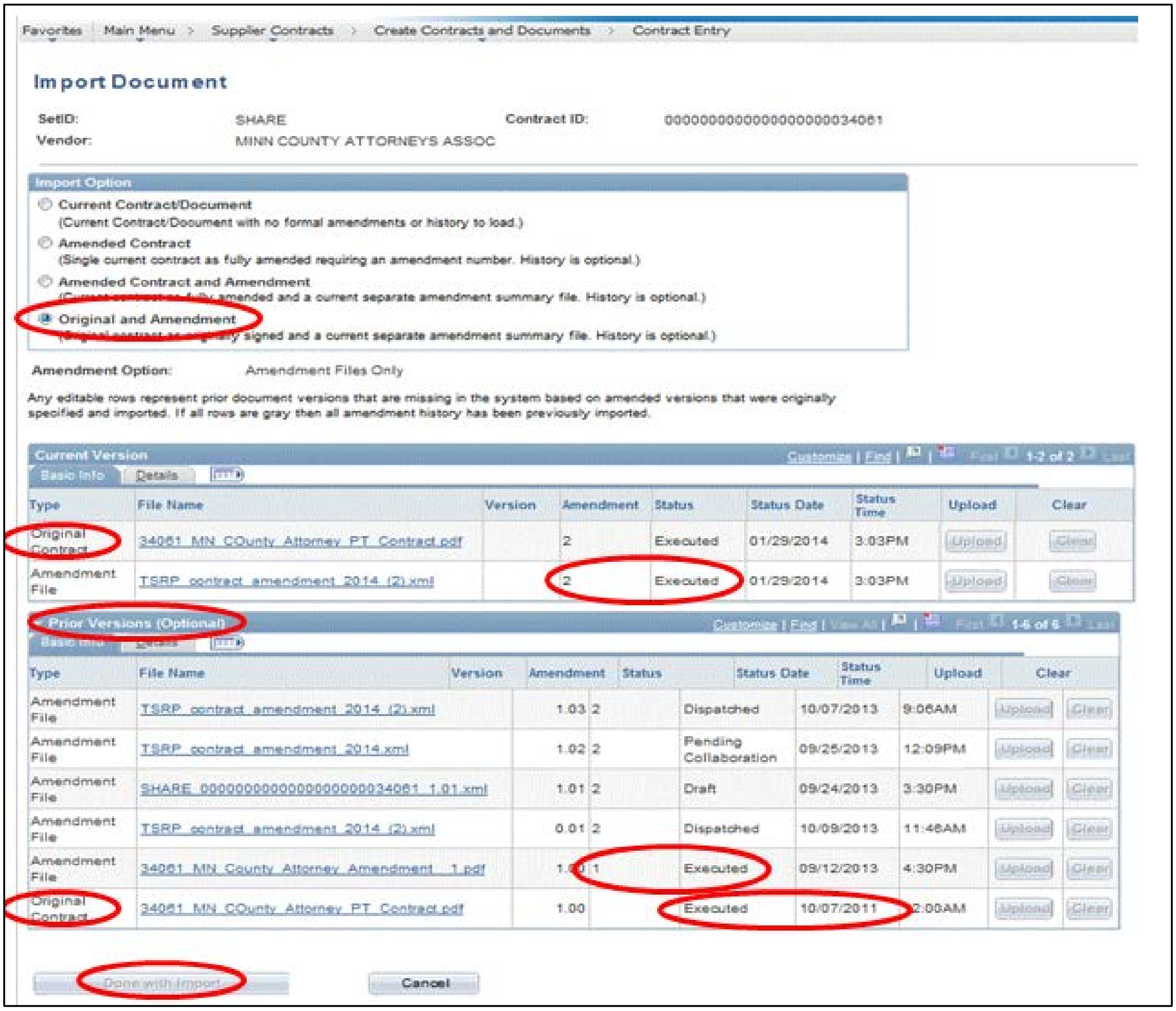
(3) If there is more than one previous amendment, a new table will appear labeled Prior Versions (Optional). This is where you will import all previous amendments (see sample below Amendment #1).

a) Version is controlled by the document you are working on (amendment, draft, and collaboration, dispatched)

