Guidance on Using the DMS

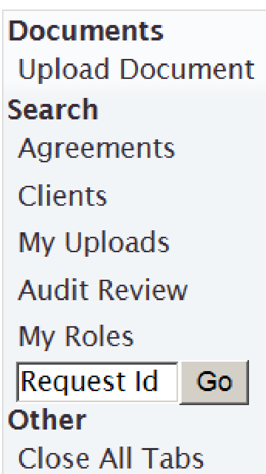
Introduction:
The Document Management System (DMS) is a secure web-based service to upload and retrieve files and documents. The system provides a uniform method to file and manage documents. The DMS can be accessed from the ProTracts homepage at: http://prohome.nrcs.usda.gov/

Documents uploaded to the DMS are filed either under the agreement (application/contract number) or the client (applicant/participant). The agreement documents are forms and other items specific to the application/contract such as NRCS-CPA-1200, NRCS-CPA-1202, etc. The client documents are items applicable to the individual or entity such as power of attorney or direct deposit forms and can be used for multiple applications or contracts.

Documents uploaded to the DMS are accessible immediately by users in multiple locations based on user permissions. The DMS does not have dedicated permission software but uses the county and role permissions from ProTracts and Toolkit. Also, the ProTracts user role will determine if a user has “Upload” or “View” role. Typically, all employees have the upload role except Approving Officials, which is the role of the Area ASTCs, who can only view documents.

This guidance document covers the primary actions of how to navigate, view documents, when to auto-upload, how to manually upload, managing documents in the DMS, and using the DMS for Conservation Client Gateway (CCG) clients. In addition to the guidance, a separate table titled, “DMS Document Upload Table” identifies which documents must be uploaded to the DMS and for which situations.

DMS Navigation
DMS Menu Options:



Upload Document - To manually upload a new document

Agreements - To search for ProTracts applications and contracts.
Clients - To search for an applicant or participant.
My Uploads - To display a list of documents you recently uploaded.
Audit Review – To select documents for an audit.
My Roles - To display your ProTracts and DMS roles.
Request Id - To search for information pertaining to a specific Conservation Client Gateway Assistance Request. Enter Request Id and click the Go button to open the Request tab.
Close All Tabs - To close all open DMS tabs.

Search by Agreement or Client:

Note: A space at the end of an agreement number will not produce search results. To find the application or contract, the space must be removed.

Icons:

Save Document – will provide the option to open or save the file.

Preview Document - will open a pop-up window with the document.

Obligation Review – will open the obligation review (OR) tab. Note: Almost all the documents will display when the OR icon is clicked except for the Appendix.

Payment Review – only available for the NRCS-CPA-1245 and will open the payment review (PR) tab.

Underlined item:
When the underlined items are clicked on for Title, Client(s), or Agreement; each will open in a new tab.

Documents

☐	Doc. Type	Title	Ver.	Client(s)	Agreement	Last Upd.	Sig. Types	Actions
☐	NRCS-CPA-1155	NRCS-CPA-1155 Schedule of Operations	1.0	LOGAN JOHNSON	Nbr: 745A12150WC	02/17/2015	Participant, Technical	replace version

Viewing Documents

How to view a single document?

Multiple options exist for viewing a document. Three different options are:

Option #1 – Select the **Save** icon and then click the **Open** button. Open

Option #2 – Select the **Preview** icon

Option #3

a. From the Agreement or Client tab, click on the Title of the document.

Documents

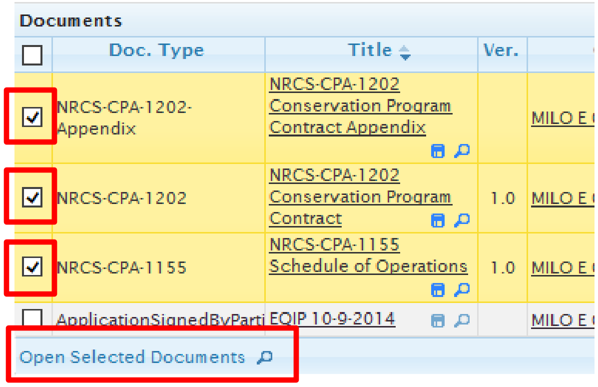
☐	Doc. Type	Title	Ver.	Client(s)	Agreement	Last Upd.	Sig. Types	Actions
☐	AertRankingReport	AERT Ranking Report	2.0	MILO SMITH	Nbr: 745A12151ZA	02/10/2015		replace version

b. A document tab will open showing the current version at the top. If there are prior versions, they will be listed below. Click on the local file name to open the file.

