

**Sample RFP Tool**

### When to use this tool

A compelling event has occurred at your organization that has caused you to consider looking for an enterprise content management (ECM) solution. It’s important to you that you find the solution to the paper and process problems your organization is trying to solve – and that you find the right solution the first time around.

In evaluating an ECM solution, it is important to (1) clearly identify what the problems are you’re trying to solve, and to then (2) create specific requirements for the technology that will solve them. By doing so, any major IT project, including ECM, will be much more successful. Here are two questions that will help you create overall goals for the project:

* What are the pains you are trying to alleviate? (Think: too much paper, many disparate systems, a plethora of manual processes, the inability to easily locate information, unsophisticated retention practices, etc.)
* What will a successful ECM project look like? (Think: reduced costs, compliance with specific regulations, increased processing times, etc.)

Once your goals have been created, it’s time to evaluate technologies. One of the best tools available to make this process easier and more effective is a request for proposal (RFP). An RFP allows you to solicit information from prospective vendors to see if their solutions are a fit for what you’re looking for. Based on the results, you can wean out those solutions and corresponding vendors that can’t help you reach your goal, and focus on those that can.

This RFP tool has been built to assist your organization in outlining your overall goals and to provide you with a set of ECM requirements (functional, technical, etc.) to best aid you with your evaluation. The tool will ensure that you are receiving all the *right* information back from respondents in relation to the ECM project that you need.

### How to use this tool

This tool will assist you in the generation of an RFP. It is intended to act as a starting point for your organization as you begin the process of evaluating vendors for ECM solutions that fit the needs of your organization. You can choose to keep the sample as is, or add or remove information and requirements as necessary.

When using this tool, it is important to note that any information in yellow highlighted brackets (<>) is information that should be updated to be specific to your organization.

### How to distribute this tool for vendor responses

Once this tool has been modified to meet the needs of your organization, you can then distribute it to the vendors from whom you wish to solicit a response. For example, to engage Naviant in the response process, simply submit your RFP as an attachment to sales@naviant-inc.com.

\*\*This page should be deleted prior to distribution of your RFP.\*\*

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# INTRODUCTION

## Company Overview

### Company Background

<Insert background of company here.>

### Current Environment

<Insert information on current environment here – include existing systems and core applications, key infrastructure considerations, hardware, workstations, strategic vendors / suppliers, etc.>

## Project Overview

<Insert your project overview here. Include the compelling event that occurred that led you to go to RFP for an ECM solution. Identify the top three operating problems or challenges. Outline what workers in your organization are challenged by in existing processes.>

An example of this may be:

Existing procedure for Human Resource candidate application processing is manual and time consuming. The existing process has led to our organization losing ideal candidates to other organizations due to lack of responsiveness in a timely fashion.

The three main pain points of the existing process involve:

1. Applicant document processing (receiving, organizing, printing, sorting, hand-keying information, filing).
2. Potential manager review – Managers of the applicant’s department of choice review all fits prior to interviews being scheduled. Finding the forms and documents they need is a challenge.
3. Length of time to process an application.

We are looking for a solution to minimize document processing and automate the candidate review process, ultimately reducing the time to process a candidate application.>

### Project Objectives

<State project objectives here (expected benefits / results, key integration points, architecture / platform alignment, key capabilities, number of users of the solution, etc.).>

<Company Name> has identified the following as key project objectives:

<Add project objectives here.>

## Response Requirements and Timeline

### Response Submission

The <project name> response is due by <time, date, time zone>. Late proposals will not be accepted.

Please submit your response in electronic format to:

<Company Name>

<Contact Name>

<E-mail Address>

### Response Format

The following outline should be followed when responding to the RFP:

* Executive Summary
* Vendor Profile
* Functional Requirements
* Technical Requirements
* Implementation and Support
* Training
* Appendices containing any additional / supporting information

Please submit the response in PDF or Microsoft Word format.

### Response Questions

Questions regarding the RFP should be directed, via e-mail, to the following contact by <time, date, time zone>:

<Contact Name>

<E-mail Address>

Responses to all questions received will be returned to all vendors. Vendor names, where mentioned, will be left out.