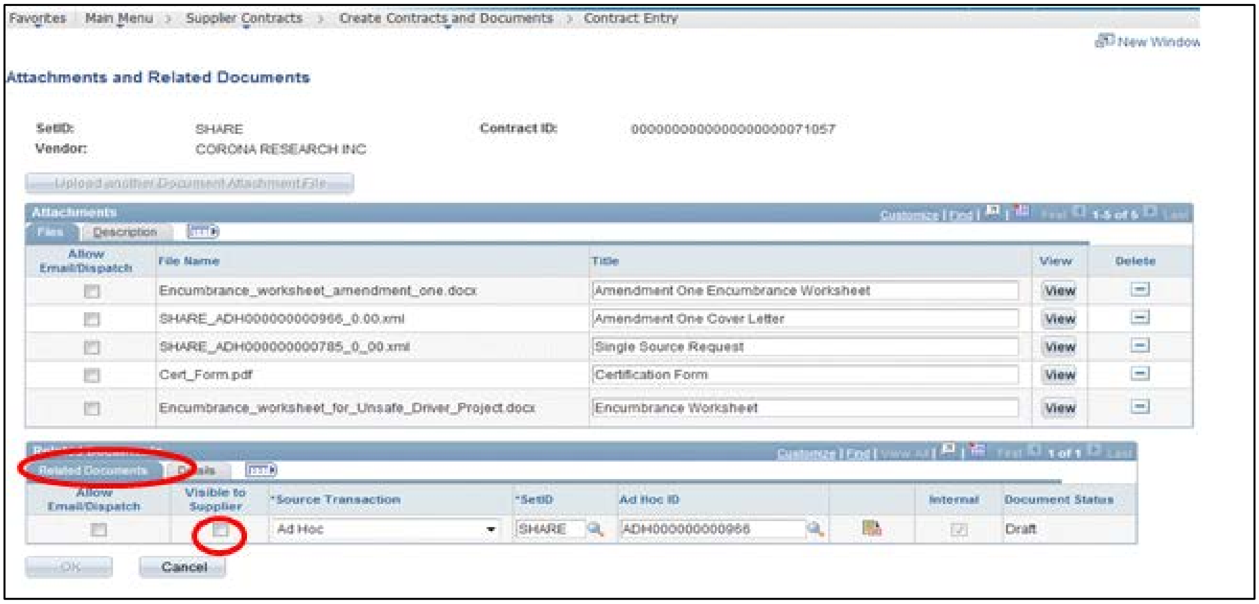
b) Status = executed

c) Enter the execution date under Status Date

(4) Click Done with Import button, which will return you to the Document Management page.



iii) All Change Orders since the last amendment should be converted to one PDF document. Import the PDF document under “Add Attachments and Related Documents”; do NOT click “Visible to Supplier”.



a. If you receive an error message that reads "Attachment failed to upload …" when you try to import the documents, it is probably because the file name is too big. Try shortening the attachments file name and it should work upload.

b. Once the original contract and all prior amendments have been imported, you can create a new document by selecting the amendment template from the document library.

(5) Once you have completed this process, you can proceed with Step 3 below "***Create Amendment***".

B. WHEN CONTRACT ALREADY EXISTS IN SWIFT:

Navigation: Financial Supply Chain Access, Supplier Contracts, Create Contracts and Documents, Contract Entry

1. Click Find an ***Existing Value*** tab

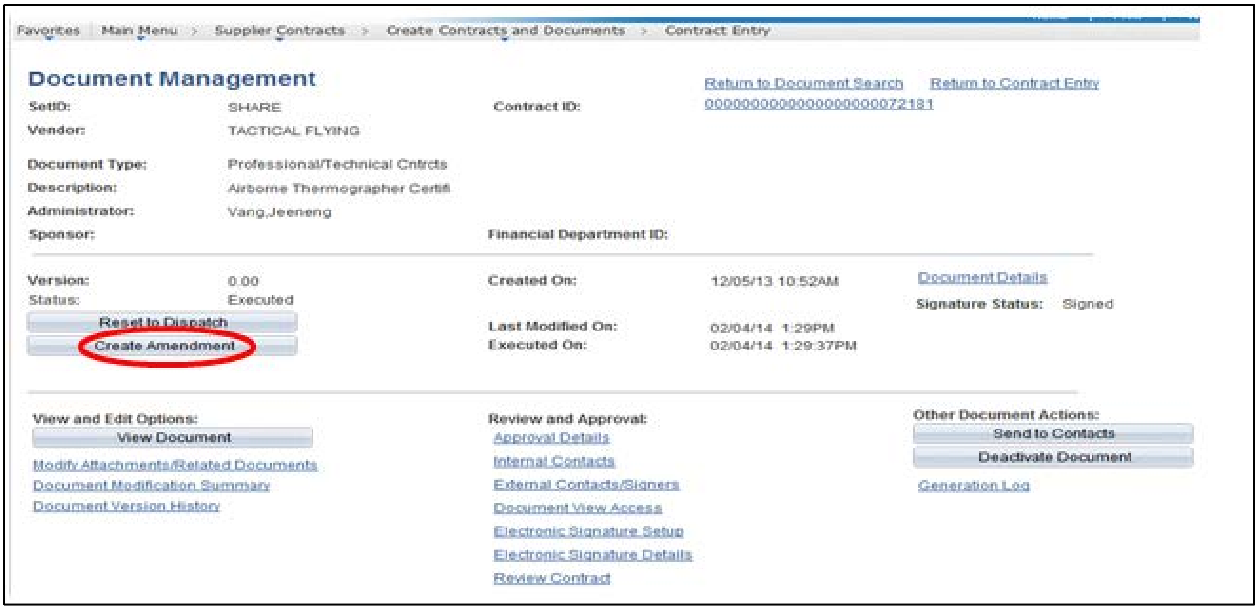
   a. Enter contract number in the Contract ID field and set drop down to "Contains"

   b. Click **Search** button

   c. Under Search Results, click hyperlink of "Current" most recent version (if you have more than one choice)

2. Click on the **Maintain Document** button on the right side near top of page.

3. Click the **Create Amendment** button.



4. On the **Create an Amended Version** page, enter the Amendment Option. You should always select "Amendment Files Only."

