

Release and Permit – SIM Business Process

The frequency of process activities listed is **CONTINUOUS**

Preconditions:

- Access to Release & Permit system
- Access to the Decision Lens tool
- Analyst informed of assigned request
- Analyst-specific spreadsheet used to log all R&P requests (optional)

Release & Permit System Usage:

I. The Release & Permit Tab definitions:

- *Core Information* tab
 - Major areas of significance include the following information about an agency's R&P request that the SIM analyst may need to review:
 - ✓ Request Title—usually identifies the procurement vendor
 - ✓ Procurement Type—HW, SW, Services or PC/Laptops
 - ✓ Purchasing Authority—there are 11 options that the agency can select from including, RFP, STS, MLA, MMA
 - ✓ Justification—this is where an agency may provide a concise explanation for their procurement request
 - ✓ Additional Comments—this is where an agency may document supplementary information they view as pertinent to the request
- *Request Details* tab
 - Information on this tab includes:
 - ✓ The Selected Vendor
 - ✓ The R&P dollar amount
- *Attachments* tab
 - Major areas for consideration include:
 - ✓ Attachment description
 - ✓ Attachment type
 - ✓ Cost
- *Request Actions* tab
 - This tab is where the SIM analyst will perform most of their decision-making (not necessarily analysis), the major links include:
 - ✓ View/Open Reviews—where the SIM analyst requests an SME review, e.g. security, EA, etc.
 - ✓ View/Add Comments—where the SIM analyst documents their comments for a specific request and close out their review after all other SME review(s) are completed.
 - ✓ Override Request Values —where the SIM analyst can mark the R&P request as RUSH if necessary.
 - ✓ View/Send Correspondence—where the SIM analyst can check to see which EITC analyst is assigned to the request.

- ✓ Assign Request — where the authorized SIM team member reassigns the R&P request to the appropriate EITC analyst, after completion of all SIM required review and decision-making.

Process Activity — Processing R&P SIM Assigned requests

Step 1:

- I. SIM analyst is notified of assigned R&P request via email.
- II. Log into the Release & Permit system.
- III. Populate assigned R&P request by either:
 - a) Reviewing 'Reminders' and choosing 'Requests assigned to you'.
 - b) Searching on the request number.

Step 2:

- I. Review of the *Core Information* tab, the SIM analyst should perform the following:
 - a) Review the procurement type, purchasing authority, justification and additional comments the agency has entered for the request.
- II. Review of the *Request Details* tab, the SIM analyst should perform the following
 - a) Review the Vendor Selection Justification for additional information pertaining to the requested procurement
- III. Review of the *Attachments* tab
 - a) Review the attachments for type of procurements requested (ie Desktop, Licensing, Database, Microsoft, etc).
 - b) If approval cannot be obtained via the standard R&P workflow, save the relevant document(s) for attaching within an email to request approval from the SME(s).

Step 3:

- I. If the R&P is for a strategic project, SIM analyst may validate the Agency Enterprise Portfolio by reviewing Decision Lens.

Step 4: Review of line items and recommendations

- I. If the SIM analyst determines that the R&P request requires a "SIM Only" review; the SIM analyst will
 - a) Document their review comments in the View/Add Comments section of the R&P system utilizing the following template:

SIM Reviewer:

This request is to procure (what?), which supports (which service or solution). This purchase request has been reviewed by SIM analyst and validated to be in alignment with the enterprise strategic direction.

The SIM team determined no additional SME reviewers are required for the request.

- II. If the SIM analyst determines that the R&P request requires an “SME” review; the SIM analyst will:
 - a) Send a request for review to the appropriate SME(s) (reference the Enterprise Reviewers List document), via the View/Open Reviews link located in the Request Actions tab. NOTE: More than one review may need to be performed based upon the requested procurements.
 - b) The SIM analyst may update their analyst-specific spreadsheet to note the request was sent out for SME review (optional).
 - c) Wait for response / determination from SME(s) regarding review results.
- III. The SIM analyst receives notification of response / recommendation from SME(s); the SIM analyst will
 - a) Open the review screen in the R&P system and read the service owner comments.
 - b) Ensure that all review statuses are updated to reflect the review response.
 - c) The SME can Approve the request, advise ownership is outside of their Service Area, or disagree with proceeding with the procurement.