### RFP Timeline

<Company Name> has established the following timeline in relation to the <project name>. Please note that dates are subject to change. Vendors will be notified, via an addendum to this RFP, of any changes in the timeframe.

|  |  |
| --- | --- |
| RFP distributed | <Date> |
| Deadline for questions submitted in relation to RFP | <Date> |
| Deadline for receipt of RFP responses | <Date> |
| Short list of vendors determined and notified | <Date> |
| Onsite vendor demonstrations | <Date> |
| System implementation (estimated) | <Date> |

### Evaluation Criteria

The following criteria will be utilized when evaluating your response to the <project name>. This is not to be considered an inclusive list.

* Organization’s experience in this space
* Customer references
* Support methodology
* Response to functional requirements
* Response to technical requirements
* Implementation complexity

# VENDOR PROFILE

## Vendor Experience and Qualifications

1. **Provide a brief (1-2 paragraphs) background of your organization, including the year it was founded.**
2. **Provide a brief (1-2 paragraphs) background of the solution you are proposing.**
3. **Provide the percentage of your total annual revenue that is driven by enterprise content management (ECM) related revenue (e.g., software, services, maintenance, etc.).**
4. **What percentage of your revenue is derived from the following:**

* **Software License Fees**
* **Maintenance Fees**
* **Professional Services / Consulting**
* **SaaS Revenue**

1. **Provide evidence of what your organization is doing to remain a viable and stable player in the ECM market.**
2. **Describe the financial stability of your organization. If available, include documentation depicting this stability.**
3. **What is the annual research & development (R&D) investment for the ECM solution being proposed, both in terms of financial investment and total number of employees dedicated to the R&D function?**
4. **How much of your R&D is the result of customer requests (enhancement, new functionality)?**

## Vendor Strategic Partnerships

1. **Describe your partnership with Microsoft from a product, technology, and business perspective.**
2. **Describe your relationship with <insert vendors / products strategic to your organization>.**

## Personnel

1. **Provide the current number of employees dedicated to the solution you are proposing.**
2. **How many of your employees work in the following areas:**

* **Sales and Marketing**
* **Product Development**
* **Client Service**
* **Client Support**
* **Other (Describe)**

1. **Provide the number of offices and their locations for your organization.**
2. **Provide statistics related to the number of employees your company has added over the past five (5) years.**
3. **Have you had to lay off any employees? If so, when and how many?**
4. **Provide the average employee tenure for your Technical Support team.**
5. **Provide the longevity, in terms of years, of your executive management team, particularly your CEO and CTO.**

## Competitive Analysis

1. **List any of the relevant independent ECM analyst reports and rankings validating your solution within the ECM market (e.g., Gartner Magic Quadrant for Enterprise Content Management, Forrester Wave: Enterprise Content Management).**
2. **Describe what generally differentiates you from your key competitors.**
3. **Describe your market share in the ECM space.**

## References

1. **How many organizations have implemented your solution overall?**
2. **How many organizations are still running your solution with active maintenance and support contracts (i.e., lifetime customer retention)?**
3. **Provide the name of the oldest, active customer of your solution.**
4. **How many organizations have implemented your solution in the past fiscal year?**
5. **How many customers were added in the past three (3) fiscal years?**
6. **Describe your customer retention.**
7. **Describe the customer industries you service.**
8. **Provide information in relation to three (3) customers who have implemented a solution similar to <customer name>. Include company name, location, inception date, and solution specifics.**
9. **Would you be willing to host our organization for a site visit at your corporate headquarters?**

# FUNCTIONAL REQUIREMENTS

## Access

### Client User Interface

1. **Users can easily navigate and perform their primary job tasks with little-to-no training and with intuitive ribbon-style toolbars, tabs, and easy access features that are based on the familiar look and feel of Microsoft Office products.**

**2. Client provides capabilities for users to personalize their user experience (e.g., personalized home page that opens to personal workflow lifecycles, stored favorite retrievals, etc.).**

**3. Client displays all of the associated information about a document right alongside the image itself – displaying index values, notes, related documents, revisions, discussion threads, and document history.**

**4. Client provides ability to display the document being indexed in a preview pane during the indexing process.**

**5. Client provides the ability to auto-import camera images and media files directly from a connected device.**

**6. Client enables users to play, stop, and pause multimedia files (audio / video) with the native viewer.**

### Web Client Interface

**7. Web Client provides a dashboard component to create and manage personalized interfaces that present end users with access to priority content and tasks (e.g., workflow status report, commonly used document searches).**