5. Select the Amendment Configurator ID. Click the spyglass icon to see the valid options:

   a. Click on **P/T Contract Amend** for a standard PT Contract Amendment template

   b. Click on **P/T Work Order Amend** for Master Contract Work Order amendment template

      o Select P/T Work Order Amend for Agency specific Master Contract Work Order Amendment template, or IT Services Work Order Amendment (e.g. ASAP-IT, SITE) template.

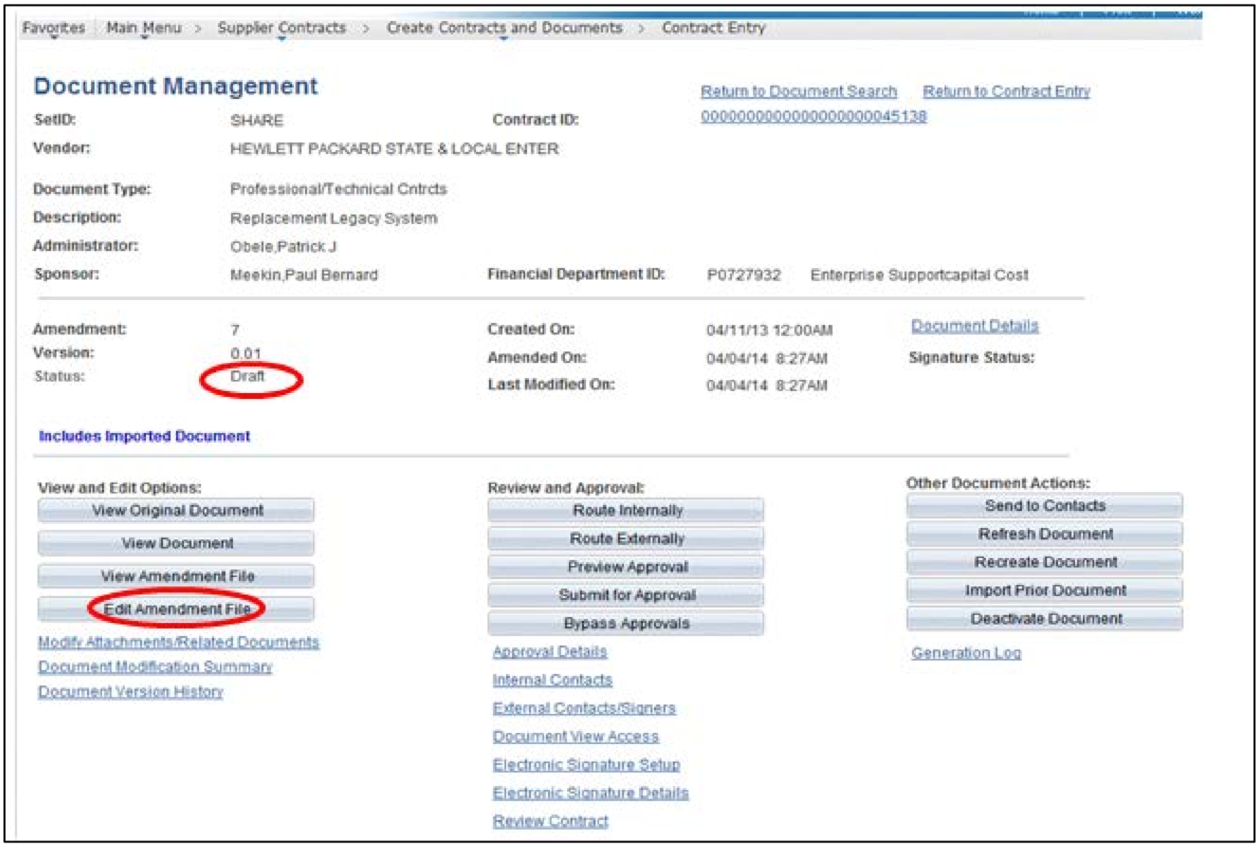
6. Indicate whether the amendment represents minor or major version change to the original document.

   a. Change of expiration date or additional funds are a major amendment

7. Finally, enter a comment explaining what is being changed and why the amendment is necessary, and click **OK** to return to the *Document Management* page.

   a. Be sure to provide a good explanation that matches the reason provided

NOTE: SWIFT returns you to the *Document Management* page. The status is back to "draft" and the buttons are back at the bottom of the page. A contract amendment must follow all the same processes as the original document: collaboration, peer review, approval, and signatures (Collaboration within SWIFT is optional).



