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To: Maggie Griscavage, Candace Murdoch, Karol Weatherby, Sherry Lynch, Tanya Hollis, Judy Brainerd

CC: Steve Smith, Randy Weaver, Mike Bates, Raye Ann Robinson

From: Russ O'Hare

Date: December 6, 2004

Re: Grants and Contracts Functional Area Working Group Input for Developing a Digital Document Infrastructure Statement of Work for an RFP - Suspense January 25, 2005

The two main missions for the Grants and Contracts Functional Area Digital Document Imagery and Records Retention Working Group are to develop and propose the requirements necessary for a digital imagery infrastructure and to update the interim records retention schedule. A draft statement of work for a request for proposal (RFP) to procure the technology to build a digital document infrastructure is provided. The working group will use the draft statement of work as the base document for developing their RFP input. Grants and Contracts digital document infrastructure input will be provided to the project manager by January 25, 2005. The interim records retention schedule was sent separately.

The following items are incomplete in the draft statement work as provided; thus, will need to be resolved before a consolidated RFP is issued.

1. Determine the number of document imaging repositories
2. Determine the number of seats or licenses for each implementation phase
3. Determine whether or not to purchase hardware as part of the software package or separately

Grants and Contracts recommendations on these unresolved issues can be submitted when working group members provide their RFP input.

	Requirement	Response (Y,N,U,A,F, or M)	Comments (Response required for all entries except "N")
1.	**General System Requirements**		
1.1. M	System Architecture		
1.2. M	Required supporting software or operating system features		
1.3. M	System is compatible with the existing University network and operating systems. Please describe the recommended operating system.		
1.4. M	System uses a database compatible with University infrastructure. Oracle is preferred. Specify product recommended and versions		
1.5. M	Specify storage required, divided by software, database, and document storage.		
1.6. M	Can the system grow from _____ users to _____ users? How?		
1.7. M	Can the system grow from 100,000 documents to millions? How?		
1.8. M	Describe desktop environments supported.		
1.9. M	System supports MS Windows, Apple Macintosh, and Citrix clients.		
1.10. M	Standard TIFF Version 6, multi-page image format with CCITT G4 Facsimile compression must be used. Vendor will discuss variances from this standard. TIFF must be viewable in standard windows and web TIFF viewers.		

	Requirement	Response (Y,N,U,A,F, or M)	Comments (Response required for all entries except "N")
1.11. M	Scanned document image storage, retrieval and backup must be tightly controlled by the Proposed System. Describe how your solution manages images, the ability of the image files to be manipulated with standard operating system tools and the backup method controlled by the system.		
1.12. M	System integrates with Sun Directory Services or LDAP to provide single logon.		
1.13. M	System integrates with SCT Banner screens.		
1.14. M	System is easy to configure and administer.		
1.15. M	System provides support for image to film.		
1.16. M	List any other products required for desired functionality.		

	Requirement	Response (Y,N,U,A,F, or M)	Comments (Response required for all entries except "N")
2.	**Imaging**		
2.1.	General Features		
2.1.1. M	Has hierarchical storage support.		
2.1.2. M	Media can hold 2 years of documents online.		
2.1.3. M	Supports the generation of archival film		
2.1.4. M	The system must support centralized and distributed scanning also centralized and distributed indexing in any combination.		
2.2.	Document Capture - Centralized		
2.2.1. M	Solution permits scanning of documents sized up to 8 ½ x 14 inch.		
2.2.2. M	Solution permits scanning of double-sided documents.		
2.2.3. M	Solution permits scanning of photographs.		
2.2.4. M	Solution validates index information against Banner data.		
2.2.5. M	Solution permits scanning of E size drawings		
2.2.6. M	Capture application must allow the user to perform image QC with visual verification of each page of each document image		
2.2.7. M	Scanning controls must be accessible to users through the capture application software for any		

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	manual adjustments that may be necessary, such as deskew, despeckle, removal of borders, contrast, brightness, etc.		
2.2.8. M	Capture application must provide ability to delete, re-scan and replace poor quality images and missing pages		
2.2.9. M	Capture must provide ability to sight verify index values and be able to easily make changes if necessary		
2.2.10. M	Capture must support a variety of document scanners including flatbed, automatic feed, high-speed duplex scanners, and large format scanners from multiple manufacturers.		
2.2.11. M	Capture supports document and batch separator pages, bar code recognition.		
2.2.12. M	Capture supports forms recognition and OCR?		
2.3.	Document Capture - Distributed		
2.3.1. M	Solution permits scanning of documents sized up to 8 ½ x 14 inch.		
2.3.2. M	Solution permits scanning of double-sided documents.		
2.3.3. M	Solution permits scanning of photographs.		
2.3.4. M	Solution validates index information against Banner data.		

	Requirement	Response (Y,N,U,A,F, or M)	Comments (Response required for all entries except "N")
2.3.5. M	Solution permits scanning of E size drawings		
2.3.6. M	Capture application must allow the user to perform image QC with visual verification of each page of each document image		
2.3.7. M	Capture application must provide ability to delete, re-scan and replace poor quality images and missing pages		
2.3.8. M	System must provide ability to sight verify index values and be able to easily make changes if necessary		
2.3.9. M	System must support a variety of document scanners including flatbed, automatic feed, high-speed duplex scanners, and large format scanners from multiple manufacturers.		
2.4.	Facsimile		
2.4.1. O	Permits capture of Facsimiles		
2.4.2. O	Permits entry of facsimiles into capture recognition and indexing stream.		
2.5.	**Image Viewers**		
2.5.1.	List desktop environments Viewer is provided for. (MS Windows, Macintosh, Linux, Web, Citrix)		
2.5.2. M	Viewer accepts TIFF images of any size.		

