RFQ Number: LOT454

West Virginia Lottery
Content Management System

Prepared for

West Virginia Lottery

Technical Response
Copy

Prepared by

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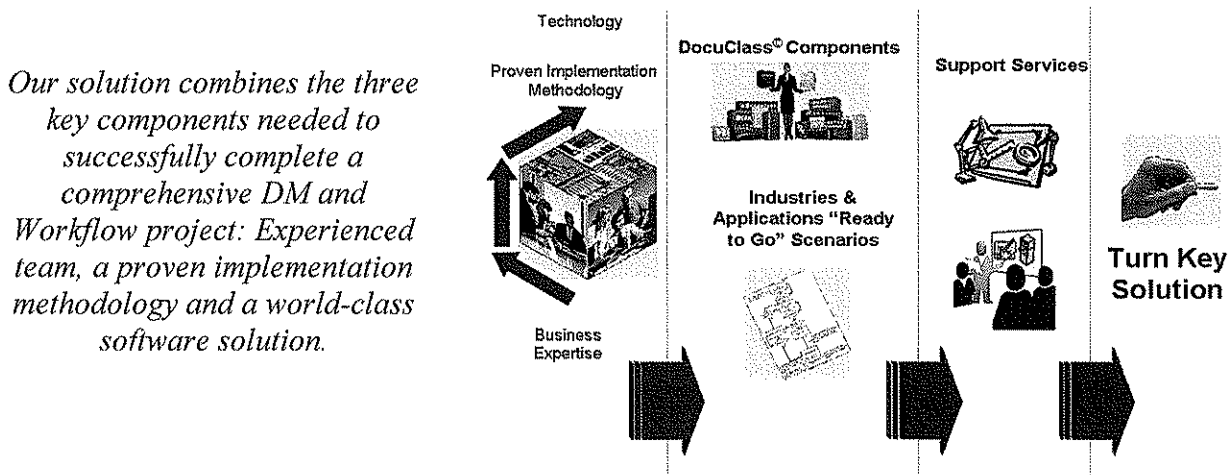**Date:** _03 - 02 - 2010_

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Introduction

Cima Software Corporation (CIMA dba. ADMS) is pleased to respond to the Document Management and Workflow System **RFQ:** LOT454 for the Department of Tax and Revenue, Lottery Division **(AGENCY).** Furthermore, we are fully prepared and committed to complete this project successfully, on schedule and within Budget.

We at CIMA, understand the nature and scope of the requirements listed in this RFQ, and is proud to confirm that our proposed solution will meet and even exceed all the requirements listed in the *General, Capture and Electronic Forms, Workflow Solution and Vendor Qualification sections of this RFQ.*

CIMA is one of a handful of vendors in the market today, with the ability to provide all of the three **key components** that are critical for the successful completion of a project of this nature:

Our solution combines the three key components needed to successfully complete a comprehensive DM and Workflow project: Experienced team, a proven implementation methodology and a world-class software solution.

1. **A very experienced implementation team** familiar with the deployment of similar solutions. Our team's 70 years of collective experience provides proactive problem solving, diminished learning curve, proven methodologies and lowest possible risk of budget and schedule creep.

2. **A "proven implementation methodology"** that ensures that the Agency project will be managed efficiently and completed on-time and successfully.

"On behalf of the WORKFORCE West Virginia Bureau of Employment Programs, I would like to congratulate CIMA/ADMS for a job well done.

The nature of this major project was not only complex, with numerous parties and environments involved, but it also included a large migration of data and documents from a legacy system. Nevertheless, CIMA/ADMS helped us move forward with the project until it was successfully completed. They worked closely with our project team, listening to the critical elements and needs of our Bureau, while providing a visionary yet realistic solution that was carefully designed to meet and in most cases exceed our expectations.

It is evident that the CIMA/ADMS staff takes great deal of pride in the solutions provided to their customers: "Solutions that perfectly combine the right software and hardware with a proven implementation methodology". Selecting CIMA/ADMS as a project partner was one of the best decisions made by our Bureau. "
 Pam Belt
WORKFORCE West Virginia
Bureau of Employment Programs

3. **A world class, open, scalable and user-friendly Document Management and Workflow Software Solution, *DocuClass.***

The Software: DocuClass

DocuClass is a modular and scalable enterprise content management solution that allows organizations to streamline internal operations by significantly improving the way they manage their information within a business process.
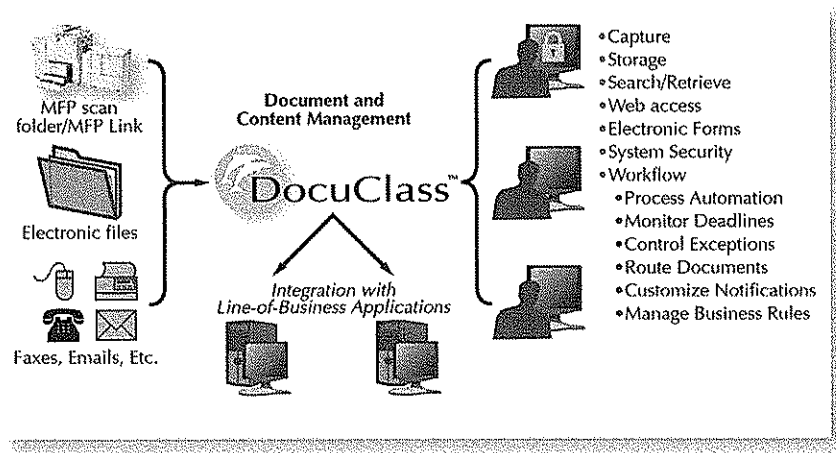
Proposed Solution Key Differentiation Factors:

- **Open and Scalable**
- **Non-Programmable**. Existing components are able to be configured or customized to attend any present WV Lottery requirement without additional programming conditions.
- **Latest in Document Management Technology**. The design and architecture of the software incorporates the latest in Document Management and Workflow technology to attend diverse and complex business demands generated by the evolution of the businesses

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The first wave of ECM/Document Management platforms was built on technology that wasn't widely utilized, was new and was hard to work with. The second wave of ECM/Document Management software platforms brought that technology and its associated capabilities into the windows mainstream. The third and current wave is all about dramatically improved management features instead of technology to let you build applications, provide ease of use, perform simple installation, and execute rapid deployment.

DocuClass, by CIMA software, is a 3rd wave ECM solution that provides power, flexibility and ease of use without the complexity, installation headaches, or endless hours of programming

THE RHEINNER GROUP

- **Responsive Development Team**. The CIMA developers team behind the software are capable and flexible enough to respond and deliver solutions to attend on time the real needs of the WV Lottery and not necessarily according to the usually long "Versioning Schedule"
- **Price right**. Provides one of the highest Value/Cost Ratios in the industry
- **Intuitive and User Friendly**. The interfaces for WV Lottery Administrators and users should be simple and intuitive to avoid long and costly training sessions or highly specialized professionals. This reduces vendor deper '

DocuClass was recently awarded the Bertl's Product award of the Year for the Best Ease of Use Document Management System
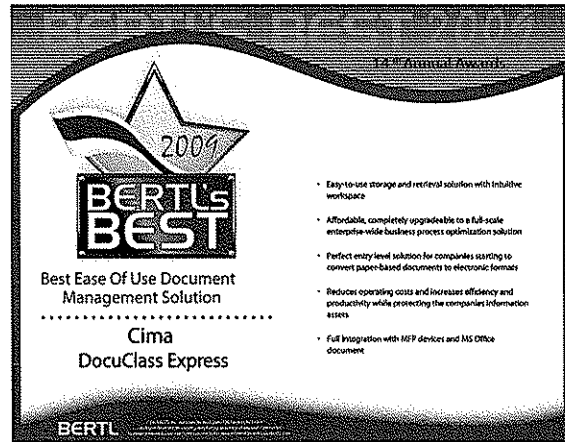
RESPONSE TO GENERAL REQUIREMENTS - Section I

3.1.1.   Content Management System Software

3.1.1.1   System must be a COTS-based, non proprietary Windows-based object management software with an open architecture platform

Response: The proposed DocuClass system meets this requirement

DocuClass© is a COTS-based, non proprietary Windows based object management software with an open architecture platform. DocuClass is a **high performance**, **scalable**, and **cost effective** modular Document Management System designed to provide WV Lottery users maximum document retrieval speed, high protection to their documents, document-process flow monitoring and management, audit trail reporting, and the capability to handle large volumes of documents and data.

DocuClass© is an integrated, powerful, secure and flexible Document Management Solution with an open Client-Server and n-Tier system architecture, which gives managers and administrators the power to easily and quickly control, modify, and enhance their system through an intuitive point and click interface.

3.1.1.2   System must support 200 users, 75 users concurrently. This will be a combination of client workstations and browser clients retrieving via an intranet or the internet. System must be scalable to increase concurrency if required

Response: The proposed DocuClass system meets this requirement
DocuClass can support 200 users from which 75 can have concurrent access. In fact, DocuClass is fully scalable and can support an unlimited number of concurrent workstation and browser users.

DocuClass has robust and modular architecture allows DocuClass to easily grow, with minimum IT investment, as the business needs grow. DocuClass can start as a small or departmental solution and easily expand to become an enterprise-wide system. DocuClass repository can also handle large volumes of documents of virtually any content type.

3.1.1.3   System should have a single interface for document creation, retrieval, display, print, e-mail, fax, routing, image management and indexing.

Response: The proposed DocuClass system meets this requirement
With DocuClass, WV Lottery will be able to retrieve, create and work with documents from one single and user friendly user interface.

DocuClass provides a single interface for all tasks related to document handling such as creation, retrieval, print, e-mail, image management and indexing
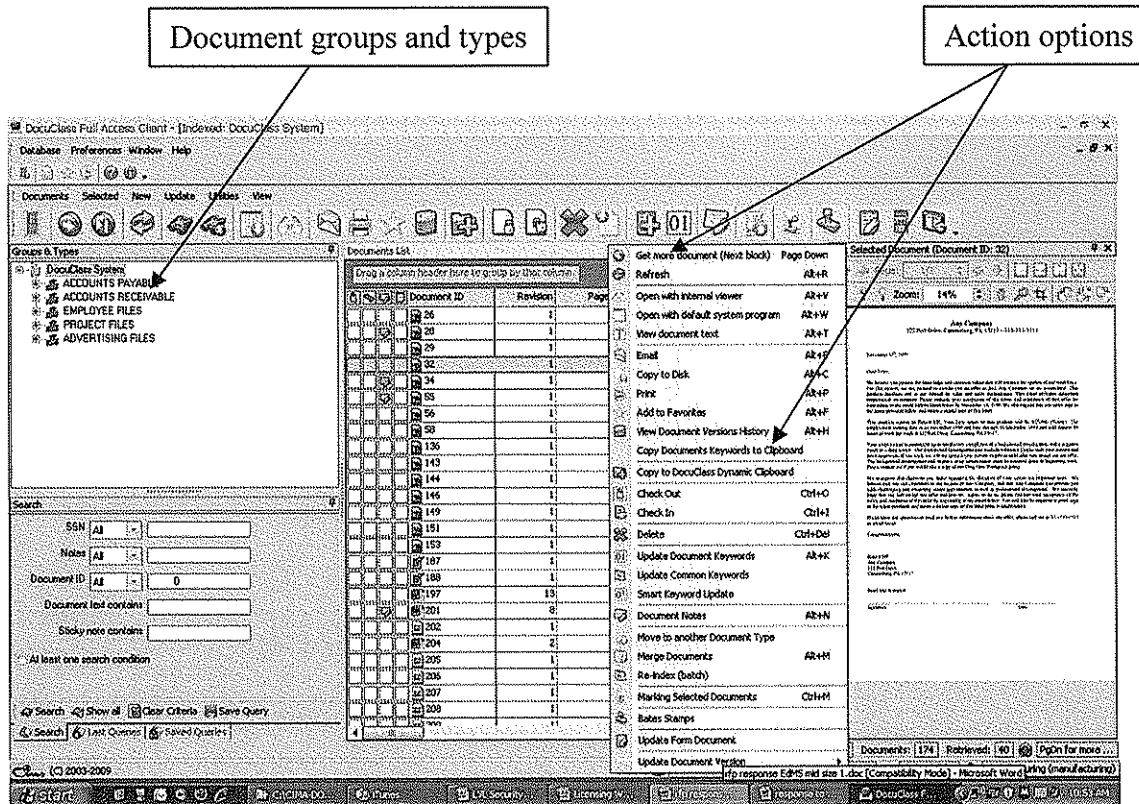
3.1.1.4   *System must provide for the electronic storage, retrieval, processing and routing of information (objects) such as:*

    3.1.1.4.1   *Images (black & white, grayscale and color)*
    3.1.1.4.2   *Computer output reports data*
    3.1.1.4.3   *ODMA objects such as voice, video, word processing files*
    3.1.1.4.4   *Foreign files must be able to remain in native format*

Response: The proposed DocuClass system meets all requirements listed in sections 3.1.1.4.1 to 3.1.1.4.4

DocuClass is able to store, capture, retrieve, process and route any type of file including Images (black & white, grayscale and color), computer output reports data, ODMA objects, Word, Excel, audio files, video files and foreign files such as DICOM files for medical applications, CAD files, etc. in their native formats.

Examples shown:
TIF color image and
a Word document.
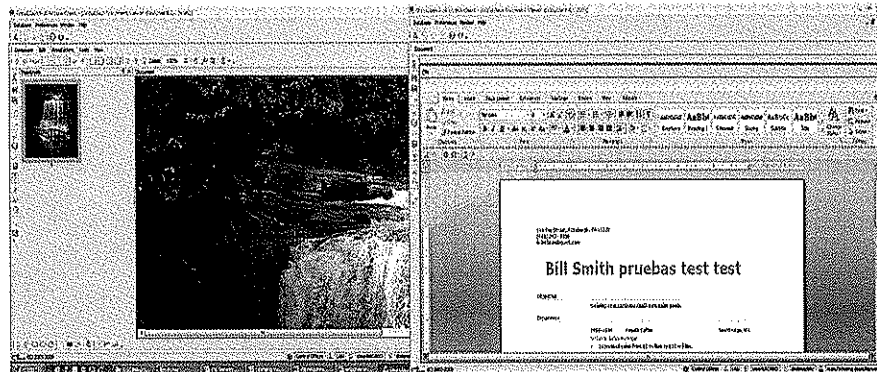
To process is able to capture, process and distribute computer output reports DocuClass utilizes its COLD_ERM module.

3.1.1.5   System must be Microsoft Windows Server 2003 and higher compliant and certified and compliant with XP and higher desktop operating systems

Response: The proposed DocuClass system meets this requirement

DocuClass is a Windows based system and fully operates in a Windows 2003 environment and is compliant with XP or higher desktop systems.

We currently have thousands of users working on similar environments.

3.1.1.6   System should support the following standard image manipulation. Verify support for these features and describe any additional features.

3.1.1.6.1	*Zooming In & Out*
3.1.1.6.2	*Redaction and redaction security*
3.1.1.6.3	*Cut & Paste*
3.1.1.6.4	*Printing only specific areas of a document*
3.1.1.6.5	*Sticky views*
3.1.1.6.6	*Magnifying areas of a document*
3.1.1.6.7	*Rotate & Pan*
3.1.1.6.8	*Inverting of documents pages*
3.1.1.6.9	*Rubber stamp with security*
3.1.1.6.10	*Document Check-in/Check-out*
3.1.1.6.11	*Cascade and tiling*
3.1.1.6.12	*Automatic scaling of images (height, width, Fit-in-Window, or User-defined)*
3.1.1.6.13	*Display Black & White in Grayscale*
3.1.1.6.14	*Specify display fonts and print fonts*

Response: The proposed DocuClass system meets each one of the listed requirements (from 3.1.1.6.1 to 3.1.1.6.14) and provides many more image manipulation options

DocuClass' robust image and document handling and manipulation features will give WV Lottery users all the tools they need to work with, share, edit, manage, update and modify documents.

In order to do this, DocuClass has robust built-in Image and PDF viewer and editors that contain over 50 combined document manipulation features

Here are some examples:

Annotation example:
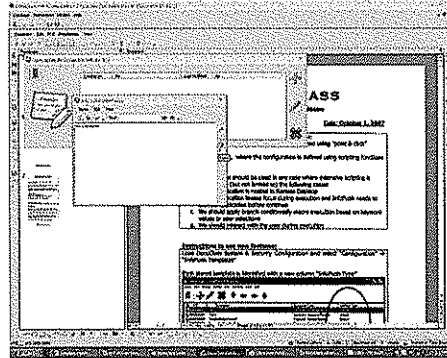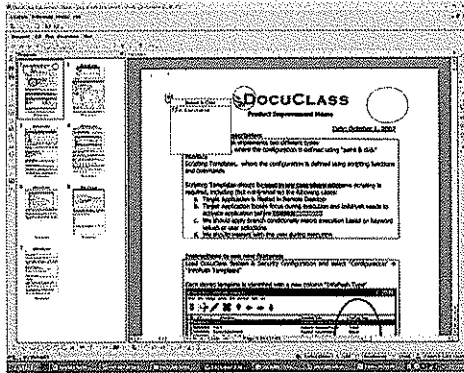
Convert to Black and White
Primarily this would be used when applying the 'Auto Deskew' which only works for black and white documents.   Converting to black and white also reduces the file size if that is a concern and allows 'OCR' to be performed on the document.

Here is an image before it is converted to black and white:
***Note the 'Convert to Black and White' button is circled.**
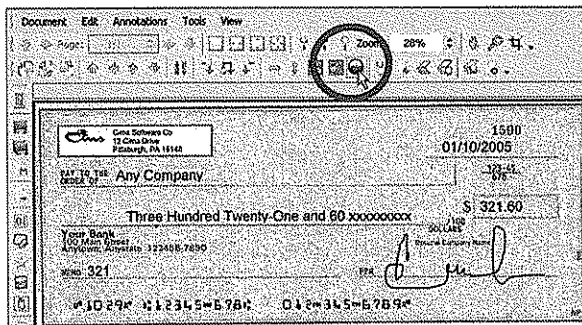
Once you select the convert button a dialog box will appear asking to confirm that you truly want to convert the image to black and white. Here is the image after conversion to black and white:
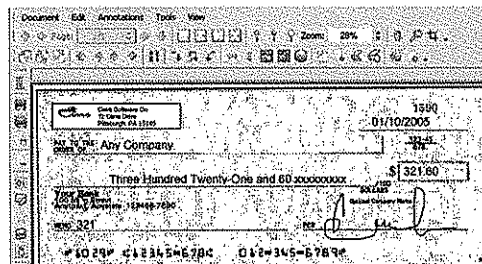
Page Order

WV Lottery users can rearrange the page order within the PDF editor by simply clicking the page inside the preview pane and dragging it to the new position.
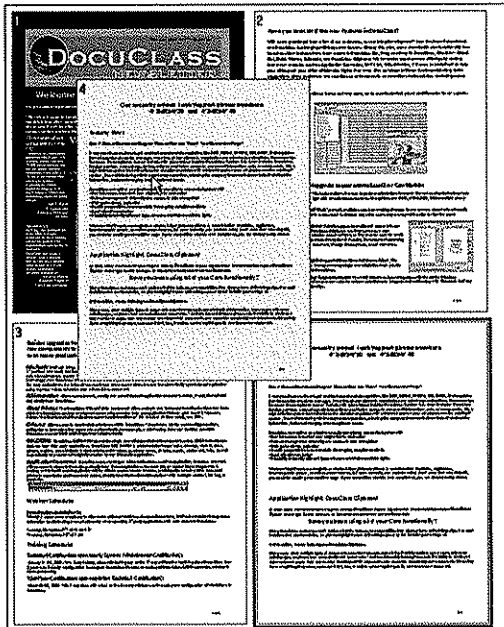
In this example page four is moved to the first page in the order of documents. Page one moves to page two and the rest of the documents are re-ordered accordingly.

Black out option

Use Black Out to hide sensitive information from viewers of the document

In order to ensure your enrollment at ███████ please complete the enclosed enrollment form and include your ███████████ in the envelope provided. We encourage you to reply no later than May 1, 1999. Your deposit will be credited to your first semester fees. In the months preceding your enrollment to ███████ you will receive housing, registration and orientation information.

Additional options include:

Dynamic Clipboard: This feature enables users to assemble a new document from one or specific pages of one or more documents

This feature eliminates the need to manipulate original hard copy documents to assemble or create new ones.
Allows users to send, distribute only portions of one or more documents and not the entire set

PDF Encryption Options: Users can protect PDF documents saved outside of DocuClass by adding username and password protection. To encrypt, algorithms of 40 or 128 bits can be used, with 128 bits encryption providing superior security. This provides organizations with an easy way not only to protect the

integrity of outgoing PDF information but also the printing, sharing, and distribution of such information by external parties.

3.1.1.7   System should support Microsoft .NET platform

Response: The proposed DocuClass system meets this requirement
Microsoft .NET 2.5 or higher should be installed in users workstations

3.1.1.8   System should offer an API for automation and advanced customization capabilities if desired by the Lottery at a future time. Please confirm availability of an API.

Response: The proposed DocuClass system meets this requirement

The DocuClass API is the Application Programming Interface to the DocuClass Document & Image Management System and allows customizing utilities to request information from DocuClass and store information in DocuClass (two ways communication).

Using DocuClass API any developer can integrate Document Management features with his application. DocuClass API is not a self-contained document management interface; it assumes that a DocuClass system is already installed. DocuClass API exposes methods and properties to access the installed DocuClass system from a third-party software system.

3.1.1.9   System should be capable of enabling an existing application adding value to any existing application by attaching objects to application screens or fields. System should have the ability to "image enable" host applications through internal scripting, ActiveX, VB scripting or a SOAP/XML interface.

Response: The proposed DocuClass system meets this requirement
The component using the Screen Scraping technology is the Application Connector.
The Application Connector is a non-intrusive and non-programmable interface with businesses applications. With this component users working on a Line of Business or other application, are able to access and work with documents stored in DocuClass directly from those applications.

Once documents have been retrieved, users can work with them (view, change keywords, enter notes, print, email or fax documents and even initiate workflows) without leaving their application's session. PLEASE SEE APPENDIX 1: PRODUCT DATA SHEETS

- Provides a non-intrusive interface with your applications that requires no programming
- Analyzes the content of running applications automatically as well as retrieves all related documents
- Extracts data from the running application window and uses it to automatically index related documents
- Connects to documents stored in DocuClass with a simple keystroke

3.1.1.10   System must support central configuration for all applications and/or modules and provide for remote administration by the system administrator.

Response: The proposed DocuClass system meets this requirement

DocuClass' central configuration component is the System and Security Configuration module:

Some of the administration tasks include:

- Define and configure the Document Structure: Document Groups, Document Types, and Keywords
- Define the keywords specifications: Name, type, how it should be filled up, and the algorithm used to be filled and the decision if the keyword it will be a workflow keyword.
- Set up the organizational assignments: Departments, Offices (Local or Remote) and Users
- Manage the security of the system:

    o Create User Groups, Grant permissions to use DocuClass components and assign users to Groups.
    o Create and Apply Security Policies, Apply Security Policies per User Groups and Document Types,
    o Create Security Groups and apply Security Keywords,

- Set the rules and mappings for Active Directory Authentication
- Define and Configure the Storage of Images (Centralized or distributed per DT Groups, Types and Maximum size of storage volumes.
- Define and configure Keywords Look up lists, AutoFill algorithms, external Databases Queries, Document Check-In and Check feature
- Set the parameters for ftp access (Remote Wan Clients and scanning remote locations)
- Set database encryption
- Set full text search
- Optimize the system performance by checking and repairing documents links consistency and finding orphan documents
- Update/ refresh statistical data (document metrics: number of pages and file size), notes per document, number of pages in Advanced Scanning Queue, etc)
- Create and View statistic data and graphs per Document Type and periods.
- Manage Licenses: Users, request more licenses, assign licenses per department, view licenses status, etc.

Additionally DocuClass includes a Utility component able to perform tasks originated by management decisions like Automatic generation of revisions of Documents based on keywords across the whole Database, moving or deleting completely Defined Document Types, Merging automatically single page documents in multi-page documents, etc.

The DC Utility is password protected and reserved to the technical personnel with express authorization of the Management. Some of the commands offer a command line interface and switches or profilers to track step by step the actions of the software in particular processes. The profilers are able to run in the background generating technical reports for the developers. These tools allow identifying the source of technical issues and improving the performance of the system for critical tasks.