**8. Solution offers full support for the Internet Explorer and Mozilla Firefox browsers on the Windows platform as well as full support for the Mozilla Firefox browser on the Macintosh platform.**

### Search Experience

**9. Solution enables users (not administrators) to create their own personalized saved searches.**

**10. Solution provides ability for meaningful document names to appear in a search results list that can contain both static text as well as defined index values, offering a more detailed description of the documents returned.**

**11. Solution provides advanced full text search capabilities that include fuzzy, inflectional, thesaurus, proximity, wild card, and SOUNDEX.**

**12. Solution provides ability to utilize full text searching alongside index value search. Provide a screen shot depicting this capability from a single interface.**

**13. Solution allows users to search for multiple document types (e.g., text / COLD, image, PDF, Word, etc.) in one search.**

### Search – Microsoft Office

**14. Solution provides capabilities to not only retrieve and archive to the ECM system from the native office toolbar, but also search and retrieve ECM stored content from directly inside the native office application.**

### Retrieval

**15. Solution provides ability to automatically link related documents of similar or different file types to each other (e.g., a mainframe-generated text file to a TIFF image).**

### Integrated Workflow

**16. Solution’s workflow experience is integrated to provide task buttons and user interaction on a menu right from selected or open documents through standard document retrieval (i.e., user does not need to enter the workflow client). Provide a screen shot depicting this embedded workflow functionality in your viewer.**

### Offline Client Experience

**17. Solution provides capabilities for an offline / mobile worker (e.g., access documentation, complete forms, synchronization).**

### Mobile Devices

**18. Solution provides natively built interfaces to standard mobile devices - BlackBerry, iPad, iPhone, Windows Phone, and Droid.**

### Client Deployment

**19. System offers a ClickOnce deployable solution for the client interface, minimizing administration overhead and supporting IT policies.**

### E-Mail Integration

**20. Solution allows drag-and-drop import of messages into the ECM system using e-mail client folders in order to automate the classification and indexing of e-mails and attachments (e.g., a user could create a folder for purchase orders, one for invoices, another for resumes, etc.).**

**21. Solution allows e-mails and attachments to be automatically imported and fully indexed into the system without any user intervention or data entry.**

**22. List the versions of Microsoft Outlook that you support.**

**23. Solution provides an integration with Lotus Notes.**

### E-Mail Integration to Workflow

**24. Solution allows the user to access the ECM system’s workflow processes from the e-mail client interface, with the ability to decision items (execute tasks) and view related documents directly from the e-mail message notification.**

### E-Mail Archive

**25. Solution provides an E-mail Archive that offers the ability to assign time-based retention to e-mails with the ability to put an e-mail or group of e-mails “on hold,” preventing automatic destruction.**

**26. Solution supports single instance storage of both e-mail and attachments. For example, e-mails and attachments are only stored once in the E-mail Archive, with the sender and all recipients pointing to one record / file.**

**27. Solution provides the ability for users to access an e-mail in the archive directly from their client.**

**28. Solution provides the ability to search on e-mail index values and / or perform a full-text search on e-mail and attachment content.**

## Capture

### Capture

**1. Describe the breadth of your solution’s native, individual capture solutions.**

**2. Describe your ability to automatically classify and index images.**

**3. Describe the system’s ability to capture and index documents from remote users through either a web-based connection or disconnected method.**

**4. Describe the system’s ability to perform quality assurance (QA) / verification of captured image documents. For instance, the solution should provide options to QA image quality and / or index accuracy. It should also provide a simple image re-scan process that automatically replaces the poor images with the newly-scanned images.**

**5. Solution’s capture process allows for page separation and retrieval. This should include the separation of image and PDF file types.**

### Capture – Electronic

**6. Describe your solution’s capabilities related to electronic capture.**

**7. Describe your solution’s ability to full-page OCR.**

**8. Describe the solution’s support of sweeping images and other file types from a network directory, providing an indexing interface for viewing those documents while classifying and indexing them.**

**9. Describe the ability to import content into your repository from directly within an application such as Microsoft Word or Excel.**

### COLD

**10. Solution provides ability to easily and quickly configure the ingestion of print streams.**

**11. Solution provides ability to parse a print stream and index documents in one process. The solution should be able to handle multiple types of print streams. List those supported by your system.**

### Workflow

**12. Describe the ability of your capture solution to integrate with your workflow engine.**

### Fax / MFP Integration

**13. Solution provides ability to integrate with other devices (fax, MFP) as a means of ingesting documents into the system.**