8. Select **Edit Amendment File** and click "***Save As***" to check out the amendment template.

   a. Save the amendment template to your desktop or easily accessible folder to make edits to the document. Make all your changes/additions to the amendment template, collaboration, peer review and preapproval can be done at this time.

   b. All Change Orders since the last amendment should be scanned into one PDF document. Import the PDF document under ***"Modify Attachments/ Related Documents";*** do NOT click ***"Visible to Supplier"***

   c. Import Amendment Cover Sheet and Evaluations under ***"Modify Attachments /Related Documents"***; do NOT click ***"Allow Email/Dispatch".***

   d. Peer Review / Revisions may be conducted outside of SWIFT, or use Collaboration to route for review.

   e. **Check-In** the final version of the amendment.

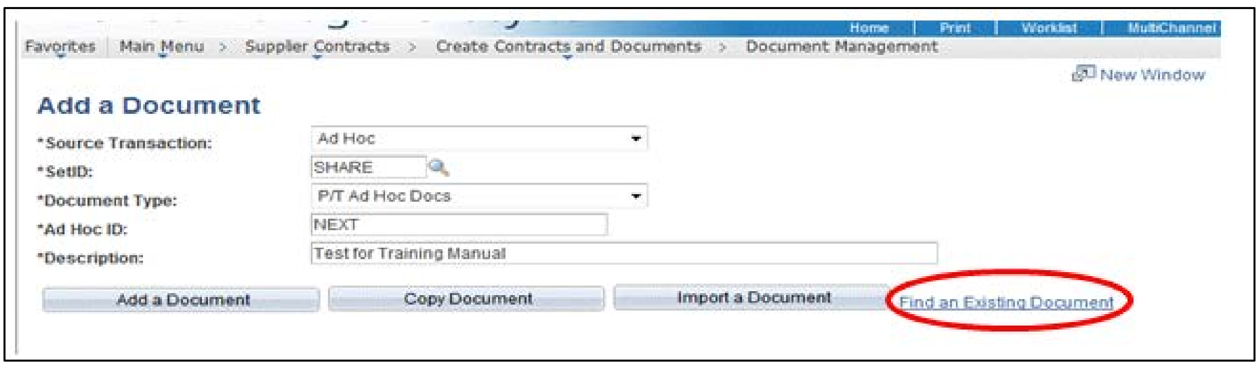
9. Route for approvals and signatures using same process as defined in ***Document Approvals*** on Pages 23 - 25, and ***Managing the Document Signature Process*** on Pages 26 – 28 above.