Sample Configuration Interface
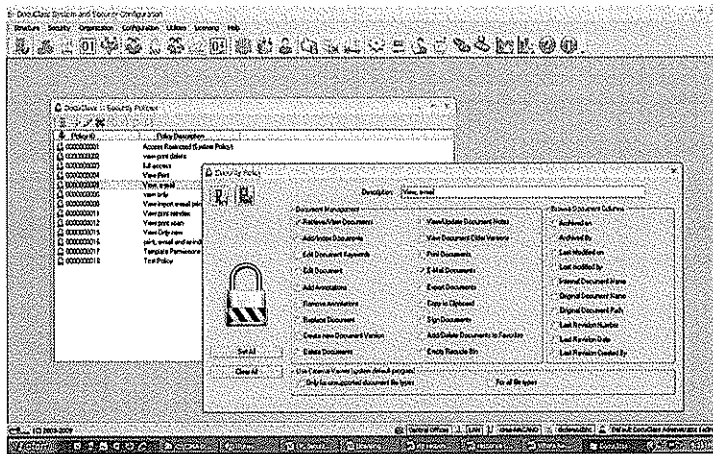
Sample System Portal: from here, the administrator has access to all DocuClass components
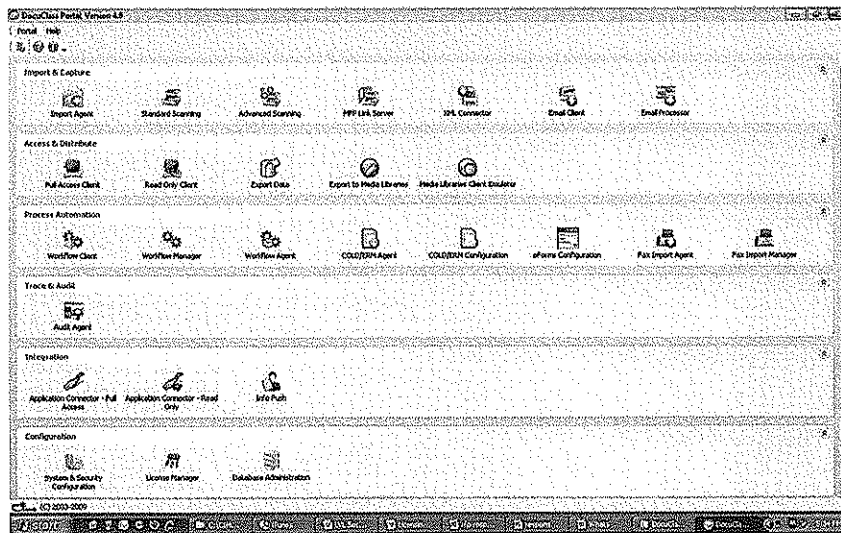
3.1.1.11   System must support monitoring of processes and applications with automatic notification of problems or issues via email and the application.

Response: The proposed DocuClass system meets this requirement

3.1.1.12   This subsection has been deleted.

3.1.1.13   Objects must be capable of being stored, retrieved, mailed, routed, exported, printed, and faxed over any Windows-based supported network.

Response: The proposed DocuClass system meets this requirement.
Documents can be faxed, routed, e-mailed, retrieved, printed and stored in DocuClass.
In reference to e-mail, DocuClass can be integrated with POP, IMAP, SMTP and MAPI so that email messages or email attachments could be directly loaded into the imaging database. (Microsoft Outlook, Lotus Notes, etc)

DocuClass can also e-mail one or more documents as zip files in encrypted or non encrypted mode.

In the following example, a document has been selected and the e-mail option has been chosen. Once selected the document is e-mail directly from DocuClass (using the user internal e-mail system)
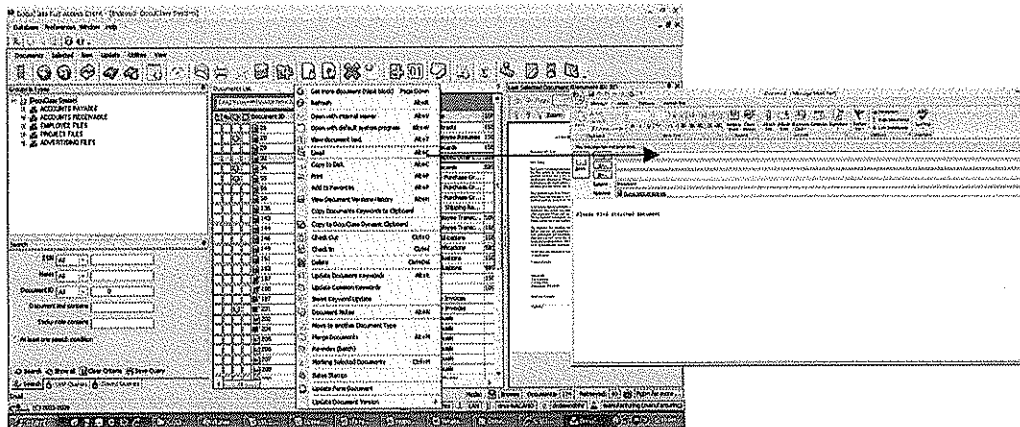
E-mail and Encryption features:

Once you select email a dialog box will pop up giving you options on how you want the email to be sent.
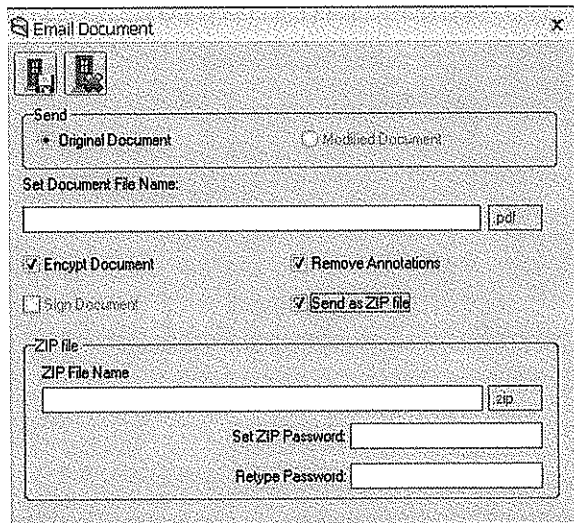
The document can be sent including any changes or modifications you made or the original document can be sent without the changes included.

The document can be re-named to something other than the default name assigned by DocuClass when the document was originally scanned or imported.
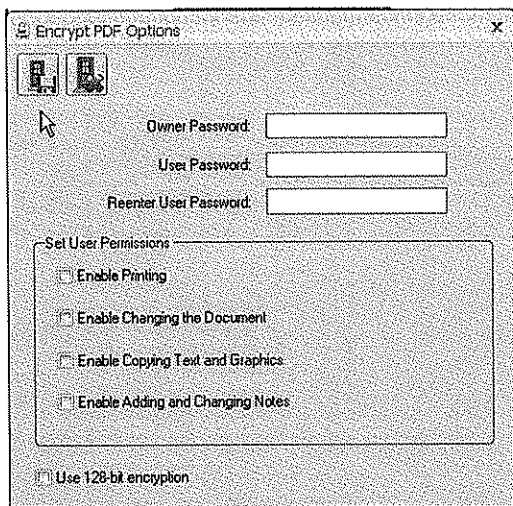
The document can be encrypted and include variable options for controlling the use and editing of the document. This includes password protection and limiting the ability to edit the document in various ways.

3.1.1.14   System must support OBE-DB and ODBC-compliant database connections to support database such as Microsoft SQL, Oracle and IBM DB2. Microsoft SQL Server will be the database used for this system at this time.

Response: The proposed DocuClass system meets this requirement.
DocuClass supports OLE-DB and ODBC-compliant database connections to support database such as Microsoft SQL, Oracle and IBM DB2.

Additional Notes: Our system is developed, using as data-access technology OLE DB/ADO, which provides unparallel flexibility and performance for querying and retrieving records across the enterprise from any SQL database. Our system uses this data access technology to interface MSSQL running in windows environment to additionally perform two ways data exchange like indexing tasks (Look-up from SQL table, auto-fill from SQL table, data validation from SQL table, etc), fax back notifications, etc. Our system offers also the traditional ODBC connectivity.

3.1.1.15   Content management solution must integrate into the instance of Microsoft SQL Server currently in use at the Lottery.

Response: The proposed DocuClass system meets this requirement.
DocuClass will integrate into the instance of Microsoft SQL Server currently in use at the Lottery.

3.1.1.16   System must be ODMA compliant in order to support the creation of documents and indexes direct from ODMA applications such as MS WORD, PowerPoint, Excel, WordPerfect, etc.

Response: The proposed DocuClass system meets this requirement.
DocuClass is ODMA compliant and supports the creation of documents and indexes directly from ODMA applications such as MS Word, Power point, Excel and WordPerfect.

In addition, DocuClass provides an Outlook Plug-in option that allows users to select one or more e-mails and send them directly to DocuClass while capturing the e-mail attributes (sender, subject, date, and recipient) as indexing information

Send to DocuClass button

Once selected, the Word document
Is sent to a import/indexing dialog box in DocuClass for proper indexing and classification
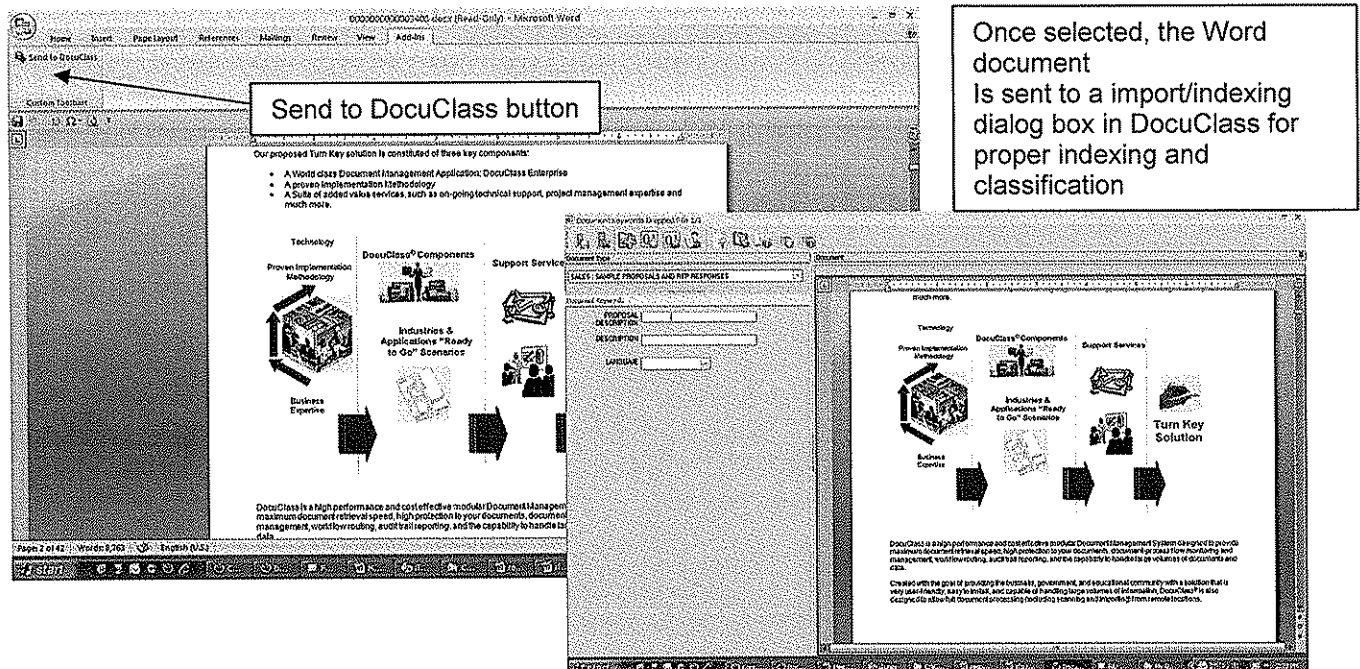
Outlook Plug-in
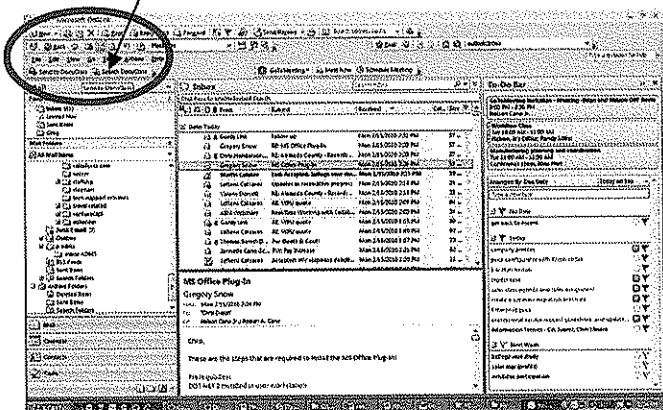
3.1.1.17   System must support record retention options for support of organizations record retention policies and standards.

Response: The proposed DocuClass system meets this requirement.

DocuClass is capable of managing and enforcing retention policies.

For example, an organization can define that all "contract renewals" documents have a retention period of 7 years after which the system could:

- Send the document to a review phase
- Notify the corresponding person or group of people
- Update the status of the document and other related document
- Remove the document from the system
- Move the document to an external media
- Destroy the document

Retention policies can also be dynamic, based on business rules and condition before they take effect. For example, a "contract renewal" document is only set to expire after 7 years once key related documents have arrived, the status of other documents is A, B or C etc

3.1.1.18   System should have the ability to configure retention policies using a structure that is compatible with the EMC Centera document retention interface.

Response: The proposed DocuClass system meets this requirement.

DocuClass can query & retrieve "Retention Policies" configured in EMC CENTERA devices. DocuClass administrator may assign any of these policies to a "Document Type", that is a collection of documents of same type (i.e. contracts). From this point any document stored to this document type will follow the default retention policy assigned to its type. Additionally DocuClass administrator may define for some document types a policy giving the absolute number of days to retain. In this case every time a document is stored, DocuClass will assign explicitly the number of days to retain, instead linking this document dynamically with a CENTERA retention policy

3.1.1.19   System must be able to write data to multiple storage devices at the same time, during capture for data protection and disaster recovery.

Response: The proposed DocuClass system meets this requirement.

If required a "Repository Folder" (the logical unit that defines where a group of documents will be saved) can be connected with more than one storage devices. By default index values (document keywords) are stored in the RDBMS; however they can be also in parallel saved in XML file for disaster recovery
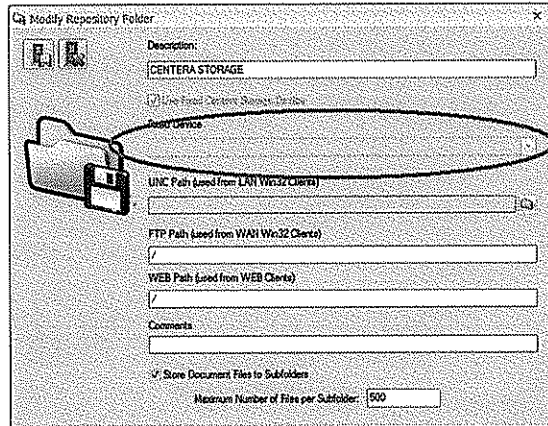
3.1.1.20   System must be able to store images and index data to EMC Symmetric DMX which is replicated to the Lottery hot-site in White Hall, WV.

Response: The proposed DocuClass system meets this requirement.

*3.1.1.21   System must be able to archive to EMC Centera which is replicated to **a hot-site in West Virginia**.*

Response: The proposed DocuClass system meets this requirement.

*3.1.1.22   The document imaging solutions must integrate into the existing Lottery network infrastructure. The vendor supplied solution must utilize the existing EMC SAN solution and replication technologies supplying a document imaging configuration that meets or exceeds the current Lottery business continuance standard for disaster recovery using Symmetrix Remote Data Facility **Asynchronous** (SRDF **A**). All images and data will be replicated to **a hot site in West Virginia**.*

Response: The proposed DocuClass system meets this requirement.

3.1.1.23   This subsection has been deleted because it is a duplicate of subsection 3.1.1.9.

3.1.1.24   Bidder must identify and provide the specifications for the servers required for optimal performance of the proposed solution.

Response to 3.1.1.20 – 3.1.1.24

    DocuClass Database and Repository
- Windows 2003 or Higher Server/Professional
- Windows XP
- Windows Vista
- Linux
- HP Unix
- IBM AIX

Supported Databases
- MySQL
- MS SQL
- SyBase
- Oracle

Hardware Recommendations

Database/File Servers

CPU	4 Ghz or Higher (dual or quad processor recommended)
Memory	8 Gig RAM or greater
Hard Disk Space	About 1 Terabyte of Hard-drive space
Operating System	For larger installations (more than 10 users) :Windows Server 2003 or Higher

Database/file servers should be dedicated purpose servers; i.e. not used as a domain controller, e-mail server, print server, proxy server, etc. Network and disk I/O hardware should be optimized for performance and redundancy. Multiple network interface cards on servers are often required to minimize network bottlenecks.

WEB server

CPU	2 Ghz or Higher
Memory	8 Gig RAM or greater (Higher recommended)
Free Hard Disk Space	10 Gig MB of free space
Operating System	Windows 2003 or Higher, XP, Vista
Internet WEB Server	Apache or IIS

3.1.1.25 System security will be managed by the system administrator(s) at the WV Lottery. At a minimum, access to applications/record sets, access to documents, and tasks performed in the system must be controlled by user name and password.

Response: The proposed DocuClass system meets this requirement.
DocuClass provides administrators with the ability to control and manage user access and privileges through user names and passwords. In other words:
- DocuClass can control what documents a users can see and access
- DocuClass can control the privileges the same user has with the documents he/she has access to

DocuClass is built on very strict security entities which allow access based on accounts and password protection with privileges to control read, write, update, and delete type access to every single document. This protection is applied to User Group levels; it resides in the database server where any scanner operator, any client (LAN, WAN or WEB) is authenticated.

Furthermore, DocuClass incorporates a unique, powerful, flexible, and robust security system which allows defining:
- Multi levels of security (At the components level, at the Documents level, at the user groups level, at the user level and at the keywords level)

- Access protected by User names and Passwords properly authenticated through the internal DocuClass Security system and/or by using Active Directory authentication.
- Password management and encryption, controlling' access to staff functions, audit trails, and encrypted communications. Passwords are stored using non-reversible encryption (i.e. one-way hash).

The Multi level security allows for example to define what each user or group of users can do with every document or type of documents. Auditing mechanism will log every action and event, and you will be pleased to know that if you have a Microsoft Windows Active Directory in place or any other LDAP system, you can integrate the DocuClass Security System with your current user management system with just a few keystrokes PLEASE SEE APPENDIX 2: Document Security - Managing Users and their Permissions

More about Security Features

DocuClass© gives the customer total control over the way documents are viewed or handled - documents are available only to authorized users, each with a predefined set of actions that a particular user may perform for each type of document based on database encryption, storage security and document retention policies.
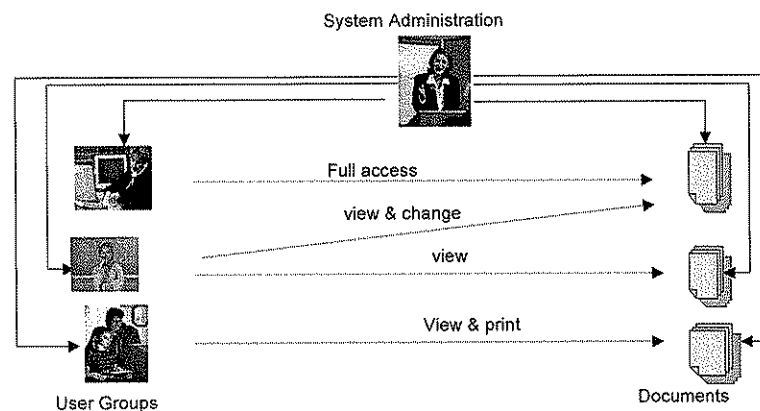
Users are assigned to user groups. Security policies and privileges are given to the user group. A user may belong to multiple user groups.
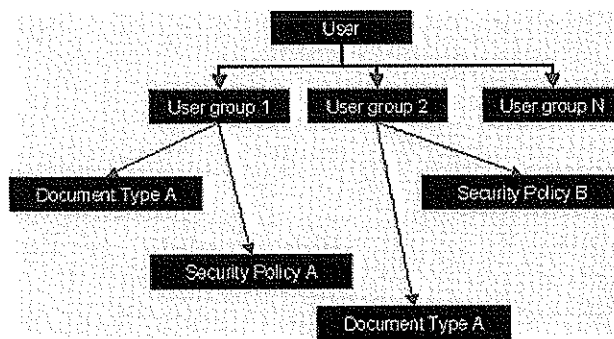
DocuClass also provides Active Directory Authentication.
In addition, DocuClass provides keyword and security group functionality.

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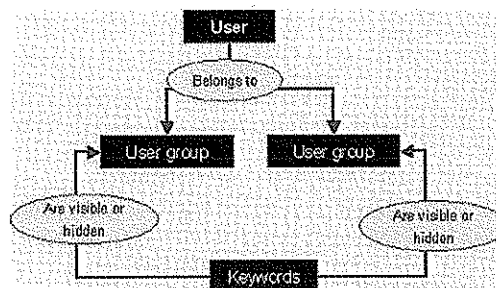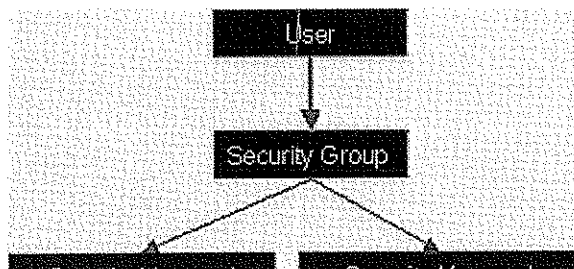
Login window Users should be authenticated by using User Name and Password to access the system or via AD authentication.
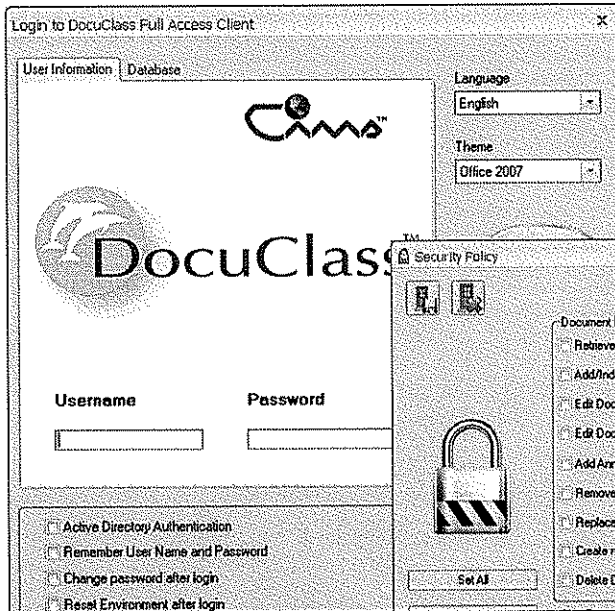
Window where the Administrator can create Security Policies to be applied to Groups of Users to access, view, edit and handling documents in general.
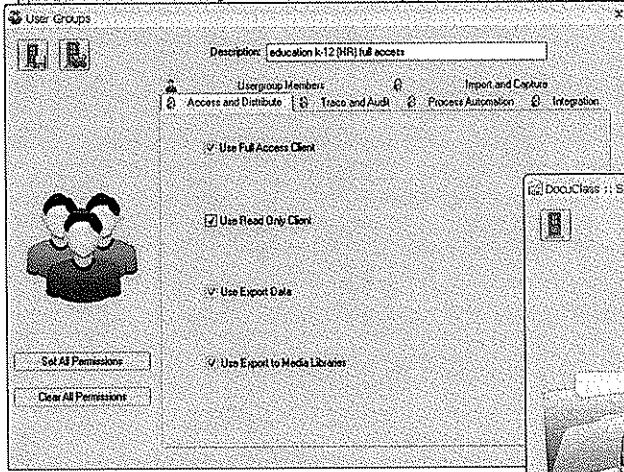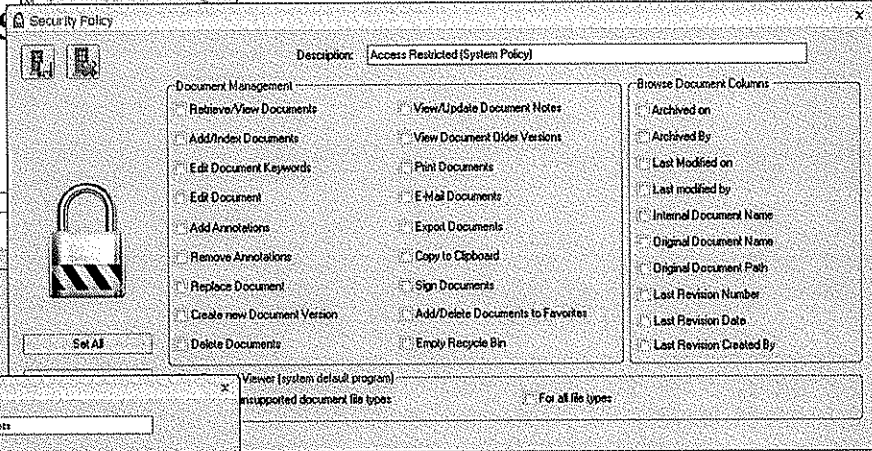
Window where the Administrator grant access to Group of Users the access to the DocuClass Components
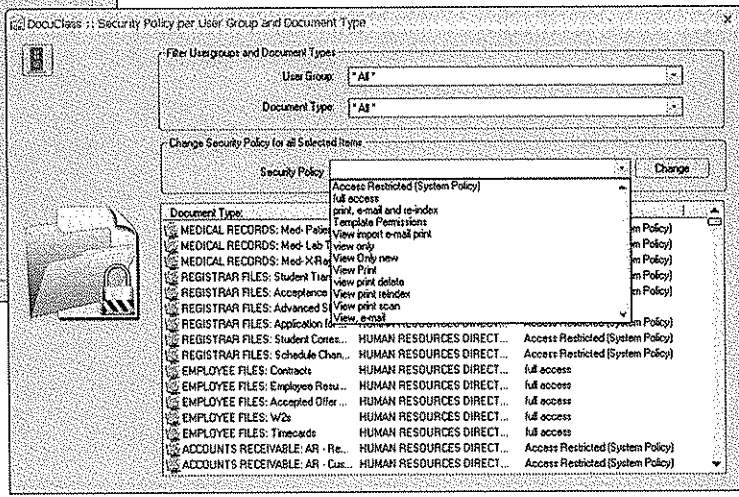
Window where the Administrator applies Security Policies at the Keywords level. Some Keywords could be hidden for specific Group of User or the Group could be authorized only to view the keyword or View and change.