### SharePoint

**14. Describe the capabilities you offer for scanning through the Microsoft SharePoint interface.**

### Indexing

**15. Describe the indexing capabilities available within your solution.**

**16. Describe your capture process’s ability to automatically fill several index values on a document based on a primary index value that triggers the automatic look up of additional index information already contained within the system.**

**17. Describe your solution’s ability to automatically search for sensitive data and intelligently generate redacted zones.**

### Recognition Technologies

**18. Describe the system’s ability to natively provide data and text extraction capabilities for scanned image documents, including OCR, ICR, OMR, bar codes, and signature detection, in order to provide hands-off processing of scanned documents directly into the system without involving third-party software applications.**

### Image Management

**19. Describe the solution’s ability to control and track the modification of documents through multiple revisions, allowing users to view prior revisions and track document history. The solution should clearly display the number of revisions associated with a specific document. The solution should allow for the addition of comments per revision.**

**20. Solution provides ability to stamp a specific revision of a document as a version, limiting which revisions of a document a certain user can see.**

### Electronic Signature

**21. Describe the native ability to associate an electronic signature with an event managed by your solution.**

### Interface

**22. Solution provides one central GUI for administration and deployment of capture products.**

### Configuration

**23. Describe the out-of-the-box configurable options related to your solution’s scanning interface.**

### Scalability

**24. Describe the features that enable your system to scale for high-volume imaging applications.**

## Process

### User Environment

**1. Solution’s workflow configuration and user interface environments are integrated with the rest of the ECM solution (i.e., you can access the workflow interface from within the client environment).**

### Process Design

**2. How many configurable workflow business rule templates are available, out-of-the-box, with your system? Explain what parameters are available, excluding any scripted capabilities, upon configuration.**

**3. How many configurable workflow actions are available, out-of-the-box, with your system? Explain what parameters are available, excluding any scripted capabilities, upon configuration.**

### Process Initiation

**4. Solution allows documents to be added to a workflow in several different ways, including:**

* **Scanning**
* **Enterprise text report processing**
* **Electronic forms processing**
* **Document import processing**
* **API**
* **E-mail interface**
* **Drag and drop from a line-of-business application screen**
* **Adding documents already stored within the solution’s repository to a workflow process at a specific point-in-time**

**5. Immediately upon import, based on the document type, the solution automatically identifies with which workflow processes to associate a given document.**

### Configuration

**6. Solution provides ability for the workflow process to interact directly with defined Web services, allowing external data received to be used as part of a workflow process (i.e., confirm a delivery date from a website such as ups.com). This is to be accomplished out-of-the-box with point-and-click configuration.**

### Work Distribution

**7. Solution allows for the automatic distribution and sorting of work based on load balancing rules. Rules should include role, availability, percentage, order of arrival, index values, or the size of existing workloads for users, as well as custom- built work distribution rules. This load balancing should also allow for the rebalancing of work to users if inequity is discovered within the workflow processes.**

### User Experience

**8. Solution provides for customized instructions to be displayed within the workflow application, directing the end user on what functionality they can or should execute.**

### Decision Making

**9. Describe the system’s ability to dynamically query, directly within the workflow interface, related documents associated to the transaction to provide better decision making.**

**10. Describe your workflow solution’s ability to provide, out-of-the-box, visual indications of missing documents required of a work packet.**

**11. Describe your workflow system’s ability to conditionally present a targeted set of user tasks, based on role and step of the process, to assist with processing decisions.**

**12. Describe the system’s ability to retrieve or perform activity on related documents that may exist in the solution’s ECM repository (file server), outside of the documents that currently exist within various stages of the workflow process.**

**13. Describe the system’s ability to provide for a document in a workflow to check an attribute (document property or index value) on a related document and make a processing decision, such as how the document is to be routed, based on pre-configured logic and rules.**

**14. Solution provides the ability to perform parallel processing by automatically routing a single document through multiple business processes simultaneously and allowing multiple users to access and work on the same document.**

**15. Upon execution of a task within a workflow process, solution provides the ability to automatically present a prompt requesting additional information for downstream processing (e.g., hiring manager determines a candidate as a “no fit” for a given position and is prompted for feedback on candidate’s positioning for a role elsewhere in the organization). This is to be accomplished out-of-the-box with point-and-click configuration.**