P/T CONTRACT INQUIRY

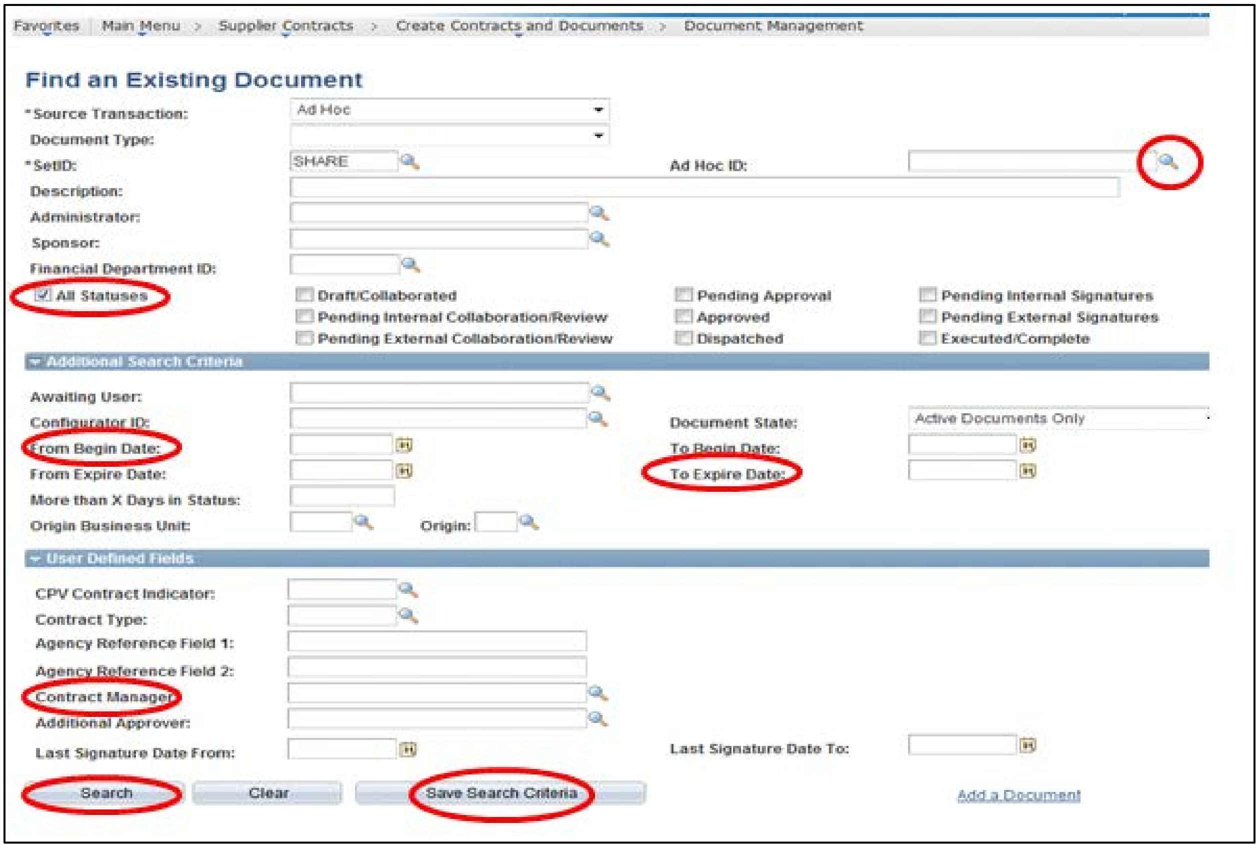
SEARCHING FOR CONTRACT AD HOC DOCUMENTS

Navigation: Financial Supply Chain Access, Supplier Contracts, Create Contracts and Documents, Document Management

1. This navigation actually leads to two versions of the page. The initial default leads to the ***Add a Document*** version. This page allows you to add documents directly to an existing contract or create an Ad Hoc document. See ***Creating and Editing Ad Hoc Documents*** process defined on Pages 13 – 16 above.
2. The other version of this page is ***Find an Existing Document***.
3. The page defaults to "Ad Hoc" in the ***Source Transaction*** field. You can change this to search for Purchase Order or Purchasing Contract documents. You can also change this field on the next page. The ***SetID*** is always "SHARE."



4. Click the ***Find an Existing Document*** hyperlink to switch to that version of the search page.
5. Enter the search variables on the **Find an Existing Document** page, including the ***Source Transaction*** if you did not change that value on the previous page.
   i. **Note:** The variables to search on change according to the Source Transaction you select. For example, when searching for a Purchasing Contract document, you can include the Vendor ID or Vendor Name to limit your search criteria.
6. Enter any additional variables you know. When searching by Ad Hoc ID, this is not necessary; however, if you are searching by Vendor ID, you might need to limit the results by some other variable (e.g. Contract Manager, From Begin Date and To Expire Date).
7. By default, the ***All Statuses*** checkbox is selected. You can uncheck this box and check any combination of statuses to limit the search to return only documents with those statuses.



8. Click **Search** when all criteria are entered.

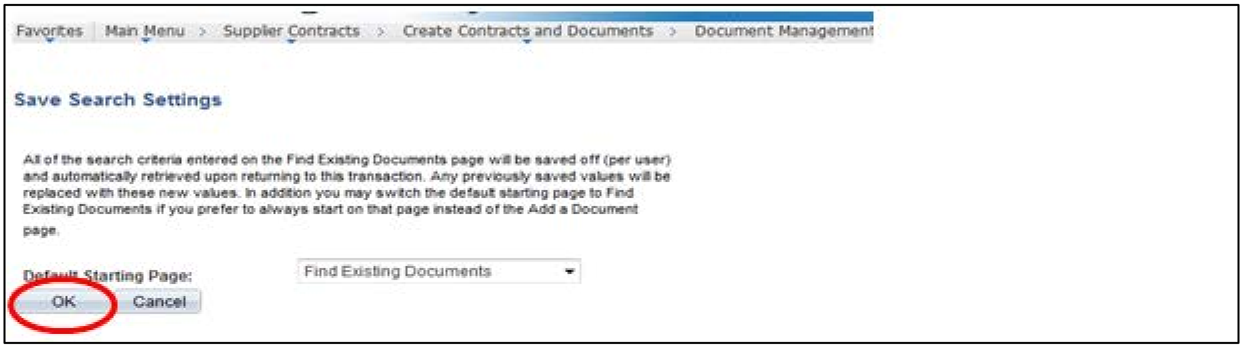
9. In this example, the search results display only the Ad Hoc ID or the criteria you selected for you search. Click the hyperlink in the *Document Keys* column to open the selected contract document. If the search results include multiple documents, you can sort the results by clicking on the column headers. Click the Details tab to display information about the documents in the search results, including the Vendor ID and Begin Date and Expire Date.

10. If you need to enter additional criteria to search by, the page provides multiple additional fields. By default, this section is collapsed. Click the *Expand* icon to display the additional search criteria fields. Note that these fields vary depending on the Source Transaction you selected.