3.1.1.26   System must be able to store a document, retrieve, display, print, email, fax, route, and index from a PC client or Web based browser, without any loss in functionality.

Response: The proposed DocuClass system meets this requirement.
All users can have PC client, Intranet and/or Internet access to the DocuClass system. Users of the Intranet can access documents by using some of the following Components: Full Access Client, Read Only Client, Workflow Client or WEB interface.

Users accessing trough the Internet uses the DocuClass WEB client, a platform independent component able to work MS Internet Explorer, Unix, Linux or any other platform.

3.1.1.27   System must have a windows look and feel and be compliant with windows protocols such as print, fax, export and e-mail.

Response: The proposed DocuClass system meets this requirement.

3.1.1.28   System should support thumbnail viewing of images.

Response: The proposed DocuClass system meets this requirement.
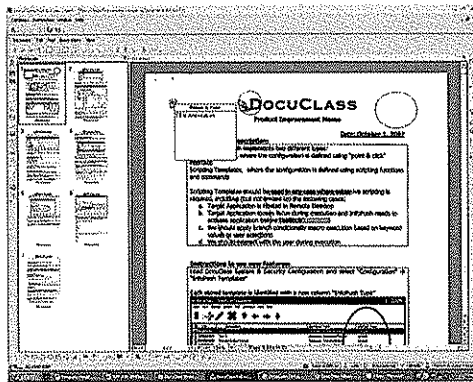
3.1.1.29   System must support annotation and mark-up of documents (i.e. highlighting, sticky notes, text messages, redlining, etc.)

Response: The proposed DocuClass system meets this requirement.

See response to question 3.1.1.6

3.1.1.30   System must support redaction of sensitive or confidential areas of documents.

Response: The proposed DocuClass system meets this requirement.

Example:
11. Use Black Out to hide sensitive information from viewers of the document

In order to ensure your enrollment at ████████ please complete the enclosed enrollment form and include your █████████████████ in the envelope provided. We encourage you to reply no later than May 1, 1999. Your deposit will be credited to your first semester fees. In the months preceding your enrollment to ████████ you will receive housing registration and orientation

3.1.1.31   System must support revision control of documents and pages.

Response: The proposed DocuClass system meets this requirement

DocuClass provides version control as well as check in and check-out capabilities.

3.1.1.32   System must support replacement of documents and pages.

Response: The proposed DocuClass system meets this requirement

DocuClass supports replacement, re-ordering or replacing of imaged pages within a document. The user can also "Import and Append Pages", "Scan and Append Pages", "Delete Pages", "Rearrange Pages", "Extract Pages from .pdf" to create a new document, or Copy pages to the PDF Clipboard from multiple documents in order to create a new document, or mail selected pages, etc.

The user has also the option to use other preferred viewers able to perform non standard operations.

3.1.1.33   System must support viewing PDF files without launching the Adobe viewer, but retain all PDF viewing capabilities.

Response: The proposed DocuClass system meets this requirement

DocuClass provides a built-in PDF editor that eliminates the need to launch the Adobe viewer.

3.1.1.34   System should support viewing of documents in native format (CAS, JPEG, PDF, etc.)

Response: The proposed DocuClass system meets this requirement

3.1.1.35   System must provide the ability to manage multiple file types in a single document, i.e. append a JPG file to a TIF file.

Response: The proposed DocuClass system meets this requirement

Using DocuClass internal viewer or DocuClass Dynamic Clipboard, users may combine to a single document any type of image documents, like TIFF, PDF, JPEG, GIF, etc.

3.1.1.36   System must support the ability to search hand sort on any combination of index fields.

Response: The proposed DocuClass system meets this requirement

DocuClass users can search for documents using any combination of index fields
(See next page)

In this example, we are looking for All "pending of approval" contracts for company xyz, of a particular type, that were modified after Feb 8
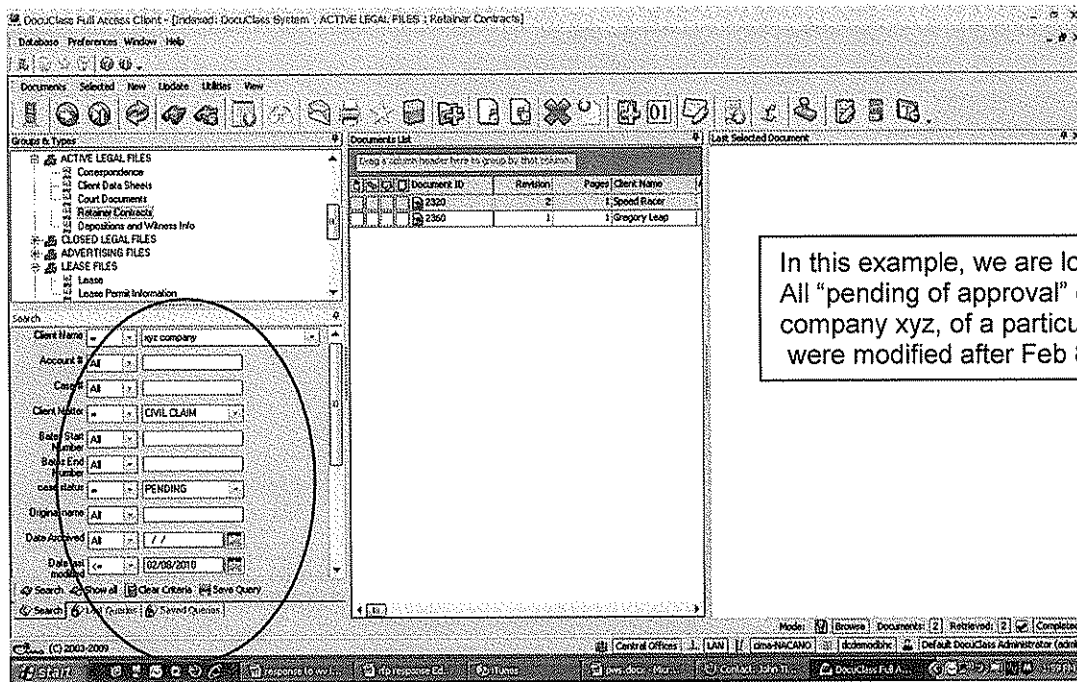
3.1.1.37   System must support wild card, Boolean, ranges, greater than, less than, equal to, greater than or equal to, and less than or equal to search expressions.

Response: The proposed DocuClass system meets this requirement

DocuClass offers options such as wild card searches, equal, include (for multiple index field values) and greater than, less than, equal to, greater than or equal to, and less than

- You can see the ability to do a range search in any Group or Type with "**amount**" as a Keyword choice (for example)
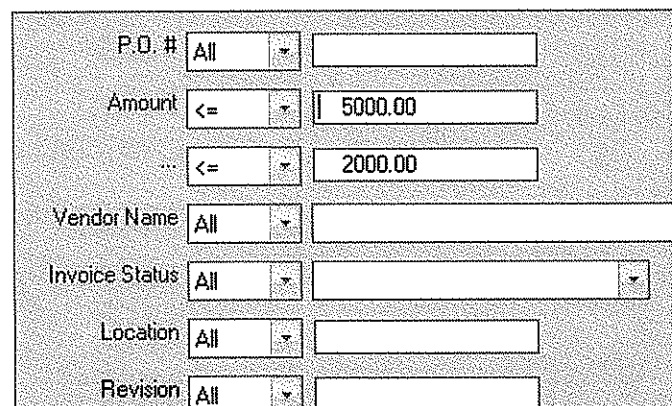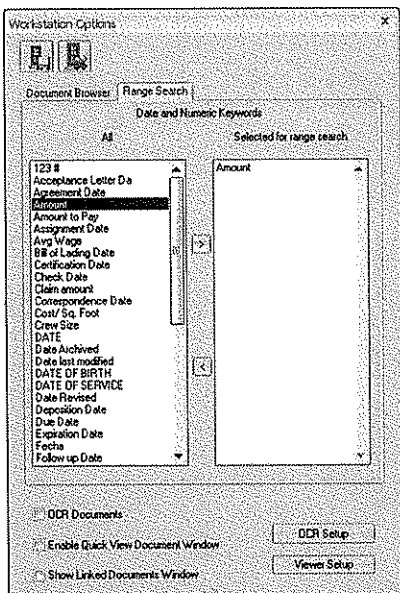
In general, DocuClass provides customizable search options to find retrieve and display documents using a variety of criteria:

- Searching by using keywords filtered by operators like =, >, <, <>, like, etc or selecting values from drop down lists
- Full Text search or searching by content (words or expressions inside documents by OCR)
- Listing the Documents by Document Type and ordering the data by selected keywords
- Searching documents by default keyword values: document date, document ID, etc.
- Searching by Range of dates
- Searching by using conditionals "and", "or" based on values of keywords
- Fine search per Document Groups or Document Types

3.1.1.38 System must be able to display multiple images from one result set.

Response: The proposed DocuClass system meets this requirement
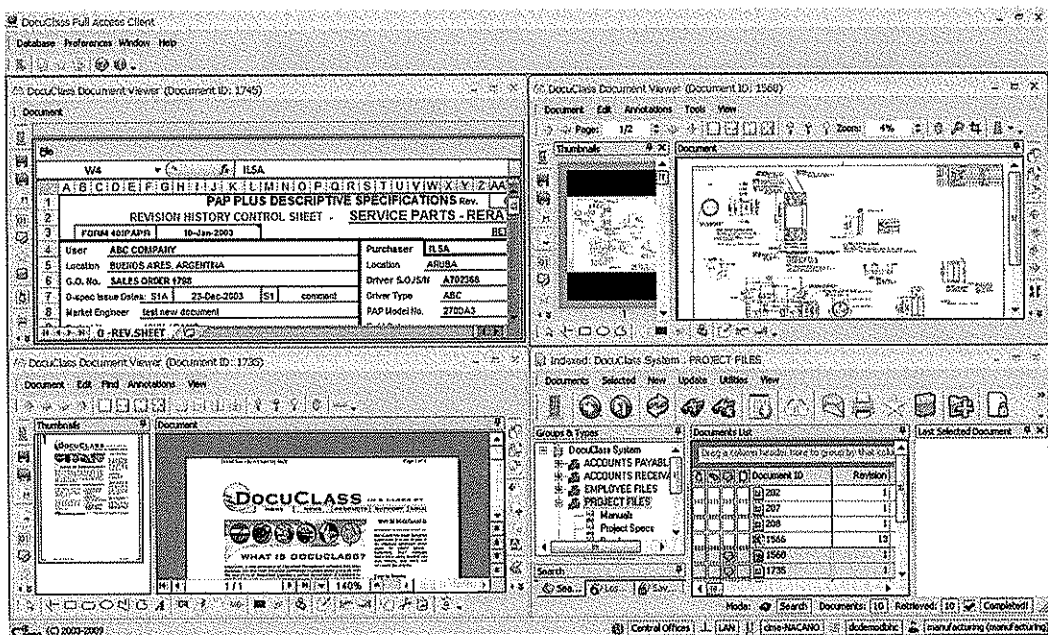
3.1.1.39 System should be able to manipulate search result sets including sorting, printing, export, email, and realign/saving of column positions.

Response: The proposed DocuClass system meets this requirement

Once the Document Type has been selected several functions that can be performed within the Document List window.

For example, clicking on the column headers now sorts by the data in that column.
For instance, Clicking on the Description column will then sort by that information:

				Revision	Pages	Document ID	DESCRIPTION ▲	DOCUMENT TYPE	Date Archived	Archived by	File Size (kb)
				1	0	741	ACCOUNTS PAYABLE	PRESENTATION	Wed 9/5/2007	Default DocuClas...	4,092.00
				1	0	730	BUSINESS APPLICATION DA...	TRAINING DOCU...	Tue 9/4/2007	barbara	284.00
				1	0	820	CUENTAS POR PAGAR	ESP PRESENTATI...	Wed 11/7/2007	Martin Catalini	2,582.00

Documents List

Drag a column header here to group by that column.

Clicking again will change the sort to descending order:

Drag a column header here to group by that column.

				Revision	Pages	Document ID	DESCRIPTION ▼	DOCUMENT TYPE	Date Archived	Archived by	File Size (kb)
				1	0	1436	Vertical Application So...	PAPER	Tue 7/1/2008	Barbara Czagany	973.05
				1	0	731	SALES INVITATION AUG 12-...	FORMS	Tue 9/4/2007	barbara	32.00
				1	1	732	REGISTRATION AUG 15-16,...	FORMS	Tue 9/4/2007	barbara	383.87

You can group the column header by dragging it to the header row. By dragging multiple column headers you can build multiple grouping orders:

Type ▲	Date Archived ▲						
		Revision	Document ID	Pages	Group	Date last mo...	Date Revised	Archived by	Last modified by	Revised by

Type: AP - Checks

Date Archived: 01/30/2007

| | | | | 1 | 1544 | | 1 | ACCOUNTS PAYA... | Tue 1/30/2007 | Tue 1/30/2007 | Default DocuClas... | Default DocuClas... | Default DocuClas... |

Date Archived: 05/04/2005

| | | | | 1 | 220 | | 1 | ACCOUNTS PAYA... | Mon 6/4/2007 | Wed 5/4/2005 | Default DocuClas... | Default DocuClas... | Default DocuClas... |
| | | | | 1 | 221 | | 1 | ACCOUNTS PAYA... | Thu 10/27/2... | Wed 5/4/2005 | Default DocuClas... | Default DocuClas... | Default DocuClas... |

Columns can also be dragged and placed in any order according to user preference. Simply click a column header and drag it to the desired location. The red arrows will show when you have dragged the column to a position where it can be docked:

Drag a column header here to group by that column.

			Document ID	Date Archived	Pages	Group ▲	Type	Date Archived	Date last mo...	Date Revised	Archived by
			46		1	ACCOUNTS PAYA...	AP - Invoices	Mon 1/10/2005	Wed 10/31/2...	Mon 1/10/2005	Default DocuClas...
			49	1	1	ACCOUNTS PAYA...	AP - Invoices	Mon 1/10/2005	Wed 10/31/2...	Mon 1/10/2005	Default DocuClas...
			51	1	1	ACCOUNTS PAYA...	AP - Packing Slips	Mon 1/10/2005	Sun 8/12/2007	Mon 1/10/2005	Default DocuClas...

Columns can be deleted from the sort entirely by clicking on a header and dragging to a position off the window. When you drag the header to a position where an 'X' appears that will indicate that the column will be removed once you let go of the mouse button:

Deleted columns can be restored by clicking View on the menu bar and selecting 'Reset Current Keywords List View':
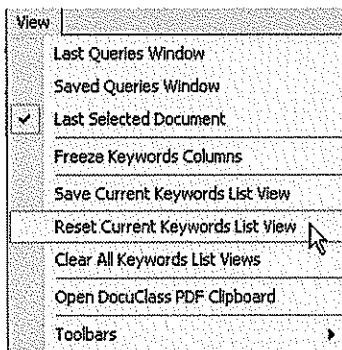
Once a document or group of documents have been selected, the users has a wide range of options to work from (e-mail, print, update, annotations, etc)

	Get more document (Next block)	Page Down
	Refresh	Alt+R
	Open with internal viewer	Alt+V
	Open with default system program	Alt+W
	View document text	Alt+T
	Email	Alt+E
	Compress and email	Alt+Z
	Copy to Disk	Alt+C
	Print	Alt+P
	Add to Favorites	Alt+F
	View Document Versions History	Alt+H
	Copy Documents Keywords to Clipboard	
	Copy to DocuClass Acrobat Clipboard	
	Check Out	Ctrl+O
	Check In	Ctrl+I
	Delete	Ctrl+Del
	Update Document Keywords	Alt+K
	Update Common Keywords	
	Smart Keyword Update	
	Document Notes	Alt+N
	Move to another Document Type	
	Merge Documents	Alt+M
	Re-index (batch)	
	Marking Selected Documents	Ctrl+M
	Update Form Document	
	Update Document Version	▶

3.1.1.40   System should have the ability to save a query for future use. Saved queries should be able to be made public.

Response: The proposed DocuClass system meets this requirement

The 'Save Query' button that will keep a copy of the query under the new 'Saved Queries' tab.

There are also two tabs available for 'Last Queries' and 'Saved Queries' that will show a quick list of queries run and those that were saved.

3.1.1.41   System must provide the ability to search across multiple applications for common index value, and must be able to display image content from these applications.

Response: The proposed DocuClass system meets this requirement
Docuclass offers the global index field features that allows users to search for documents across several applications

3.1.1.42   System must allow for unlimited number of imaging applications with the ability to secure any and all applications from user access.

Response: The proposed DocuClass system meets this requirement
Docuclass offers the capability to create an unlimited number of applications and document configurations with the ability to secure any or all of them.
DocuClass enables administrators to define a wide range of permissions and access levels to different user groups and user roles.

3.1.1.43   System must allow for building of document applications without programming or database development.

Response: The proposed DocuClass system meets this requirement
Docuclass is a non programmable solution. All configuration work is point and click based. DocuClass is designed to give organizations true system ownership by allowing them to easily and update DocuClass as their needs grow or change.

For example: Creating a Document Group:

1. Open the DocuClass System and Security Configuration interface window, click on 'Structure,' then select the 'Document Groups 'option from the pull down menu, or simply click on the 'Document Groups' icon.
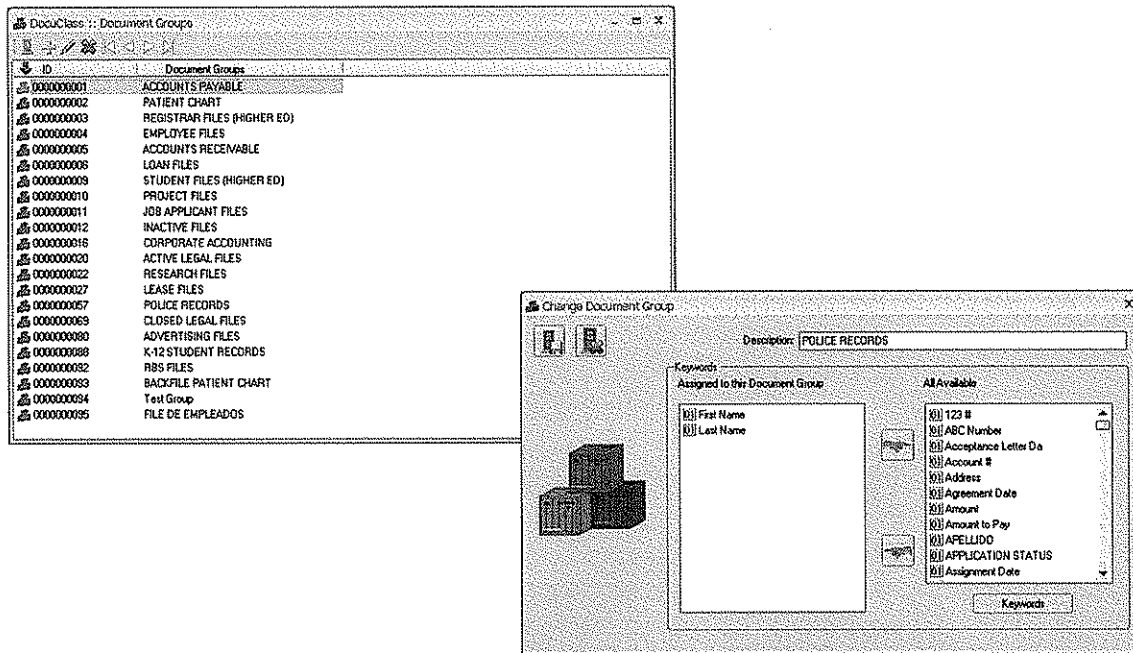
2. A list of document groups already in the system is displayed in the window DocuClass: Document Groups. Click on New or on the corresponding icon to create a new document group.

3. Type the name of the new document group into the description field.

4. 4. Assign the keywords to the new document group by selecting them from the 'All Available' area and placing them in the Assigned to this Document Group area; then click on the Save and Close icon.

3.1.1.44   System should provide the ability to specify index fields as required, read only, leading zeros, part of a unique key, etc.

Response: The proposed DocuClass system meets this requirement

DocuClass offers a wide range of options
To create index fields. They include:

Define format
Define index type
Belongs to a list or a unique key
Required or not
Participates in a Workflow process
Is automatically defined by an algorithm
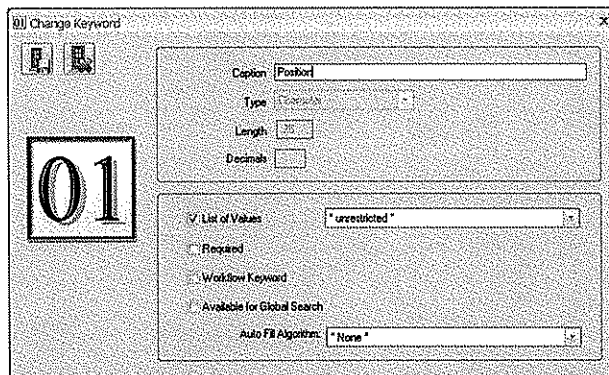
3.1.1.45 System should provide validation masks to index fields to ensure proper input (AA-NNN-NNN-AAAA). The attributes of the index fields should be user definable, including but not limited to: field name, length, and field data type.

Response: The proposed DocuClass system meets this requirement

Response: The proposed DocuClass system meets this requirement

Validation masks (or "pictures") can be assigned to fields. As already described in previous section response administrator may define all attributes for index fields. Except the usual field types (character, numeric, date, logical, memo, etc.), DocuClass offers a very flexible "Grid" type allowing an unlimited number of "rows" of predefined type "columns" to be assigned to a single keyword.

3.1.1.46 This section intentionally left blank.

*3.1.1.47 **Computer Generated Reports** – There are a variety of daily, weekly, and monthly reports generated from the systems operated lottery contractors, and printed on Lottery printers for distribution. **SEE ATTACHMENT 6**. The proposed system must be capable of automatically storing these reports in electronic format and automatically indexing the report for retrieval. At present these reports are either ASCII or PDF.*

*3.1.1.47.1 The reports are generated on systems owned by contractors of the WV Lottery and there is the possibility that the contractor could change upon renewal of the contract. For this reason the report management software must have the ability to process advanced print streams. **The remainder of the prior sentence has been deleted**. At the present the system must be able to process ASCII and PDF print streams.*

3.1.1.47.2 This subsection has been deleted.

3.1.1.47.3 The system must automatically detect that a report has been generated and is ready to be processed.

Response: The proposed DocuClass system meets the requirements stated in 3.1.1.47

DocuClass COLD/ERM is capable of capturing reports directly from the spool file, putting it into a pre-defined format, thus converting them into searchable and retrievable electronic documents

Features include:

- Generate electronic documents from any application that can print to a text file
- Save final documents in industry standard formats such as Adobe Acrobat (PDF) or TIFF
- Automatically print documents or distribute them via e-mail or fax
- Initiate workflows, notify users, and dynamically update the status of related

3.1.1.47.4 The system must automatically extract data from the report, which will be used to index and retrieve the report.

3.1.1.47.5 System should offer compression of report prior to storage.

3.1.1.47.6 System should offer a data mining tool to extract data from multiple reports and create customer reports as required.