AERT Ranking Report	
Version:	2.0
Document Type:	AERT Ranking Report
Uploaded By:	XXX XXX
Upload Date:	02/10/2015
Category:	Evaluate
Agreement Number:	745A12151ZA
Agreement Mod:	0
CIN:	
Client(s):	MILO SMITH
Office:	XXX OFFICE, Illinois
CST Plan:	
Plan Practice:	
Local File Name:	RankingReport850675.pdf
Internal View Only:	☑
Signature Types:	
Comments:	Ranking report Uploaded by ProTracts
	replace | version

How to view multiple documents?

a. Place a check in the box for the document.



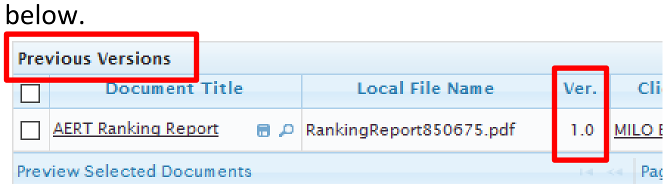
b. Click on "Open Selected Documents". Each document will open in a new tab.

c. Click on the link for "Local File Name" to open the file.

How to view the prior version(s) of a document?

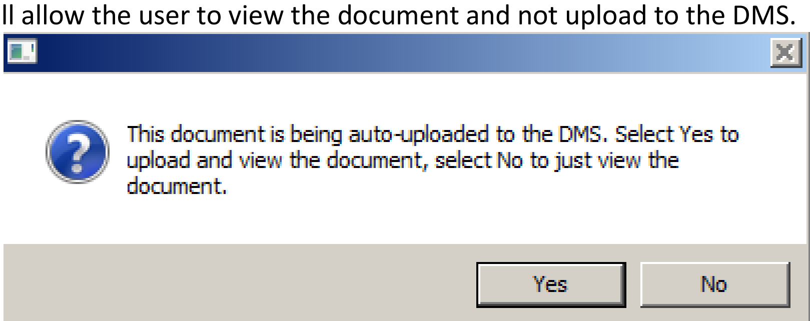
a. Click on the Title of the document.

b. A document tab will open showing the current version at the top and the previous versions below.



ProTracts Auto-Upload to DMS

Some documents from ProTracts can be auto-uploaded to the DMS when printing from ProTracts. Documents are auto-uploaded to the DMS when the user clicks "Yes" on the pop-up message. Clicking "No" will allow the user to view the document and not upload to the DMS.



Field offices must auto-upload the following documents to the DMS after the NRCS employee obligates, approves the modification, or approves the payment:

- NRCS-CPA-1202 Conservation Program Contract
- NRCS-CPA-1155 Conservation Plan or Schedule of Operations
- NRCS-CPA-1156 Revision of Plan/Schedule of Operations or Modification of a Contract
- NRCS-CPA-152 Conservation Program Contract Transfer Agreement
- NRCS-CPA-1245 Practice Approval and Payment Application

Upload Documents to the DMS

Contract documents must be uploaded to the DMS using the guidance below and the "DMS Document Upload" table that identifies which documents must be uploaded for the specified actions or situations. The DMS allows file sizes up to 104MB to be uploaded. Multiple file types can be uploaded including pdf, xls or xlsx, doc or docx, and jpg or jpeg.