1) Request is Approved:

- a. Close the review of the request and save the results.
- b. Document the review results in the View/Add Comments link utilizing the following template:

Enterprise Review:

This request is to procure (what?), which supports (which service or solution). This purchase request has been reviewed by SIM analyst and validated to be in alignment with the enterprise strategic direction.

(SME Reviewer name and Service Area) was requested for a review, and he/she recommended approval with the following comments, “.....”

OR

(SME Reviewer name and Service Area) was requested for a review, and he/she approved without commenting.

- c. Notify the authorized SIM team lead that the R&P request is ready to be reassigned to the appropriate EITC analyst.
- d. If the review was not conducted via the standard R&P workflow, document the email comments and approval utilizing the Enterprise Review template above (Step b.).

2) Request is Outside of SME Service Area:

- e. Update the Review Status field to ‘Withdraw’
- f. Continue with the standard process as defined in Step III.1)

3) SME Contingency:

- g. Gather and document details around the SME concerns
- h. Escalate the concerns to the SIM team lead
- i. Place the request ‘On Hold’
 - a. On the Request Action tab choose ‘View/Open Issues’ and ‘New’

- b. Choose 'Other' within the Type field and provide a detailed description behind the SME contingency.
 - c. Mark the Issue as 'Critical' and push the due date out accordingly
 - d. Save the Issue.
 - j. Send an email to the EITC Analyst and advise the R&P has been placed 'On Hold' due to SME contingency. Copy the SIM team lead and EITC Analyst Manager.
 - k. Once the SME concern is resolved, email the original distribution to advise the R&P has now been removed from HOLD.
 - l. Continue the standard process as outlined in Step III.1)
- IV. The SIM analyst does NOT receive notification of response / recommendation from SME(s) by the specified due date; the SIM analyst will
 - d) Resend notification to the SME(s) until a response is received.

Process Activity—Modification to previously approved R&P requests

Step 1:

- I. Review of the initial request evaluation details via the link provided on the *Core Information* tab.

Step 2:

- I. Review the modification request details.
- II. Determine what the modification amount requested is for, i.e. change in scope, increase in hours, etc.
- III. The SIM analyst will evaluate / determine if a follow-up review is needed for the modification.
 - a) When no additional review of the modification is needed, the SIM analyst will process the modification request as outlined in **Step 4:I.a**, utilizing the comments within the original R&P request.
 - b) When an additional review of the modification is needed, the SIM analyst will process the modification request as outlined in **Step 4:II.a-c. & Step 4:III.a-e**.

Timelines — R&P requests waiting for SME reviews:

- I. *Rush* timeline: The request should already be marked as "Rush"
 - a) If not previously performed, the SIM analyst can mark the request as '*rush*' if the agency has indicated this.
 - 4) On the *Request Actions* tab choose Override Request Values.
 - 5) 'This is a rush' option can now be chosen, and the appropriate Agency reason entered.
 - b) The SIM analyst will follow-up with a call, email or face-to-face discussion with SME reviewer(s), based upon the urgency.
 - c) SIM analyst will escalate request status to SIM administrator to determine escalation path as necessary.
- II. *Non-Rush* timeline:
 - a) SIM analyst will review all requests that are 1-day past due.
 - b) SIM analyst will pull and resend SME review(s), as needed, w/customized email.
 - c) 2-4 days past due:

- 1) Repeat steps a. and b.
- 2) Escalate the request status to the SIM administrator to determine escalation path.

Optional Considerations:

- I. Email customization
 - a) Communicate with service owners
 - ✓ Gather / share additional information you may have from agency
 - ✓ Ask questions regarding the status of their review
- II. On-going concern from SME approver
 - b) Update the Agency Follow-up Issue Log on SharePoint with details
 - ✓ <https://ohiodas.sharepoint.com/sites/DSAIM/Lists/Agency%20Followup%20Issue%20Log/AllItems.aspx>