### Routing

**16. Many workflow processes require the user to select a simple decision task such as “approve” or “deny.” Explain how additional out-of-the-box tasks can be presented to users, allowing them to execute more business-specific functions (e.g., simple tasks such as print, annotate, and email; advanced tasks such as calling out to external systems, advanced routing, document composition, or the creation of an e-form).**

### Integration

**17. Solution provides the ability to present and access workflow from the locations noted below. This should be accomplished out-of-the-box or through a productized offering. Provide a screen shot depicting this functionality within these viewers.**

* **BlackBerry**
* **iPad**
* **iPhone**
* **Windows Phone**
* **Droid**
* **Standard Client**
* **Outlook**
* **Web Client**
* **Line-of-Business Application**
* **SharePoint**
* **URL string**

### Process Modeling and Analysis

**18. Solution includes native capabilities to provide, or have partnerships for business rules engine, process modeling, process simulation, and process reporting.**

**19. Solution supports, out-of-the-box, the graphical design of workflows with a BPMN compliant designer.**

**20. Solution’s BPMN compliant designer is able to produce BPEL standard language.**

### Business Activity Monitoring

**21. Solution provides a native, configurable workflow dashboard to monitor, in real time, the workload of end users. This should provide for an automatic visual notification within that dashboard when a process threshold has been crossed. Provide a screen shot so that we may have a visual representation of this.**

**22. Solution provides for a browser-based workflow dashboard to be displayed natively through your client interface, Microsoft SharePoint, or any WSRP 1.0 compliant portal product without any custom coding. Provide a screen shot so that we may have a visual representation of this.**

### Reporting

**23. Solution produces reports utilizing custom transactions (e.g., approval time stamps added by a specific user during a transaction).**

**24. Solution provides preconfigured workflow reports that detail processing information such as:**

**• Average Time to Process Document per Lifecycle**

**• Daily Workflow Usage**

**• Document Process Time per Workflow Queue**

**• Documents Processed per Queue**

**• Documents Resident per Queue**

**• High or Low Document Processing Identification**

**• Queue Processing Time per User in Minutes**

**Describe the specific report(s).**

### Electronic Forms

**25. Workflow solution will include, at no additional cost, your native electronic forms application.**

**26. Solution supports the use of electronic forms natively without requiring the purchase of any proprietary forms software.**

**27. Solution’s electronic forms offering will be architected in a way to interact with other parts of your ECM repository including:**

* **Document import capture**
* **Web (online form submission)**
* **Web portal and SharePoint (form creation / submission through portal)**
* **Index value design and structure**
* **Cross-referencing**
* **Notes / annotations**
* **Workflow (form auto-triggers a workflow process)**
* **E-mail (form viewed as attachment)**

**28. In addition to your native electronic forms solution, the solution will provide for integrations with popular forms software like Microsoft InfoPath and Adobe LiveCycle to allow users to complete forms created with these products and process them directly into the system repository.**

**29. Solution maintains revision control on electronic forms to offer flexibility to display forms in their submitted state or with a new layout, allowing business processes to advance.**

**30. While completing an electronic form, users have the ability to attach documents to it, allowing those documents to automatically be associated with the form.**

### Case Management

**31. Solution facilitates case management.**

**32. Solution provides structured and unstructured information in a single view.**

## Integrate

### Non- Programmatic Integration

**1. From a data-centric business application, based on account / record information presented on the screen, system allows users to retrieve ECM stored documents without custom programming, API programming, scripting, or modifications to the existing application.**

**2. Solution provides the ability to execute separate and distinct document retrievals from sections/fields on the screen.**

**3. Beyond retrieval, solution allows for other ECM functions to be performed, non-programmatically (i.e., point-and-click configurable), within the business application. This includes the ability to execute ALL of the following ECM functions from a single screen:**

* **Index ECM stored documents using data on the business application screen**
* **Present user with a workflow step in context with the business application screen**
* **Launch a complete set of related documents presented in a tabbed folder view**
* **Launch scanning interface to perform ad hoc capture related to the account / record**
* **Create a scanning cover sheet with bar codes using data from the business application screen**
* **Retrieve documents based on a custom query from the business application screen**
* **Index captured documents using data from more than one screen within more than one business application**
* **Launch and complete an electronic form to track an event or start a workflow process**
* **Create a form letter, based off of a Microsoft Word template, using data on the business application screen**

