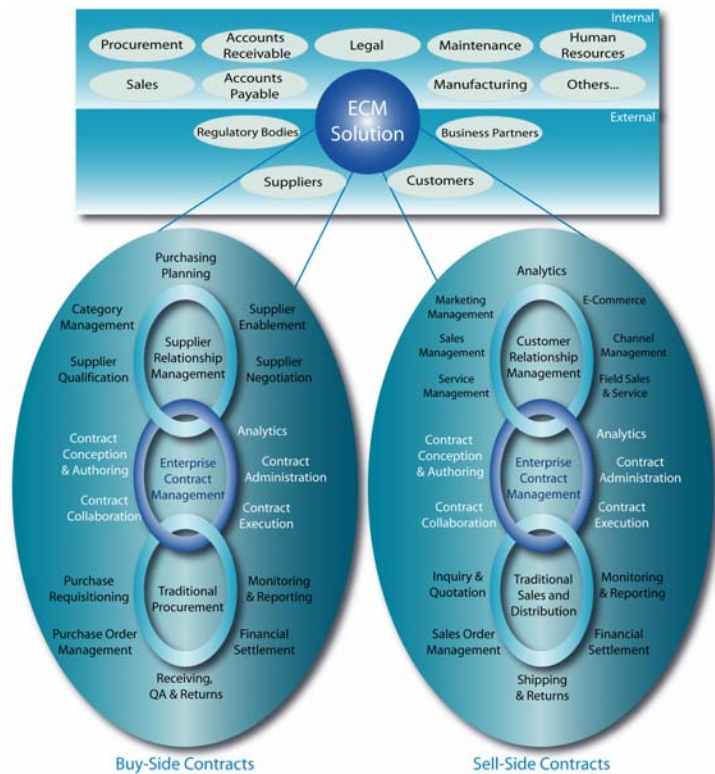

Enterprise Contract Management: RFP Template for ECM Solution Selection



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Introduction

Congratulations on your decision to purchase/evaluate an Enterprise Contract Management (ECM) Solution, a critical initiative for the future success of any organization. The ECM Solution Selection RFP Template presented in this document is an important tool to help streamline the ECM Solution vendor evaluation process by enabling organizations to objectively grade prospective vendor solutions and the procedural, operational, and compliance related impacts that the chosen ECM Solution will have on your organization. There are several tables included in this document, each providing detailed best practices information compiled from surveys and interviews with key contract management, risk management and compliance management professionals and consultants across a variety of industries.

Once you have completed the ECM Solution Selection RFP Template, you will be empowered to determine the breadth and depth of the various solution providers' functionality, as well as their ability to meet your specific needs—critical elements to decrease costs, increase revenue, streamline operations, enforce and ensure operational, contractual, and regulatory compliance, and enhance visibility. In addition, you will be able to better determine which capabilities require demonstration during a vendor demo.

The ECM Solution Selection RFP Template will help you gather in-depth knowledge of what a best-of-breed ECM solution offers, and it will arm you with the decision-making criteria required to complete a true evaluation of each solution you are considering. Ultimately, this knowledge will empower you to determine a system's ability to quickly and cost-effectively manage your contracts, meet current and future regulatory requirements, maintain a competitive advantage, and generate a strong return on investment.

This ECM Solution Selection RFP template is organized in five sections:

1. **ECM Vendor Organization:** This section allows you to capture detailed information about prospective ECM Solution vendor organizations, and the type of support they are capable of offering.
2. **ECM Solution Functionality:** This section requires ECM Solution vendors to explain in detail key functionality offered by their respective applications. Since each organization has a unique set of requirements and a different level of priority for each requirement, we recommend that you identify and apply a weighting factor to each functionality requirement, and calculate the final score of each vendor to assist you in the ECM Solution selection process.
3. **Technology:** This section is designed to enhance your understanding of the technology used to power the ECM Solution, and the requirements/dependencies that need to be kept in mind during integrating or upgrading the ECM Solution.
4. **ECM Vendor Vision:** The field of Packaged ECM Solutions is fairly new and rapidly evolving. Most ECM vendors are adding key new functionality at a breakthrough pace, making it critical to stay abreast of new developments. This section focuses on enhancing your understanding of current and future product trends, directions and offerings.
5. **Training and Implementation Methodology:** Knowing that training and implementation methodology are critical success factors for any ECM Solution implementation, this section helps you evaluate the training and implementation options available from each ECM Solution vendor,

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including the number of organizations where a particular ECM Solution has been deployed, and the implementation methodology used.

