STATEMENT OF COMPLIANCE TO THE TECHNICAL SPECIFICATION/FUNCTIONAL REQUIREMENTS

DIGITAL ARCHIVING SYSTEM

TECHNICAL / FUNCTIONAL REQUIREMENTS		STATEMENT OF COMPLIANCE (Comply/Not Comply)
NO.	**DESCRIPTION**	
SCANNING		
1	The solution must provide an integrated image capture feature.	
2	The scanning solution must support all three major scanning standards: Kofax, ISIS, and TWAIN. This is necessary to provide maximum flexibility in scanner selection.	
3	The solution must store scanned image files in standard non-proprietary formats such as TIFF, JPEG, and PDF.	
4	The solution must support both individual or ad hoc document scanning and larger volume batch scanning.	
5	The scanner operators should not need to manually set thresholds, adjust image brightness, or other image capture settings each time they scan documents. The scanning stations must be set up so that users can select from pre-defined settings that are optimized for the different physical types of documents such as carbon copies, faxes, photo copies, and colored paper forms.	
6	The application must provide a tool for setting up several scan stations with the same scanner settings, without having to manually setup the scanner settings on each scan station. The scanner settings must be copied from one scan station to another, easing scan station administration.	
7	The scanner operators must be able to switch scanner settings mid-batch to include both color and bi-tonal images in the same batch.	
8	The application must provide the ability for users to perform duplex document scanning on cost effective simplex scanners. The application should automatically match fronts and backs of pages, so users do not need to reorder pages manually.	
9	The solution must provide a simple way to scan additional pages to a document that is already in the system. The application should provide options for adding new pages at the beginning, end, or identified position in a document.	
10	The solution must provide a method for matching and consolidating newly scanned pages into an existing document. This process should be automatic and available for both manual index entry as well as bar code scanning. This feature will save the scanner operator from having to find matching documents and consolidate them.	

11	The solution must support blank page deletion as a means of document separation. It must also provide a threshold setting for blank page identification so that non-blank pages are not mistakenly deleted.	
12	The solution must provide a means to use existing business information for indexing documents, by allowing the indexer to import data dynamically from other business applications, without needing to re-enter the data. This ensures that accurate information, already available in the business application, is used for indexing documents. This feature should not require additional customization or coding.	
13	The solution must provide a batch indexing screen showing both the index fields and the document page images for the document being indexed. Users need to be able to view the document they are indexing, and should be able to easily zoom in on images or pan images as needed.	
14	The batch indexing window must provide a means to lock-in values as a document is indexed so they don't need to be re-entered on subsequent documents in the batch.	
15	Some documents will require more instances of a single index value than others. For example, one document may need eight account numbers, while others may need only one. The batch indexing window must provide a means for users to add additional values of a particular index type, as needed, without having to configure a set number of instances of an index type for that type of document. Users should not need to replicate documents, just to add additional index values.	
16	The batch indexing solution must provide a means to zoom into a specific area on each page in the batch so that users don't need to re-zoom on each page of the batch. This is necessary to save time, when indexing a batch of similar documents.	
17	It is convenient to have a single interface for viewing all documents and batches in progress, but departmental security must be applied. The solution must provide different logical scanning group security by department so that users only see their own documents or batches.	
18	The solution must support a double-blind indexing option, performing two distinct manual index steps to prevent data entry errors. The application should also determine discrepancies during the 2nd index step and provide an interface for the 2nd indexer to select the correct index value.	