**4. Solution provides integrations with email clients like Microsoft Outlook, Lotus Notes, and Novell GroupWise, allowing users to access ECM functionality and import emails and attached documents into the repository directly from their email interface.**

**5. Non-programmatic configuration enables your system to be auto-aware of any business application that is integrated for document retrievals (meaning a user does not have to manually declare the business system in which they are working).**

**6. Solution provides http URL requests to retrieve documents, present workflow interfaces, and present a folder interface in lieu of custom programming.**

### Programmatic Integration

**7. System offers well documented, robust API. Describe in detail.**

**8. Explain your existing API training program available to help organizations extend their ECM investment.**

### Synchronization

**9. Solution offers the ability to synchronize data in real-time behind the scenes.**

## Store

### Records Management

**1. Records management functionality provided by the solution is native without requiring integration with a third-party or external RIM tool.**

**2. Solution provides the ability for documents to be automatically declared as records without any user interaction.**

**3. Solution allows for multiple documents to be grouped together and treated by the system as a single record, with a single retention plan.**

**4. Solution provides the ability for a document(s) to be dragged and dropped into a record (folder of documents) and have this new document automatically inherit the records management policy.**

### Record Types

**5. Solution allows users to capture, declare, and store electronic records (documents) in their native formats, including e-mail, electronic forms, physical items, images, text files, and Office documents.**

### Hold

**6. Solution provides the ability to place a hold (or multiple holds) on a record, as in the case of an audit or legal discovery.**

### Auditing

**7. Solution provides the ability to identify both complete and incomplete records across the entire repository.**

### Workflow

**8. Describe how you configure records management events (including Open, Closed, Cutoff, Hold, and Final Disposition) to be automatically posted to a record from within your workflow engine.**

### Purging

**9. Solution provides a variety of destruction options, including the ability to keep both index values and files permanently, keep only index values, or purge both index values and files with or without a history log (certificate of destruction).**

### Physical Records Management

**10. Ability to provide a holistic view of both digitally-stored content and physically- stored content in a single search results list.**

### Administrative

**11. Provides an administrative view of physical record locators either pending check out (requested) or currently checked out with appropriate location information (item name, user in possession, expected return date, identifier, repository, repository name).**

### Searching

**12. Solution provides an easy way for administrators to locate / filter records.**

## Measure

### Auditing

**1. Solution provides the ability to access a document-level audit trail directly from the document.**

**2. Describe what is natively tracked in your out-of-the-box audit trail.**

**3. Solution allows a system administrator to perform an ad hoc audit on system-related activities from within the client (e.g., identification of all documents accessed by a recently released employee).**

**4. Solution allows an administrator to create custom audit log entries tied to workflow progress for the purpose of generating business process reports.**

### Reporting

**5. Solution’s reporting tool directly integrates with Microsoft Excel, allowing users to build reports natively in Excel utilizing the ECM system attributes.**

**6. Solution provides, within Microsoft Excel, point-and-click data mining and modeling of text-based reports stored within your repository.**

### Exception Reporting

**7. Solution provides a report out-of-the-box (with no custom coding) that identifies matched, unmatched, or missing numeric and / or character index values between a primary document and secondary document(s) (i.e., automated reconciliation report).**

**8. Based on the exception identified, solution automatically routes exception items from the exception report to a workflow for proper resolution. This should be accomplished without any coding.**

### Integration

**9. Describe your integration with Datawatch Monarch reporting, if any.**

### Visibility

**10. Solution provides real-time visibility without involving internal technical resources.**

**11. Solution provides the ability to access dashboards from anywhere.**

# TECHNICAL REQUIREMENTS

## System Architecture

### Index Value Configuration

**1. System supports an unlimited number of index values per document.**

**2. Provide an overview of the different metadata types you support (e.g., date, date and time, currency, specific currency, alphanumeric, numeric, floating point, etc.).**

**3. Solution provides point-and-click configuration for index values, with multiple pre-configured formats (e.g., date: dd/mm/yyyy, month/dd/yy, mm-dd-yy).**

### Index Value Addition

**4. Describe your system’s ability to define multiple instances of the same index value field to a single document without any programming. Explain how this is accomplished.**

### Index Value Grouping

**5. Solution provides the ability to store index value sets that can later be used to auto-index documents by entry of only a single primary value. This enables simplified indexing and more flexible retrieval by allowing users to enter a single index value and have all related index values auto-populate.**