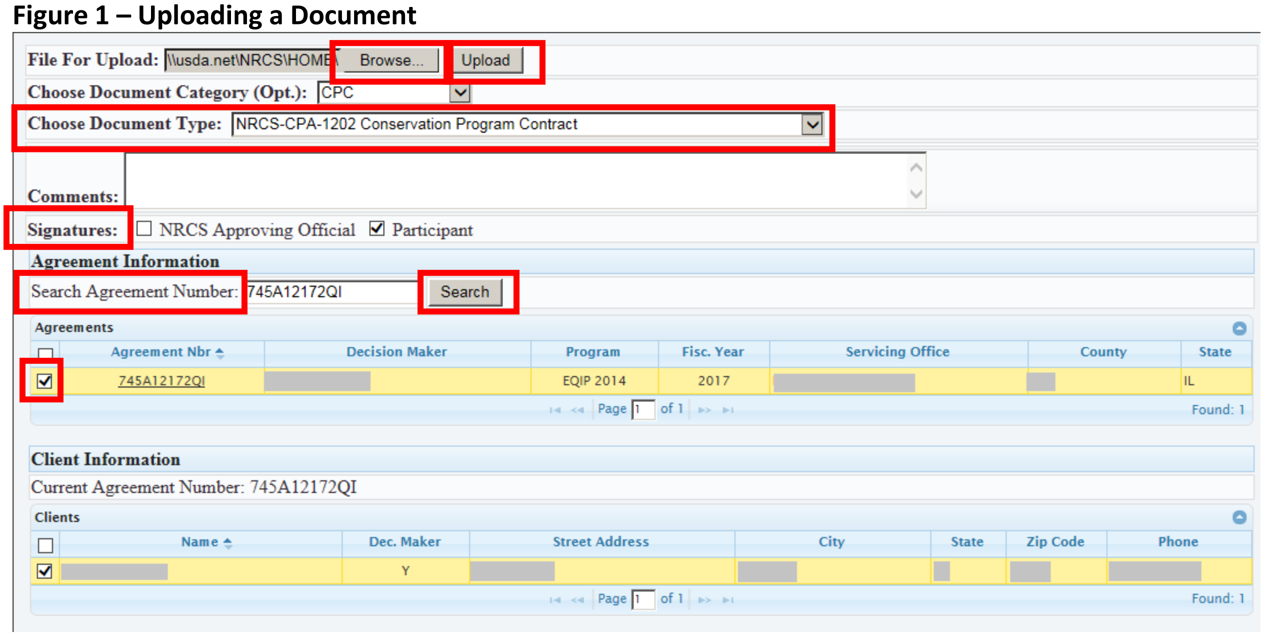
a. Login to the DMS (Upon entry, the default tab is the "Upload Documents")
b. Click on **Browse** button and navigate to the file to upload
c. Select/Enter the document information for the following data fields based on:
   i Choose Document Category (**Optional**. If not chosen, then all document types will be available in the next step.)
   ii Choose Document Type
   iii Document Title (required for some documents)
   Note: only the characters A-Z, a-z, 0-9, periods, commas, semi-colons, colons, ampersands, apostrophes, hyphens and spaces are allowed.
   iv Comments (optional)
   v Signatures – select the appropriate signature type(s) only when that signature type is present on the document. The meaning of signatures are as follows:
   - NRCS Approving Official – the obligator or final NRCS approver on a document
   - Participant – the program applicant or participant
   - Partner – SWCD
   - Technical – the technical adequacy signer or payment certifier

   vi Search by Agreement Number or Search Client Name
   - For an Agreement Number, select the application number by checking the box to the left of the agreement number. The decision maker will appear below and will be automatically checked. If there are other participants on the application, check the box to the left of their name so the document will also be uploaded for them.
   - For a Client, select State and Servicing Office.

d. Click **Upload** button (next to Browse button)
e. Ensure you receive the message that states,

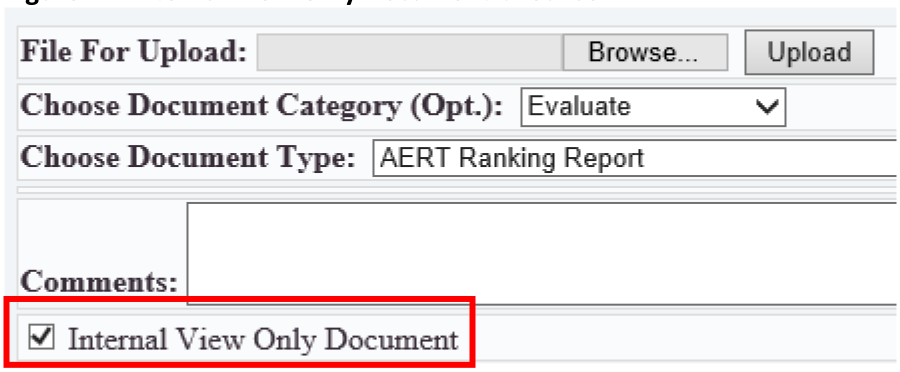
"Attention: Your document upload/update was successful. This tab will now close."