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1. ECM Vendor Organization

Question / Requirement		Response
A	General Information	
A1	ECM Solution vendor's company name:	
A2	ECM Solution vendor's corporate address:	
A3	ECM Solution vendor's telephone:	
A4	ECM Solution vendor's fax:	
A5	ECM Solution vendor's website:	
A6	What year was the organization founded?	
A7	Who is the organization's CEO?	
A8	How many years has the CEO been with the organization?	
A9	Please list the senior management team: Names, Titles, Years with organization	
B	Contact Information	
B1	Proposal contact's name	
B2	Contact's title	
B3	Contact's address	
B4	Contact's telephone	
B5	Contact's e-mail address	
B6	Contact's mobile phone	

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Question / Requirement		Response
C Person that completed the RFP (if it is different from the Contract Person)		
C1	Name of the person that completed the RFP	
C2	Title	
C3	Contact address	
C4	Contact telephone	
C5	Contact e-mail address	
C6	Contact mobile phone	
D Financials		
D1	Is the company a public or private company? (When founded? By whom?)	
D2	What is the stock exchange ticker symbol?	
D3	Describe ownership structure	
D4	If private, please describe the organizations reliance on venture capital. What is the percentage of venture capital money in your organization, and how is it represented on your management team?	
E Employee Information		
E1	What is the total number of your employees? (Outsourcing, # consultants, non-employee staff?)	
E2	How many employees are in the following functions: <ul style="list-style-type: none"> • Sales • Professional Services • Technical Support • Research and Development 	
F User Group		
F1	Do you maintain an active user group?	
F2	What year was it established?	
F3	How often do the users meet?	

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Question / Requirement		Response
F4	When was your last user conference?	
F5	How many users attended your last user conference?	
G Pricing and Support		
G1	What is the average implementation cost for implementing your ECM Solution?	
G2	How many different types of licenses does the software have? Please list the average price per license. (This is only to get a rough estimate of the cost of the software and we realize that there will be bulk discounts.)	
G3	What is the cost of an average support/maintenance contract for a mid-size company?	
G4	What support (email, phone, or on-site) is provided?	
G5	What hours of the day is support available?	
G6	Where is the customer support offices located? Please list all offices.	
G7	How many different releases are supported at the moment?	
G8	How often are new releases available?	
G9	How long does it take on an average for a customer to upgrade?	
G10	What is the average cost per upgrade?	
G11	How much have the support and maintenance prices increased over the last 5 years?	
G12	Is there a system to log issues and track process of issues reported?	
G13	What is the daily consulting rate for an engagement manager, senior consultant, technical consultant, etc.?	
H Customer Base		
H1	Total number customers?	
H2	Number of New customers: YTD? Last Year? (# of Return Customers, References?)	

2. ECM Solution Functionality

Question / Requirement		Response
A Accessible and Ease of Navigation for Users		
A1	Does the system have a personal dashboard capability to access all personal Data? (If "Yes" continue to A2 else continue to A3)	
A2	Does the personal dashboard contain all tasks that a user needs to perform?	
A3	Does the system require minimal number of clicks to get to a contract or its data element? Please elaborate on how a user navigates through a hierarchy of data, and any short cuts that can be used to access any data element	
A4	Does the system provide functionality to easily search for contracts, parties and attachments? Please explain how your system accommodates this requirement, and other attachment search capabilities.	
A5	Can a user easily download data (for example, the list of contracts etc.) into Excel or Word format without IT involvement? Please describe the process of picking fields to download, and executing the download.	
A6	Can the software be used in multiple international locations? Does the application have capabilities to support multiple currencies, languages, and date formats? (Exchange rate auto adjustment function for currency fluctuations?)	
A7	Is the application web-enabled or totally browser-based (thin-client) leaving "No Footprint" on the desktops?	
A8	Can the system be integrated with ERP systems such as SAP, Oracle, etc.?	
B Multiple Organizations or Subsidiaries		
B1	Is it possible to define an organizational structure within the ECM Solution?	
B2	Is security driven off the organizational structure or is it role-based? (or both?)	
B3	Does the ECM Solution support multiple language templates (logo's, contract formats) for each organization or subsidiary?	
B4	Does the ECM Solution support multiple currencies and languages for each organization?	