### Index Value Updates

**6. Provide a detailed explanation of how your system can re-index documents, at a global level, without programming. The solution should provide for index values to be updated or replaced on multiple documents at once without custom programming or scripting.**

**7. Solution provides a means of purging, with just a few clicks, those index values that are no longer being used (saving database space and optimizing performance).**

### Index Value Security

**8. Describe validation of attribute values, including data sets, masking, etc.**

### Classification

**9. Describe how the system classifies / categorizes content. Is categorization of content user defined?**

**10. Solution supports an unlimited number of document types within the system.**

**11. System supports the organization of documents into folder-type structures. Explain how this is accomplished.**

### Document Linking

**12. Solution provides an underlying ability to easily pre-define document relationships for use in search and retrieval.**

### Database

**13. Are there limitations (from a database perspective) regarding how many documents can be stored within the system?**

### Scalability

**14. Does the system provide scaling-up as well as scaling-out deployment capabilities?**

### Storage Options

**15. Solution allows the archiving of documents to various media, including:**

* **Windows file servers, to allow the leveraging of Share and NTFS permissions**
* **Archiving of documents to Linux file servers**
* **Archiving of documents to Unix file servers**
* **Integrate with IBM Tivoli Storage Management**
* **Integrate with EMC Centera**
* **NetApp**
* **Plasmon Archive Appliances**
* **CD, DVD or Blu-ray**

### Storage Formats

**16. Solution stores documents in their original, native file format, not in a proprietary format, so that we are not forced to use your software to access our data.**

**17. How many native file formats do you support? For unique file types, explain how you handle storage.**

### SharePoint

**18. Describe the solution’s capabilities for providing high-volume storage for SharePoint content (i.e., SharePoint archiving).**

### Export

**19. Solution should contain an export tool for massive exporting of content in a non-proprietary format. This should supply both the document and the index values.**

### Off-line

**20. Users have the ability to check documents out of the system for access via a localized copy that can be worked on, checked back in, and processed automatically.**

### Administration

**21. For increased efficiencies in backup and database sizing, content is stored with pointers in the database to file storage locations, as opposed to a blob in the database.**

### Fail-Over / Redundancy

**22. System’s storage architecture allows for documents and images to be stored at one too many different physical locations for the purpose of redundancy. If one of the locations were to have a failure, there would be no interruption of access to the documents.**

### Security

**23. System must have the option to limit access to the storage locations based on service accounts.**

### Encryption

**24. Solution provides the ability to encrypt data at the database level and at the file storage level, as well as content that has been backed up / at rest.**

## Configuration

### Administration Interface

**1. System provides a single interface for the configuration and administration of all major system components (e.g., import processing, document type configuration, index value configuration, workflow, user groups and rights, storage structure, scanning, records management, foldering, scripting, etc.).**

**2. Solution allows for ease of configuration, in that most administrative tasks (e.g., adding new document types and index values, user administration, configuring workflows, etc.) can be done by an internal resource as opposed to a third-party software expert.**

### Configurability Options

**3. Quantify the number of configurable options in your solution.**

### Import Processing

**4. Across all of your input / ingestion offerings (e.g., document capture, COLD / ERM, directory imports, document imports, etc.), describe the ease of configuring this content to automatically enter one or many workflow processes upon ingestion.**

### Workflow Configurability

**5. Describe in detail how workflows are designed, created, and the level of scripting or any custom coding that is required.**

**6. Can business users modify business processes without having to rely on a system administrator to make the changes? If so, does this also allow for continued, uninterrupted access to the system when changes are made?**

## Infrastructure

### Database

**1. The database architecture supports multi-vendor platforms, specifically Microsoft SQL and Oracle.**

### Virtualization

**2. Describe your solution’s support for virtualization.**

## Security Administration

### Security

**1. Describe the depth and breadth of your system’s security methodology (rights and privileges), including system’s ability to assign security at each of the following levels:**

* **User Groups**
* **Users**
* **Document Type Groups**
* **Document Types**
* **Index Values**
* **Folders**
* **Notes**
* **Workflow**
* **Import Processors**
* **Scan Queues**
* **Configuration**

