

PROCUREMENT INFORMATION MEMORANDUM

Date Issued: September 12, 2017

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Effective Dates: Date Issued Until Modified or Retired

Subject: Electronic Procurement Records Retention and Systems of Record

I. REFERENCE

Wis. Stats. § 16.70-16.78

AMD 5-11 and 50, Wisconsin Administrative Code

II. PURPOSE

Agencies must maintain proper documentation of procurement activities to meet internal administrative needs, legal demands and program and audit requirements. This Procurement Information Memorandum (PIM) provides agencies with policy guidance on the retention of official procurement records affected by new procurement systems in the following categories:

- Official Sealed Bids (i.e. Request for Bids (RFB))
- Competitive Negotiation (i.e. Request for Proposals (RFP))
- Simplified Bids, only for those posted in the STAR Strategic Sourcing system (hereinafter referred to as STAR)
- Request for Information (RFI), only for those posted in the STAR Strategic Sourcing system
- Requests for Procurement Authority (RPA) and Case Letters

III. SCOPE

Wisconsin procurement statutes provide a framework for the policies and procedures used by state agencies and institutions to acquire goods and services needed for day-to-day operations.

This policy covers records which are created by state agencies to administer the procurement of commodities and services in STAR (statewide ERP system). This includes all documents related to all Official Request for Bids (RFB), Request for Proposals (RFP), simplified bids and Request for Information (RFI).

This policy does not apply to records generated by state agencies to administer the procurement of commodities and services which are created outside of STAR, which may include documents related to the Simplified Bidding or Request for Information (RFI) processes to the extent that they are not posted in STAR.

This policy also does not apply to records generated by state agencies and campuses to administer the approval of waivers of bidding within their delegated authority that are not subject to [PRO-C-2](#).

For the documents related to events that are not posted to STAR (i.e. simplified bids and RFIs) State agencies are still responsible for maintaining such records in accordance with the published



Retention Disposition Authorizations (RDAs). Should a state agency determine these records will also be exclusively maintained in an electronic format, agencies must additionally meet the standards and requirements for the management of electronic records as outlined in *Wisconsin Administrative Rule, Chapter ADM 12*.

IV. NEW PROCUREMENT SYSTEMS

a) STAR Strategic Sourcing Module

The Strategic Sourcing module is an electronic procurement system that resides in STAR. Bidders will register with the state through the Wisconsin eSupplier Portal by providing information on their company and their goods and services. The registration provides bidders with an automatic notification of all state agency procurements over \$50,000 in the National Institute of Governmental Purchasing (NIGP) codes (i.e. Category Code as referenced in STAR) for which they are registered. State agencies will use the Strategic Sourcing module to reduce bidding preparation time for state agency personnel and to improve opportunities for bidders to be notified of potential bidding opportunities.

b) Request for Procurement Authority (RPA) System

The RPA system is an electronic request and approval system supported by the Department of Administration (DOA), Division of Enterprise Technology. Agencies and campuses will request access to the system for designated procurement staff to submit requests for the following:

- Sole Source Waiver of Bidding over \$25,000
- General Waiver of Bidder over \$25,000
- Collective Purchases over \$50,000
- Legal Services Procurements (any dollar amount)
- Vehicle Procurements (any dollar amount)

V. OFFICIAL PROCUREMENT RECORD

Many documents are produced in procurement areas across multiple divisions and locations within state agencies. For procurement records connected to events in STAR, PeopleSoft (as integrated with OnBase, the enterprise document management system) will be the system of Official Record for all information inputted into the Strategic Sourcing module.

For procurement records connected to RPAs in the RPA Automation Tool, the online tool (as supported by SharePoint) will be the system of Official Record.

The Official Record is that record which must be retained to satisfy single or multi-agency audit or legal requirements of procurement activities.

VI. RECORDS FORMAT

The official procurement records covered in this PIM shall be retained in electronic format within PeopleSoft and OnBase, the state's enterprise document management system; and in the RPA Automation tool. It is essential for proper record keeping that agencies proactively identify and



assign responsibility for the retention of its official records separately from reference or convenience copies.

VII. REFERENCE / CONVENIENCE COPIES

Reference copies are duplicates kept by agency staff for their convenience. These copies are considered **non-records** under Wis. Stat. § 16.61(2), and should be destroyed when no longer needed.

VIII. QUESTIONS

Who is impacted?

- All agencies included in the implementation of PeopleSoft STAR Strategic Sourcing module will adhere to this policy. Agencies and UW Campuses that are out of scope and not implementing the Strategic Sourcing module are not impacted by this policy.
- Agencies and UW Campuses that are required to comply with PRO-C-2 for RPA submittals will adhere to this policy.

Who is responsible?

- Delegated PeopleSoft Agencies are responsible for managing their own procurement files.
- Consolidated Agency Purchasing Services (CAPS) will maintain all records associated to Official RFB's, RFP's and RFI's for its supported agencies.
- All Agencies and UW Campuses will continue to maintain all procurement related documents in accordance with the published RDAs found in the [General Records Schedule – Purchasing & Procurement document dated November 11, 2013](#).

How does STAR interface with OnBase?

The integration between STAR and OnBase will be imperceptible. When retrieving procurement records, the state agency will query the STAR Strategic Sourcing module which will seamlessly retrieve the necessary file from OnBase.

I'm doing a simplified bid. Do I have to use the STAR Strategic Sourcing module?

As a matter of policy, agencies are not currently required to use the Strategic Sourcing module to conduct their simplified bids, however it is strongly encouraged. Where an agency elects not to post simplified bids in STAR Strategic Sourcing, the agency is responsible for maintaining all official records.

I'm doing an RFI. Do I have to use the STAR Strategic Sourcing module?

As a matter of policy, agencies are not currently required to use the Strategic Sourcing module to conduct their RFI's, however it is strongly encouraged. Where an agency elects not to post RFIs in STAR Strategic Sourcing, the agency is responsible for maintaining all official records.

Does the implementation of OnBase impact any current RDAs?

No. All current RDAs remain unchanged.

What is the official record for state agency procurements valued over \$50,000?

OnBase (through its integration with STAR) the enterprise document management system.

IX. ADDITIONAL REFERENCE MATERIAL

[General Records Schedule: Purchasing & Procurement \(11/11/13\)](#)



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