19	The solution must offer an optional means to perform Quality Assurance (QA) on document images and indexes. The solution should provide for options to QA both image quality and/or index accuracy. It should also provide for a simple re-scan process for images that need to be re-scanned, and automatically replace the poor images with the newly scanned images.	
OPTICAL CHARACTER RECOGNITION		
1	The solution must provide full-page OCR capability. It's important that documents can be re-OCRed after pages have been added to an existing document that was previously OCRed. This document OCR must be used for content searching purposes.	
2	The scanning solution must provide the capability to OCR batches of documents, as well as the ability to OCR single documents on an ad hoc basis.	
WEB TECHNOLOGIES		
1	The solution must provide user access via Web browser-based clients.	
2	The solution must support Windows Internet Explorer / Mozilla Firefox and Safari browsers.	
3	The solution must support direct, one-step TWAIN scanning via a browser-based client into the system repository.	
4	The workflow module must be available and must be supported through the browser-based client.	
5	The Web client must provide advanced printing capabilities that include pre-configured print formats, print range selection, printing of electronic annotations and notes, revision selection, image scaling, etc.	
6	The Web client must provide advanced viewing capabilities including rubber-band zooming, auto-scrolling, and page thumbnails.	
7	The Web client must provide the ability to select multiple documents to be printed as part of a single print request.	
8	The Web client must provide the ability to retain a session history of user ad hoc searches that can be re-executed, without requiring the search terms to be re-entered.	
9	The Web client must provide the ability to select and send individual and sets of documents via external e-mail clients.	
10	The Web client must provide the ability to create, view, and save redactions, notes, annotations, and markups on documents.	

11	The Web client must provide the abilities to rotate, flip, and invert document images while viewing the document with the ability to save these changes.	
12	The Web client must provide a user administration interface with options to create new users, assign user to groups, configure user options, and reset user passwords.	
13	The solution must provide the ability to make specific content available to browser users via external Web sites and applications (Secure URL access).	
14	The solution must provide the ability to generate secure URLs to specific documents or results sets that can be e-mailed.	
15	The solution must provide the capability for non-system users to automatically submit electronic forms hosted on external Web sites into the repository.	
DOCUMENT CAPTURE		
1	Any file, regardless of type, must be imported within one capture process.	
2	The document import process must automatically index documents based on information contained within the file names and directory. The processor must also be able to parse the file names and folder names to identify multiple different types of document metadata.	
3	The document import process must automatically index documents based on an accompanying text file that contains delimited or tagged index information about the documents.	
4	The document import process must automatically fill several metadata 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.	
5	The document import process must have the ability to identify when a duplicate document is being processed and provide options to either: • Not import the document; • Bring it in as a revision; or • Append the processed document to an existing matching document;	
6	The import process must identify and process a document with the same index values as an existing document by appending it to the existing document.	
7	The import process must identify and process a document as a new revision of an existing document.	

8	The solution must provide a scheduler tool that enables the import process to run unattended and on a defined schedule.	
9	The scheduling of multiple import processes must be managed together as a single job, to provide flexibility in system and resource scheduling.	
10	The document import process must be able to poll the presence of another file before running an import process. This is important when importing documents being created dynamically from other business processes or systems, so that batches are complete before the import process is started.	
11	An import process must be configured to run simultaneously from multiple workstations in order to process larger numbers of documents in a shorter period of time, providing flexibility in system and resource scheduling.	
12	The import process must generate a report each time a process is run stating whether the process was successful and specify which errors, if any, occurred.	
TEXT SEARCHING		
1	A group of text documents must be searched and retrieved based on a text string found within the text documents.	
2	A search must be performed from within a text document for a specific value.	
3	The system must be able to search for a positive number, negative number, or number range (1-10) either on a specific text document or group of text documents.	
4	Text documents must be searched for a value in a currency format.	
5	Searches on text documents must use wildcards either for a limited number of characters or for an unlimited number of characters.	
6	Searches on text documents must be optionally case sensitive.	
7	Search results on a text document must be saved as a report including a set number of lines above and below the search term that is defined when the search is performed.	
8	Text searches on a group of documents must be automatically saved for a user for reference during another session.	