### Authentication

**2. Describe the solution’s different security options for logging into the system, allowing the system administrator to decide which option is the best for our company (e.g., using a separate security model for an additional logon and password, NT Authentication, integration with Windows© Active Directory, Novell© Security, or single sign-on authentication).**

### Encryption

**3. Describe your solution’s ability to publish select content onto removable media (CD / DVD) in an encrypted format, allowing access to a self-contained / runtime version of your client.**

**4. Describe your solution’s ability to send documents as an encrypted PDF.**

### PCI Compliance

**5. Describe how your system manages highly-sensitive information (i.e., payment card information), adhering to the PCI compliance standard.**

### Workflow Administration

**6. To accommodate multi-departmental / enterprise deployments involving numerous administrators, explain how your system segregates workflow administration privileges.**

### Web Administration

**7. Describe the system’s ability for designated users to perform the following administrative tasks via the web-based client:**

* **Add new users**
* **Change passwords**
* **Reset passwords**
* **Apply rights to user groups**

### Licensing Assurance

**8. Describe how the solution allows the system administrator to hold a specific number of licenses for different features such as logging into the system, importing documents, or using workflow for specific user groups that must be guaranteed access to these features regardless of who else is logged into the system.**

## Scalability

### Deployment

**1. System supports ClickOnce deployment to ease the use of installation and configuration updates.**

### Test Environments

**2. Solution allows for development, test, and disaster recovery environments with no additional licensing fees.**

### Expansion

**3. After our initial investment, we intend to add on additional departments. Describe how your software could accommodate this growth. Is the software contained in one code base?**

### Redundancy

**4. System supports multiple application and web servers in a load balanced configuration environment for redundancy.**

### Users

**5. Provide examples of scalability using real customer examples and metrics:**

* **Peak number of users in a single instance at one time**
* **Peak number of retrievals per hour**
* **Peak number of documents ingested per day**
* **Peak number of documents stored in the ECM repository**

### Index Values

**6. System supports an unlimited number of customer-defined, first class, index value fields per document within one storage structure. These fields should be of various formats, including date, currency, alphanumeric, and numeric. (Second class index value fields would include any additional information stored about a document separate from the primary document index structure.)**

**7. System supports the ability to store multiple values for the same index value instance (e.g., Client Name = Sarah Adams and John Adams). The population of an additional value(s) should be accomplished with a single mouse click or keyboard short cut.**

### Image Storage

**8. System utilizes a file storage system to store documents, as opposed to storing directly into the database.**

### Batch Processing

**9. Describe how your system supports the ingestion of large volumes of transactions during peak processing timeframes.**

### Code Base

**10. Describe how your system’s architecture supports the addition of features and functionality without having to build connectors between the applications in your suite of products.**

### Capacity

**11. What is the maximum number of documents the system can hold?**

### Document Caching (Distributed and Global Deployments)

**12. Does the system deliver efficient access to documents over a WAN (distributed and global environments)?**

# IMPLEMENTATION AND SUPPORT

### Implementation

1. **Describe your implementation processes and procedures.**
2. **Describe the roles and responsibilities the vendor will have during an implementation.**
3. **Describe the roles and responsibilities the customer will have during an implementation.**
4. **Provide a sample of the structured project implementation plan utilized.**
5. **Describe the number of customer resources necessary for ongoing maintenance of the system.**

### Technical Support

1. **Describe your technical support organization and structure.**
2. **How many support centers do you operate?**
3. **What hours is your Technical Support department available?**
4. **Describe how support issues are logged.**
5. **Describe the designated support representative that will be assigned.**
6. **Do you provide a way to check the status of an issue online?**
7. **Detail your problem escalation procedure.**

### Software Support

1. **When was the first version of your solution released?**
2. **Describe how consistently new versions of the software are released.**
3. **Describe how software changes or enhancements are incorporated into a release.**
4. **Explain how long a release is maintained.**
5. **Detail the software license costs or upgrade costs typically incurred with an upgrade to a new release.**

# TRAINING

**1. Describe the training that is available to the customer’s personnel and if it is available onsite.**

**2. Do you provide a train-the-trainer technique within your training offerings?**

**3. Do you provide web-enabled training courses and tutorials?**

**4. Do you have a website dedicated to training?**

**5. Do you offer a full array of live interactive training (including solution certification) via the internet, thus minimizing an end user’s need for travel and additional travel-related expenses for training?**

**6. Describe subscription-based training services available, providing our organization with on-demand, online training for one price.**