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Question / Requirement		Response
C Dashboard – Single Point of Entry		
C1	Does the application have a single point of entry and single sign-on capabilities?	
C2	Can a user view all contracts and the progress of each of these contracts?	
C3	Is the status of the different contracts displayed? (For example, draft, requesting approval, negotiation, executed, expired, terminated, etc.)	
C4	Is this view configurable by role or individual?	
C5	Does the application display the tasks that need to be performed by user?	
C6	How does the application handle other people’s paper or vendor paper?	
D Contract Templates		
D1	Does the application provide capability to load standard and alternate templates?	
D2	Does the application provide predefined tracking terms that can be assigned to standard clauses or templates?	
D3	Can a user list all templates according to category, organization?	
D4	Does the standard application provide out-of-box: <ul style="list-style-type: none"> • Clause templates • Notification templates • Letters • Memo 	
E Contract Creation		
E1	Does the application allow users to create, author, and edit contracts?	
E2	Does the application handle buy-side, sell-side, and other type of contracts?	
E3	Are contract instances based on a pre-defined set of contract templates with “fill-in-the-gaps” functionality?	
E4	Does the application automatically create a reference or assign a number to each contract? Can this automated numbering system be customized?	
E5	Does the application automatically track all changes and actions performed on the contract?	
E6	Can additional terms be assigned to a contract instance?	

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Question / Requirement		Response
E7	Can tracking or language terms trigger approval rules?	
E8	Can all terms be used to trigger notifications?	
E9	Can the user search & retrieve contracts?	
E10	Does the application provide a set of triggers to automatically send notifications or renewal events to individual users or a group of users?	
E11	Does the application have predefined workflows and can these be configured?	
E12	Does the application have the ability to check and notify users about non-standard workflows?	
E13	Can users assign role-based Security Protocols to a contract instance?	
E14	Does the application have role-based contract reviews & approval levels?	
E15	Does the application have role-based delegation levels?	
E16	Is the application compatible with the Microsoft product suite?	
E17	Does the application come with pre-defined data fields?	
E18	Does the application have capability to add unlimited line items per contract?	
E19	Can the responsibility of contacts be assigned to different individuals or groups?	
E20	Is the selection of alternative clauses available during the contract instance creation?	
E21	Can you copy the security and terms from existing contract instances to vendor papers?	
E22	Is the status of the contract automatically updated?	
E23	Does the application have full version control of attachments, including who and when it was changed?	
E24	Does the application allow comparing different versions of the contracts?	
E25	Does the system have features to prevent conflicts when editing attachments, such as checking in and out?	
E26	Does the system provide capability to link contract documents and build a hierarchical relationship between contract instances?	
F Compliance and Approvals		
F1	Can you set-up predefined approval rules in the software?	

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Question / Requirement		Response
F2	Can approvals be based on contract terms?	
F3	Are these term-based approvals appended to the approval list or do they overwrite the predefined approvals?	
F4	Who can modify the approval chain? <ul style="list-style-type: none"> • Before it is initiated • After it is initiated 	
F5	Does the application automatically track all changes throughout the approval process?	
F6	Outline in detail the approval cycle, how the system handles any changes that have been made and whether people need to review the changes that are made further down the approval process.	
F7	Can the contract creator alter the approval process? (i.e. overwrite the existing approvals?)	
F8	How does a change during the negotiation process affect the approval process and approval rules?	
G Collaboration and Negotiation		
G1	Explain the different negotiation methods that are supported by the system, e.g. <ul style="list-style-type: none"> Email Off-Line On-Line Please list all other forms of negotiation methods.	
G2	Does the software have automatic version control (numbering) during the negotiations process?	
G3	Can the software maintain "Data Merge" Versioning Control?	
G4	Does the application have an audit ability and also record the Check-in & Check-out Date and Time?	
G5	Does the application automatically store the Negotiation History?	
G6	Does the application support Internal Redlining Capabilities?	
G7	Does the application support External Redlining Capabilities?	
G8	Does the application support Real-Time / Interactive Collaboration?	
G9	Does the application support Batch Messaging Collaboration?	