9	A search performed on a text document must be limited to specific character-counted columns within the document to more closely control the search criteria and speed up the actual search.	
METADATA TECHNOLOGIES		
1	The solution must support an unlimited number of metadata types and metadata values per document.	
2	The solution must support a variety of specific metadata types to be created in the database to minimize the memory footprint. Metadata types should include all of the following: currency, date, date and time, specific currency, alphanumeric, numeric, and floating point.	
3	The solution must allow variable character lengths to be created in the database to help minimize the memory footprint of metadata.	
4	The solution must provide point-and-click configuration for metadata, with multiple pre-configured formats (i.e. date: dd/mm/yyyy, month/dd/yy, mm-dd-yy).	
5	The solution must provide point-and-click configuration for currency type metadata, as well as preconfigured currency formats.	
6	The solution must provide point-and-click configuration to restrict end-user metadata entry (masking) to specific data types (i.e. numbers only, letters only, or the utilization of static characters).	
7	The solution must provide easy identification of relationships between metadata values when multiple groups of the same types of values exist on a single document (For example: you have two accounts and two names, this allows for a link to each account to the appropriate name).	
8	The solution must provide the ability to extract metadata information from import processors so that the data can be used by other systems in the company (metadata re-use).	
9	The solution must provide the ability to automatically validate metadata values, including all of the following: floating point, numeric, alphanumeric, or restricted length.	
10	The solution must provide the ability to apply multiple instances of the same metadata field to a document, when necessary. In one instance two last names could be applied, another four last names, and yet another ten last names.	

11	The solution must be capable of using the file name as metadata for document indexing, as a configured option (not having to type the document name each and every time).	
12	The solution must provide configuration options for both required fields and full field entry at the document type/class level for metadata, in accordance with established field sizes or pre-defined masking.	
13	The solution must provide the ability to store metadata 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, allowing users to enter a single metadata value and have all related metadata values auto-populate.	
14	The solution must be capable of using metadata values for indexing to be selected from a drop-down menu (limiting indexing choices and speeding the index process)?	
15	The solution must be capable of hiding metadata values (for security purposes, i.e. SSN#) on a document when the document is retrieved.	
16	The solution must be capable of viewing document metadata at document level.	
17	The solution must be capable of selecting metadata values to be auto-displayed on a document when a document is retrieved.	
18	The solution must be capable of providing System Administrators to easily see "at a glance" where a given metadata field type is being used.	
19	The solution must provide an automatic and configurable naming structure for documents, including index metadata values, so that users viewing document lists can easily select the document that they need.	
20	When retrieving a document, the solution must allow metadata values to be selected from a drop-down menu (limiting retrieval choices and speeding the retrieval process).	
21	The solution must provide metadata values to be updated or replaced on multiple documents at once, without custom programming or scripting.	
22	The solution must provide metadata values to be validated against external data sources (ensuring integrity).	

23	The solution must provide metadata to be used to index electronic folders.	
24	The solution must provide metadata values to be used to limit electronic folder access.	
25	The solution must provide metadata value updates on documents and electronic folders to be scheduled.	
26	The solution must provide metadata sets to be updated from an external file.	
27	The solution must provide metadata set's primary value to be searched against so that they may be updated, modified, or changed.	
28	The solution must provide a summary report of metadata values to be automatically generated directly from the application with no custom programming.	
DOCUMENT MANAGEMENT		
-Document Import and Retrieval-		
1	The system should be capable of handling different kinds of methods to import content into the system (ad-hoc, scanning, automated processes, etc).	
2	Search queries must be saved and re-used at a later time.	
3	The solution must have an easy to use method of identifying documents at retrieval (such as configurable icons or display of meta-data such as keyword information) so that the user has a good idea about which document they are looking for without having to open each item in the search result list.	
4	More than one document should be opened and viewed from a search result list at the same time.	
5	The solution must provide the ability to link one document to another, related document. The document linking should be performed between documents of different file types.	
-Annotations-		
1	The solution must allow the addition of customized notes and annotations (highlights, markups, etc).	
2	The solution must allow easy configuration of notes and annotations.	
3	The solution must allow the placement of confidential notes onto documents.	