Response: The proposed DocuClass system meets this requirement (including 3.1.1.47.5 and 3.1.1.47.6)

The DocuClass COLD/ERM module generates single or multi-page electronic documents using ASCII data streams captured from third party applications. It automatically generates each document using a predefined layout template for every document type, indentifies and separates multiple documents from a single spooler file, updates document keywords, identifies and updates related documents already stored in the DocuClass system, and prints or electronically distributes

DocuClass COLD/ERM generates, on the fly, electronic documents using the contents of ASCII spooler files. Instead of simply applying cosmetic changes to the original structure of the file, such as overlaying text on a background image, users have the freedom and flexibility to redesign and reformat the contents of the entire document, providing full control of the final document appearance

Sample Applications
Records Management Policies
Users can retrieve and independently view documents with the application and the hardware platform that created them.
Purchase Management
Generate and distribute purchase orders automatically
Invoice Management
Generate and distribute invoices automatically
Check Management
Automatically generate and send checks
Financial Report Management
Automatically generate and store financial reports
Statement Management
Automatically generate, distribute, and store statements
Accounts Payable
Workflow management for Accounts Payable

RESPONSE TO GENERAL REQUIREMENTS - Section II

3.1.2   Document Capture and Electronic Forms Capture

3.1.2.1   System must offer support for batch scanning, allowing a user to scan an entire batch of pages to be indexed at a later time.

Response: The proposed DocuClass system meets this requirement
DocuClass Advanced Scanning Module allows for batch and high volume scanning. It also provides the ability to manage the entire scanning process by controlling which users are assigned to scan, index and validate documents.
Users can even send documents back from one stage to the previous one (for example, if the images were not correct, the document can be sent back to the scanning phase)

Advanced Scanning is designed to capture, process and index, in production mode, any type of paper-based or TIFF documents. It combines the simplicity of a user-friendly interface with the power of pre-configured scenarios, including combinations of some of the following procedures:
• Document separation – using blank pages, patch codes, barcodes, or fixed number of pages setting
• Document classification – predefined or using barcodes
• Indexing – using manual entry of individual or common values for selecting keywords, or using advanced indexing via barcodes or auto-fill from any SQL table or csv data file
DocuClass moves the captured documents automatically from one queue to another according to an internal scanning workflow.

Manual Separation ☐
Classification ☐ Indexing ☐
Verification ☐ Exceptions ☐
Transfer ☐ Store

Documents may also move automatically from the scanner to the stored queue (DocuClass storage) fully indexed and ready for retrieval.

3.1.2.2   Batch scanning must provide support for OCR and Bar Code Recognition. It must be possible to index scanned batches at any scanning workstation.

Response: The proposed DocuClass system meets this requirement
DocuClass provides OCR, Bar code recognition, patch-code recognition and much more.
Users can index from any scanning station.

3.1.2.3   System must offer image enhancement utilities for both bi-tonal and color images.

Response: The proposed DocuClass system meets this requirement
DocuClass offers extensive image enhancement features.

The following screen describes the de-skew, de-shade, de-speckling, line repair etc (see next page)
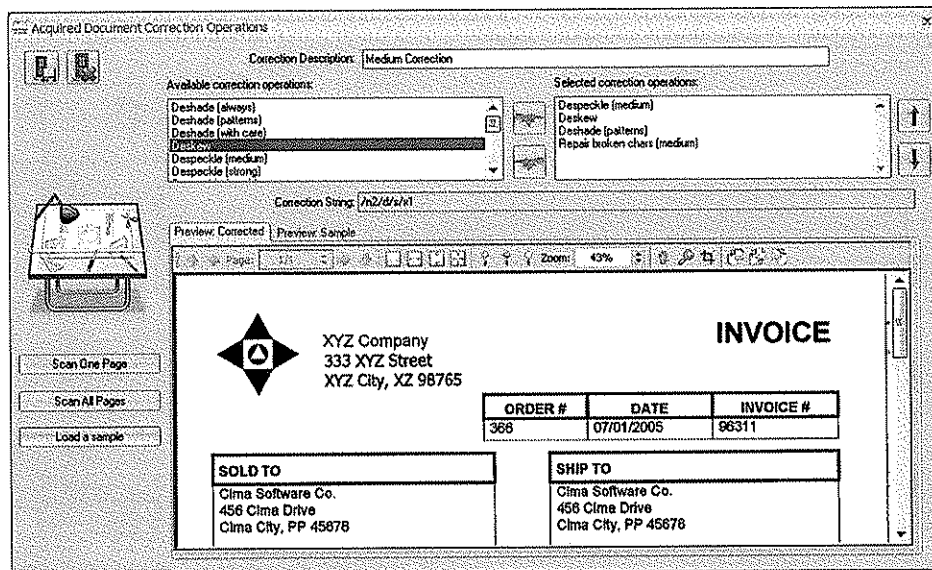
3.1.2.4   System must have the ability to capture documents from any of the scanning-enabled digital copiers and store them to the imaging system. At present all digital copiers are Konica Minolta. This could change in the future.

Response: The proposed DocuClass system meets this requirement

DocuClass can monitor any number of "hot folder" where images scanned by the digital copiers are being temporarily stored.

For example, "Insurance documents" can be scanned to the "Insurance documents" folder. DocuClass will the monitor this folder and every n minutes or second will pull the scanned images into DocuClass automatically.

DocuClass can also any type of drive dedicated scanners

3.1.2.5   Capture solution should offer image enhancement. Bi-tonal image enhancement should allow the user to de-skew, align margins, remove lines and specks, and convert inverse text to black on white. Color enhancement should allow the user to change intensity, contrast, and sharpness of color images.

Response: The proposed DocuClass system meets this requirement

DocuClass offers extensive image enhancement features to meet these requirements

The following screen describes the de-skew, de-shade, de-speckling, line repair etc (see next page)
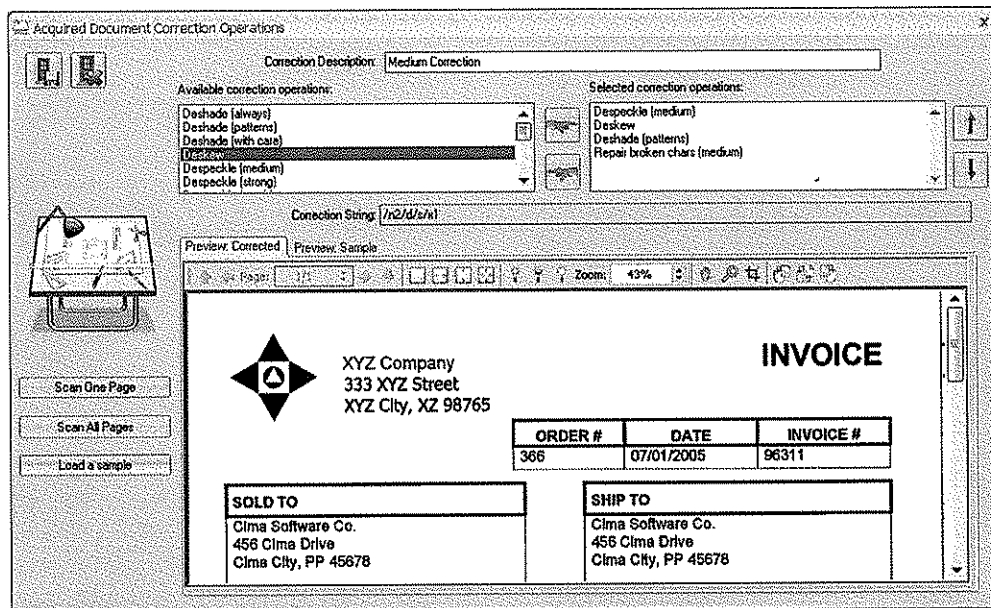
3.1.2.6   *Successful vendor will provide scanning hardware. A minimum of 2 production level scanners, 4 departmental scanners and 4 low-volume desktop scanners will be installed. Vendor must provide the workstation specifications for all scanners.*

     3.1.2.6.1   *Production Scanner – Bowe Bell & Howell 9125 Ngenuity or equal*

          3.1.2.6.1.1   *Rated speed of 125 ppm or 250 ipm*
          3.1.2.6.1.2   *Ability to scan color, bi-tonal and grayscale*
          3.1.2.6.1.3   *700 sheet automatic document feeder*
          3.1.2.6.1.4   *600 DPI optical resolution*
          3.1.2.6.1.5   *Unlimited daily duty cycle*
          3.1.2.6.1.6   *VRS Professional*
          3.1.2.6.1.7   *USP 2.0 interface and cable*

Response: The proposed solution meets this requirement. Cima Software will provide the requested scanners

Recommended Workstation specifications:

Processor: 2 Gigahertz or higher
RAM: 4 Gig
Hard-drive: 100 Gig
19-22 Inch Monitor

     3.1.2.6.2   *Departmental Scanner – Bowe Bell & Howell Truper 3600 Plus or equal*

          3.1.2.6.2.1   *Rated speed of 67 ppm or 106 ipm*
          3.1.2.6.2.2   *Ability to scan color and bi-tonal*
          3.1.2.6.2.3   *200 sheet automatic document feeder*
          3.1.2.6.2.4   *600 DPI optical resolution*
          3.1.2.6.2.5   *10,000 page daily duty cycle*
          3.1.2.6.2.6   *VRS Professional*
          3.1.2.6.2.7   *USP 2.0 interface and cable*

Response: The proposed solution meets this requirement. Cima Software will provide the requested scanners

Recommended Workstation specifications:

Processor: 2 Gigahertz or higher
RAM: 4 Gig
Hard-drive: 100 Gig
19-22 Inch Monitor

     3.1.2.6.3   Low-Volume Desktop Scanner – Cannon DR2510C or equal

          3.1.2.6.3.1   Rated speed of 25 ppm or 50 ipm
          3.1.2.6.3.2   Ability to scan color and bi-tonal
          3.1.2.6.3.3   50 sheet automatic document feeder
          3.1.2.6.3.4   600 DPI optical resolution
          3.1.2.6.3.5   1,500 page daily duty cycle
          3.1.2.6.3.6   USP 2.0 interface and cable

Response: The proposed solution meets this requirement. Cima Software will provide the requested scanners
Recommended Workstation specifications:

Processor: 2 Gigahertz or higher
RAM: 2 Gig or higher
Hard-drive: 100 Gig
19-22 Inch Monitor

3.1.2.7   Capture solution should support document input devices (scanners, digital cameras, multi-function printers/copiers) that are TWAIN, ISIS, or KOFAX compliant from the Desktop or Web client.

Response: The proposed solution meets this requirement.

3.1.2.8   System should allow scanning directly into the imaging/ content management system from the desktop scanners and from the digital copiers. The Lottery has various models of the Konica Minolta BizHub which may change in the future.

Response: The proposed solution meets this requirement
DocuClass can scan directly from dedicated desktop scanners or from digital copiers.

For digital copiers, DocuClass can monitor any number of "hot folder" where images scanned by the digital copiers are being temporarily stored.

For example, "Insurance documents" can be scanned to the "Insurance documents" folder. DocuClass will the monitor this folder and every n minutes or second will pull the scanned images into DocuClass automatically.

3.1.2.9   System should be able to capture local at a remote location and move on-line at a later time if network bandwidth is not available.

Response: The proposed solution meets this requirement

DocuClass can perform both central and remote scanning.

DocuClass offers the option to control the transfer mode (move on-line at a later time) not only based on the available network band-with but also on the file size, the document relevance and type of document
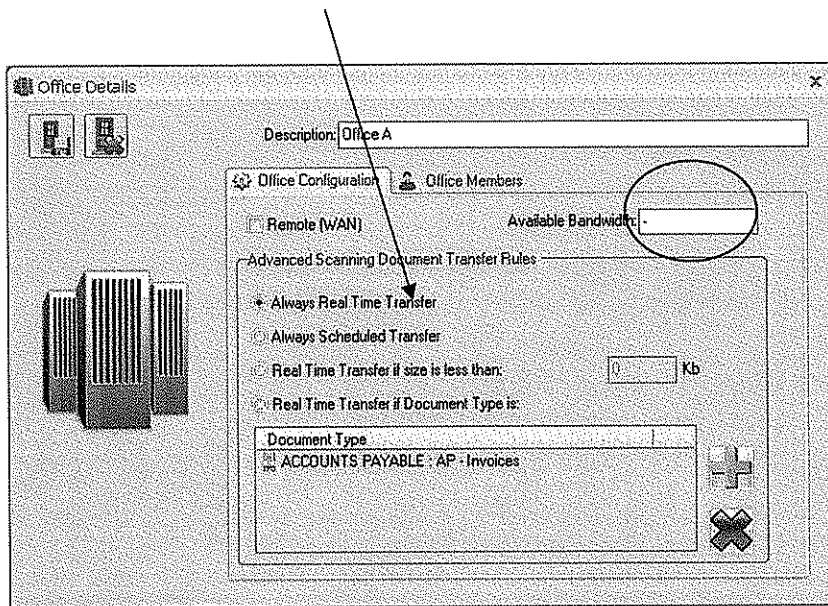
3.1.2.10   System should allow for the import of images into a batch queue for indexing or direct import of images and associated indexes into the application.

Response: The proposed solution meets this requirement
DocuClass supports and provides many options for interactive indexing and scanning operations.
DocuClass can import /capture images and send them to an Indexing queue or directly import images and associated indexes into DocuClass (using the Import Agent module)

Furthermore, DocuClass offers additional capture components such as the **XML Connector** (that can batch import XML files with images and index files automatically) and the **E-mail Connector module**, designed to automatically batch import e-mails and associated attachments and attributes into DocuClass by monitoring pre-defined e-mail accounts.

3.1.2.11   Capture solution must provide database lookup functionality so that a primary key field can be entered manually, by barcode, or OCR and other related fields will be completed automatically using information in a SQL Server 2005 database provided by the Lottery.

Response: The proposed solution meets this requirement
DocuClass allows for the manual entry of a key field, or the automatic identification of the key field by barcode or OCR and then have the other fields be filled automatically using information in a WV Lottery SQL Server 2005 database.

To attend this requirement, the DocuClass Advanced Scanning component has the ability to create queries with external databases and apply within the Advanced Indexing features to Auto-fill selected keywords. The following screen shots illustrate the way DocuClass attend this requirement.

The following screen shot shows the window from AS where the administrator defines the settings for the auto-fill function.
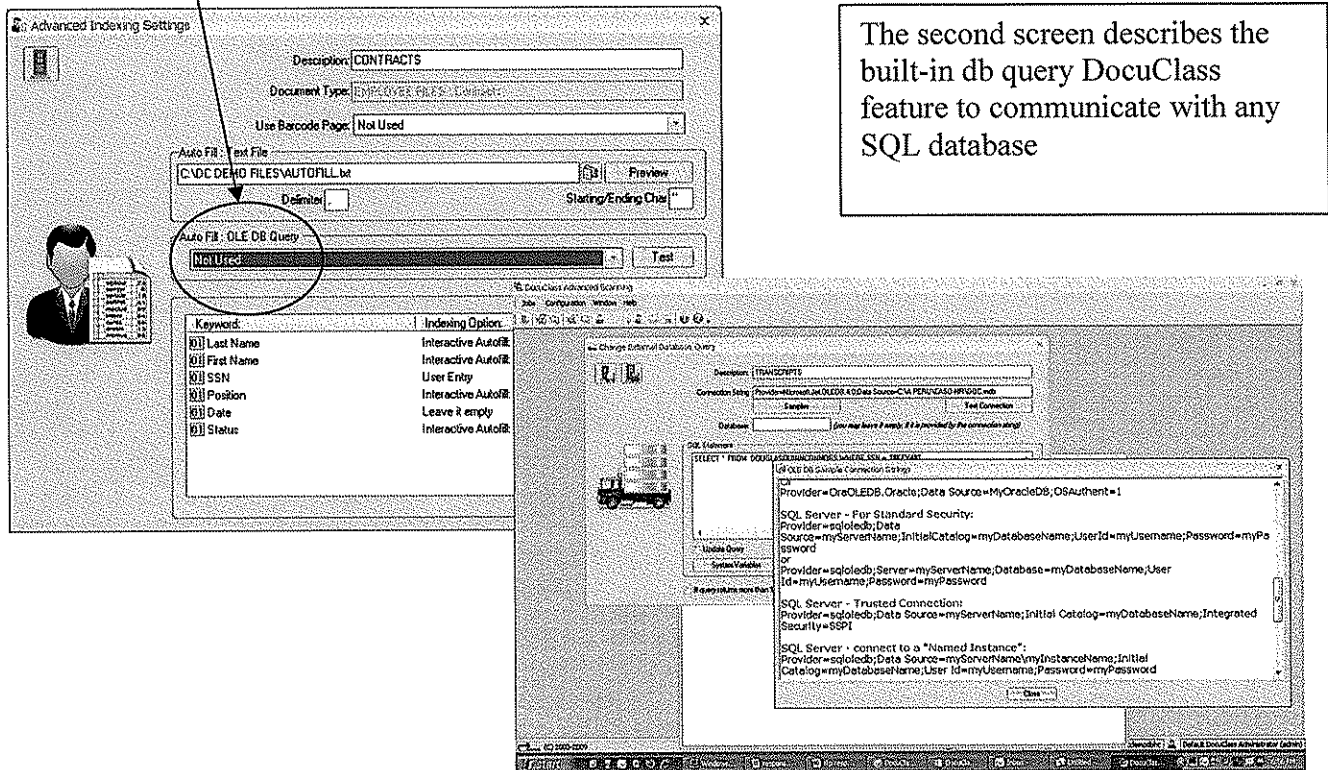
The second screen describes the built-in db query DocuClass feature to communicate with any SQL database

The connection string will determine the SQL Database and table to be used. The Testing connection is available.

The SQL Statement will get the required data from the table based on the selected variable, including a system variable ("Key #").

Once the External database query has been created and Saved, it could be used to Autofill any keyword.

3.1.2.12   All communication between an electronic form and a server must be encrypted.

Response: The proposed solution meets this requirement

3.1.2.13   Data that is entered on the e-form will automatically update the respective Microsoft SQL database.

Response: The proposed solution meets this requirement

DocuClass can update the existing SQL database with data entered on the e-form.

3.1.2.14   System must provide database look-up capability to allow form field completion upon the entry of unique identifiers

Response: The proposed solution meets this requirement

*3.1.2.15   Proposed e-form solution should include an easy-to-use form design tool that can be used to create a form from scratch or import scanned paper form or PDF form. Form design tool **must** support the following design functions:*

         3.1.2.15.1   Graphics

         *3.1.2.15.2   Digital **Certification***
         *3.1.2.15.3   **Minimum** 128-bit native encryption **and support 156-bit encryption***
         3.1.2.15.4   Local field-level pop-up style help
         3.1.2.15.5   Attachment handling
         3.1.2.15.6   Built-in local logic, calculations, validation, conditions
         3.1.2.15.7   Wizard driven help files that travel with the form

Response: The proposed solution meets this requirement

DocuClass e-Forms are based on standard PDF documents used as "FORM Templates". Therefore when a user initiates a new e-form, DocuClass is using the predefined (for this particular form) PDF template. Therefore any standard "PDF Design" tool available in the market can be used to design and create a new DocuClass e-Form. Since every e-Form is a PDF document, all standard features available to PDF documents (javascript, digital certificates, graphics, calculation, etc) are also available to DocuClass e-Forms

3.1.2.16   Electronic forms should be available to an unlimited number of users, preferably with no per-user charge

Response: The proposed solution meets this requirement

3.1.2.17   Users should be able to view, print, and save their electronic forms locally

Response: The proposed solution meets this requirement

3.1.2.18   Upon submission of an electronic form, it should be automatically indexed and stored to the content management repository and initiate a business process workflow.

Response: The proposed solution meets this requirement

3.1.2.19   Vendor should provide a secure network configuration for proposed e-forms solutions to include diagrams and necessary ports and protocols to communicate securely with the WV Lottery LAN.

Response: DocuClass Forms Server listens to any port and is using only HTTP or HTTPS protocol. Therefore it can work in any network configuration allowing HTTP(S) requests/responds to pass from a specific port

RESPONSE TO GENERAL REQUIREMENTS - Section III

3.1.3   Integrated Workflow

DocuClass Workflow has been designed to help organizations streamline and automate traditionally time-consuming, paper-based processes.

DocuClass Workflow will enable the WV Lottery to:

- Monitor and assess business processes
- Reduce overhead costs
- Eliminate unnecessary, costly tasks
- Improve productivity
- Identify potential bottlenecks
- Monitor timelines and process deadlines
- Generate accountability
- Reduce business risks
- Automate tasks

Optimizing and managing information workflows can reduce operational costs and increase productivity, profitability and market share. DocuClass Workflow automates critical business processes. Whether applying a document retention policy that moves documents of a certain type to "offline" storage after a certain period of time, authorizing vendor invoice payments, ensuring that all faxed customer orders are processed correctly and on time, or streamlining the recruiting process, DocuClass Workflow can make it happen.

Highlights

- Easy to use and set up
- Design any business process in a matter of hours, not days or weeks
- No programming skills needed
- Execute workflows from a simplified, user-friendly environment
- Combines document management features with workflow capabilities

Characteristics

- Integrated environment: seamlessly integrated with all the DocuClass components
- Extremely powerful security schema: expands the DocuClass security scheme using the "roles" concept
- User, system and time actions and events: workflow transitions can be triggered by a user, system, or time-based condition
- Integrated with external systems: external systems can be queried or updated during a workflow
- Tracks document routing and transition history: automatically tracks document transitions and generates document history reports

3.1.3.1   System must have an integrated workflow that has the ability to provide rules-based and ad-hoc document routing.

Response: DocuClass meets this requirement

DocuClass has a robust, flexible and integrated Workflow module designed to streamline business process, provide rules-based and ad-hoc document routing, monitor deadlines, control exceptions, trigger automatic notifications and alerts, identify potential process bottlenecks and provide global information about the process and its performance.

Documents are routed through DocuClass Workflow based upon a predefined set of conditions, rules, and actions. These actions could be a mix of system-driven actions that run behind the scenes, such as notifications and/or user-driven actions, such as the authorization or denial of a request by a supervisor. DocuClass Workflow places documents in specific queues which represent the different steps, status, or phases of document processing. Workflows can be initiated by user actions or commands, time-based events, or DocuClass system events.

See diagram below:
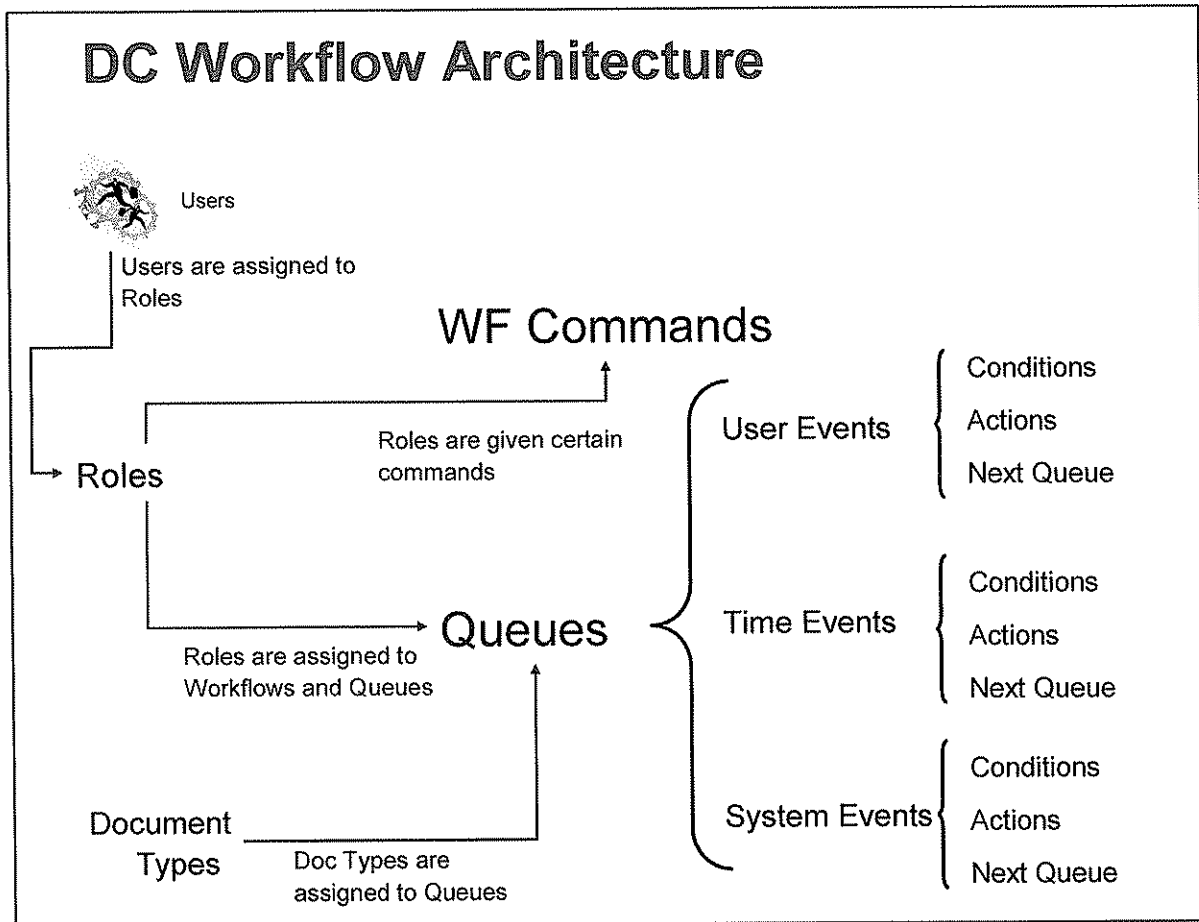
3.1.3.2   System must support 75 workflow participants

Response: DocuClass meets this requirement

Over 75 WV Lottery users will be able to participate in one or more Workflows

3.1.3.3 System must include an application development tool that an administrator can use to design and develop business process maps, database definitions, business rules, and business process roles.