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Question / Requirement		Response
G10	Does the application have a Bulletin Board/Sidebar Conversation where the comments during the negotiations process can be stored?	
G11	Does the application have a Supplier Work Area with Security Protocols where the parties can see the negotiation process and changes as they occur?	
H Execution		
H1	Does the application support Role-based Signature Approvals?	
H2	Does the application support Electronic Signature?	
H3	Does the application support Auto-Transfer Data?	
H4	Does the application have document compilation functionality?	
H5	What methods of execution are supported in the application? - Printed Contracts - Mailed Contracts - Fax - Email Please list all other execution methods supported by the application.	
H6	Does the application archive the executed contracts?	
H7	Can executed contracts automatically be routed to the relevant parties?	
H8	Can the "Auto-notification" parties be based on tracking terms in the document, i.e.. Different business units?	
I Repository		
I1	Can the user easily search for archived data or contracts? Please explain which terms, options the user can use to search.	
J Reporting		
J1	Can the software display Spend Analysis or Consolidated Views of the contractual commitments?	
J2	Can the software display Supplier Performance Scorecards?	
J3	Does the application have standard reports or metrics?	
J4	Does the application have an Automated "Internal Listener" Compliance Engine?	

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Question / Requirement		Response
J5	Does the software Compliance Identification & Resolution "Virtual Approver" Function?	
J6	Is the software Sarbanes-Oxley Compliant?	
J7	Is the reporting module developed by the ECM organization or is it from a third party? Explain who this module is integrated in the application and what additional software and licenses are required.	
J Reporting		
J1	Can the software display Spend Analysis or Consolidated Views of the contractual commitments?	
J2	Can the software display Supplier Performance Scorecards?	
J3	Does the application have standard reports or metrics?	
J4	Does the application have an Automated "Internal Listener" Compliance Engine?	
J5	Does the software Compliance Identification & Resolution "Virtual Approver" Function?	
J6	Is the software Sarbanes-Oxley Compliant?	
J7	Is the reporting module developed by the ECM organization or is it from a third party? Explain who this is integrated and what additional software and licenses are necessary.	
K Integration		
K1	Is the software capable to Push & Pull Data to other systems?	
K2	Does the application have a Referral List with Existing Interface?	
K3	Can the software be integrated or have a Dual Interface Capability?	
K4	If 3 rd party tools were used, are these 3 rd Party Supplemental Tools/Services Guaranteed & Seamless?	
K5	Is the integrations software certified?	
K6	Please list all integrations software's that are certified (i.e. SAP, Oracle, PeopleSoft, JD Edwards, etc.)	
K7	Does the system have a single network login? If so, explain how this is handled in the system?	

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Question / Requirement		Response
L	General	
L1	Please list any additional information that is not covered in the section above.	

3. ECM Solution Technology

Question / Requirement		Response
A	Technical Architecture	
A1	What architecture model best describes your system?	
A2	What database systems does your application support	
A3	Which server platforms does your application support?	
A4	What languages were used to build the application?	
A5	Which web servers does your application support?	
A6	Which desktop platforms does your application support?	
A7	Which web browsers are certified for your application?	
A8	Are there additional web browsers components?	
A9	Please provide a diagram(s) that illustrates the architecture of your proposed solution. Please include all environments that will be required including test, development, etc...	
A10	Please provide white papers, architecture diagrams, data flows, or other supporting documentation.	
A11	Please provide data flow diagram detailing network connectivity configurations	
A12	What is the preferred combination of hardware, operating systems, web servers (if applicable), and client software used by the majority of your clients?	
A13	Provide a one-page architecture diagram of the preferred architectural design, including information on recommended operating system and web server version combinations for each physical server.	

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Question / Requirement		Response
B Database		
B1	What database do you develop and test in first?	
B2	Will the database be accessible for use by other applications?	
B3	Is the database easy to access directly? (Ex. No proprietary encryption, odd or cryptic table / field names, etc.)	
B4	What tools do you provide to help size the system database?	
B5	What do you provide for install and sizing scripts for the system database objects?	
B6	Does your application depend on specified schema-owner or user names/passwords to the database? Does the schema owner need DBA access for the application to function	
B7	What system database functions require DBA access to be performed?	
B8	Does the application require a specific OS for the database server?	
B9	Describe any messaging software your system uses to connect to the database. Do the connections stay connected at all times, or are they transaction based?	
C Performance		
C1	Identify the maximum number of named users, logged-on users, and concurrent users your solution will accommodate. Include largest implementations.	
C2	List hardware system requirements for a user base of 1000 and 500 concurrent users.	
C3	Describe any documented stress testing methods / results.	
C4	Describe the average amount of data transmitted per request.	
D Other Software Requirements		
D1	Describe additional third party software packages required by your solution. Are these acquired through you or independently?	
D2	For any 3rd party software required, what is your relationship with the 3rd party provider? (Strategic, certified, development, etc.)	
D3	What is your strategy for providing coordination of support for third party packages?	