11. You have the option to ***Save Search Criteria***, if you often perform the same search using the same variables. For example, if you usually search for contract documents by Vendor ID, you could choose to save those criteria. Then, each time you access this page, the values you saved will default automatically. You can overwrite the values to perform a different search. You can also change the saved criteria to something else, or delete the saved criteria completely.

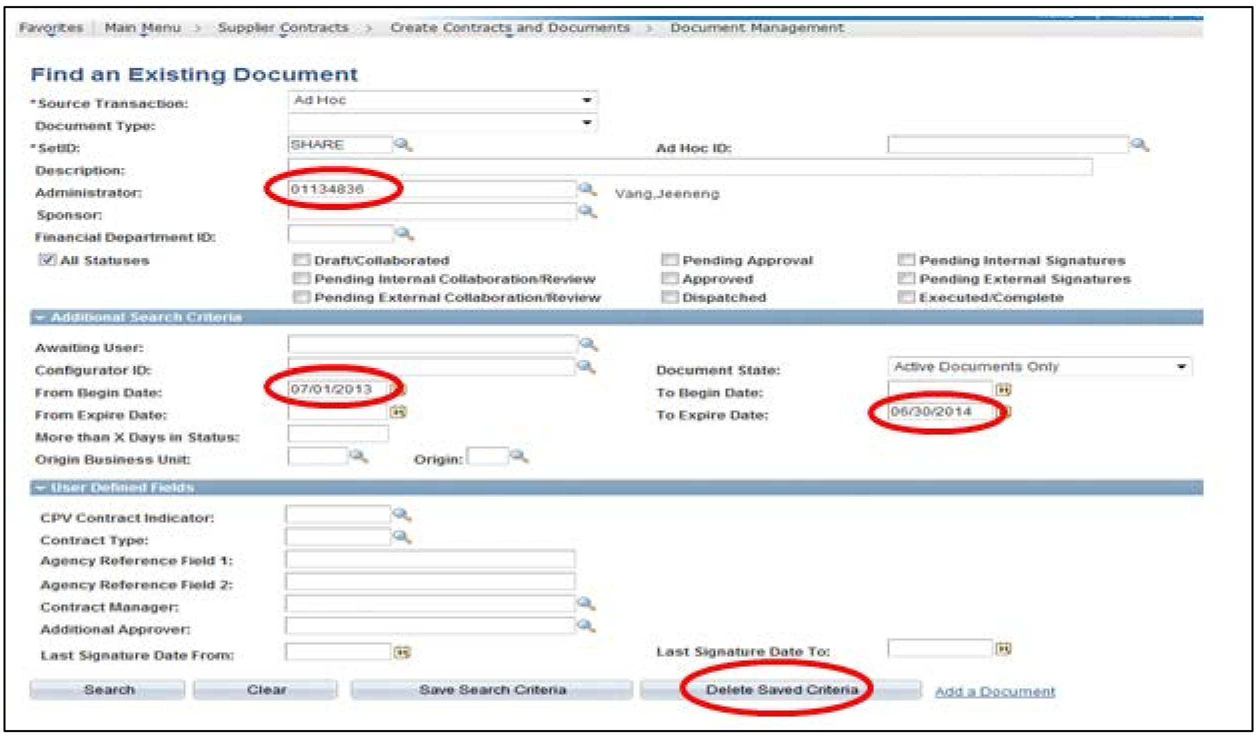
12. Click **Save Search Criteria**.

13. SWIFT displays the ***Save Search Settings*** page. You have the option to change the default starting page for the navigation to Document Management. In this example, the navigation will now default to the ***Find an Existing Document*** page, instead of ***Add a Document***.



14. If you had a previously saved search, clicking **OK** overwrites those criteria.

15. Click ***Delete Saved Criteria*** on the *Find an Existing Document* page to remove all saved search criteria.



SEARCHING CONTENTS

Navigation: Financial Supply Chain Access, Supplier Contracts, Search Content, Search Contents