4	The solution must allow the user who placed a confidential note on a document to keep the note information hidden from other regular users who may have access to that note type but should not have access to the note information just placed.	
5	Varying levels of security for notes should be available.	
6	Default text must be configured within notes to appear when the user applies a note to a document.	
7	The solution must have an easy way to redact information on images. Redaction process must also allow users to remove some or all of the keyword values associated with the document before redaction was applied.	
8	The solution must allow the use of overlays on text documents. The system must be capable to be configured to use a different overlay if the document is viewed, faxed, or printed.	
-Document Grouping-		
1	The solution must allow users to collect documents together into an electronic envelope that can be e-mailed or shared with other users.	
2	The user should be able to specify what kind of access the receiver can have on the envelope.	
3	Sharing of envelopes can be disabled by the system administrator.	
4	A user receiving the envelope of documents can still be restrained to viewing only those document types for which the user has permissions to view while they are within the system.	
5	The solution must allow the use of Folders as well as other ways of organizing data.	
6	The data brought into the system must dynamically create folders and folder hierarchies.	
7	A single image must be stored in multiple folders to limit redundancy.	
-File Formats-		
1	The solution must natively support the storage and display of all the common file formats listed: AFP, AVI, BMP, CAD, DJDE, GIF, HTML, Image, JPG, Lotus Notes, Microsoft© Office (Word, Excel, PowerPoint), PCL, PDF, Quick Time, RTF, Text, WAV, and XML.	
2	The solution must be able to store any file format.	
3	The solution must allow ingestion of XML documents.	

4	The solution must allow the support of uncommon file formats or file formats that have not yet been identified.	
-Print Functionality-		
1	Different printing functionality should be available in the system.	
2	A user should be able to choose to print a document with or without annotations.	
3	The system should be capable of restricting the printing of certain documents.	
4	Different printing devices should be supported.	
5	The solution must allow the system administrator to define a different print format for every document type if needed.	
ELECTRONIC DOCUMENT MANAGEMENT		
1	The solution must control and track the modification of documents through multiple revisions, allowing users to view prior revisions and track document history.	
2	The system must designate between published content that can be viewed by an audience (major version) and draft content that is not yet ready for publication (minor version).	
3	The solution must allow a specific revision of a document to be stamped as a version, limiting which revisions of a document certain users can see.	
4	The solution must be configured to prompt the user to save a document as a revision of an existing document, or as a new document.	
5	The solution must be configured to assume all changes to a document create a new revision, without prompting the user.	
6	The solution must display the number of revisions for each document in the search results list.	
7	The system must restrict a user's access to view document versions and revisions, limiting which revisions of a document certain users can see.	
8	The solution must allow configurable privileges to be assigned to a user group, providing the ability to create and/or view document revisions.	

9	The solution must allow configurable privileges to be assigned to a user group, providing the ability to create and/or view document versions.	
10	The solution must allow comments to be added and saved with a revision.	
11	The solution must be configured to allow the first revision of a document to be saved with no comments, but apply comments to subsequent revisions.	
12	The solution must be configured to force users to enter a comment before the revision is saved.	
13	The solution must allow each type or class of documents to be uniquely configured as revisable (allowing for multiple revisions), or as non-revisable.	
14	The solution must provide a way to manage non-revisable documents so that, upon saving the document, either a new document is created or the user is prompted to overwrite the existing document.	
15	The solution must allow document renditions, where a text document and its identical, associated image document are considered a single document (An example of a rendition is a text document created using OCR software to scan an image document).	
16	The solution must allow documents to be checked out, edited, or reviewed offline on a user's local workstation.	
17	The solution must allow users to retain a read-only reference copy of a document, on their local workstation, even after a document has been checked into the system.	
18	The solution must protect against overlapping revisions by providing read-only access to documents checked out of the system, preventing more than one user from changing a document at the same time (Read-only allows the user to view, but not change, the document).	
19	The solution must automatically upload and synchronize documents that have been revised outside of the system when the user next logs back into the system.	
20	The solution must allow newly created documents, not already in the system, to be automatically added to the system the next time the user logs in.	
21	The solution must allow multiple files to be dragged-and-dropped from a user's desktop onto the system's interface, in order to easily import multiple files simultaneously and index them into the system.	
IMAGE MARKUPS		