Response: DocuClass meets this requirement
DocuClass' application development tool is called Workflow Manager and it can be used by the administrator to design and develop business processes and lifecycles, database definitions, business rules and roles.

DocuClass Workflow Manager is a non-programmable module making it easier for the WV Lottery administrator to make changes, define new processes and expand the system.

3.1.3.4   System must have the ability to create, modify, and maintain electronic workflow templates.

Response: DocuClass meets this requirement
The Workflow Manager module will allows WV Lottery Administrators to create, maintain and modify any number of workflow lifecycles, templates, queues, actions, conditions and events, without the need of programming work and confusing scripting sessions.

3.1.3.5   System must have the ability to add, delete, or modify an object or document in a workflow task based on the users' security rights.

Response: DocuClass meets this requirement
DocuClass provides administrator with an advanced workflow security schema designed to control user access to certain queues, actions and document within the workflow process as well as to control what permission these users have while participating in the workflow process.

The security schema is based on the concept of roles..

WV Lottery administrators can create roles and assign users to roles and give permissions to users based upon their responsibilities within their business processes. DocuClass Workflow can restrict the execution and/or monitoring of each workflow step to only those who belong to roles that are authorized to participate in that particular phase of the workflow.
This enables users to participate in more than one role and provides administrators with the ability to manage complex and dynamic process environments.

3.1.3.6   It must be possible to place a job on hold and indicate the reason and duration of the hold. Other users must be able to see the cause and status of the hold.

Response: DocuClass meets this requirement
With DocuClass Workflow the WV Lottery will be able to:
- Place a job on hold (Hold Queue and/or Hold status)
- Indicate the reason
- Define the duration of the hold (which could be based on certain business rules or manually decided by one or more users)
- As documents are placed on hold, their process status may be dynamically updated by the system
- Trigger a notification alerting key users of the hold status
- Send documents "on-hold" to a specific queues assigned to certain users

- Trigger other actions such as:
  - Update other related documents' status
  - Move other documents to a different section or group
  - Look for missing documents
    - For example, a document may be on-hold because the file is not complete..DocuClass could automatically verify when the needed documents arrive and release the document from the "hold" status.

3.1.3.7   Workflow solution must support electronic signature.
Response: DocuClass meets this requirement

RESPONSE TO GENERAL REQUIREMENTS - Section IV

3.1.4.   Vendor Qualifications

3.1.4.1 The bidder shall provide an organization chart showing names of the bidder's proposed primary site general manager and key managerial staff. The chart should also show the names of all management, supervisory, and key technical personnel who are expected to be active in ongoing support of the system. Additional support staff need not be named but can be listed by title and quantified. The Agency has the right to refuse the services of any on-site employee of the successful bidder based on the employee's technical competence or criminal background. All management, supervisory, and key technical personnel who will be active in the implementation and ongoing support of the system shall be subject to initial and periodic background checks using the Agency's electronic fingerprint capture system. An individual shall be removed from supporting the contract as an outcome of adverse results from the background checks. In the case of a criminal background refusal, the basis for' refusal shall be a conviction of any felony or any crime related to theft, gambling, or involving moral turpitude.

Response:

3.1.4.1. CIMA Organization Chart and Implementation Team

ORGANIZATIONAL CHART:

IMPLEMENTATION TEAM – To be assigned to the VW Lottery implementation project

<u>**Project Manager**</u>

Nelson A. Cano

With over 12 years of experience leading multiple implementation projects of different scopes and sizes, this professional has a track record of achievement in the execution of state of the art document management systems and conversion projects and has been rewarded by his customers for superior accomplishment and success.

- MBA, Duquesne University
- Master of Information Systems, Duquesne University
- AnyDocs Certified Software consultant
- DocuClass certified
- MCP Certified
- Kofax Certified
- Certified Document Imaging Architec
- AIIM ECM Specialist Certified
- Domestic and International Project Management experience

Work History:

- Over 12 years of experience managing multiple client interfaces, contingency processes and risk.
- Extensive Document Management Systems Implementation Experience
- 10 years of experience managing project processes from planning and execution, to controlling and closure: Successfully completed projects at the WV Workforce Department, WV State Police, Allegheny Intermediate Unit, DCNR, Ventana USA, US Dept of Defense, Richland One, several higher education institutions among others:
- Extensive experience in data modeling, process reengineering, workflow deployment, data and file conversion, forms processing, image enhancement, and database migrations.
- Network and Databases configuration-management expertise
- VB programming experience

<u>Senior Engineers</u>

Greg Snow

- Bachelor of Science - Pennsylvania State University, State College, PA
- Graduated in Information Sciences and Software Development at Robert Morris University
- CDIA, MCP
- Ricoh Technical Certifications
- DocuClass Advanced Technical Certification
- Project Management Certified
- Skills:
  - Systems: Windows 9X/NT/2000/XP/2003/Vista/2008, Desktop Linux (Linspire), Mac OSX
  - Databases: MS SQL, SQL Express, mySQL
  - Languages: Visual Basic .NET, SQL, M, ASP, CSS
  - IT Experience

His experience includes:

Document and Content Management - Solutions Installer and Support Business process analysis, solutions design, implementations and support

Systems Administration/Solutions Support Network Infrastructure design and maintenance. Exchange administration and maintenance. Internal/external security, design, and maintenance. Maintain software testing environments, build/test installers, and manage installer support.

Solutions Engineer (2003 – 2008): Provided tier 1 and tier 2 solutions support. Performed systems administration, maintained internal security, and performed network infrastructure maintenance tasks. Designed, implemented, and maintained client infrastructure, email servers, and data centers.

Systems Administration (1999 – 2003): Performed systems administration, maintained internal security, and performed network infrastructure maintenance tasks. Managed help desk support personnel and performed tier 2 helpdesk support. Implemented internal procedures for data center security.

Roman Cano

Roman is very experienced implementing similar systems, setting up scanning/capture and document management systems as well as well as providing customer technical support. He has the following professional background:

- Cima Senior Technical Engineer
- DocuClass Certified
- Microsoft Certified Professional
- Certified Document Imaging Architec
- Conversion and Processing expertise such as: PDF conversion, scanning, indexing, barcode recognition, Forms recognition
- Over 6 years of experience implementing document management projects (small and large)
- Roman is an expert in databases, migration, scripting and zonal/ICR and forms processing projects
- Programming Skills: \Programmer in Pascal, Visual Basic 6, CA Visual Objects
  Operating Systems: UNIX, Windows 9X/2000/NT/XP
  Database: Oracle, MS-Access, MySQL, Microsoft SQL Server
  Networking: TCP/IP, VPN, LAN Administration
- **EXPERTISE :**

Languages:	Pascal, Visual Basic 6
Operating Systems:	UNIX, Windows 9X/2000/NT/XP
Database:	Oracle, MS-Access, MySQL, Microsoft SQL Server
Networking:	TCP/IP, VPN, LAN Administration
Application:	MS Office Suite, Adobe Photoshop, Paint Shop Pro,
Hardware:	IBM, PC Compatibles, Installing Software, Troubleshooting

Work History:

Some of the relevant projects are:

- Migration of more than 13'000,000 of records with notes from Filenet to DM system system and installation of the Backup and Recovery system for the West Virginia WorkForce Division. (0 % proof of error)

- Customization of AnyDoc Software to emulate and replace Captiva Software for the West Virginia WorkForce Division

- Design, implementation, and management of an Advance Scanning System for the Department of Defense Finance and Accounting (DFAS). Integrated with a MS SQL Database.

- Design, implementation, and management of an Advance Scanning System for the PA Department of Conservation of Natural Resources (DCNR). Integrated with Oracle Database.

- Design, implementation and management of the conversion of 1.4 million for the City of Pittsburgh Backlog Scanning for the Community College of Allegheny County, PA (CCAC).

- Richland County School District, SC: Scanning and indexing of over 1 million documents for the HR department.

Senior Software Developer and Systems Architecture Specialist

Lefteris Catsaros

Lefteris is a pioneer in the development of information systems for various business areas, having a professional experience of more than 18 years.

He is an OEM partner with Microsoft and Oracle and he has developed technical software for mainframe and Unix systems - addressing shipload stability problems.

Since 1985, Lefteris has worked with almost every programming language, every operating system and almost every database system. Current topics of interest are focused at Software Development Processes & Methodologies, Document Management Systems, Image Processing Systems, Knowledge Sharing Systems and Mobile Applications. He is also participating at various European Community research projects related with micro-payments and e-business solutions delivered at mobile phones. He is a member of Java Developers Connection and Nokia Developers Group.

3.1.4.2 Software and Hardware Support

3.1.4.2 Software support must be provided Monday through Friday from 8:00 AM until 5:00 PM excluding holidays with a 4 hour response. Hardware maintenance on scanners must be provided Monday through Friday from 8:00 AM to 5:00 PM excluding holidays with a maximum 24 hour response. Support must be provided for a period of 36 months from date of final acceptance by the WJ Lottery.

Response: Cima Software agrees to comply with this requirement

Cima will provide unlimited remote software support Monday through Friday from 8:00 AM until 5 PM with a 3 hour response time. On-site support is also available.
Hardware support will be provided Monday through Friday from 8:00 AM to 5:00 PM excluding holidays with a maximum 24 hour response. Support will be provided for a period of 36 months from date of final acceptance by the WJ Lottery.

3.1.4.3 Vendor must provide a minimum of three (3) and maximum of five (5) references. References should include the name, title, organization, telephone number, email address and brief description of the system installed.

3.1.4.3. References

REFERENCE 1

NAME OF FIRM: _____WORKFORCE WEST VIRGINIA_____

CONTACT PERSON: _PAM BELT_____(Manager)_____ PHONE: _(304) 559 - 3679_____

Project Description:

This project consisted of two phases:
1. Migration of 13 Million documents from a legacy system
2. Design and implementation of a enterprise Workflow, capture and reporting system
   WV Workforce uses high volume Bell and Howell scanners to scan and process large volumes of information
   Cima designed and implemented an automatic scanning/data capture process that feeds a complex and multi-layer Workflow system (created, modeled, configured and tested by Cima)

Testimonial:
On behalf of Workforce West Virginia I would like to congratulate Cima /ADMS for a job well done.

The nature of this major project was not only complex, with numerous parties and environments involved, but it also included a large migration of data and documents from a legacy system. Nevertheless, Cima/ADMS helped us move forward with the project until it was successfully completed. They worked closely with our project team, listening to the critical elements and needs of our Bureau, while providing a visionary yet realistic solution that was carefully designed to meet and in most cases exceed our expectations.

It is evident that their staff takes great pride in the solutions provided to their customers: "Solutions that perfectly combine the right software and hardware with a proven implementation methodology". Selecting Cima/ADMS as a project partner was one of the best decisions made by our Bureau.

We look forward to continuing a long relationship with Cima/ADMS

Pamela A. Belt, Manager
Workforce West Virginia
Unemployment Compensation Division

REFERENCE 2

NAME OF FIRM: _____ ALLEGHENY INTERMEDIATE UNIT (AIU3 - PITTSBURGH, PA)

CONTACT PERSON: _Debbie Stella_____ PHONE: _(412) 394 – 5700 debbie.stella@aiu3.net

Project Description:

AIU3 is a large organization (about 2,000 employees) that has been using DocuClass for several years and continues to expand the system. This project has had 3 phases so far:

1. Implementation of an automatic and decentralized capture and retrieval system for Student Records. Documents are capture across 10 different centers using barcodes. Once scanned and indexed, documents are accessed from LOB application using our Application Connector module.

2. Design and implementation of an enterprise Workflow, capture and reporting system for the Business Office.
   Allegheny Intermediate Unit uses DocuClass to automate the capture, approval and processing of incoming vendor invoices for 130 Programs. This process utilizes scanning, Workflow, COLD_ERM, Info-push and reporting DocuClass components

3. Design and implementation of a Hiring and Job posting Workflow process. This system utilizes DocuClass e-forms, Workflow and scanning components

   See attachment 3: case studies

Testimonial:

'We have been working with DocuClass just over a year. During this time we greatly improved two internal processes and are looking forward to significant improvements in other business applications. DocuClass is intuitive, user friendly, and offers a single solution for our diverse needs – from student records management to enhancing business processes"

Debbie Stella
Assistant Director of Finance
Allegheny Intermediate Unit

REFFERENCE 3

NAME OF FIRM: _____VENTANA USA (- PITTSBURGH, PA)

CONTACT PERSON: _Ann Pauly_____ PHONE: _((724) 325-3400   apauly@ventanapa.com

Project Description:

Company Profile

Ventana USA® is a market-leading expert in the art and engineering of custom vinyl profile bending and fabricating of architectural shapes for window manufacturers, in traditional or special geometric shapes, styled to fit any design concept

The Problem

The first problem Ventana USA encountered with respect to managing documents was insufficient storage space. It maintained a whole mezzanine floor full of boxed documents for servicing customers, verifying warranties, and saving invoices for the IRS. Whenever a Ventana employee needed a particular document, they would climb to the documents floor and dig through dusty boxes until they found it. Eventually Ventana simply ran out of document storage space.

Searching manually for orders and instructions also resulted in slower customer response times. Documents were sometimes lost or misfiled, and there was an increased chance of errors in ordering, payment, manufacturing, shipping and billing.

Ventana simply ran out of document storage space.

The Solution

Ventana decided to improve their business processes, beginning with the way they handled and processed documents. Their initial objectives were:

- Increase customer satisfaction by reducing the time it takes to find their files
- Make documents accessible from multiple locations
- Keep all related documents together
- Reduce costs by moving documents to electronic format
- Ensure document security
- Track changes, updates, and status

Initially Ventana's document management system consisted solely of scanning, archiving and retrieval. They scanned all of their paperwork into the system and began handling their documents electronically.

After receiving the study results from their efficiency consultants, they decided to implement automated document workflows.

Customer Service

In the past, the fax machine would print the orders and someone would pick them up and walk them to the appropriate persons in the Customer Service Department. Customer Service Representatives (CSRs) would enter the orders, print them, and manually fax individual order acknowledgements back to the customers. Now DocuClass is directly integrated with the fax system, pulling them in, and routing them to a workflow

queue for the CSRs. DocuClass also automatically faxes order acknowledgements to customers as the CSRs process them.

Fabrication

In their original paper-based system, the CSRs walked the printed orders to the various departments for fabrication, often with verbal instructions or handwritten notes that were sometimes overlooked, misplaced, lost, or misunderstood. The Fabrication Departments had to dig through piles of paperwork to decide which ones they needed. DocuClass is now integrated with the orders system, capturing the orders through its COLD/ERM Module. Using the order numbers as keywords, DocuClass links the orders to their corresponding original faxes, along with any notes or special instructions, and routes them to Fabrication. Fabrication no longer searches through stacks of paper to decide which pages they need, and special customer instructions are permanently documented in the system for future reference and always remain attached to their respective orders.
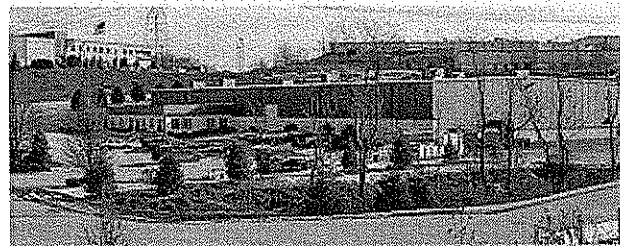
Shipping and Invoicing

Ventana used DocuClass to automate the Shipping and Invoicing Departments. In the past, someone had to manually walk the orders to shipping, write tracking numbers and shipping information on them, perhaps give some verbal instructions, and walk the order back to someone in the Invoicing Department, who would enter it into the invoicing system. Now, once fabrication is completed, DocuClass routes the order to someone in the Shipping Department who pulls it from the queue, examines the order, and enters the shipping information. DocuClass then automatically routes the appropriate completed documents to the Invoicing Department's queue. The DocuClass Workflow module also handles the tracking and routing of partial shipment orders back through the shipping and invoicing phases, as many times as necessary, until the orders are complete.

Human Resources

Ventana also implemented DocuClass in Human Resources to keep track of employee information. It handles the scanning, classifying, automatic indexing and validating of employee data files. Human Resources now can easily access employee information by keywords, while keeping that information secure from unauthorized users.

Communication

Ventana improved the coordination between its two facilities by using DocuClass. In the past, the Accounting Department was in a different building and could not access all of the paperwork they needed. The Fence/Deck/Railing Department was also split between two buildings but employees of both needed access to many of the same documents. Now, any DocuClass user, in any building is able to instantly access any other document in the system for which they have authorization.

DocuClass eased communications between the original and expanded facilities.

Summary

Using DocuClass, Ventana has been able to reduce costs and increase customer satisfaction by:

- Regaining the substantial amount of office space formerly used for paper documents
- Increasing the efficiency of their business processes by using the Workflow module
- Increasing the efficiency of existing personnel by eliminating manual paperwork
- Improving customer response times

- Reducing errors in dealing with customers by preserving all communications with them
- Accessing documentation from multiple locations
- Keeping all related documentation together

"DocuClass has helped us to grow our business and improve customer satisfaction."
— Dana Hawkins, IT Director, Ventana USA

Other Testimonials:

The software is amazing…the quality of life in our office is much improved! We have already utilized the software for transcripts several times. It is so easy!"
DocuClass has made it easy for us to transition from our previous archaic paper system to a much quicker, technically advanced alternative!!

Johnna Maryak
Associate Registrar
Point Park University

"DocuClass helped us to become more efficient in our record keeping and daily operations…..We are extremely pleased with the ease of use and the support we receive…..We looked at several companies when choosing a document imaging system and saw that DocuClass was way ahead of the other vendors…..DocuClass was the number one improvement in our business systems last year…

Mary Ann Papst
CFO
Association of Specialty Physicians, Inc.

The use of DocuClass has increased my productivity more than any other change I've made since I started in the HR department. My desks no longer have mounds of paper to search through and requests for information can be answered within a minute or two, rather than taking half an hour or more like they did before."

Kyle C. Knapp
HR Manager
Du-Co Ceramics Company

3.1.4.4 Vendor must provide a detailed implementation plan to include a timeline for installation, testing, training, and application development.

Response:

3.1.4.4. Project and Implementation Plan

Cima Software will assign a project team to this implementation.

The implementation process will include the following phases:

Phase 1: Initial Coordination

This phase involves:
1.   Meeting with the IT and Business staff to establish the implementation timeframe, expected goals, project reporting mechanisms as well as to establish the framework for the hardware and software installation. This coordination is critical to determine the specific requirements the Business users and IT have regarding business process, exceptions, timelines, network communication, security, hardware, database access, etc

      These discussions will encompass the following:
- Security requirements
- Network communication requirements
- Hardware specifications
- Database interface with new system
- Workflow design
- Database access
- Technical description of the new system
- Timeframes
- Schedule approval
- Transition phase (methodology, timeframe, contingency plans, schedules)

2.   Meeting with the employees involved in project, to review their business rules and practices, their policies constraints and requests for the system. The intention is to reach a deep level of understanding of their needs and environment in order to design a meaningful and user-friendly system that truly meets their expectations.

Phase 2 Hardware Installation (if required)

During this phase CIMA will install the server, workstations and work with the IT staff to make sure there are no network communication or hardware compatibility issues.

After the server has been installed, CIMA will proceed to install the scanners with the different workstations. The CIMA project team will pay special attention to driver compatibility, scanner testing and network testing.

Phase 3 System Setup

System Design

During this phase, CIMA project team will meet with the different user departments to firm the system configuration: what are the documents types, how many user groups there are, what are the index fields by document type, who has access to what, additional features such as annotation, envelopes, etc)

System Installation
During this phase, the CIMA project team will proceed to populate the database and then install the software at the server level.
Next, The CIMA team will start the configuration of the software, creating the different document type groups, document types, index fields, naming conventions, user groups, user rights, special features, etc.

Phase 4: Workflow System Design and Process Analysis

4.1 Design and Modeling Phase

Design
   a. Define Process Scope
      i. Define document structure, security requirements, information involved in the process
      ii. Analyze document flow
      iii. Analyze business flow requirements, exceptions and rules (timelines, notification, routing, workload management, status tracking, special conditions etc)
   b. Define Process Customer
      i. What is the business flow ultimate objective
      ii. Which areas are affected by this flow
   c. Define Participants and Roles
      i. What are the different roles, users and departments involved in the process
         1. What do they do in the process
         2. Identify hierarchy levels

Modeling

   a. Define Initiating Event
      i. Identify what triggers the Workflow
         1. Manual , system work, time event
         2. What document initiates the Workflow
         3. What business conditions affect the Workflow initiation
   b. Define Outcome of Process
      i. Identify how does the Workflow end
      ii. Identify partial outcomes such as "holding" stages.
         1. Manual , system work, time event
   c. Develop Object Oriented Diagrams
      i. This diagram describes the business process from a "document focus" perspective
   d. Diagram reflects the system behavior

Validation

   a. Validate Object Diagram vs Current Process
      i. Look for Inconsistencies and Redundancies
      ii. Present to customer and collect feedback
         1. Verify process exceptions
         2. Validate Object Diagram
         3. Agree of needed changes
      iii. Adjust, modify as agreed
      iv. Obtain customer final sign off (Before you start any software configuration)

4.2 Configuration and Testing Phase

1. Configure all document types and users
2. Set up capture process
3. Set up system security
4. Set up querying mechanisms
5. Set up exporting if any functions
6. Configuration of the previously defined and approved Workflow design. This step includes:
   a. Creating Workflow Queues
   b. Creating Workflow actions
   c. Creating Workflow conditions (Scripting if necessary)
   d. Assigning document types, roles and WF keywords to each Queue
   e. Creating Workflow user, time and system events
7. Testing – Performing preliminary tests to identify logical, flow or configuration errors.

4.3 Piloting and Go-Live Phase

Phase 5   Training

The Training phase is constituted of three main components:

System Administrator Training:
On-site and Off-site (available). The topics to be covered are: system configuration, system security, troubleshooting, system installation, user interfacing, scanning configuration, back up procedures, system upgrading, and system uploading.

Scanning Training:
Hands-on training designed to make operators proficient with scanning, scanner regular maintenance, common problems solving. The CIMA Project team will actually start scanning batches with the operators to test and confirm their ability to perform such task.

Retrieval User Training
Designed to train the trainers, The CIMA project team will create simulation retrieval scenarios in class. Students will be walked through the different retrieval options and tools available. Each student will receive a detail user manual that describes the retrieval process step by step.

Project Management Plan

CIMA will produce one weekly status report   process and hold monthly on-site status meetings to review the entire project. CIMA will submit the project status report to the customer but internally will monitor the project by evaluating the individual task reports.

Each phase of the project has a deadline and a duration period. The owner of the phase/project is responsible for making sure that all tasks associated with the phase have been accomplished.

Each phase will be proposed and described to the customer for approval. Each phase will have a list of required outcomes approved by the customer. This list will be used to control deliverables on weekly basis.

3.1.4.5 Bidder must provide a detailed description of ongoing hardware maintenance and software support. Successful vendor must provide maintenance and support for all software and hardware installed for a period of 3 years or 36 months which commences upon final acceptance by the Lottery.

Response:
Cima will provide unlimited remote software support Monday through Friday from 8:00 AM until 5 PM with a 3 hour response time. On-site support is also available.
Hardware support will be provided Monday through Friday from 8:00 AM to 5:00 PM excluding holidays with a maximum 24 hour response. Support will be provided for a period of 36 months from date of final acceptance by the WJ Lottery.

33

3.1.4.6 Vendor must have completed three projects of this scope and size.

Response: Cima Software meets this requirement.

Our organization has implemented dozens of similar projects in scope and size (or larger) nationwide.

3.2 Scope of Work:

3.2.1 The vendor will install and test all software to the satisfaction of the West Virginia Lottery. Testing criteria will be determined by the Lottery during implementation and will include but not be limited to:

      3.2.1.1 Capture
      3.2.1.2 Store and retrieve
      3.2.1.3 E-form creation and submit to workflow
      3.2.1.4 Workflow routing
      3.2.1.5 Business continuance/failover
      3.2.1.6 Electronic Signature

Response: Cima will comply with this requirement

3.2.2 The Lottery will arrange for EMC to work with the successful vendor to integrate the proposed system with the EMC Symmetrix DMX and EMC Centera for image and data storage, archiving and business continuance.

