|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| |  |  |  |  | | --- | --- | --- | --- | |  | **European Commission**  **DIRECTORATE GENERAL**  DEVCO |  |  | |  |

**OPSYS – Component: 4.5: Managing deliverables / supporting documents**

**Business Needs Specification**

*DEVCO customised template v2.2*

European Commission, B-1049 Brussels – Belgium, Telephone: (32-2) 299 11 11

**Document Control Information** 

|  |  |
| --- | --- |
| **Settings** | **Value** |
| **Directorate:** | DEVCO |
| **Project Name:** | OPSYS |
| **Document Author:** | DEVCO – Working Group |
| **System Owner:** | DEVCO |
| **Project Manager:** | DEVCO |
| **Revision Status:** | Draft |
| **Sensitivity:** | none |
| **Issue Date:** | 09/02/2015 |

*\*Please use only the here above button to update Document Properties. Updating in the table directly will break the mechanism. If the settings in this table are not working anymore, then you can copy and paste the full table from the original template.*

**Document Approver(s):**

(All Approvers are required. Records of each approver must be maintained.)

|  |  |
| --- | --- |
| **Approver Name** | **Role** |
| [Name] | [Role] |
|  |  |
|  |  |

**Document Reviewers:** (Records of each required reviewer must be maintained.)

|  |  |
| --- | --- |
| **Reviewer Name** | **Role** |
| [Name] | [Role] |
|  |  |
|  |  |

NOTE: All Reviewers in the list are considered required unless explicitly listed as Optional.

**Summary of Changes:**

The Document Author is authorized to make the following types of changes to the document without requiring that the document be re-approved:

* Editorial, formatting, and spelling
* Clarification

To request a change to this document, contact the Document Author or Owner.

Changes to this document are summarized in the following table in reverse chronological order (latest version first).

|  |  |  |  |
| --- | --- | --- | --- |
| **Revision** | **Date** | **Created by** | **Short Description of Changes** |
| [1] | [mm/dd/yyyy] | [Name] | [Initial Version of approved document] |
|  |  |  |  |
|  |  |  |  |

1 Management of deliverables (supporting documents) 4

2 Context / Legal basis 4

3 Glossary 5

4 Stakeholders 5

5 Reference 5

6 Details 5

6.1 Business need 5

6.1.1 Business process 6

6.1.1.1 AS IS 6

6.1.1.2 TO BE 6

6.1.2 Business actors 6

6.1.3 Business rules 6

7 Triggers, MoSCoW , high level data model and reporting needs 6

7.1 Triggers and MoSCoW 6

7.2 High level data model 7

7.3 Reporting needs 7

8 User stories list 8

# Management of deliverables (supporting documents) – Summary

Deliverables should be understood as any information or document produced by a third party that constitutes a legal proof of service rendered usually leading to a payment; it may cover work plans, inception progress or final reports, "décompte provisoire et final", provisional and final acceptance, certificates (origin, conformity). By extension it covers other supporting documents linked to payment as for claims and correspondences.

That component aims to provide operational and financial staff the necessary support to manage such deliverables/supporting documents in order to prepare financial execution and to manage communications with the third parties.

With regards to deliverables/supporting documents the system:

1. Must capture related data and documents, ideally directly from the third party (contractor) with a validation by an internal actor (document, date, amount if linked to an invoice, analytical breakdown)
2. Must offer a link with the related invoice encoded in ABAC (reference, check of the amount, legal entity, date)
3. Must allow a time management based on the starting date (receiving date for the document or the invoice) and the contractual obligations (deadline for comment, for payment)
4. Should offer notifications when a deliverable or supporting document requiring a validation/analysis arrive; it should offer a metro line view to visualize where the preparatory work before payment stands
5. Must allow analyzing the deliverable/ supporting document with comments from operational and financial staff, and leading to confirm or modify ( for example : credit note) the amount proposed for payment
6. Should allow integrating the opinion of the contracting authority for decentralized management
7. Must allow storing the document and its versioning, with an easy search (see component 6 document management) and centralizing in a single repository (vault) all documents related to the file
8. Should allow a stop the clock function: joint work between operational and financial managers to write a correspondence to the beneficiary asking for additional information or changes before being able to continue the payment process; the date should be pushed in ABAC (or re-encoded)
9. Should allow delivering the "certification du service fait" visa (to be pushed in ABAC)
10. Should allow pushing a link with the related documents into ABAC, the "certification du service fait" visa as well as the modified amount when the final process of the payment is occuring.and the financial visas processed
11. Once the payment is made should allow the financial data to be pushed from ABAC to OPSYS to update in real time the analytical breakdown and the subsequent RAL (execution date, amount and beneficiary).
12. The same applies for recovery orders