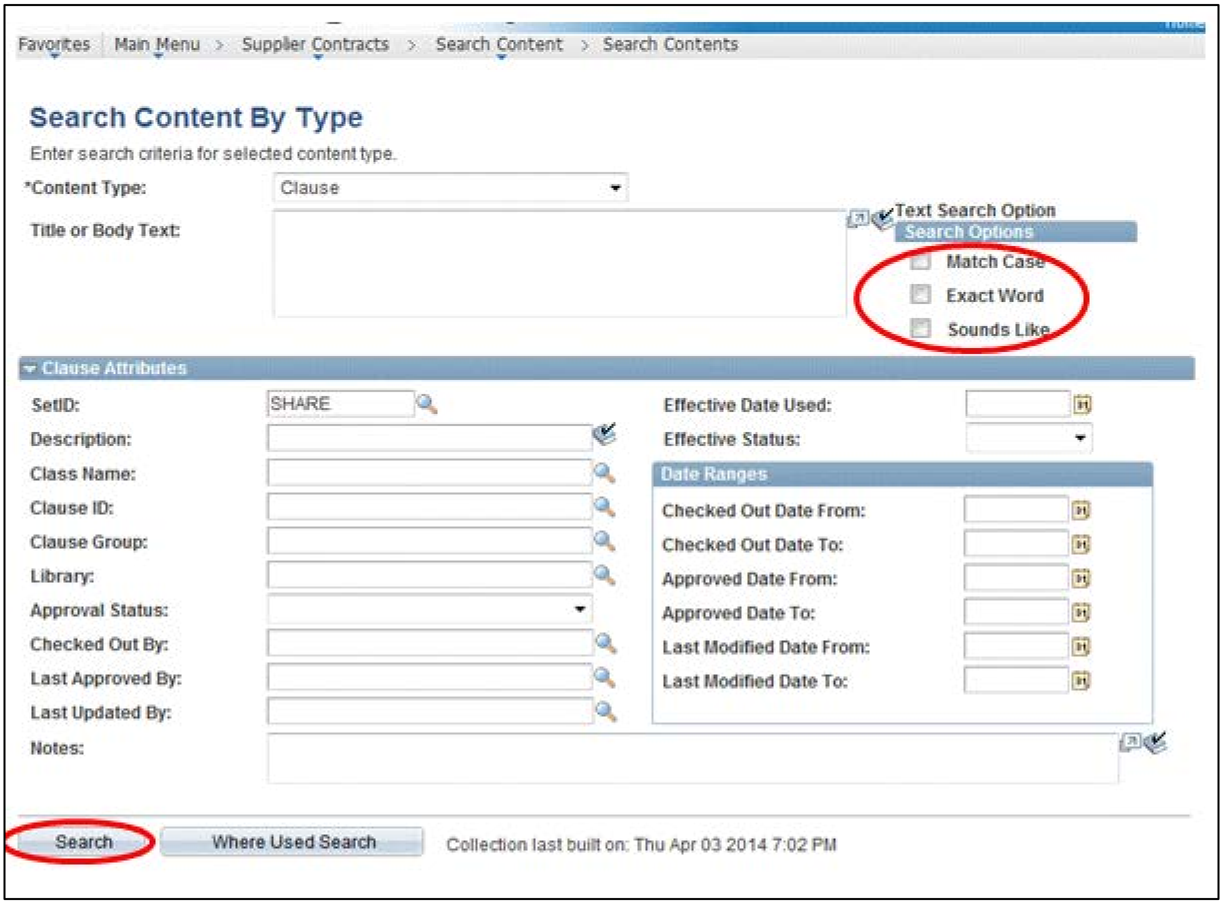
Enter the Content Type to search in. The default is “Clause.” The search criteria, which are found in the Attributes section, vary based on the Content Type selected.

After selecting the Content Type to be searched, enter the specific term or phrase to search for. You can control how SWIFT views the text string to search for using the checkboxes to the right of the text box:

- Match Case – SWIFT searches for values that match your string including upper and lower case
- Exact Word – SWIFT finds only the word or phrase you entered and rejects partial matches

- For example, searching for "insure" using Exact Word would reject inexact matches like "insured" or "insures."
- Sounds Like – looks for terms that sound similar but are spelled differently, e.g. insure/ensure.

You have the option to narrow the search by entering specific attributes to look for. Remember that both the Content Type and the Document Type (Ad Hoc, Purchasing Contract, Purchase Order) searched control the list of attributes to select.



Click **Search** when all attributes are entered.

KEY P/T CONTRACT CONTENT MANAGEMENT TERMS

Approval Status: Used to indicate the authorized use of a clause or section within a document. While pending clauses and sections can be used within a document configurator, they are not included in a generated document unless their approval status is Approved.

Bind Variable: A variable that can be defined in the system and used within clauses, sections, and rules. Bind variables are defined as transactional or wizard types. For example, transactional types might be fields within a transactional contract. Wizard types are user-defined variables for use within the wizard entry during document generation. When the system generates a document, it replaces bind variables with either transactional data or defaults supplied by the wizard.

Clause: The basic building block for a document, clauses can include the wording for contract terms and conditions that you store, update, and reuse within a document. You can enter simple clause text directly within the SWIFT system, and add rich text to clauses through Microsoft Word integration.

Clause Group: Provides a means for categorizing clauses according to a standard user-defined class or group structure. For example, you might have a group of clauses that relate to indemnification for work that is performed at the buyer's site.

Contract Document: A textual document created in SWIFT Supplier Contract Management that you can base on an ad hoc contract, a SWIFT purchasing contract, or a purchase order.

Contract Syndication: The process of making contract information available or allocating the information to third-party systems for execution and capture. The Supplier Contract Management system is the primary contract system of record for syndication activities.