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Question / Requirement		Response
E Integration		
E1	Identify all third party integration tools required for your solution. (Messaging, EAI)	
E2	Describe how your solution interfaces with non-client/server environments.	
E3	Describe any customization or modifications necessary to SAP R/3 to support integration with your product.	
E4	Describe how your solution handles logins or Authentication to SAP.	
E5	Are there any known hardware/software incompatibilities?	
E6	Which versions of the Windows operating system are certified for running the application?	
E7	Which versions of the Windows operating system are supported?	
F System Management		
F1	Identify all performance monitoring and tuning tools you provide.	
F2	Identify all troubleshooting (debugging) tools you provide.	
F3	Does your system require downtime windows? How often and how long?	
F4	Are administrative rights required for client or service accounts?	
F5	Does back-end software operate as a service?	
F6	Is the application affected by console access? (login/logout)	
F7	Any support restrictions for system patching?	
F8	What Platform does your development team write and test this application with initially?	

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Question / Requirement		Response
G User Enhancements		
G1	How are user enhancements collected and prioritized?	
G2	How are the custom enhancements accommodated?	
G3	How are enhancements implemented and supported?	
H Security		
H1	Does the application integrate with any services for authentication and group membership?	
H2	Does the application integrate with any third party Web Single sign-on products?	
H3	Describe the security of your application. How did you develop your application with security in mind?	
H4	What ports and services are utilized by the application?	
H5	Does running the application require root or administrator access? (specify)	
H6	What modifications to the operating system are required by the application?	
H7	Describe how your application utilizes secure protocols.	
H8	Can you define the user ROLES, GROUPS and POLICIES required for implementation?	
H9	What encryption protocol is used to store and transfer data?	
H10	What encryption level is used to store and transfer data?	
H11	Do you enforce password changes, if so can we indicate what the length of time is?	
H12	Do you always transmit and store passwords in a one-way encrypted format?	
H13	Can passwords ever be seen (even by administrators)?	
H14	Do end users have a direct connection to the database? If so, how is security through this connection managed?	
H15	How is the data “backed up”? What is your disaster recovery plan/strategy?	
I Upgrades and Releases		

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Question / Requirement		Response
I1	Does periodic maintenance include updates and upgrades to this application? What is the frequency of upgrades?	
I2	How are major releases scheduled? When is your next major release scheduled?	
I3	How are any customizations or configurations rolled forward in an upgrade?	
I4	How many versions of the product do you support?	
I5	What length of time is a prior release supported?	

4. ECM Solution Vendor’s Vision

Question / Requirement		Response
A Vision of Vendor		
A1	Please comment on your company’s vision and heritage. Attach any supporting documentation that speaks to your viability to deliver in the future.	
B Future Enhancements		
B1	List all the future enhancements that are currently underway	
B2	List any acquisitions and/or mergers the last 24 months. How have these mergers or acquisitions changed the vision of the firm's ECM group strategy?	

5. ECM Solution - Training and Implementation

Question / Requirement		Response
A	Vision of Vendor	
A1	Proposed Implementation Services: Please describe your services in detail.	
A2	Do you use partners or implement the system? List all implementation partners.	
A3	How many times have you deployed your application?	
A4	Do you include Project Management with your services?	
A5	Is Data conversion apart of your services?	
A6	Please explain the typical implementation approach, including Kick-Off Calls, Technical Reviews, Design Reviews, and User Acceptance Testing	
A7	Please detail out an Implementation Timeline by week, including key activities each week, number of resources on client and vendor end, and projected length of time for implementation.	
A8	Please describe your training approach.	
A9	Do you offer any methodology training?	
A10	Do you offer Computer Based Training Modules? Please describe these services in detail.	