

Sample ECM-DMI RFP

RFP Requirements and Questions

All relevant circumstances must be explained in detail within the proposal, including the current status and ultimate disposition of each matter:

Vendor Information

- Provide a brief (1-2 paragraphs) background of your organization, briefly describing the company's corporate history (year founded, acquisitions, mergers, major systems offered, etc.).
- Provide a brief (1-2 paragraphs) background of the solution you are proposing.
- How long has your organization been providing this solution?
- Do you specialize in healthcare? Do you provide other solutions for healthcare? Do you provide solutions for other markets?
- How many installations of this software solution are there across the U.S. and Canada?
- Provide 3-5 references for hospitals that are similar to ours.
- Do you use Value Added Resellers or other external resources?
- What is the average tenure of your support and implementation staff? Provide resumes for a representative team that might work on the installation and implementation of the solution at our facility.
- What tools do you offer to enable our site to be an active member of the user community? (Newsletters, announcements, a customer portal, forum for addressing questions to the entire user base, annual User's Group, etc.)
- How do you/your solution perform in impartial rankings such as KLAS? Provide any relevant independent ECM analyst reports and rankings validating the solution within the ECM market.
- Describe what generally differentiates your solution from your key competitors.
- Is your organization now, or has the vendor ever been the subject of litigation related to the specific products and services being proposed to <Hospital Name>?
- Has your organization been declared in default of any contract?
- Has your organization forfeited any payment of a performance bond issued by a surety company on any contract?
- Has an uncompleted contract been assigned by your organization's surety company on any payment or performance bond issued to the vendor arising from its failure to fully discharge all contractual obligations thereunder.

- Within the past three (3) years has your organization filed for reorganization, protection from creditors, or dissolution under the bankruptcy statutes?
- Is your organization now the subject of any litigation in which an adverse decision might result in a material change in the company's financial position or future viability?
- Provide the names, addresses, and telephone numbers of all legal entities that will be part of the contract.
- Describe your organization's corporate structure and identify key staff.
- Provide a list of business partners or relationships that offer products or services directly related (i.e., mandatory), or complementary to, the service line proposed for <Hospital Name>
- Provide your corporate Web site URL and, if publicly traded, ticker symbol.
- List and describe any past, current or pending lawsuits in which your company or products have been or will be involved.
- Describe your organization's long-term strategic goals (i.e., new products, partnerships, etc.)
- Identify any acquisitions, mergers or divestitures currently underway or planned during the next three years.
- Identify any major changes in corporate structure planned during the next three (3) years.
- Identify any plans to sell the company or product within the next three (3) years.
- Identify any plans to sunset or replace the product within the next three (3) years.
- Describe any major development changes planned for the product, including any plans to combine this product with another product that you own or are planning to develop or acquire.
- Does your organization currently have a contract or business relationship with <Hospital Name> (including individual hospitals, medical centers, and its subsidiaries) to provide products or services? If so, please disclose the nature of the contract(s) including, but not limited to, scope of service and contract term(s). If yes, contracts may be requested at a future date.
- If the answer to question above is "No", please advise if in the last five years, your organization has had a contract or business relationship with <Hospital Name> (including individual hospitals, medical centers, and its subsidiaries) to provide products or services. If so, please disclose the nature of the contract(s) including, but not limited to, scope of service and when the contract(s) expired.
- Has your organization provided services or similar services as outlined in this RFP to <Hospital Name> (including individual hospitals, medical centers, and its subsidiaries) using a different name and/or a different company?

- Responder must provide a list of all entities with which it has relationships that create, or appear to create, a conflict of interest with the work that is contemplated in this RFP. The list should indicate the name of the entity, the relationship, and a discussion of the conflict.
- Has your organization or any third-party vendors that will have access to <Hospital Name> data undergone a security breach in the last 5 years?
- Does your organization undergo an annual independent assessment of its security and control environment?
- Does your organization have a security and privacy official with the authority to manage the security and privacy of <Hospital Name> data?
- Has your organization undergone any EEOC sanctions or class-action lawsuits for discrimination or unfair hiring practices?
- Are your organization's hiring practices in alignment with OIG, reference, educational and criminal background check practices?

Privacy and Security

- The solution supports user-specific printing restrictions. At what levels (e.g., user, account, document type, etc.)? Explain.
- The solution supports patient consent management and allows locking of records at the patient, account and document level. Explain.
- The solution provides an override to be recorded in the audit trail and a notification automatically sent to the Privacy Office via workflow. Explain.
- The solution dates and time stamps all entries, edits, and views so there will be an audit trail giving details of who entered, changed, or viewed what data and when. Explain.
- The system should restrict access based on various parameters and flag and report suspected inappropriate accesses (Breach Detection). Explain.
- The solution will display a confidentiality statement to the user as per hospital standard policy at initial login.
- Documents can be secured or locked down to a single user if necessary.
- The solution has pre-defined data elements, such as document types and security profiles, to optimize implementation timeframes.
- The solution supports a multiple-facility configuration where each location can be customized or configured separately. Explain.