Contract Version: Contract versions refer to the revision of a procurement contract transaction that has been entered through the Contract Entry component. This functionality provides you a method to revise the transactional contract as a new draft version while the prior version of the contract is still active within procurement.

Contract Wizard: A utility that asks questions about a contract. Based on the responses and previously defined rules for the wizard, the system selects appropriate clauses from the library and adds them to the document. You also use the wizard to create question sets that guide you through developing nontransactional information for a document.

Digital Signatures: The capability to create a digitally signed document within SWIFT Supplier Contract Management. A digital signature document can be prepared, where the system locks the main document, and routed for multiple signatures internally as well as sent or placed online for external supplier signatures. Supplier Contract Management supports the creation of digital signatures using Adobe Acrobat PDF format or using the digital signature features enabled by preparing a Microsoft Word 2007 .docx signature document. The .docx file is used for signatures only.

Dispatch: "Dispatch" in terms of the contract document means it is no longer a draft version and has been approved internally and is ready to collect signatures. We use a manual dispatch process when collecting signatures electronically, and if we are doing wet signatures… dispatch will email them a Microsoft Word copy of the contract for signature.

Document: Refers to the actual generated document with all clauses, terms, and conditions as is produced using the Supplier Contract Management document authoring feature. You can create documents from a Purchasing transactional contract or on an ad hoc basis. You can use ad hoc documents for legal documents outside of the SWIFT Procurement system, such as a nondisclosure statement.

Document Configurator: A predefined but dynamic structure that serves as a template for building documents. Document configurators are made up of clauses, sections, and rules that can be sequenced to provide a logical grouping of clauses to start and complete documents. Document configurators are dynamic in that they consist of pointers to content, such that when the system generates a document, the correct (typically, the most recent) clauses, sections, and rules are incorporated into the document.

Document Library: A repository of documents and their components that include sections, clauses, and document configurators. Using elements from the library, you can create and update documents, track versions, collaborate on contracts, and dispatch and execute contracts.

Document Type: A document categorization capability that you can use in the contract management system. Using a document type, you can define settings and options that can help tailor the use of the document to make it more usable for certain business situations. For example, you can define a document type for ad hoc documents to generate a contract request, another for a contract summary, and another for formal contracts. You enable the use of document types through installation options. Some features, such as the configurator selector wizard and requests for contracts, require the use of document types.

Document Version: A separate version control feature provided within SWIFT Supplier Contract Management for contract documents. This feature enables you to create new versions of the contract document independent of the transactional contract.

Effective Date: The date on which a table row becomes effective; or the date that an action begins. Within Supplier Contract Management, use effective dating to control versions of clauses, sections, and rules.
Local System: The SWIFT system of record that publishes and maintains contract information for the parent contract.

Question Group: A set of questions that guide you through developing nontransactional information for a document. The questions are defined as a set of preconfigured questions and are associated with a question group that is used by a wizard.

Section: A set of clauses that are commonly used together. When building a document, you can include a section so that you do not have to add each clause individually each time the set of clauses appears.

Repeating Element: A document element, such as a clause, section, or rule, that is based on transaction information, such as binds, that might have multiple values for a contract. For example, contract items in a purchase order contract, or contact information in an ad hoc contract.

Rule: A set of query-like conditions that produce specific true or false results. The system uses these results to include additional or alternative sections or clauses within documents. You can use rules within:

- Clauses to define alternate clauses.
- Sections to optionally include additional clauses.

* Document configurators to include optional clauses and sections.

Since the rules themselves generate structured query language (SQL) and can have performance implications, they should only be defined and maintained by technical personnel.

Run Control ID: An identifier that, when paired with a user ID, uniquely identifies the process that you are running. In addition, the run control ID enables the availability of important parameters for a process when it runs. This ensures that when a process runs in the background, it does not have to prompt for any additional values. All parameters are stored within the system and associated with run control IDs and user IDs.

SetID: An identification code that represents a set of control table information or table sets. A table set is a group of tables (records) that are necessary to define an organization's structure and processing options. Most contract information is managed and maintained at the setID level.

Status: Indicates whether a row in a table is Active or Inactive. You cannot display inactive rows on transaction pages or use them for running batch processes. The Inactivate value also enables you to maintain an audit trail of data that you no longer use. Approval statuses are also used along with the status. Within Supplier Contract Management, clauses are typically considered to be in an Active status even when they are not yet in the approval status of Approved. For example, clauses might be in an Active status but are still in the approval status of Initial or Pending Approval. However, for a clause to be included within a generated document, it must be in both an Active and Approved status. To retire a clause or to put a clause on hold, you can use the status of Inactive.

Transactional Contract: Refers to the transactional portion of the contract as it exists in the Purchasing application. The transaction generally has an associated document. A transactional input to a document might include a fixed price, where the contract document can use the value to determine progress payments