An important added value resides in capturing the data where it is created (by the third party) and being able to reuse it at later stages in each related process only after the data has been validated by an internal actor (operational manager or financial manager). At a later stage interactions with third party could be further improved by using only digital documents.

# Context / Legal basis

The main reference can be found in [article 48 of the Rules of APplication](https://myintracomm.ec.europa.eu/budgweb/EN/leg/finreg/Pages/leg-020-03_finreg2012.aspx#rap48).

In the life of our operations, many supporting documents are produced. They most of the time take the form of a document (word, pdf) and contain text, tables, illustrations or diagrams. These supporting documents are either physically sent by the EC or received physically from a third party and have to be recorded and complement a specific file (obligation of the authorizing officer). The supporting documents are produced during other processes and used within other processes, may be a trigger to a process or not. The main processes in which the management of deliverables is used are the legal or budgetary commitment process, the payment process or the communication exchange with the third party process. It should be considered as a business functionality used in many stages of the project cycle.

# Glossary

|  |  |
| --- | --- |
| Deliverable  (supporting document, cf Financial regulations 2012) | any production coming from the third party that constitutes a legal proof of service rendered |
| Third party | any entity having a signed legal commitment with the EC |
| File | documents or information related to a specific subject (legal commitment for example) |

# Stakeholders

Users within the User Groups who provided information to the Working group on the Devco’s New Operational Information System.

# 

# Reference

The reference can be found in the minutes of the meetings organised with the user group.

# Details

The management of deliverables and supporting documents occurs during the implementation of contracts, or blending or budget support operations. It touches all business processes programming, identification/formulation, implementation, evaluation and audit, with a focus on implementation where contracting is higher It may cover: Deliverables are produced by the third party while other supporting documents might be produced by the third party or by the contracting authority

1. Operational work plans
2. Periodic progress reports
3. Specific reviews/study reports (e.g. mid-term evaluation)
4. Completion report (at end of the programme)
5. Specific final reports as for audit and evaluation
6. Decompte provisoire et final
7. Various certificate (origin, conformity, delivery)
8. Provisional and final acceptance
9. Relevant correspondences and communications (ie service order)
10. Claims
11. Financial guarantees

## Business need

The management of deliverables has to be seen as a business function during which the operational or financial manager interacts with a third party with respect to a specific file. While interacting, documents or communications are exchanged. The associated tasks consequently concern the reception, sending of hard copies (may be in digital format as well, even entered in a structured way), consultation, validation/approval, search and storage of such copies.

### Business process

#### AS IS

During the implementation (monitoring and reporting on progress), evaluation or audit phases, deliverables can be progress (interim) or final reports, invoices, communications (formal and informal, could also include the sending of the contract in an electronic version in the future) between parties. The indicative triggers can be identified from the contract timeframe (interaction with planning of the file) and deducted from it. However, the only known time constraint should be the following:

*“Documents relating to operations not definitively closed shall be kept for longer than provided for in point (d) of the first paragraph, that is to say, until the end of the year following that in which the operations are closed.”[[1]](#footnote-1)*

#### TO BE

No revision of the process should be foreseen.