Figure 1 – Uploading a Document



Internal View Only
Some documents when uploaded to the DMS can be restricted from the client seeing the document in the CCG. The document types that can be viewable or restricted from the CCG are signified with the option “Internal View Only Document”. When this option is present, **the field office must leave the box checked** so that the document is not viewable in CCG.

Figure 2 – Internal View Only Document Checkbox

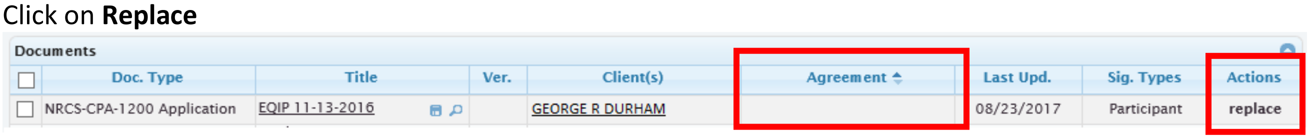


Upload Shortcut from Agreement or Client Tab
From the agreement or client tab, the process to upload a new document can be started by choosing a document category (optional) and type. Then click the **Upload Document** button.

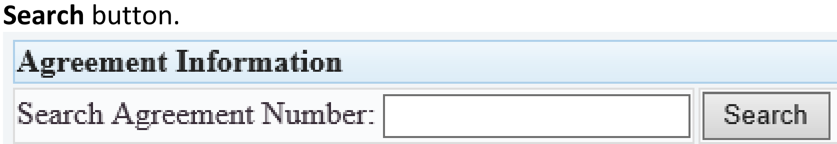
Figure 3 – Upload Shortcut

Link a NRCS-CPA-1200 to the Application Number when it is only Linked to the Applicant/Client
The situation can be identified when the “Agreement” column lacks an application number and only the client name is identified.

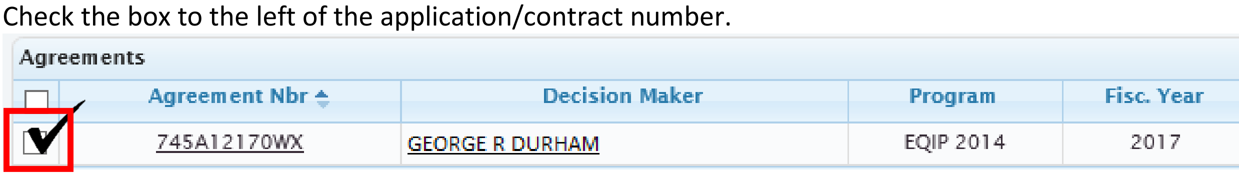
a. Click on **Replace**



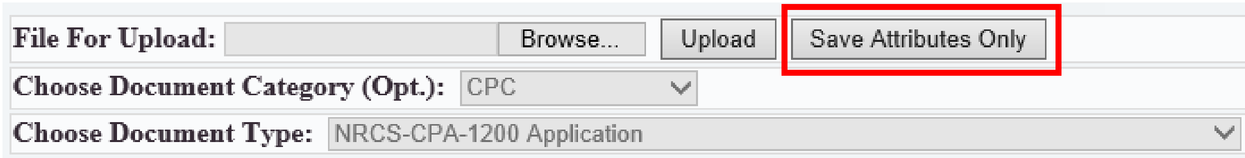
b. In the Search Agreement Number cell enter the application/contract number and click the **Search** button.



c. Check the box to the left of the application/contract number.



d. Click the **Save Attributes Only** button.



Manage Documents - When to Replace, Version, Delete, or Promote?