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2.5.3. M	Viewer permits image size and rotation adjustments.		
2.5.4. M	Viewer permits image annotation		
2.5.5. M	Viewer supports independent annotations, with individual security.		
2.5.6.	Describe any features not available in all viewer environments		
2.5.7. M	Viewer accepts Desktop application files. Please list applications supported.		

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3.	**Electronic Document Management**		
3.1. O	Integrates with current releases of Microsoft and Netscape web browsers.		
3.2. M	Permits definition of document classes with different sets of indices.		
3.3. M	List desktop applications that are supported.		
3.4. M	List desktop applications that are integrated.		
3.5. O	Supports versioning of documents.		
3.6. O	Supports automatic archive and/ or destruction of older versions		
3.7. O	Provides document level security.		
3.8. M	Provides folders.		
3.9.	Search capabilities (applies to both Desktop application files and Images)		
3.9.1. M	By any index or Boolean combination of indices.		
3.9.2. M	Allows wildcards in searches		
3.9.3. O	Supports text search		
3.9.4. O	Supports text search of images.		
3.9.5. O	Supports mixed search (indices and content)		
3.9.6. M	Supports saving queries and reusing them.		

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4.	**Records Management**		
4.1. M	The system should support records management functions (e.g.: prohibit editing on defined documents). Describe.		
4.2. M	Describe what algorithms are available in your product to intelligently identify and enforce our record retention policies.		
4.3. M	Does your record management solution require the managed records be moved into your repository?		
4.4. M	Describe the tools provided for maintaining retention schedules, applying and removing holds, producing destruction lists and initiating a destruction cycle.		
4.5. M	Can your record management solution manage records kept in other systems?		
4.6. M	What reports are provided to the records management staff?		
4.7. O	Explain how your product supports the retention and lifecycle management of email as a business record.		
4.8. O	What tools do you have to separate email spam from true business records. Please relate to above.		
4.9. M	How does your company keep pace with upcoming regulatory changes?		

	Requirement	Response (Y,N,U,A,F, or M)	Comments (Response required for all entries except "N")
4.10. O	Does your product support the management of paper documents as well as electronic?		

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5.	**Workflow**		
5.1.	*If New Product is being recommended*		
5.1.1. O	Is a separate workflow product provided? Is it needed? Can it be used for more than information capture?		
5.1.2. M	Does the workflow use the same security system as the document and image system?		
5.1.3. M	Does the workflow support assignments to a group?		
5.1.4. M	Does the workflow support parallel processing tracks (split and join)?		
5.1.5. M	Does it support flexible voting (one to all)?		
5.1.6. M	Does the workflow support reassignment of tasks by authorized individuals?		
5.1.7. M	Does the workflow support deadlines?		
5.1.8. M	Is the workflow linked to the document/image system?		
5.1.9. O	Does the workflow system support email notifications?		
5.1.10. M	What reports does the workflow system supply? Are custom reports possible?		
5.1.11. M	How is the workflow system administered?		
5.1.12. M	Describe the process of creating a workflow.		
5.2.	*If SCT Banner workflow being proposed*		

	Requirement	Response (Y,N,U,A,F, or M)	Comments (Response required for all entries except "N")
5.2.1. M	How do you propose integrating your document repository with the Banner workflow product?		
5.2.2. M	What limitations would a workflow user have in terms of adding, viewing, annotating or removing repository documents to/from a workflow instance?		

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6.	**Collaboration**		
6.1. O	UA would utilize collaboration functionality, such as whiteboarding, message boards, and document sharing, potentially throughout the enterprise. While this is envisioned as technology useful for collaboration with outside groups, it is viewed as key for easing the challenges of a geographically distributed organization. Describe the range of options available.		

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7.	**Integration**		
7.1. M	What Application Programming Interfaces do you supply? Are they open API?		
7.2. M	What fees might be involved in obtaining development kits, use licenses, appropriate training?		
7.3. M	What training is available for custom development?		

	Requirement	Response (Y,N,U,A,F, or M)	Comments (Response required for all entries except "N")
8.	**System Management**		
8.1.	Administration & Maintenance		
8.1.1. O	System Administration may be performed from Administrator's desktop MS Windows, Apple Macintosh, Linux?		
8.1.2. M	System provides the ability to monitor performance. Please describe.		
8.1.3. M	System performance may be adjusted. Please describe.		
8.1.4. O	Configuration changes are permitted while system is active		
8.1.5. M	Describe System Backup and Restore Processes		
8.1.6. M	Describe how software patches and new releases are applied. Does the system need to be shutdown?		
8.2.	Application Creation		
8.2.1. M	Describe how a new library is implemented.		
8.2.2. M	Describe how new document classes are implemented.		
8.2.3. M	Describe how document classes may be modified?		
8.3.	Reporting		

	Requirement	Response (Y,N,U,A,F, or M)	Comments (Response required for all entries except "N")
8.3.1. M	Reports are provided with the system. Please describe.		
8.3.2. M	System has custom reporting features. Please describe.		

	Requirement	Response (Y,N,U,A,F, or M)	Comments (Response required for all entries except "N")
9.	**Security**		
9.1. M	Product integrates with LDAP		
9.2. M	Product provides access security. Describe in detail.		
9.3. M	Does the product provide user and group security?		
9.4. M	Can functions be restricted by user and group?		
9.5. M	Is there one security system for all parts of the solution?		
9.6. O	Can security be applied to individual documents?		
9.7. O	Can security be applied to individual folders?		
9.8. O	Can security be applied to a folder hierarchy?		
9.9. M	Can a user or group be excluded from seeing a document or folder?		
10.	**Compliance**		
10.1. M	Solution complies with FERPA.		
10.2. M	Solution complies with HIPAA?		