1	The solution must allow permanent graphic or text comments and markups to be permanently saved on image documents.	
2	The solution must provide rectangles, ellipses, lines, arrows, checkmarks, text, and text formatting options to apply these permanent markups to image documents.	
SECURITY AND ENCRYPTION		
-User Security-		
1	The solution must use the concept of assigning rights to users and groups to simplify the administration of users.	
2	The solution must allow the system administrator to assign special rights at the user level.	
3	The solution must have an easy to configure method to restrict access of specific documents to specific user groups based upon the value of a keyword.	
4	The solution must provide the ability to restrict the user interface so that different users have access to only the functionality that they need to get their jobs done.	
5	All import processors, retrieval methods, and Workflow access must be controlled with permissions set at the user group level.	
6	The solution must allow the system administrator to configure the software so that only users who are authorized to modify keyword information may do so.	
7	The solution must allow the system administrator to restrict a user's ability to enter values for certain keywords during indexing of scanned documents.	
8	The solution must separate the right to modify a document from the right to delete pages from the document.	
9	The solution must allow the system administrator to restrict the ability to print content from the system at the group level.	
10	The solution must allow the system administrator to assign multiple group memberships for each user.	
11	The solution must allow the system administrator to bulk import user accounts from a text file in CSV format.	
12	The solution must allow import to assign User Group membership, set a default password, specify an e-mail address, and require the user to change their password the first time they log into the system.	

13	The solution must allow the system administrator to divide up the licenses for different features amongst configured user groups.	
14	The solution must allow 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.	
15	The solution must allow the system administrator to give specific users the ability to administer user groups and reset passwords.	
-System Access Security-		
1	The solution must allow the system administrator to set a minimum password length as well as a maximum password length.	
2	The solution must allow the system administrator to set the number of bad login attempts allowed before a user account will be automatically locked.	
3	The solution must allow the system administrator to configure timeout values for individual user groups so that after a period of inactivity the application will close and release the license back into the system.	
4	The solution must offer options to require password complexity from users of the system such as not allowing the password to be the same as the user name or limiting repeat characters or whether a password can be reused.	
5	The solution must allow the system administrator to display a custom splash screen that can be used to present terms and conditions for use of the system for each user to see when attempting to log in.	
-Security Administration-		
1	The solution must allow the system administrator to quickly and easily view user metrics within a list of all users so that important information such as when the user last logged in and whether the user account is locked can be identified.	
2	The solution must allow the administrator to quickly and easily change an account(s) from being locked.	
3	The solution must allow details about a user account to be changed easily (name, e-mail, or group membership).	
4	The solution must provide the ability for the system administrator to set up the user interface and lock it down so that it cannot be modified by a regular user.	

5	The solution must allow the system administrator to set permissions to configure different parts of the system.	
6	The system must be able to log the complete history of a document; including who has view, e-mailed, copied, printed, deleted, etc.	
7	The solution must be able to log configuration activities.	
-Encryption-		
1	The solution, working with a Web Interface, must be fully functional when set up using accepted encryption standards and practices such as Secure Socket Layer (SSL) technologies.	
2	The solution must support the database encryption using SSL from Microsoft so that data sent to and from the database server can be protected.	
3	The passwords associated with user accounts for DMS solution must be stored in the database in an encrypted format.	
4	The solution must allow the system administrator to choose different TCP/IP ports (other than default ports) for database access, file server access, or web server access so that flexible security options are available to the network security administrator.	
5	The solution must work within an IPSec Environment.	
6	The solution must work within an environment where encryption is used for both network traffic and files on disk.	
7	The solution must fully support access through Virtual Private Networks (VPN), allowing for secure encrypted access to the system through the Internet using well established tunneling protocols such as IPSec, PPTP, or L2TP.	
8	The solution's web server must work through a Proxy Server and/or using Network Address Translation (NAT) and/or Port Address Translation (PAT).	
-Document Deficiency Identification-		
1	The solution must be able to support "Checklist" of documents in a single folder.	
2	Users must be able to configure the list of documents that must be present in a folder.	

3	The solution must be able to send an email notification to specific / group of users if there are missing documents.	
4	Document deficiency identification must be supported without any programming or use of API's.	
INTERFACES		
1	TPB has the need to interface the proposed software solution with other applications such as Property and Procurement System, Financial Information System, etc.	
SOFTWARE LICENSES	10 - Concurrent Users - DAS 1 - Desktop Imaging Licenses	
TRAINING	Users and Admin Training using out-of-the-box functionality of system	

Name and Signature of Supplier's Authorized Representative