Replace – Use replace when the wrong document or data has been uploaded to the DMS or when the current document in the DMS no longer needs to be maintained. Only the most recent document can be replaced. *Example*: replace the SF-1199A direct deposit form when the participant fills out a new SF-1199A due to closing his bank account.

Version – Use the version option to upload a new version of a document and maintain the previous version(s). When a category is used, and another form/document is created, then the version function should be used to upload the newer document. *Example*: version the previous contract review (NRCS-CPA-13) when a new contract review form is completed. Other documents to version are Preobligation checklist, correspondence, etc.

Delete – Use delete to permanently removed documents from the DMS. Field office staff have limited delete capabilities. Certain documents cannot be deleted due to the restrictions based on the document type. Also, when multiple versions of a document exist, the current version cannot be deleted, except when there is only one version, then it can be deleted.

There are workaround options for deleting a document such as using the replace action to have the current document replaced with the correct information. For documents the field office can delete, a second workaround is to perform a new upload of the correct information and delete the previous version because previous versions can be deleted. Lastly, if a document needs be deleted, and the field office does not have permission, the Area Program Specialist (APS) can be contacted to delete the document by following the guidance under the section titled "How to Request an Area Program Specialist to Delete a Document?".

Promote – Use promote to create an exact duplicate of a prior version document to be the current version. For example, a document has a version 1.0 and 2.0, but the version 1.0 is the correct document. If version 1.0 is promoted, then an exact copy will be made and promoted to be version 3.0 and show as the current document. Promote is only available if the document can be versioned.

Figure 1 – Available Actions for Documents from the Agreement or Client Tab

Documents

☐	Doc. Type	Title	Ver.	Client(s)	Agr. Mod	Agr. Items	Last Upd.	Sig. Types	Actions
☐	OtherAgreement	Application QA Checklist	1.0	MILO SMITH			09/23/2014		replace | version
☐	NRCS-CPA-1202-Appendix	NRCS-CPA-1202 Conservation Program Contract Appendix		MILO SMITH			09/23/2014	Participant	replace
☐	NRCS-CPA-1155	NRCS-CPA-1155 Schedule of Operations	1.0	MILO SMITH			09/23/2014	Participant, Technical	replace | version
☐	NRCS-CPA-1202	NRCS-CPA-1202 Conservation Program Contract	1.0	MILO SMITH			09/23/2014	Participant, NRCS	replace | version
☐	AertRankingReport	AERT Ranking Report	1.0	MILO SMITH	0		07/01/2014		replace | version

Figure 2 - Available Actions for Documents from the Document Tab

Previous Versions

	Document Title	Local File Name	Ver.	Client(s)	Agreement	Office	Last Upd.	Sig. Types	Actions
☐	AERT Ranking Report	RankingReport850675.pdf	1.0	MILO SMITH	Nbr: 745A12151ZA	OFFICE	02/09/2015		delete | promote

How to Replace?

Replacing a PDF Document

a. Click on **replace** in the Actions column for the document that needs to be replaced.
b. Click **Browse** and locate new document.
c. Click the **Upload** button.

Edit Document Data

a. Click on **replace** in the Actions column for the document that needs to be edited.
b. Edit the data such as document title, signatures, comments, or etc.
c. Click on **Save Attributes Only** button.

How to Version?

a. Click on **version** in the Actions column for the document that has a new version.
b. Click **Browse** and locate new document.
c. Click the **Upload** button.

How to Delete?

a. A current version when only one version exists:
   i. Find the document to delete in the document list.
   ii. Click on the document title in the agreement or client tab to open the document tab.
   iii. Click on **delete**.
   iv. A pop-up message wants the user to confirm the document and version that is being deleted by asking "Delete the document ______________?"
   v. Click on **Confirm** to permanently delete the document.