Clinical System Integration

- Describe your solution for scheduling patients and how it integrates with clinical systems.
- Describe your registration solution and how it integrates with clinical systems.

- For registration, will your system read and store insurance and picture ID cards? Front and reverse side?
- Does your solution have the ability to provide electronic signatures?
- Does the proposed solution interface with clinical systems' MPI modules for the receipt of all or selected index patient data?
- Do clinical system's MPI updates come through the interface to automatically update the document index?
- Is your solution integrated with clinical system enterprise solutions? If yes, explain how the integration works.
- Describe your future integration plans with other clinical systems and any current development that is underway.
- Is your integration with other clinical systems seamless enough that the end user does not realize they have left the clinical system application? Explain.
- Will there be a need for our organization to use any part of our clinical system document imaging solution if your DMS is implemented? Explain.

Clinical Care and HIM

- Explain how the solution integrates to other clinical system EMRs.
- Does the system functionality allow for decentralized scanning workflow with a centralized indexing area? Explain.
- Describe the training that is recommended for end users who are doing scanning, indexing, and QA.
- Describe whether your system allows customization via an Administrator's GUI to set level of QA by percentage of documents and assignee.
- Does your system have the capability to allow users to have multiple locations to which they can scan and index items (i.e., import location)?
- Does the solution provide the ability for time-sensitive documents to be quickly scanned on the floor?
- Does the system integrate with your clinical system?
- Does your system provide real-time interaction and updates to documents? For example, documents submitted to the system should be available for display and / or edit with negligible delay. If so, describe capabilities and limitations.

- Does your system integrate with devices for image capture (e.g., GE MUSE, Holter Monitor, Fetal Monitor, etc.)? Provide a list of compatible devices.
- How does your solution allow for the capture of inbound faxes?
- Does your system support importing externally generated files?
- How do you address production error corrections? Do you keep versions? Describe how authorized users remove scanned documents from the wrong chart or patient and file to the correct chart or patient when necessary.
- Does your system have a third-party viewer available to launch images within clinical systems?
- Does the proposed solution allow the user to access the contents of a related "folder" without issuing a separate request to the proposed solution? An example is the ability to pass the patient's medical record number from the clinical system to the document management system for the automatic retrieval of the list of documents contained in the "folder."

HIM Workflows

- Describe your medical records / HIM solution and how it integrates with clinical systems.
- Does the system provide the ability to assign deficiencies on scanned images to be completed within clinical systems?
- Does the system enable physicians to complete their deficiencies on scanned images from within the clinical system interface? Describe the process.
- Does your system provide for the creation of filters to check for deficient charts?
- Describe the Release of Information strategy for your solution used in conjunction with a clinical system.
- Is your solution seamlessly integrated with the coding workflow or do the coders toggle between the DMS and the coding system? Explain.

Healthcare Content Sharing

- Describe how a user would initiate a request to receive documents for a patient at another organization.
- Solution provides end-to-end encryption and identity validation to ensure safety of patient information and records.
- Solution provides the ability to be launched from Patient Context within your EMR.
- Describe how the solution controls the release and archive of documents.

- Describe how the solution allows disparate organizations to easily map their unique document types to facilitate transfer.
- Does your Solution provide full logging on both sending and receiving systems to maintain an audit trail of what was transferred and by whom?
- Solution provides the ability to send and receive both non-DICOM documents and DICOM images.
- Describe how your system/solution is deployed (coax, Ethernet, wireless, etc...)

Healthcare Mobile Solution

- How can your mobile solution simplify the registration process?
- Does your mobile solution support the capture of informed consent documents electronically?
- Describe how your mobile solution can view/capture content.
- Can your mobile solution integrate with clinical systems mobile applications?

Functional Requirements

Access

Client User Interface

- 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.
- 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.).
- 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.
- Client provides ability to display the document being indexed in a preview pane during the indexing process.
- Client provides the ability to auto-import camera images and media files directly from a connected device.
- Client enables users to play, stop, and pause multimedia files (audio / video) with the native viewer.
- Client enables users to filter and sort document lists by column headings or pre-defined search filters to narrow result sets.
- Client enables users to view Microsoft Office and Google word processing documents without a local install of the Office application.

- Client enables users to export data, documents, and/or links to documents out of the system via e-mail, to a file share, or a spreadsheet.
- Client enables users to organize documents in nested, parent-child folders with color-coded tabs that create and populate themselves as documents enter the system or are processed via workflow.

Web Client Interface

- 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, etc.).
- 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 and Safari browsers on the Mac platform.