Response: The proposed solution meets this requirement

DocuClass can query & retrieve "Retention Policies" configured in EMC CENTERA devices. DocuClass administrator may assign any of these policies to a "Document Type", that is a collection of documents of same type (i.e. contracts). From this point any document stored to this document type will follow the default retention policy assigned to its type. Additionally DocuClass administrator may define for some document types a policy giving the absolute number of days to retain. In this case every time a document is stored, DocuClass will assign explicitly the number of days to retain, instead linking this document dynamically with a CENTERA retention policy

3.3.3 Vendor will create and test multiple workflows for Licensing, Limited Video Lottery Security, and Procurement.

Response: Cima will comply with this requirement

3.3.4 Vendor will configure the e-form server and create and test 13 e-forms as provided in A TTACHMENT 3.

Response: Cima will comply with this requirement

3.3.5 Vendor will configure all servers to the specification of the proposed software for optimal performance and security best practices. Lottery will provide the servers with the operating system installed.

Response: Cima will comply with this requirement

3.3.6 Vendor will configure two production capture workstation PCs that will be provided by the Lottery, and install and test production scanners.

Response: Cima will comply with this requirement

3.3.7 Section 2 of the RFP functions to give each Bidder an idea of where the majority of documents flow through the Lottery as of the time of this publication and is for informational purposes only because the processes may change prior to the award of the contract. The successful vendor must review the workflows performed by the Agency after the award of the contract and analyze the workflows prior to actual implementation to verify the workflows being utilized and recommend more efficient processes where

inefficiencies exist.

Response: Cima will comply with this requirement

3.3.8 Vendor will train all End users. Various levels of training will be required from retrieve only users to system administrators. Bidder must provide a training plan for system administrators to include application/project development, workflow management, e-forms creation and management and security management. Separate training will need to be provided to scanning personnel, workflow participants and retrieve-only users.

Response: Cima will comply with this requirement

3.3. Special Terms and Conditions and required Vendor Signature Pages

3.3 Special Terms and Conditions:

3.3.1 Performance Bonds: The successful vendor shall furnish a performance bond for 100% of the amount of the contract. Bonds may be provided in the form of a certified check or bond furnished by a solvent surety company authorized to do business in the State of West Virginia.
Response: Cima will comply with this requirement

3.3.2 Insurance Requirements: Insurance certificates are required prior to award but are not required at the time of bid. `

3.3.2.1 Public Liability with limits of $500,000 for any one person, and $1,000,000 for any one occurrence of personal injury, as well as $1,000,000 for any one occurrence of property damage.

3.3.2.2 Errors and Omissions in the amount of $1,000,000 for the selected Vendor for any loses the Agency may incur resulting from the intentional or negligent acts of the Vendor. The Errors and Omissions insurance coverage will remain in effect during the entire contract period, any extensions thereof, and for one (1) year after the contract terminates.
Response: Cima will comply with this requirement

3.3.2.3 A Fidelity Bond or insurance in the amount of $1,000,000 covering any losses incurred by the Agency due to the fraudulent or dishonest acts on the part of the Vendor, or the Vendor's officers, employees, agents or subcontractors.

3.3.3 License Requirements: N/A

3.3.4 Litigation Bond: N/A

Response: Cima will comply with this requirement

State of West Virginia
Department of Administration
Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

ADDRESS CORRESPONDENCE TO ATTENTION OF:

SHELLY MURRAY
304-558-8801

```
*207104851      412-573-0111
AUTOMATED DOCUMENT MANAGEMENT
235 ALPHA DR   STE 300

PITTSBURGH PA    15238-2940
```

VENDOR

SHIP TO

```
LOTTERY COMMISSION


312 MACCORKLE AVENUE, SE
CHARLESTON, WV
   25314-1143      558-0500
```

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
02/08/2010				

BID OPENING DATE: 03/04/2010   BID OPENING TIME 01:30PM

LINE	QUANTITY	UOP	CAT NO	ITEM NUMBER	UNIT PRICE	AMOUNT

I HEREBY ACKNOWLEDGE RECEIPT OF THE FOLLOWING CHECKED
ADDENDUM(S) AND HAVE MADE THE NECESSARY REVISIONS TO MY
PROPOSAL, PLANS AND/OR SPECIFICATION, ETC.

ADDENDUM NO.'S:

NO. 1 ...✓...

NO. 2 ...✓...

NO. 3 ....

NO. 4 ....

NO. 5 ....

I UNDERSTAND THAT FAILURE TO CONFIRM THE RECEIPT OF THE
ADDENDUM(S) MAY BE CAUSE FOR REJECTION OF BIDS.

VENDOR MUST CLEARLY UNDERSTAND THAT ANY VERBAL
REPRESENTATION MADE OR ASSUMED TO BE MADE DURING ANY
ORAL DISCUSSION HELD BETWEEN VENDOR'S REPRESENTATIVES
AND ANY STATE PERSONNEL IS NOT BINDING.   ONLY THE
INFORMATION ISSUED IN WRITING AND ADDED TO THE
SPECIFICATIONS BY AN OFFICIAL ADDENDUM IS BINDING.

....
SIGNATURE

CIMA SOFTWARE
....
COMPANY

03- 02- 2010
....
DATE

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE _____

TELEPHONE 412-449-0080 DATE 03-02-10

TITLE VP.

FEIN 20-0791191

ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'

State of West Virginia
Department of Administration
Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

Request for Quotation

RFQ NUMBER	PAGE
LOT454	1

ADDRESS CORRESPONDENCE TO ATTENTION OF:

SHELLY MURRAY
304-558-8801

VENDOR
*207104851   412-573-0111
AUTOMATED DOCUMENT MANAGEMENT
235 ALPHA DR   STE 300

PITTSBURGH PA   15238-2940

SHIP TO
LOTTERY COMMISSION

312 MACCORKLE AVENUE, SE
CHARLESTON, WV
   25314-1143   558-0500

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
02/08/2010				

BID OPENING DATE: 03/04/2010   BID OPENING TIME   01:30PM

LINE	QUANTITY	UOP	CAT. NO.	ITEM NUMBER	UNIT PRICE	AMOUNT

```
-------------------- ADDENDUM NO. 2 --------------------

THIS ADDENDUM IS ISSUED TO REVISE THE RFP
SPECIFICATIONS AND TO ADDRESS THE QUESTIONS RECEIVED
PRIOR TO THE QUESTION SUBMISSION DEADLINE OF
01/08/2010.

ATTACHMENTS:   REVISED RFP SPECIFICATIONS WITH
               ATTACHMENTS AND COMPACT DISK (CD)
* REVISIONS TO SPECIFICATIONS MADE IN BOLD ITALIC FONT
               QUESTIONS AND RESPONSES
               PRE-BID SIGN IN SHEET

THE BID OPENING DATE IS EXTENDED:

FROM: 02/18/2010
TO  : 03/04/2010
```

```
0001                 LS        898-74
                 1
DOCUMENT IMAGING AND CONTENT MANAGEMENT


EXHIBIT 10


                      REQUISITION NO.: LOT454


ADDENDUM ACKNOWLEDGEMENT
```

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE	TELEPHONE	DATE
(signature)	412-449-0080	03-02-10

TITLE	FEIN	
V.P.	20-0791191	ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'

ADDRESS CORRESPONDENCE TO ATTENTION OF:

SHELLY MURRAY
304-558-8801

VENDOR	SHIP TO
*207104851 412-573-0111 AUTOMATED DOCUMENT MANAGEMENT 235 ALPHA DR STE 300 PITTSBURGH PA 15238-2940	LOTTERY COMMISSION 312 MACCORKLE AVENUE, SE CHARLESTON, WV 25314-1143 558-0500

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
02/08/2010				

BID OPENING DATE: 03/04/2010   BID OPENING TIME   01:30PM

LINE	QUANTITY	UOP	CAT NO	ITEM NUMBER	UNIT PRICE	AMOUNT

NOTE: THIS ADDENDUM ACKNOWLEDGEMENT SHOULD BE SUBMITTED
WITH THE BID.

REV. 09/21/2009

-------------- END OF ADDENDUM NO. 2 --------------

****** THIS IS THE END OF RFQ   LOT454 ****** TOTAL:

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE _Nelson Lew_	TELEPHONE 412-449-0080	DATE 03-02-10
TITLE V.P	FEIN 20-0791191	ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'

State of West Virginia
Department of Administration
Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

Request for Quotation

RFQ NUMBER
LOT454

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1

ADDRESS CORRESPONDENCE TO ATTENTION OF:

SHELLY MURRAY
304-558-8801

RFQ COPY
TYPE NAME/ADDRESS HERE

LOTTERY COMMISSION

312 MACCORKLE AVENUE, SE
CHARLESTON, WV
  25314-1143   558-0500

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
01/22/2010				

BID OPENING DATE: 02/18/2010   BID OPENING TIME   01:30PM

LINE	QUANTITY	UOP	CAT NO.	ITEM NUMBER	UNIT PRICE	AMOUNT
				----------- ADDENDUM NO. 1 -------------		
				THIS ADDENDUM IS ISSUED TO EXTEND THE TECHNICAL BID OPENING:		
				FROM: 01/28/2010 TO : 02/18/2010		
				ANOTHER ADDENDUM WILL BE ISSUED TO ADDRESS THE QUESTIONS RECEIVED AND TO ISSUE THE PRE-BID SIGN IN SHEET.		
0001	1	LS		898-74		
				DOCUMENT IMAGING AND CONTENT MANAGEMENT		
				EXHIBIT 10		
				REQUISITION NO.: LOT454		
				ADDENDUM ACKNOWLEDGEMENT		
				I HEREBY ACKNOWLEDGE RECEIPT OF THE FOLLOWING CHECKED ADDENDUM(S) AND HAVE MADE THE NECESSARY REVISIONS TO MY PROPOSAL, PLANS AND/OR SPECIFICATION, ETC.		
				ADDENDUM NO.'S:		

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE	TELEPHONE	DATE
TITLE	FEIN	ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'

State of West Virginia Department of Administration Purchasing Division 2019 Washington Street East Post Office Box 50130 Charleston, WV 25305-0130	**Request for Quotation**

RFQ NUMBER	PAGE
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ADDRESS CORRESPONDENCE TO ATTENTION OF:

SHELLY MURRAY
304-558-8801

RFQ COPY
TYPE NAME/ADDRESS HERE

SHIP TO:

LOTTERY COMMISSION

312 MACCORKLE AVENUE, SE
CHARLESTON, WV
   25314-1143   558-0500

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
01/22/2010				

BID OPENING DATE: 02/18/2010   BID OPENING TIME   01:30PM

LINE	QUANTITY	UOP	CAT. NO	ITEM NUMBER	UNIT PRICE	AMOUNT
	NO. 1					
	NO. 2					
	NO. 3					
	NO. 4					
	NO. 5					

I UNDERSTAND THAT FAILURE TO CONFIRM THE RECEIPT OF THE
ADDENDUM(S) MAY BE CAUSE FOR REJECTION OF BIDS.

VENDOR MUST CLEARLY UNDERSTAND THAT ANY VERBAL
REPRESENTATION MADE OR ASSUMED TO BE MADE DURING ANY
ORAL DISCUSSION HELD BETWEEN VENDOR'S REPRESENTATIVES
AND ANY STATE PERSONNEL IS NOT BINDING.   ONLY THE
INFORMATION ISSUED IN WRITING AND ADDED TO THE
SPECIFICATIONS BY AN OFFICIAL ADDENDUM IS BINDING.

....
SIGNATURE

...... A.M.A. SOFTWARE
COMPANY

...... 03-02-10 ...
DATE

NOTE: THIS ADDENDUM ACKNOWLEDGEMENT SHOULD BE SUBMITTED
WITH THE BID.

REV. 09/21/2009

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE	TELEPHONE	DATE
	412-449-0080	03-02-10
TITLE V.P	FEIN	ADDRESS CHANGES TO BE NOTED ABOVE

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State of West Virginia
Department of Administration
Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

Request for Quotation

RFQ NUMBER
LOT454

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3

ADDRESS CORRESPONDENCE TO ATTENTION OF:

SHELLY MURRAY
304-558-8801

VENDOR	RFQ COPY TYPE NAME/ADDRESS HERE	SHIP TO	LOTTERY COMMISSION 312 MACCORKLE AVENUE, SE CHARLESTON, WV 25314-1143 558-0500

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
01/22/2010				

BID OPENING DATE: 02/18/2010   BID OPENING TIME   01:30PM

LINE	QUANTITY	UOP	CAT. NO.	ITEM NUMBER	UNIT PRICE	AMOUNT
				------------- END OF ADDENDUM NO. 1 -------------		
				****** THIS IS THE END OF RFQ LOT454 ****** TOTAL:		

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE	TELEPHONE	DATE
TITLE	FEIN	ADDRESS CHANGES TO BE NOTED ABOVE

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State of West Virginia
Department of Administration
Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

Request for Quotation

RFQ NUMBER
LOT454

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1

ADDRESS CORRESPONDENCE TO ATTENTION OF:

SHELLY MURRAY
304-558-8801

VENDOR

RFQ COPY
TYPE NAME/ADDRESS HERE

SHIP TO

LOTTERY COMMISSION

312 MACCORKLE AVENUE, SE
CHARLESTON, WV
25314-1143   558-0500

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
12/09/2009				

BID OPENING DATE: 01/28/2010   BID OPENING TIME   01:30PM

LINE	QUANTITY	UOP	CAT NO.	ITEM NUMBER	UNIT PRICE	AMOUNT

REQUEST FOR PROPOSAL

THE WEST VIRGINIA PURCHASING DIVISION, FOR THE AGENCY,
THE WEST VIRGINIA LOTTERY, IS SOLICITING PROPOSAL FOR
A DOCUMENT IMAGING AND CONTENT MANAGEMENT SYSTEM WITH
INTEGRATED WORKFLOW PER THE ATTACHED SPECIFICATIONS.

MANDATORY PRE-BID

A MANDATORY PRE-BID WILL BE HELD ON 01/06/2010 AT
1:30 PM AT THE WV LOTTERY HEADQUARTERS. ALL
INTERESTED PARTIES ARE REQUIRED TO ATTEND THIS MEETING.
FAILURE TO ATTEND THE MANDATORY PRE-BID SHALL RESULT IN
DISQUALIFICATION OF THE BID. NO ONE PERSON MAY
REPRESENT MORE THAN ONE BIDDER.

AN ATTENDANCE SHEET WILL BE MADE AVAILABLE FOR ALL
POTENTIAL BIDDERS TO COMPLETE. THIS WILL SERVE AS THE
OFFICIAL DOCUMENT VERIFYING ATTENDANCE AT THE MANDATORY
PRE-BID. FAILURE TO PROVIDE YOUR COMPANY AND
REPRESENTATIVE NAME ON THE ATTENDANCE SHEET WILL RESUL
IN DISQUALIFICATION OF THE BID. THE STATE WILL NOT
ACCEPT ANY OTHER DOCUMENTATION TO VERIFY ATTENDANCE.
THE BIDDER IS RESPONSIBLE FOR ENSURING THEY HAVE
COMPLETED THE INFORMATION REQUIRED ON THE ATTENDANCE
SHEET. THE PURCHASING DIVISION AND THE STATE AGENCY
WILL NOT ASSUME ANY RESPONSIBILITY FOR A BIDDER-S
FAILURE TO COMPLETE THE PRE-BID ATTENDANCE SHEET. IN
ADDITION, WE REQUEST THAT ALL POTENTIAL BIDDERS INCLUDE
THEIR E-MAIL ADDRESS AND FAX NUMBER.

ALL POTENTIAL BIDDERS ARE REQUESTED TO ARRIVE PRIOR TO
THE STARTING TIME FOR THE PRE-BID. BIDDERS WHO ARRIVE

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE _Nebenter_   TELEPHONE 412-449-0080   DATE 03-02-10

TITLE V.P   FEIN 20-0791191   ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'

State of West Virginia
Department of Administration
Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

ADDRESS CORRESPONDENCE TO ATTENTION OF:

SHELLY MURRAY
304-558-8801

VENDOR

RFQ COPY
TYPE NAME/ADDRESS HERE

SHIP TO

LOTTERY COMMISSION

312 MACCORKLE AVENUE, SE
CHARLESTON, WV
25314-1143   558-0500

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
12/09/2009				

BID OPENING DATE: 01/28/2010   BID OPENING TIME   01:30PM

LINE	QUANTITY	UOP	CAT NO	ITEM NUMBER	UNIT PRICE	AMOUNT

LATE, BUT PRIOR TO THE DISMISSAL OF THE TECHNICAL
PORTION OF THE PRE-BID WILL BE PERMITTED TO SIGN IN.
BIDDERS WHO ARRIVE AFTER CONCLUSION OF THE TECHNICAL
PORTION OF THE PRE-BID BUT DURING ANY SUBSEQUENT PART
OF THE PRE-BID WILL NOT BE PERMITTED TO SIGN THE
ATTENDANCE SHEET.

TECHNICAL QUESTIONS MUST BE SUBMITTED IN WRITING TO
SHELLY MURRAY IN THE WEST VIRGINIA PURCHASING DIVISION
VIA MAIL AT THE ADDRESS SHOWN AT THE TOP OF THIS RFP,
VIA FAX AT 304-558-4115, OR VIA EMAIL AT
SHELLY.L.MURRAY@WV.GOV DEADLINE FOR ALL TECHNICAL
QUESTIONS IS 01/08/2010 AT THE CLOSE OF BUSINESS.
ALL TECHNICAL QUESTIONS RECEIVED, IF ANY, WILL BE
ADDRESSED BY ADDENDUM AFTER THE DEADLINE.

QUESTIONS CONCERNING THE ACTUAL PROCESS BY WHICH A
VENDOR MAY SUBMIT A PROPOSAL TO THE STATE OF WEST
VIRGINIA ARE NOT CONSIDERED TO BE TECHNICAL QUESTIONS
AND MAY BE SUBMITTED AT ANY TIME PRIOR TO THE BID
OPENING AND IN ANY FORMAT.

0001   LS   898-74
                  1
DOCUMENT IMAGING AND CONTENT MANAGEMENT

EXHIBIT 3

LIFE OF CONTRACT: THIS CONTRACT BECOMES EFFECTIVE
UPON AWARD AND EXTENDS FOR A PERIOD OF ONE (1)
YEAR OR UNTIL SUCH "REASONABLE TIME" THEREAFTER AS IS
NECESSARY TO OBTAIN A NEW CONTRACT OR RENEW THE

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE		TELEPHONE 412-449-0080	DATE 03-02-10
TITLE V.P.	FEIN 20-079 1191	ADDRESS CHANGES TO BE NOTED ABOVE	

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'

State of West Virginia
Department of Administration
Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

Request for Quotation

RFQ NUMBER	PAGE
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ADDRESS CORRESPONDENCE TO ATTENTION OF:

SHELLY MURRAY
304-558-8801

VENDOR

RFQ COPY
TYPE NAME/ADDRESS HERE

SHIP TO

LOTTERY COMMISSION

312 MACCORKLE AVENUE, SE
CHARLESTON, WV
25314-1143   558-0500

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
12/09/2009				

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LINE	QUANTITY	UOP	CAT NO	ITEM NUMBER	UNIT PRICE	AMOUNT

ORIGINAL CONTRACT. THE "REASONABLE TIME" PERIOD SHALL
NOT EXCEED TWELVE (12) MONTHS. DURING THIS "REASONABLE
TIME" THE VENDOR MAY TERMINATE THIS CONTRACT FOR ANY
REASON UPON GIVING THE DIRECTOR OF PURCHASING 30 DAYS
WRITTEN NOTICE.

UNLESS SPECIFIC PROVISIONS ARE STIPULATED ELSEWHERE
IN THIS CONTRACT DOCUMENT, THE TERMS, CONDITIONS AND
PRICING SET HEREIN ARE FIRM FOR THE LIFE OF THE
CONTRACT.

RENEWAL: THIS CONTRACT MAY BE RENEWED UPON THE MUTUAL
WRITTEN CONSENT OF THE SPENDING UNIT AND VENDOR,
SUBMITTED TO THE DIRECTOR OF PURCHASING THIRTY (30)
DAYS PRIOR TO THE EXPIRATION DATE. SUCH RENEWAL SHALL
BE IN ACCORDANCE WITH THE TERMS AND CONDITIONS OF THE
ORIGINAL CONTRACT AND SHALL BE LIMITED TO TWO (2) ONE
(1) YEAR PERIODS.

CANCELLATION. THE DIRECTOR OF PURCHASING RESERVES THE
RIGHT TO CANCEL THIS CONTRACT IMMEDIATELY UPON WRITTEN
NOTICE TO THE VENDOR IF THE COMMODITIES AND/OR SERVICES
SUPPLIED ARE OF AN INFERIOR QUALITY OR DO NOT CONFORM
TO THE SPECIFICATIONS OF THE BID AND CONTRACT HEREIN.

OPEN MARKET CLAUSE: THE DIRECTOR OF PURCHASING MAY
AUTHORIZE A SPENDING UNIT TO PURCHASE ON THE OPEN
MARKET, WITHOUT THE FILING OF A REQUISITION OR COST
ESTIMATE, ITEMS SPECIFIED ON THIS CONTRACT FOR
IMMEDIATE DELIVERY IN EMERGENCIES DUE TO UNFORESEEN
CAUSES (INCLUDING BUT NOT LIMITED TO DELAYS IN TRANS-
PORTATION OR AN UNANTICIPATED INCREASE IN THE VOLUME
OF WORK.)

BANKRUPTCY: IN THE EVENT THE VENDOR/CONTRACTOR FILES
FOR BANKRUPTCY PROTECTION, THE STATE MAY DEEM THE

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE	TELEPHONE	DATE
Nebetta	412-449-0080	03-02-10
TITLE V.P.	FEIN 20-079-1191	ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'

State of West Virginia
Department of Administration
Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

Request for Quotation

RFQ NUMBER	PAGE
LOT454	4

ADDRESS CORRESPONDENCE TO ATTENTION OF:

SHELLY MURRAY
304-558-8801

RFQ COPY
TYPE NAME/ADDRESS HERE

LOTTERY COMMISSION

312 MACCORKLE AVENUE, SE
CHARLESTON, WV
25314-1143   558-0500

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
12/09/2009				

BID OPENING DATE: 01/28/2010   BID OPENING TIME 01:30PM

LINE	QUANTITY	UOP	CAT NO	ITEM NUMBER	UNIT PRICE	AMOUNT

CONTRACT NULL AND VOID, AND TERMINATE SUCH CONTRACT
WITHOUT FURTHER ORDER.

THE TERMS AND CONDITIONS CONTAINED IN THIS CONTRACT
SHALL SUPERSEDE ANY AND ALL SUBSEQUENT TERMS AND
CONDITIONS WHICH MAY APPEAR ON ANY ATTACHED PRINTED
DOCUMENTS SUCH AS PRICE LISTS, ORDER FORMS, SALES
AGREEMENTS OR MAINTENANCE AGREEMENTS, INCLUDING ANY
ELECTRONIC MEDIUM SUCH AS CD-ROM.

REV. 05/26/2009

                    NOTICE

A SIGNED BID MUST BE SUBMITTED TO:

        DEPARTMENT OF ADMINISTRATION
        PURCHASING DIVISION
        BUILDING 15
        2019 WASHINGTON STREET, EAST
        CHARLESTON, WV 25305-0130

THE BID SHOULD CONTAIN THIS INFORMATION ON THE FACE OF
THE ENVELOPE OR THE BID MAY NOT BE CONSIDERED:·

SEALED BID

BUYER: SHELLY MURRAY

RFQ. NO.:   LOT454

BID OPENING DATE: 01/28/2010

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE	TELEPHONE	DATE
Nebraska	412-449-0080	03-02-10

TITLE	FEIN	
V.P	20-079-1191	ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'

State of West Virginia
Department of Administration
Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

Request for Quotation

ADDRESS CORRESPONDENCE TO ATTENTION OF:

SHELLY MURRAY
304-558-8801

RFQ COPY
TYPE NAME/ADDRESS HERE

LOTTERY COMMISSION

312 MACCORKLE AVENUE, SE
CHARLESTON, WV
25314-1143   558-0500

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
12/09/2009				

BID OPENING DATE: 01/28/2010   BID OPENING TIME 01:30PM

LINE	QUANTITY	UOP	CAT NO	ITEM NUMBER	UNIT PRICE	AMOUNT

BID OPENING TIME: 1:30 PM

PLEASE PROVIDE A FAX NUMBER IN CASE IT IS NECESSARY
TO CONTACT YOU REGARDING YOUR BID:
        412 - 449-0042

CONTACT PERSON (PLEASE PRINT CLEARLY):
        NELSON CANO

****** THIS IS THE END OF RFQ   LOT454 ****** TOTAL:

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE	TELEPHONE	DATE
	412 - 449 -0080	03-02-10

TITLE VP	FEIN 20-0791191	ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'

STATE OF WEST VIRGINIA
Purchasing Division

PURCHASING AFFIDAVIT

VENDOR OWING A DEBT TO THE STATE:
West Virginia Code §5A-3-10a provides that: No contract or renewal of any contract may be awarded by the state or any of its political subdivisions to any vendor or prospective vendor when the vendor or prospective vendor or a related party to the vendor or prospective vendor is a debtor and the debt owed is an amount greater than one thousand dollars in the aggregate.