NRCS-CPA-1155 Schedule of Operations	
Version:	1.0
Document Type:	NRCS-CPA-1155 Schedule of Operations
Uploaded By:	XXX XXX
Upload Date:	02/17/2015
Category:	CPC
Agreement Number:	745A12150WC
Agreement Mod:	
CIN:	
Client(s):	MILO SMITH
Office:	XXX OFFICE, Illinois
CST Plan:	
Plan Practice:	
Local File Name:	1155.pdf
Signature Types:	Participant, Technical
Comments:	Uploaded From DMS
	delete | replace | version

b. A previous version of a document:
   i. Click on the document title in the agreement or client tab to open the document tab.
   ii. Scroll to the bottom where the **Previous Versions** are listed.
   iii. Click on **delete** in the Actions column for the previous version that needs to be deleted. Deleting a version will not cause later version numbers to change.
   iv. A pop-up message wants the user to confirm the document and version that is being deleted by asking "Delete the document ______________?"
   v. Click on **Confirm** to permanently delete the document.

Figure 4 - Delete Action for Previous Document Versions

Previous Versions

	Document Title	Local File Name	Ver.	Client(s)	Agreement	Office	Last Upd.	Sig. Types	Actions
☐	NRCS-CPA-1202 Conservation Program Contract	745A12152DP 1202.pdf	1.0	WILLIAM BRANDT	Nbr: 745A12152DP	OFFICE	01/29/2015	Participant, NRCS	delete

How to Promote?

a. Click on the document title in the agreement or client tab to open the document tab
b. Click on **promote** in the Actions column.

c. A popup message will appear that asks, “Promote the document _____________ to be the latest version?
d. Click the **Confirm** button to promote the document.

<u>How to Request an Area Program Specialist to Delete a Document?</u>
Use this option when the field office staff only has the actions to replace and/or version.

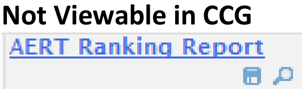
a. The field office emails the Area Program Specialist including the following information, so the correct document can be located and deleted:
   - Agreement number or Client name
   - Doc Type
   - Title
   - Version
   - Last Update
b. The Area Program Specialist will reply to the email confirming deletion.

<u>Major and Minor Version Numbering</u>
The DMS documents the change by a document with a major or minor version number. A major version change is when a new document is uploaded to the DMS. A minor change is when only the attribute data is changed, such as editing the document, using either replace or version actions. When either major or minor changes are performed, the prior version of the document is maintained in the DMS and a new version and number is created such as:

- Major version – incremental increase to the next integer.
  - Example #1: version 1.0 to version 2.0
  - Example #2: version 2.1 to version 3.0
- Minor version – increase by one decimal place.
  - Example #3: version 1.0 to version 1.1
  - Example #4: version 2.2 to version 2.3

DMS Connection to Conservation Client Gateway (CCG)
DMS users should be aware that program participants may obtain access to CCG at any time. These CCG clients will have immediate access to viewable documents in the DMS through CCG. Documents that are uploaded to the DMS and viewable in CCG are listed in Table 2 below. There are some documents that CCG clients are always restricted from viewing and others that the CCG client cannot view because the “Internal View Only Document” box is checked. The non-viewable documents will be visible in the DMS but not in CCG and includes any document such as correspondence and ranking reports. A DMS user can ascertain which documents are viewable in CCG or not, based on the color of the document title in the DMS. Blue titles are not viewable in CCG, and black titles can be viewed by the CCG client.

Not Viewable in CCG



Viewable in CCG

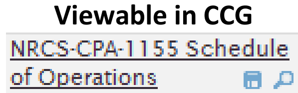


Table 1 - Documents Viewable in CCG and DMS

CCC-36 Assignment of Payment
CCC-901 Member's Information

CCC-902 Farm Operating Plan
Conservation Activity Plan
Conservation Plan & Map (Agreement)
Conservation Plan & Map (Plan)
CSP Enhancement Job Sheets
CSP CAET Tool [aka CAET consolidated report]
FSA-211 Power of Attorney
Land Control
NRCS-CPA-009 Power of Attorney
NRCS-CPA-1155 Schedule of Operations
NRCS-CPA-1156 Schedule Mod
NRCS-CPA-1200 Application
NRCS-CPA-1202 Conservation Program Contract
NRCS-CPA-1202 Conservation Program Contract Appendix
NRCS-CPA-1236 Assignment of Payment
NRCS-CPA-1245-Practice Approval and Payment Application
NRCS-CPA-1248 CSP Contract Renewal Worksheet
NRCS-CPA-13 Contract Review
NRCS-CPA-152 Land or Payment Share Transfer
NRCS-FNM-60 Hardship EFT Waiver Request
SF-1199A Direct Deposit