Search Experience

- Solution enables users as well as administrators to create their own personalized saved searches.
- 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.
- Solution provides advanced full-text search capabilities that include fuzzy, inflectional, customizable thesaurus, proximity, wild card, Boolean, and SOUNDEX.
- Solution provides ability to utilize full-text searching alongside index value (e.g., date, keyword, etc.) search. Provide a screen shot using this capability from a single interface.
- Solution allows users to search for multiple document types (e.g., text, COLDF, image, PDF, Word, Office, DWG, etc.) in one search and provide hit-highlights directly on documents and easy page-to-page navigation between hits.

Retrieval

- 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

- 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 of this embedded workflow functionality in your viewer.

Offline Client Experience

- Solution provides capabilities for an offline / mobile worker (e.g., access documentation, complete forms, capture signatures, etc.) while disconnected and then synchronize work back into the system.

Mobile Devices

- Solution provides ability to leverage mobile devices. Please explain.

Client Deployment

- System offers a ClickOnce or MSI-deployable solution for the client interface, minimizing administration overhead and supporting IT policies.

Capture

- Describe the breadth of your solution's native, individual capture solutions.
- Describe your ability to scan documents and information (central and remote).
- Describe your ability to QA documents once electronically captured (centrally and remotely).
- Describe your ability to import documents and information (central or remote).
- Describe your ability to automatically classify documents.
- Describe your ability to extract information and index documents (centrally and remotely).
- Describe your ability to define and apply business rules to validate extracted data.
- Describe the user experience during verification.
- Describe your ability to deliver images and data to a destination of choice.
- Describe the system's ability to capture and index documents from remote users through either a web-based connection or disconnected method.
- 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.
- Solution's capture process allows for page separation and retrieval. This should include the separation of image and PDF file types.

Electronic

- Describe your solution's capabilities related to electronic capture.
- Describe your solution's ability to full-page OCR.
- 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.

Third-Party Application Integration

- Describe the ability to import content into your repository from directly within a third-party application.

Workflow

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

COLD

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

- 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.

Fax / MFP Integration

- Solution provides ability to integrate with other devices (e.g., fax, MFP, etc.) as a means of ingesting documents into the system.

Indexing

- Describe the indexing capabilities available within your solution.
- 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.
- Describe your solution's ability to automatically search for sensitive data and intelligently generate redacted zones.

Recognition Technologies

- 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

- 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.
- 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

- Describe the native ability to associate an electronic signature with an event managed by your solution.
- Solution provides one central GUI for administration and deployment of capture products.

Configuration

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

Scalability

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

Manage

User Environment

- 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 Automation

- 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.
- 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.
- Is there a graphical flow design tool to model processes?
- 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
- Immediately upon import, based on the document type, the solution automatically identifies with which workflow processes to associate a given document.
- 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 (e.g., confirm a delivery date from a website such as ups.com).
- 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., users could create a folder for purchase orders, one for invoices, another for resumes, etc.).
- List the versions of Microsoft Outlook that you support.
- 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.

Work Distribution

- 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

- 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

- Describe the system's ability to dynamically query, directly within the workflow interface, related documents associated to the transaction to provide better decision making.
- Describe your workflow solution's ability to provide out-of-the-box visual indications of missing documents required of a work packet.
- 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.
- 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.
- 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.
- 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.
- 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

- 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 e-mail; advanced tasks such as calling out to external systems; advanced routing; document composition; or the creation of an e-form).

Integration

- 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 using this functionality within one or more of these viewers:
 - BlackBerry
 - iPad
 - iPhone
 - Windows Phone
 - Android
 - Standard Client
 - Outlook
 - URL String
 - Web Client
 - Line-of-Business Application
 - SharePoint

Process Modeling and Analysis

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

- Solution supports, out-of-the-box, the graphical design of workflows with a Business Process Model and Notation (BPMN)-compliant designer.
- Solution's Business Process Model and Notation (BPMN)-compliant designer is able to produce BPEL standard language.

Business Activity Monitoring

- 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.

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

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

- Workflow solution will include, at no additional cost, your native electronic forms application.
- Solution supports the use of electronic forms natively without requiring the purchase of any proprietary forms software.
- 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 or connecting related documents
 - Notes / annotations
 - Workflow (form auto-triggers a workflow process)
 - E-mail (form viewed as attachment)

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

- Solution facilitates case management.
- Solution provides structured and unstructured information in a single view.

Integrate

Non-Programmatic Integration

- 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.
- Solution provides the ability to execute separate and distinct document retrievals from sections/fields on the screen.
- 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:
 - 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 from a Microsoft Word template, using data on the business application screen
- Solution provides http URL requests to retrieve documents, present workflow interfaces, and present a folder interface in lieu of custom programming.

Programmatic Integration

- System offers well documented, robust API. Describe in detail.
- Explain your existing API training program available to help organizations extend their ECM investment.