PUBLIC IMPROVEMENT CONTRACTS & DRUG-FREE WORKPLACE ACT:
If this is a solicitation for a public improvement construction contract, the vendor, by its signature below, affirms that it has a written plan for a drug-free workplace policy in compliance with Article 1D, Chapter 21 of the *West Virginia Code*. The vendor **must** make said affirmation with its bid submission. Further, public improvement construction contract may not be awarded to a vendor who does not have a written plan for a drug-free workplace policy in compliance with Article 1D, Chapter 21 of the *West Virginia Code* and who has not submitted that plan to the appropriate contracting authority in timely fashion. For a vendor who is a subcontractor, compliance with Section 5, Article 1D, Chapter 21 of the *West Virginia Code* may take place before their work on the public improvement is begun.

ANTITRUST:
In submitting a bid to any agency for the state of West Virginia, the bidder offers and agrees that if the bid is accepted the bidder will convey, sell, assign or transfer to the state of West Virginia all rights, title and interest in and to all causes of action it may now or hereafter acquire under the antitrust laws of the United States and the state of West Virginia for price fixing and/or unreasonable restraints of trade relating to the particular commodities or services purchased or acquired by the state of West Virginia. Such assignment shall be made and become effective at the time the purchasing agency tenders the initial payment to the bidder.

I certify that this bid is made without prior understanding, agreement, or connection with any corporation, firm, limited liability company, partnership or person or entity submitting a bid for the same materials, supplies, equipment or services and is in all respects fair and without collusion or fraud. I further certify that I am authorized to sign the certification on behalf of the bidder or this bid.

LICENSING:
Vendors must be licensed and in good standing in accordance with any and all state and local laws and requirements by any state or local agency of West Virginia, including, but not limited to, the West Virginia Secretary of State's Office, the West Virginia Tax Department, West Virginia Insurance Commission, or any other state agencies or political subdivision. Furthermore, the vendor must provide all necessary releases to obtain information to enable the Director or spending unit to verify that the vendor is licensed and in good standing with the above entities.

CONFIDENTIALITY:
The vendor agrees that he or she will not disclose to anyone, directly or indirectly, any such personally identifiable information or other confidential information gained from the agency, unless the individual who is the subject of the information consents to the disclosure in writing or the disclosure is made pursuant to the agency's policies, procedures and rules. Vendor further agrees to comply with the Confidentiality Policies and Information Security Accountability Requirements, set forth in http://www.state.wv.us/admin/purchase/privacy/noticeConfidentiality.pdf.

Under penalty of law for false swearing (*West Virginia Code* §61-5-3), it is hereby certified that the vendor affirms and acknowledges the information in this affidavit and is in compliance with the requirements as stated.

Vendor's Name: _____CIMA SOFTWARE_____

Authorized Signature: _____ Date: ___03-02-10___

Purchasing Affidavit (Revised 01/01/09)

State of West Virginia
VENDOR PREFERENCE CERTIFICATE

Certification and application* is hereby made for Preference in accordance with *West Virginia Code*, §5A-3-37. (Does not apply to construction contracts). *West Virginia Code*, §5A-3-37, provides an opportunity for qualifying vendors to request (at the time of bid) preference for their residency status. Such preference is an evaluation method only and will be applied only to the cost bid in accordance with the *West Virginia Code*. This certificate for application is to be used to request such preference. The Purchasing Division will make the determination of the Resident Vendor Preference, if applicable.

1. **Application is made for 2.5% resident vendor preference for the reason checked:**
    _____ Bidder is an individual resident vendor and has resided continuously in West Virginia for four (4) years immediately preceding the date of this certification; **or,**
    _____ Bidder is a partnership, association or corporation resident vendor and has maintained its headquarters or principal place of business continuously in West Virginia for four (4) years immediately preceding the date of this certification; or 80% of the ownership interest of Bidder is held by another individual, partnership, association or corporation resident vendor who has maintained its headquarters or principal place of business continuously in West Virginia for four (4) years immediately preceding the date of this certification; **or,**
    _____ Bidder is a nonresident vendor which has an affiliate or subsidiary which employs a minimum of one hundred state residents and which has maintained its headquarters or principal place of business within West Virginia continuously for the four (4) years immediately preceding the date of this certification; **or,**

2. **Application is made for 2.5% resident vendor preference for the reason checked:**
    _____ Bidder is a resident vendor who certifies that, during the life of the contract, on average at least 75% of the employees working on the project being bid are residents of West Virginia who have resided in the state continuously for the two years immediately preceding submission of this bid; **or,**

3. **Application is made for 2.5% resident vendor preference for the reason checked:**
    _____ Bidder is a nonresident vendor employing a minimum of one hundred state residents or is a nonresident vendor with an affiliate or subsidiary which maintains its headquarters or principal place of business within West Virginia employing a minimum of one hundred state residents who certifies that, during the life of the contract, on average at least 75% of the employees or Bidder's affiliate's or subsidiary's employees are residents of West Virginia who have resided in the state continuously for the two years immediately preceding submission of this bid; **or,**

4. **Application is made for 5% resident vendor preference for the reason checked:**
    _____ Bidder meets either the requirement of both subdivisions (1) and (2) or subdivision (1) and (3) as stated above; **or,**

5. **Application is made for 3.5% resident vendor preference who is a veteran for the reason checked:**
    _____ Bidder is an individual resident vendor who is a veteran of the United States armed forces, the reserves or the National Guard and has resided in West Virginia continuously for the four years immediately preceding the date on which the bid is submitted; **or,**

6. **Application is made for 3.5% resident vendor preference who is a veteran for the reason checked:**
    _____ Bidder is a resident vendor who is a veteran of the United States armed forces, the reserves or the National Guard, if, for purposes of producing or distributing the commodities or completing the project which is the subject of the vendor's bid and continuously over the entire term of the project, on average at least seventy-five percent of the vendor's employees are residents of West Virginia who have resided in the state continuously for the two immediately preceding years.

Bidder understands if the Secretary of Revenue determines that a Bidder receiving preference has failed to continue to meet the requirements for such preference, the Secretary may order the Director of Purchasing to: (a) reject the bid; or (b) assess a penalty against such Bidder in an amount not to exceed 5% of the bid amount and that such penalty will be paid to the contracting agency or deducted from any unpaid balance on the contract or purchase order.

By submission of this certificate, Bidder agrees to disclose any reasonably requested information to the Purchasing Division and authorizes the Department of Revenue to disclose to the Director of Purchasing appropriate information verifying that Bidder has paid the required business taxes, provided that such information does not contain the amounts of taxes paid nor any other information deemed by the Tax Commissioner to be confidential.

Under penalty of law for false swearing (West Virginia Code, §61-5-3), Bidder hereby certifies that this certificate is true and accurate in all respects; and that if a contract is issued to Bidder and if anything contained within this certificate changes during the term of the contract, Bidder will notify the Purchasing Division in writing immediately.

Bidder: ___CIMA SOFTWARE___   Signed: _____

Date: ___03 - 02 - 2010___   Title: ___V.P.___

Check any combination of preference consideration(s) indicated above, which you are entitled to receive.

APPENDICES

Appendix 1: DocuClass Datasheets

DocuClass™

WORKFLOW

DocuClass Workflow has been designed to help organizations streamline and automate traditionally time-consuming, paper-based processes.

DocuClass Workflow enables you to:

Monitor and assess business processes

Reduce overhead costs

Eliminate unnecessary, costly tasks
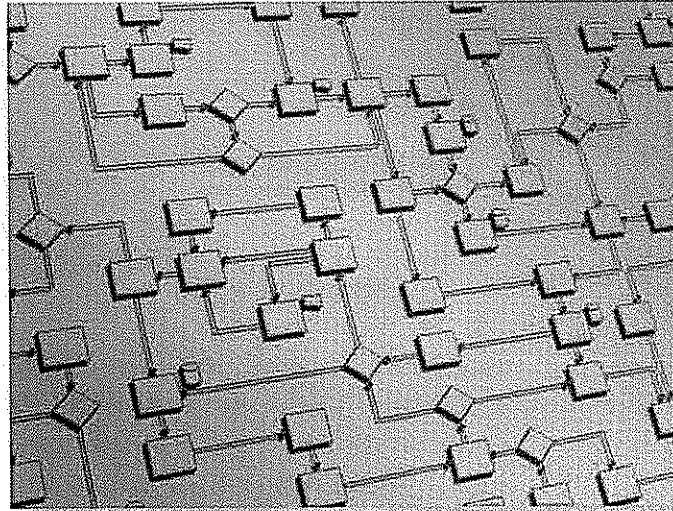
Improve productivity

Identify potential bottlenecks

Monitor timelines and process deadlines

Generate accountability

Reduce business risks

Automate tasks

Optimizing and managing information workflows can reduce operational costs and increase productivity, profitability and market share. DocuClass Workflow automates critical business processes. Whether applying a document retention policy that moves documents of a certain type to "offline" storage after a certain period of time, authorizing vendor invoice payments, ensuring that all faxed customer orders are processed correctly and on time, or streamlining the recruiting process, DocuClass Workflow can make it happen.

HIGHLIGHTS

- Easy to use and set up
- Design any business process in a matter of hours, not days or weeks
- No programming skills needed
- Execute workflows from a simplified, user-friendly environment
- Combines document management features with workflow capabilities

DOCUMENT FLOW

Documents are routed through DocuClass Workflow based upon a predefined set of conditions, rules, and actions. These actions could be a mix of system-driven actions that run behind the scenes, such as notifications and/or user-driven actions, such as the authorization or denial of a request by a supervisor. DocuClass Workflow places documents in specific queues which represent the different steps, status, or phases of document processing. Workflows can be initiated by user actions or commands, time-based events, or DocuClass system events.

USERS AND ROLES

With DocuClass Workflow, you can assign roles and give permissions to users based upon their responsibilities within their business processes. DocuClass Workflow can restrict the execution and/or monitoring of each workflow step to only those who belong to roles that are authorized to participate in that particular phase of the workflow.

Workflow

Cima Software Corp.
235 Alpha Drive
Suite 300
Pittsburgh, PA 15238
Phone: 412-449-0080
Fax: 412-449-0042
Email: info@docuclass.com
Web: www.docuclass.com

DocuClass™
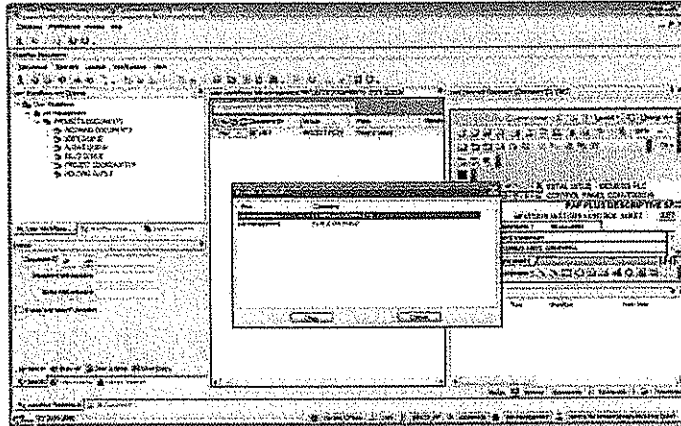
Workflow

DocuClass Workflow streamlines critical business processes.

ALERTS AND NOTIFICATIONS

DocuClass can generate automatic alerts as well as e-mail and internal notifications when certain business rules are met or not met, such as upcoming deadlines, a change in document status, missing documents, duplication, or new documents.

DocuClass Workflow integrates seamlessly with all DocuClass components, offering a total solution to your automation needs as they relate to your current document management and document-based processes.

PROCESS STATUS TRACKING

DocuClass Workflow provides performance metrics, tracks all documents within business processes, and dynamically updates documents' status as they progress through

business flows. This gives users real time information about their overall business processes and where all documents are at all times within them.

COMPONENTS

- Workflow Manager: provides a comprehensive graphical interface to design and monitor Workflows
- Workflow Client: an enhanced Full Access Client that serves as the interface between users and the DocuClass Workflow Engine
- Workflow Agent: runs and monitors unattended workflow processes and triggers new workflow events based upon predefined time intervals or in response to system events or conditions

CHARACTERISTICS

- Integrated environment: seamlessly integrated with

all the DocuClass components
- Extremely powerful security schema: expands the DocuClass security scheme using the "roles" concept
- User, system and time actions and events: workflow transitions can be triggered by a user, system, or time-based condition
- Integrated with external systems: external systems can be queried or updated during a workflow
- Tracks document routing and transition history: automatically tracks document transitions and generates document history reports

ABOUT DOCUCLASS

DocuClass is the optimal Enterprise Content Management platform for growing companies. It offers deep functionality, the flexibility to serve diverse industries and applications, and the scalability to handle large volume requirements. DocuClass is affordable, easy to install, learn, use, support, and integrate.

MORE INFORMATION

To learn more about DocuClass Workflow or other DocuClass capabilities, contact your local DocuClass sales representative, visit www.docuclass.com or email info@docuclass.com.

Cima Software Corp.
235 Alpha Drive
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Phone: 412-449-0080
Fax: 412-449-0042
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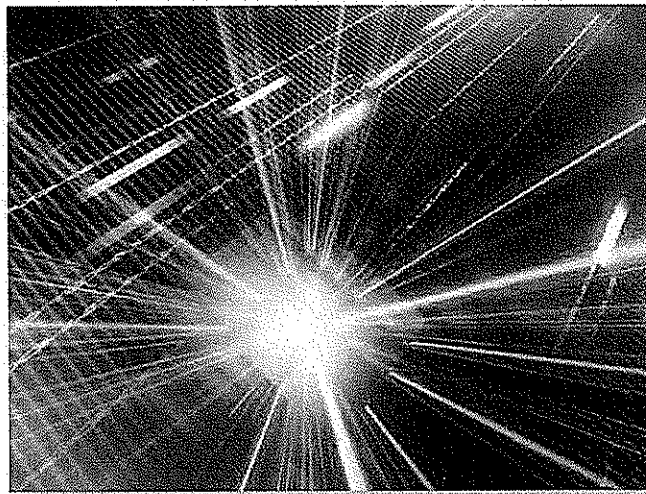Web: www.docuclass.com

DocuClass™

APPLICATION CONNECTOR

Access and manage documents stored in DocuClass directly from third-party applications.

- Providing a non-intrusive and non-programmable interface with your applications
- Analyzing the content of the running application automatically as well as retrieving all related documents
- Extracting data from the running application window and using it to automatically index related documents
- Connecting to documents stored in DocuClass with a simple keystroke

The DocuClass Application Connector enables users working in line of business software or other applications to access and work with documents stored in DocuClass, directly from those applications. For example, an accounting manager who is working in his/her accounting application will be able to access vendor invoices, packing slips and any other documents related to a particular purchase order, directly from his/her financial solution – with a simple shortcut, hotkey or keystroke.

Through this intuitive interface, DocuClass is able to learn how to interpret the content of the underlying external application windows, and how to build relationships between data stored within the external application and documents stored in the DocuClass system. Once documents have been retrieved, users can work with them (view, change keywords, enter notes, print email, or fax documents and even initiate workflows) without ever leaving their application's session.

ADVANCED SCREEN SCRAPING METHODS

The DocuClass Application Connector provides a wide variety of screen scraping methods, enabling users to extract data from virtually any MS Windows or web-based application.

EASY POINT AND CLICK CONFIGURATION

Define one or many configurations using an easy to use "point and click" interface. Screen scraping the external application interactively minimizes configuration time and errors.

"DOCUMENT ENABLE" ANY APPLICATION

Enables users working in their line of business or familiar applications to access documents stored in DocuClass directly from where they are. This saves time, drastically reduces training and improves user acceptance.

FEATURES

In today's challenging business environment, organizations are realizing the importance of providing their employees instant access to all relevant information (externally or internally-generated documents) directly from their core and/or line of business applications. With that in mind, the DocuClass Application Connector "document enables" your core application and gives it direct access to all other documents (not created by the core applications but stored in DocuClass), improving users' productivity and increasing the overall process efficiency.
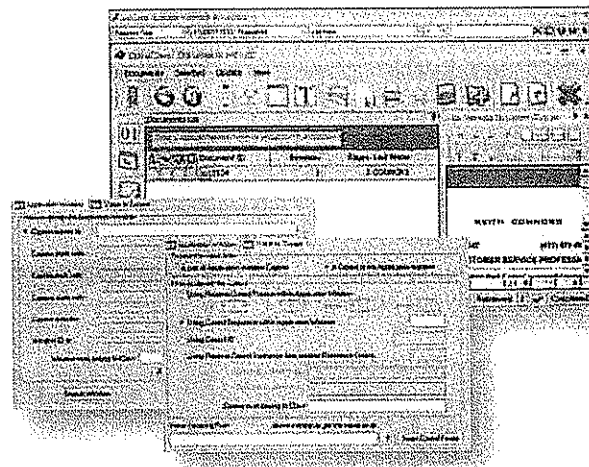
DocuClass™

FEATURES CONTINUED

Integrating applications from different vendors is not an easy task: Your organization may not have people with programming skills; you may not have access to the application source code; the application may or may not be open to you; or you do not want to invest the money and time these types of endeavors typically require.

OUR SOLUTION

With the DocuClass Application Connector you will be able to integrate your line of business application to DocuClass without any programming effort and without having to "touch" your application. Instead, DocuClass extracts data directly from the application window screens and establishes a link to matching data within the DocuClass database.

Imagine your users working in your financial application and with a simple keystroke, retrieving all purchase orders, invoices, packing slips, checks, and other documents related to a particular transaction. Imagine your customer care representative answering a customer's call and instantly accessing, directly from the CRM software, all faxed orders and invoice documents

Application Connector provides a user-friendly way of interfacing to your line-of-business applications – no programming is required.

for this customer. Imagine all that and more, because it is already a reality with the DocuClass Application Connector.

KEY POINTS

Screen Scraping

Using multiple control options: absolute or relative window position, control ID, control class, a particular screen rectangle, control sequence, relative control order in reference to another "anchor" control, etc.

Identify Windows

Using part or the entire window caption, window class, window position, application name, etc.

Activate Application Connector With A Single Keystroke

While working in the external application, hit any of the defined shortcuts

Work With Documents

Work directly with the documents in the "hitlist". Open these documents with the internal or an external viewer, copy document to disk, email, compress and email, fax, alter keywords, or create new revisions.

Initiate Workflows

For example, while working in a financial application, a workflow to process incoming invoices could be initiated as soon as the status of a PO changes to "current".
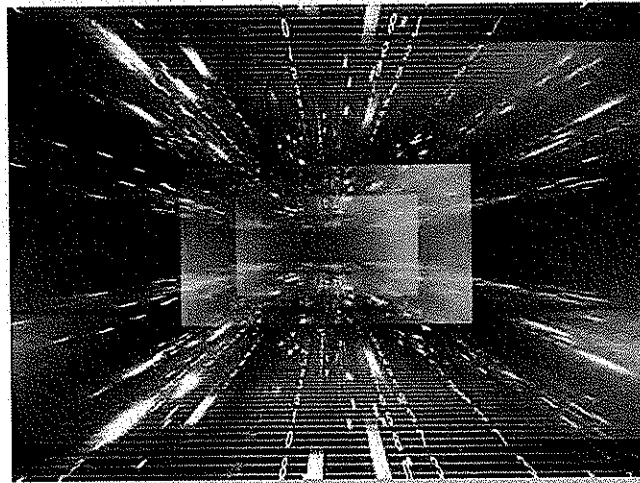
DocuClass™

COLD/ENTERPRISE REPORT MANAGEMENT

DocuClass COLD/ERM enables you to create, index, associate, distribute and store documents on the fly.

- Generate electronic documents from any application that can print to a text file
- Save final documents in industry standard format such as Adobe Acrobat (PDF) or TIFF
- Automatically print documents or distribute them via e-mail or fax
- Initiate workflows, notify users, and dynamically update the status of related documents

DocuClass COLD/ERM is a total solution that enables to generate, manage, control, store, retrieve, archive and distribute, in electronic format, invoices, purchase orders, checks, reports, statements, bills, or practically any document originally created by a third-party application.

The DocuClass COLD/ERM module generates single or multi-page electronic documents using ASCII data streams captured from third-party applications. It automatically generates each document using a predefined layout template for every document type, indentifies and separates multiple documents from a single spooler file, updates document keywords, identifies and updates related documents

already stored in the Docu-Class system, and prints or electronically distributes documents using email or fax gateway.

DocuClass COLD/ERM integrates transparently with all DocuClass components. Users can search and retrieve documents generated by COLD/ERM through Docu-Class' Full Access Client, Web Client, or Application Connector. They can also access these documents from any other application utilizing the DocuClass API, export and distribute them to CD or DVD using DocuClass' Export to Media Libraries compo-nent, or process them in DocuClass' Workflow.

Design Document Layouts: Users can design templates for different document types and define final document layouts.

Map Spooler File Elements To Templates: Users can map any part of a spooler text file to a template and define the rules to populate the data within

each field.

Define Document Attributes: Choose the keywords for COLD/ERM to automatically update and optionally add rules to update one or more related documents.

Capture, Print, Email And Store: Automatically capture any number and type of document, print or email them in their final format, and store them in the DocuClass system along with their associated information.
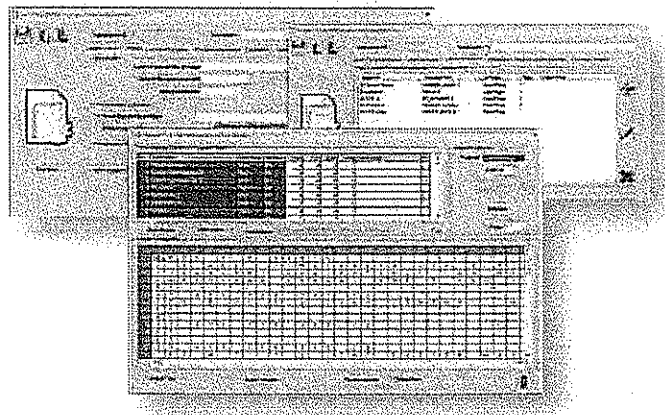
FEATURES

DocuClass COLD/ERM generates, on the fly, electronic documents using the contents of ASCII spooler files. Instead of simply apply-ing cosmetic changes to the original structure of the file, such as overlaying text on a background image, users have the freedom and flexibility

COLD/ERM

DocuClass™

COLD/ERM

FEATURES CONTINUED

to redesign and reformat the contents of the entire document, providing full control of the final document appearance.

With standard Adobe or third-party tools, users can create PDF templates that contain layout objects and form fields that serve as data placeholders. COLD/ERM can then populate these templates with the data it extracts from the spool files and store the final documents as either PDF or TIFF files.

DocuClass COLD/ERM enables users to map specific parts of the spooler file to the placeholders of the proper template. If needed, users may apply scripting rules and store the results in the electronic document. COLD/ERM can dynamically identify and separate multiple documents contained in the same spooler file by using text patterns, fixed number of pages, or by monitoring a value that changes in the spooler file, such as a purchase order number. COLD/ERM automatically extracts keywords from the spooler data, with or without optional scripting. It can also dynamically identify and update related documents. For example, when COLD/ERM creates a "check" document, it can automatically update all the check number keywords for all the related purchase orders and vendor invoices.

SAMPLE APPLICATIONS

Records Management Policies

Users can retrieve and independently view documents with the application and the hardware platform that created them.

Purchase Management

Generate and distribute purchase orders automatically

Invoice Management

Generate and distribute invoices automatically

Check Management

Automatically generate and send checks

Financial Report Management

Automatically generate and store financial reports

Statement Management

Automatically generate, distribute, and store statements

Accounts Payable

Workflow management for Accounts Payable

MORE INFORMATION

To learn more about DocuClass Workflow or other DocuClass capabilities, contact your local DocuClass sales representative, visit www.docuclass.com or email info@docuclass.com.

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Web: www.docuclass.com

DocuClass™

DocuClass WEB Component

DocuClass WEB is the designed to provide access to the DocuClass system from "thin" browser based clients over Intranet, Extranet and/or Internet environments.. It consist of a DocuClass Document Server, deployed in MS Windows environment, running APACHE or IIS WEB server. Users can access the Document Server with any web browser (MS Internet Explorer, Firefox, Google Chrome, Apple Safari, Opera) from any workstation

DocuClass WEB Component utilizes the latest WEB 2 technologies, using AJAX to communicate with Document Server and offering consistency across browsers and very friendly (windows like) user interface. User interface is also similar to the Desktop components interface.