Conservation Client Gateway Client who is a FA Programs Participant
Client Electronic Signature

As allowed in 440-CPM, Part 512, documents may be electronically signed and submitted to NRCS by eAuthenticated clients via the Conservation Client Gateway. Some documents can be auto-uploaded from ProTracts and other must be manually uploaded to the DMS. The "DMS Document Upload Table" include a tab titled "DMS for CCG" that explains how to upload program documents for the participant to sign electronically using CCG. After documents are electronically signed by the CCG client, the signed document is available in the DMS. Table 2 lists all of the documents the client can electronically sign in CCG.

NRCS-CPA-1202 and NRCS-CPA-1202 Appendix
The NRCS-CPA-1202 contract and appendix must be uploaded through the DMS to their separate categories. When uploading, ensure the "Signatures" box for the "NRCS Approving Official" and "Participant" are not checked. By leaving both uncheck, it will be identified as a document pending signature in the CCG for the client.

Signatures: ☐ NRCS Approving Official ☐ Participant

Once signed, a page will be added to the end of the document that contains the electronic signature and the document will be automatically stored in DMS. The DMS entry will have the "Participant" signature box checked to designate the signed document.

NRCS-CPA-1155
The NRCS-CPA-1155 document is auto-uploaded to the DMS when the application has an "Approved" application status, technical adequacy electronic signature is completed, and the NRCS-CPA-1155 is printed from ProTracts. There is no prompting message; the form is automatically uploaded.

<u>NRCS-CPA-1156, NRCS-CPA-152, or NRCS-CPA-1245</u>
The field office must perform the following steps to make these 3 documents are available in CCG for the participant to electronically sign:

1. Select the **Print** option in ProTracts
2. The following message will pop-up,
   "This document is being auto-uploaded to the DMS. Select Yes to upload and view the document, select No to just view the document."
3. **Select Yes** to auto-upload the document to the DMS and the CCG client will also be able to view and sign the document in CCG.

Table 2 – Documents Clients Can Electronically Sign in CCG

AERT Ranking Report
CMT Summary Report
Conservation Plan & Map (Agreement)
Conservation Plan & Map (Plan)
CSP Supplement for the NRCS-CPA-152
NRCS-CPA-1155 Schedule of Operations
NRCS-CPA-1156 Schedule Mod
NRCS-CPA-1202 Conservation Program Contract
NRCS-CPA-1202 Conservation Program Contract Appendix
NRCS-CPA-1245-Practice Approval and Payment Application
NRCS-CPA-1248 CSP Contract Renewal Worksheet
NRCS-CPA-152 Land or Payment Share Transfer
NRCS-CPA-153 Agreement Covering Non-Compliance with Provisions of Contract

Documents Clients Can Upload
Table 3 is a list of forms and documents a client can upload from CCG to the DMS.

Table 3 – Documents CCG Clients Can Upload

CCC-36 Assignment of Payment
CCC-901 Member's Information
CCC-902 Farm Operating Plan Entity
CCC-902 Farm Operating Plan Individual
Land Control
FSA-211 Power of Attorney
NRCS-CPA-1200 Application
NRCS-CPA-1236 Assignment of Payment
NRCS-FNM-60 Hardship EFT Waver Request
Photographs (multiple options)
Receipt
SF-1199A Direct Deposit

Additional Guidance

A DMS User Guide is available that covers all functionality of the DMS. The latest version of the DMS User Guide is posted to the IL SharePoint site at: FA Programs > DMS. As of May 2018, Release 5.2 is available.

Version Changes

Version	Date	Comment
1	April 2015	Initial Version
2	February 2017	
3	June 2017	
4	May 2018	• Added instructions for linking a NRCS-CPA-1200 to an application/contract number • Removed reference to DUNS and SAM.gov • Formatting and font changes • Changed staff from Program Liaison to Area Program Specialist for who can delete documents the field office cannot delete • Added Version Changes table