Synchronization

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

- Solution guarantees the delivery of data exchanged between systems in the event of an outage.
- System offers the ability to trigger events when information changes in the business system or the ECM system.

Store

Records Management

- Records management functionality provided by the solution is native without requiring integration with a third-party or external RIM tool.
- Solution provides the ability for documents to be automatically declared as records without any user interaction.
- Solution allows for multiple documents to be grouped together and treated by the system as a single record, with a single retention plan.
- 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

- 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

- 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

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

Workflow

- 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

- 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

- Solution provides a holistic view of both digitally-stored content and physically-stored content in a single search results list.

Administrative

- Solution 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

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

Encryption

- Solution provides the ability to partially or fully encrypt data and documents using AES 256-bit encryption.

Measure

Auditing

- Solution provides the ability to access a document-level audit trail directly from the document.
- Describe what is natively tracked in your out-of-the-box audit trail.
- 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).
- Solution allows an administrator to create custom audit log entries tied to workflow progress for the purpose of generating business process reports.

Reporting

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

Exception Reporting

- 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).
- 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

- Describe your integration with Datawatch Monarch reporting, if any.

Visibility

- Solution provides real time visibility without involving internal technical resources.
- Solution provides the ability to create visual, interactive dashboards for monitoring system and process health in real-time.
- Solution provides the ability to access dashboards from anywhere.

TECHNICAL REQUIREMENTS

System Architecture

Index Value Configuration

- System supports an unlimited number of index values per document.
- Provide an overview of the different metadata types you support (e.g., date, date and time, currency, specific currency, alphanumeric, numeric, floating point, etc.).
- 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 Grouping

- 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

- Provide a detailed explanation of how your system can re-index documents.
- 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

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

Classification

- Describe how the system classifies/categorizes content. Is categorization of content configurable?
- Solution supports an unlimited number of document types within the system.
- System supports the organization of documents into folder-type structures. Explain how this is accomplished.

Document Linking

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

Database

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

Scalability

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

Storage Options

- Solution allows the archiving of documents to various media, including the below. Explain.
 - 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

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

Export

- Describe the solutions exporting capabilities.

Offline

- 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

- 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

- 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

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

Encryption

- 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

- System provides an interface for the point-and-click configuration and administration of all major system components (e.g., import processing, document type configuration, index value configuration, workflow, creation of rapid no-code/low-code applications, user groups and rights, storage structure, scanning, records management, foldering, scripting, etc.).

Configurability Options

- 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.

Import Processing

- 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

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

- 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

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

Virtualization

- Describe your solution's support for virtualization.

Physical Environment

- Describe physical server/storage requirements, given desire to host product onsite.

Security Administration

Security

- 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

- 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

- Ability to encrypt data at the database level, the file storage level and content that has been backed up/at rest.
- 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.
- Describe your solution's ability to send documents as encrypted PDFs.

PCI Compliance

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

Workflow Administration

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

Web Administration

- 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

- 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.

Deployment

- Describe solution's options for installation and configuration of updates.

Test Environments

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

Expansion

- 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

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

Users

- 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

- System supports creation of index value fields per document type within one storage structure. These fields should be of various formats, including date, currency, alphanumeric, and numeric.
- System supports the ability to store multiple values for the same index value instance (e.g., customer name = John Adams and Sara Adams). The population of an additional value(s) should be accomplished with a single mouse click or keyboard shortcut.

Image Storage

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

Batch Processing

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

Code Base

- 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

- What is the maximum number of documents the system can hold?

Document Caching (Distributed and Global Deployments)

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

Implementation and Support

- Describe your implementation processes and procedures.
- Describe the roles and responsibilities the vendor will have during an implementation.
- Describe the roles and responsibilities the customer will have during an implementation.
- Provide a sample of the structured project implementation plan utilized.
- Describe the number of customer resources necessary for ongoing maintenance of the system.
- Describe the number of environments (test, production) supported in an implementation of your system and the cost of each.
- Describe process/timeline for migrating data from existing legacy archive into product.
- Describe your technical support organization and structure.
- What hours is your Technical Support department available?
- Describe how support issues are logged.
- Do you provide a way to check the status of an issue online?
- Describe the designated support representative that will be assigned.
- Detail your problem escalation procedure.
- When was the first version of your solution released?
- Describe how consistently new versions of the software are released.

- Describe how software changes or enhancements are incorporated into a release.
- Explain how long a release is maintained.
- Detail the software license costs or upgrade costs typically incurred with an upgrade to a new release.

Training

- Describe the training that is available to the customer's personnel and if it is available onsite.
- Do you provide a train-the-trainer technique within your training offerings?
- Do you provide web-enabled training courses and tutorials?
- Do you have a website dedicated to training?
- 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?
- Describe subscription-based training services available, providing our organization with on-demand, online training for one price.