WEB Security Features:

DocuClass WEB Component can be used over a secure infrastructure environment (using HTTPS if needed), but it also incorporates additional security settings, like:

•Temporary repositories any time a user is requesting a document. This way no physical access to documents repository is allowed to WEB users.

• Allows administrator to define which users can work with the WEB component

• Option to limit the IP address used by the user accessing the system. This way internal users may access the system over the intranet, but they are blocked from gaining access to the Document Server from their home or any other external location.

• WEB users can be authenticated using Active Directory or LDAP

•All users actions and permissions are controlled by security policies and are audited and tracked by the DocuClass Audit Agent.
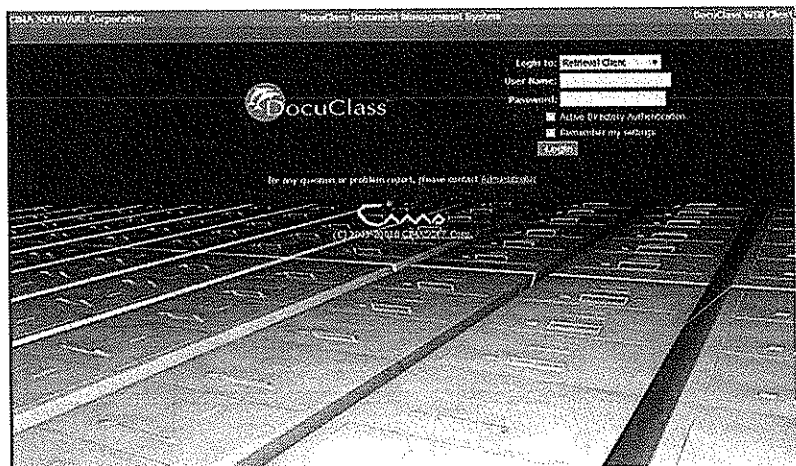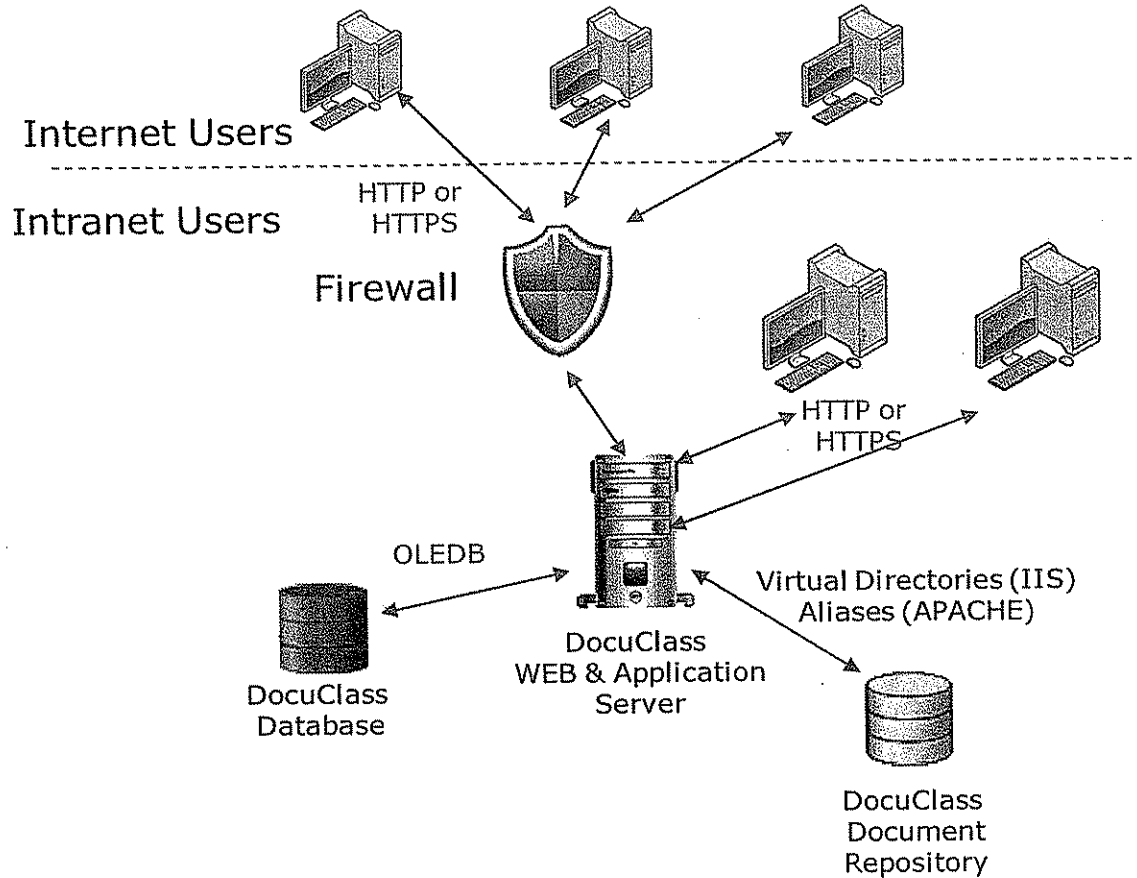

User Interface Features:

Users can browse document groups and types, query and retrieve documents, view TIFF documents using internal (JAVA based) TIFF viewer, or default installed viewers for other types (PDF, MS Office, etc), select documents and send as attachments with email, print or download documents, submit and update e-forms, upload documents, change indexing information, etc

DocuClass WEB

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DocuClass WEB

Connectivity Diagram: DocuClass WEB Components

Internet Users

HTTP or HTTPS

Intranet Users

Firewall

OLEDB

DocuClass Database

DocuClass WEB & Application Server

Virtual Directories (IIS) Aliases (APACHE)

HTTP or HTTPS

DocuClass Document Repository

Architecture Highlights:

1. All WEB Components are connected with DocuClass WEB Server using only HTPP or HTTPS protocol
2. No other port than the default HTTP or HTTPS port should be open
3. No WEB Component communicates directly with DocuClass Database or DocuClass File Repository
4. DocuClass WEB Server communicates on behalf of DocuClass WEB Clients with DocuClass Database Server using OLEDB connections over the LAN
5. DocuClass WEB Server communicates on behalf of DocuClass WEB Clients with DocuClass File Repository using Virtual Directories (IIS) or Aliases (APACHE)

Appendix 2: Document Security

DocuClass™

Introduction

DocuClass is an extremely powerful Document Management and Workflow Automation System, allowing companies and organizations to streamline their business process and control the life cycle of their documents. In order to adapt DocuClass to each organization's specific hierarchy and security policies, DocuClass offers an easy to implement and maintain -but still in every detail configurable- security system, controlling the permissions and the authorizations of each user. Using this system, the DocuClass Administrator may define what each user is allowed to do using the system. This document describes briefly this system and it is intended to be used by Administrators wanting to know more about DocuClass'"User Authorizations and Permissions" management. This document describes the security system available at DocuClass versions built after December 1st, 2006.

Basic Entities

The DocuClass Security System is built on the following basic entities:

User: A specific named person or agent (service, 3rd party program) that can use the DocuClass System

Document Type: A set of documents of identical type, sharing the same keyword fields

Security Policy: A collection of actions allowed to being executed on one or more documents

Usergroup: A team of users that shares the same permissions or authorization to use a specific DocuClass component or to apply a set of actions to the documents

**Security Keyword:** A DocuClass keyword used

to limit further access to specific documents based on the security keyword value of each document

Security Group: A set of Security Keywords with their values

Workflow Role: An organizational role that a user can play within a workflow context, allowing him to execute specific workflow commands or access documents at specific workflow queues
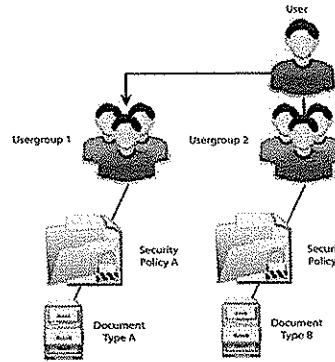
Users, Usergroups, Document Types, and Security Policies

Each "Usergroup" is related to every "Document Type" using one and only one "Security Policy". Since the Security Policy defines in detail the set of actions allowed to be performed on each document, this relationship actually defines what each Usergroup member (user) is allowed to do on every document of that specific document Type.
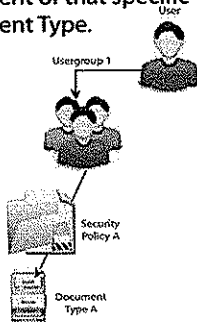
Any user can belong to one or more Usergroups. The "Administrator" is a user with permissions to perform any task in the DocuClass system, otherwise user permissions are controlled for every document type from the security policies connected to this type and the Usergroup(s) where the user belongs.

In the case where the DocuClass system evaluates user permissions to decide if a user is allowed to do something or not, it actually itemizes all the Usergroups this user belongs to and tries to find at least one Usergroup connected with a Security Policy permitting this action. Therefore following this "optimistic" approach,

the DocuClass system resolves any conflicts that may happen due to contradictory permissions of the Usergroups the user belongs to.

A practical example: User X belongs to Usergroups 1,2, & N. Usergroup 1 is connected to Document Type with Security Policy A and Usergroup 2 is connected to Document Type A with Security Policy B.

Security Policy A denies changing document keywords, but Security Policy B allows this action. When this user attempts to change the keywords of a document from Document Type A, the system will:

a. Itemize all the Usergroups User X belongs to.
b. Retrieve the related Security Policy for Usergroup 1 (Policy A) and identify that according to this policy
User X is not allowed to change this document's keywords.
c. Retrieve the related Security Policy for the next

Usergroup (Usergroup 2) and identify that Security Policy 2 permits to change document keywords.
As a result, the system will allow User X to change document keywords.

This new feature of DocuClass- allowing a User to belong to more than one Usergroup - was developed to simplify the setup and maintenance of the security scheme in complex organizational and security environments.

The DocuClass Administrator may define Usergroups for very specific actions and grant to the user a "super set" of actions by assigning him/her to several Usergroups.

Users, Usergroup, and DocuClass Keywords
So far we saw that Usergroups are used to:
a. Control the DocuClass Components users are allowed to log into
b. Set and control the actions that users can perform on documents of each individual Document Type.

Additionally, Usergroups can be used to define user permissions on the "keyword level". The DocuClass Administrator may define one of the following attributes for each Usergroup (thus for each member of this group) and for each keyword:
a. Hidden
b. View
c. View and Edit

If a keyword is "hidden" for a Usergroup, members of this group cannot view the keyword and its associated value. With the "View" permission, Usergroup members can view the keyword and the value, but cannot change it (even if the security policy allows keyword editing). The "View and Edit" permission allows Usergroup members to change keyword values-if at the same time this action is allowed through the security policy applied to the specific Usergroup and Document Type.
Usergroup and Keyword restrictions are applied on top of Usergroups and Security Policies. Conflicts between permissions are resolved again with an "optimistic" approach.

For example, a user may "view" a keyword if he belongs to a Usergroup that has permission to view documents of this type and the attribute "view" or "view & edit" for that particular keyword. A user may "change" a keyword if he belongs to a Usergroup allowing

changing document keywords of this type and this Usergroup defines the attribute "view & edit" for that particular keyword.

documents with keyword "department"="purchases".
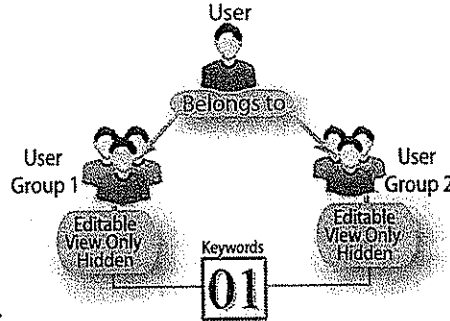
Users and Security Groups
Security Groups are sets of DocuClass Keywords along with their associated security values. Each DocuClass user may belong to one and only one Security Group, but each Security Group may contain more than one security keywords.

Security Groups are used to limit user access based on the "Document Context" on top of the permissions allowing access to document types. Therefore, DocuClass users can share the same permissions for a particular Document Type (they could belong to the same Usergroup) but they will access different documents of this Document Type based on the values of the security keywords for each document.

As an example, we define as security keyword the DocuClass keyword "department". The we define two different security groups, one names "financial", where "department" = "financial", and a second one named "purchases" where "department"="purchases". If user A and user B both have access to Document Type "PO" but user A belongs to Security Group "financial" and user B belongs to Security Group "purchases", User A may access only the "PO" type documents with keyword "department"="financial" and user B can access only the "PO" type
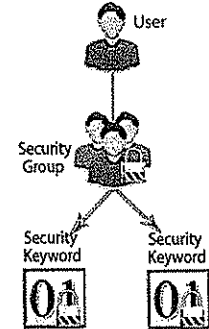
A Security Group may contain the same security keyword more than once, as well as additional security keywords.

For example, a Security Group has the following security keywords:
DEPARTMENT = FINANCIAL
DEPARTMENT = PURCHASES
OFFICE = HQ

A user that belongs to that Security Group will be allowed to access only the documents with the keywords his group is assigned to:
(DEPARTMENT = FINANCIAL or DEPARTMENT = PURCHASES) and OFFICE = HQ

Therefore, the system requires that a document needs to satisfy at least one security value for each security keyword, to allow a "Security Group" controlled user to access this document.

Workflow Roles
Workflow Roles are organizational roles used in the Docu-Class Workflow Queue, the Administrator may define the "workflow commands" that are available to each role, as well as the permissions to access or not the documents placed at each particular Workflow Queue.

Appendix 3: Case Studies
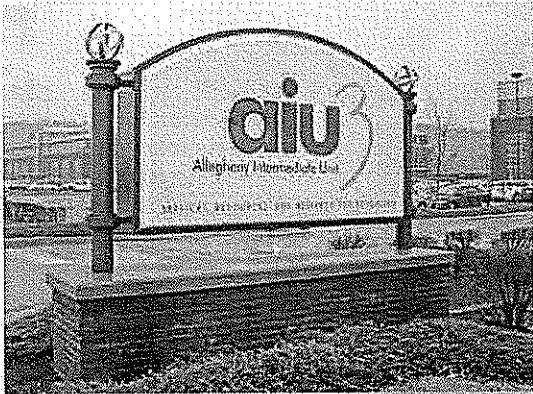
DocuClass™

> "DocuClass is intuitive, user friendly, and offers a single solution for our diverse needs, from student records management to enhancing business processes."
> — Debbie Stella,
>   Assistant Director of Finance,
>   Allegheny Intermediate Unit

Allegheny Intermediate Unit

With a workforce of 2,200 employees across 80 sites in Allegheny County, Pennsylvania, the Allegheny Intermediate Unit (AIU) is a branch of the Pennsylvania Department of Education that houses 130 distinct programs and provides a myriad of educational services to 42 suburban school districts.

BUSINESS CHALLENGES

AIU employees were frustrated. Although they spent hundreds of hours processing invoices and purchase orders, staff found it difficult to retrieve important financial records, and original documents were being misplaced. Employees often resorted to storing duplicate records at their own desks. Too much time and effort was expended in an attempt to manage the agency's documents.

The goals of AIU were to automate document workflows and implement electronic storage and retrieval of documents. Initially chosen because of its affordability and functionality, DocuClass helped the AIU develop efficient business processes. DocuClass engineers studied the agency's document flows and a pilot project was initiated in the AIU's Alternative Education program.

ALTERNATIVE EDUCATION

A complex program with several funding sources and ten separate sites, the Alternative Education Program was in great need of a document solution. Because of the constant shift in student population, staff members were spending too much time copying, faxing and mailing documents, such as evaluations and transcripts, to schools and other third party entities. Student files were not centralized, and accessing important student data was a time-consuming process.

With the help of DocuClass, authorized employees now instantaneously access student document files from a secure central database, selecting and sharing portions of files as needed. Using a fully automated scanning process with indexing barcodes, they add new student documents into the system. DocuClass has greatly reduced the possibility of human error.

ACCOUNTS PAYABLE

With its success in the Alternative Education Program, the DocuClass pilot project expanded into the AIU's Accounts Payable department. Responsible for managing 130 programs, each with unique coding requirements, employees in Accounts Payable often had difficulty identifying ordinary invoices for each program. Approved purchases and checks sometimes could not be linked, and the process of document retrieval was time-consuming.

Education K-12

DocuClass™

> "We have been working with DocuClass just over a year. During this time we have greatly improved two internal processes and are looking forward to significant improvements in other business applications. DocuClass staff has proven to be dedicated, diligent and thorough during all phases of the project, from design through implementation and training."
> — Debbie Stella,
>   Assistant Director of Finance,
>   Allegheny Intermediate Unit

The department wanted to monitor its entire invoice approval process and automate its document flow. Any solution, however, had to integrate with existing business applications.

Since its implementation, DocuClass now captures financial data from a spool file generated by an AIU business application, while DocuClass' COLD process automatically generates print-ready PDF purchase orders and checks, populating them with the appropriate financial data. DocuClass Workflow manages the necessary batch printing and emailing while automatically routing invoices to corresponding programs for approval. DocuClass also automatically updates the corresponding invoices and purchase orders, issues notifications, and handles exceptions as the documents progress through the Workflow. All documents are now stored securely where authorized employees can easily access them.
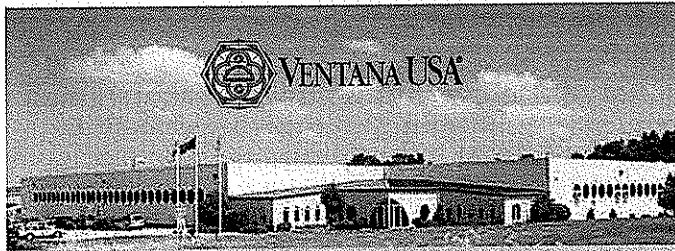
FUTURE EXPANSION

The AIU plans to extend DocuClass into additional departments, including Human Resources. DocuClass will be used to streamline the large amount of paperwork associated with the hiring process by organizing all required documentation and linking all related files. The goal will be to reduce the time from hiring request to position fulfillment by eliminating redundancies, bottlenecks and unnecessary manual work.

Using DocuClass, the AIU also plans to manage maintenance and facility work orders at the agency's 80 sites located throughout Allegheny County. Using a website form, users will submit facilities requests. DocuClass will route emergency requests directly to the facilities coordinator, who will dispatch resources to fix the problems, while non-emergency requests will go to the program director for cost approval. DocuClass will preserve cost information for annual program reviews and all payments will be tied to the Accounts Payable system.

RETURN ON INVESTMENT

DocuClass greatly reduced the amount of staff time needed to process documents. Documents now move through approval processes seamlessly. Departments know who approves specific documents and when because all information is recorded electronically. With the push of a button, DocuClass places all the required financial data directly into the appropriate documents, eliminating manual data entry. Miscommunication has also been minimized because staff can share and communicate documents instantaneously and automatically, and the use of filing cabinets has decreased dramatically.

DocuClass™

"Once we saw what DocuClass' workflows could do, we wanted to spread them to all our departments."

"DocuClass has helped us to grow our business and improve customer satisfaction."
— Dana Hawkins, IT Director, Ventana USA

Ventana USA

COMPANY PROFILE

Ventana USA® is a market-leading expert in the art and engineering of custom vinyl profile bending and fabricating of architectural shapes for window manufacturers, in traditional or special geometric shapes, styled to fit any design concept. As its markets expanded, so did the company. In 1993, it moved into its current manufacturing plant in Export, PA. Since then, it has enlarged that facility and acquired another in the same industrial park for a combined total of 70,000 square feet. In 2000 it expanded into the rapidly-growing Fence, Deck and Railing (FDR) market, offering a wide array of bent and routed shapes.

THE PROBLEM

The first problem Ventana USA encountered with respect to managing documents was insufficient storage space. It maintained a whole mezzanine floor full of boxed documents for servicing

customers, verifying warranties, and saving invoices for the IRS. Whenever a Ventana employee needed a particular document, they would climb to the documents floor and dig through dusty boxes until they found it. Eventually Ventana simply ran out of document storage space.

Searching manually for orders and instructions also resulted in slower customer response times. Documents were sometimes lost or misfiled, and there was an increased chance of errors in ordering, payment, manufacturing, shipping and billing.

Ventana also hired some consultants to analyze and improve the efficiency of their business processes. One of the most important conclusions they made was with respect to the amount of time wasted by handling paper. The same documents were being walked through many offices and passed through many hands

THE SOLUTION

Ventana decided to improve their business processes, beginning with the way they handled and processed documents. Their initial objectives were:

- Increase customer satisfaction by reducing the time it takes to find their files
- Make documents accessible from multiple locations
- Keep all related documents together
- Reduce costs by moving documents to electronic format
- Ensure document security
- Track changes, updates, and status

Initially Ventana's document management system consisted solely of scanning, archiving and retrieval. They scanned all of their paperwork into the system and began handling their documents electronically.

After receiving the study results from their efficiency consultants, they decided to implement automated document workflows.

Manufacturing

DocuClass™

Ventana simply ran out of document storage space.

CUSTOMER SERVICE

In the past, the fax machine would print the orders and someone would pick them up and walk them to the appropriate persons in the Customer Service Department. Customer Service Representatives (CSRs) would enter the orders, print them, and manually fax individual order acknowledgements back to the customers. Now DocuClass is directly integrated with the fax system, pulling them in, and routing them to a workflow queue for the CSRs. DocuClass also automatically faxes order acknowledgements to customers as the CSRs process them.

FABRICATION

In their original paper-based system, the CSRs walked the printed orders to the various departments for fabrication, often with verbal instructions or handwritten notes that were sometimes overlooked, misplaced, lost, or misunderstood. The Fabrication Departments had to dig through piles of paperwork to decide which ones they

needed. DocuClass is now integrated with the orders system, capturing the orders through its COLD/ERM Module. Using the order numbers as keywords, DocuClass links the orders to their corresponding original faxes, along with any notes or special instructions, and routes them to Fabrication. Fabrication no longer searches through stacks of paper to decide which pages they need, and special customer instructions are permanently documented in the system for future reference and always remain attached to their respective orders.

SHIPPING & INVOICING

Ventana used DocuClass to automate the Shipping and Invoicing Departments. In the past, someone had to manually walk the orders to shipping, write tracking numbers and shipping information on them, perhaps give some verbal instructions, and walk the order back to someone in the Invoicing Department, who would enter it into the invoicing system. Now, once fabrication is completed, DocuClass routes the order to someone in the Shipping Department who pulls it from the queue, examines the order, and enters the shipping information. DocuClass then automatically routes the appropriate completed documents to the Invoicing Department's queue. The DocuClass Workflow module also

handles the tracking and routing of partial shipment orders back through the shipping and invoicing phases, as many times as necessary, until the orders are complete.

HUMAN RESOURCES

Ventana also implemented DocuClass in Human Resources to keep track of employee information. It handles the scanning, classifying, automatic indexing and validating of employee data files. Human Resources now can easily access employee information by keywords, while keeping that information secure from unauthorized users.
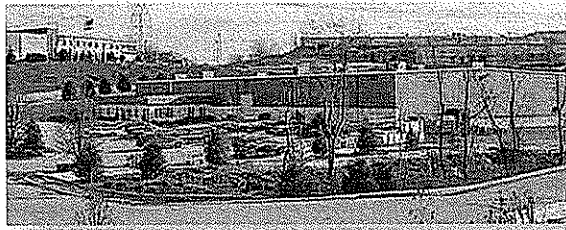
COMMUNICATION

Ventana improved the coordination between its two facilities by using DocuClass. In the past, the Accounting Department was in a different building and could not access all of the paperwork they needed. The Fence/Deck/Railing Department was also split between two buildings but employees of both needed access to many of the same documents. Now, any DocuClass user, in any building is able to instantly access any other document in the system for which they have authorization.

DocuClass™

DocuClass eased communications between the original and expanded facilities.

RESULTS BY DEPARTMENT

Customer Service/Accounts Receivable: Automatic capturing of order faxes, pulling order acknowledgements in through COLD, and faxing them back to the customer

- Better and faster customer service
- Documents are accessible in both buildings

Fabrication: Automated workflow queues

- Fewer human errors communicating custom orders
- Faster processing
- Better facilities coordination

Shipping: Automated workflows, generation of shipping documents, and iterative communication with invoicing for partial shipments

- Faster processing
- Fewer human errors
- Better coordination of partial shipments

Human Resources: Scanning, auto indexing and data validating employee files

- Instant access to employee files by number, document type, or other keywords
- High document security
- Keeps track of job changes, status, evaluations, turnovers, etc.

SUMMARY

Using DocuClass, Ventana has been able to reduce costs and increase customer satisfaction by:

- Regaining the substantial amount of office space formerly used for paper documents
- Increasing the efficiency of their business processes by using the Workflow module
- Increasing the efficiency of existing personnel by eliminating manual paperwork
- Improving customer response times
- Reducing errors in dealing with customers by preserving all communications with them
- Accessing documentation from multiple locations
- Keeping all related documentation together

Manufacturing