### Business actors

The business actors are the ones involved in the management of a specific file. They can be categorized as:

Actor 1: Operational manager

Actor 2: Financial manager

Actor 3: Third party actor

### Business rules

The business rules are the following:

1. A file registration number must exist.
2. The file has to be assigned to an operational agent
3. The file has to be assigned to a third party
4. The third party can only upload deliverables related to the specific file by using the registration number or file name.
5. any other business rule that would facilitate the management of deliverables and enhance the data quality

# Triggers, MoSCoW, high level data model and reporting needs

## Triggers and MoSCoW

Triggers are associated to the actors defined earlier.

As for the actor 1 and 2 (operational and financial managers), the actions performed are as follows (identical for triggers 1.1 to 1.9):

Trigger 1.1: be able to create/update/delete and reuse the deliverable and its content – CUD – Must

Trigger 1.2: be able to link and integrate the deliverable to specific tasks or circuit or event in the planning– CUD – Must

Trigger 1.3: be able to see the deliverable associated to the file when being in the file – R - Must

Trigger 1.4: be notified when a deliverable has been uploaded by a third party – R - Should

Trigger 1.5: be able to tag the deliverable to be able to use the information stored in it – CUD – Should

Trigger 1.6: be able to create different versions of deliverables – CUD – Must

Trigger 1.7: be able to upload the deliverable, if received via a different channel – CUD – Must

Trigger 1.8: be able to search the information stored in the deliverable when entered in a structured way, or use the tags as search criteria – R – Must

Trigger 1.9: integrate the reception date of the deliverable in the planning of operations (component Time Manager – CUD – Must

Trigger 1.10: be able to link the deliverable/supporting document with an invoice encoded in ABAC; data check with data available in OPSYS (data source: ABAC: reference, amount, legal entity, date)– CUD – Must

Trigger 1.11: be able to give the "certification du service fait" visa in OPSYS and to push it in ABAC– CUD – Should

Trigger 1.12: be able to automatically upload the link to supporting documents in ABAC– CUD- should

Trigger 1.13: be able to update the analytical breakdown with payment data pushed from ABAC– CUD –Should

As for the Actor 3 (third party), here are the requirements:

Trigger 3.1: be able to upload the deliverable via a portal, validate the upload and then receive an acknowledgement of receipt – CUD – Must

Trigger 3.2: when applicable, be able to upload the deliverable in a structured way – CUD – Must

Trigger 3.3: be able to create a user account to be identified – CUD – Must

Trigger 3.3: receive a confirmation that the specific file is linked to my user account or company account – CUD – Must

Trigger 3.4: be able to specify via a tagging the content of the deliverable – CUD – Must

Trigger 3.5: Metro line view of where in the payment’s life stands the deliverable, its acceptance stage and expected life duration – R – Could

## High level data model

The following entities to be considered:

.

1. Deliverable content
2. Deliverable container
3. File to which the deliverable is linked to
4. Planning of events related to the file
5. Associated tagging to deliverable’s content for knowledge purposes

## Reporting needs

None mentioned by the user group. However, it would be worth mentioning the existence of the deliverable in a file specific dashboard or file summary fiche.

# User stories list

User stories have been elaborated prior the business requirements elicitation process. 

# Next steps

1. Discussions with R1 and user group:
   1. Check the completion of business requirements and their compatibility with the interaction modality with ABAC still to be defined
   2. Categorise the deliverables by groups or types per entity linked to a third party
   3. Identify where templates can be used in recurrent processes in order to automate the encoding process and reduce in-house labour
   4. Adapt internal procedures and create clear guidance for each business entity linked to a third party
2. At a later stageI
   1. nform the internal users on the in-house change and increased capability
   2. Adapt contract templates to make the procedure contractually binding
   3. Prepare trainings, such as e-learnings for external and internal users

At a later stage, foresee a broader way to manage our interactions with third parties by using only digital documents (including contracts, financing agreements…)

1. *RAP, Article 48* - *Keeping of supporting documents by authorising officers* [↑](#footnote-ref-1)