1. Purpose
This document is intended to provide guidance to ensure that an agency implementing or upgrading an Electronic Document Management System (EDMS) application has considered all factors before implementation. Careful consideration and responses to the questions will assist an agency in determining accurate costs, timeliness, and other resources that may be necessary to achieve its final objectives.

System Requirements

1. List the business requirements that will be addressed by the proposed system (e.g., enhanced customer service, easier access to information or increased productivity.)

2. Describe the volume of documents (total pages) that are received or processed in a year.

3. Describe any cyclical volume spikes in the receipt of documents.

4. Describe the paper sizes and weights to be used by the system.

5. List the colors, logos, shading, and drop out ink requirements that are present on documents.

6. Explain any form redesign that may be necessary to maximize scanning efficiency.

7. Describe any large-scale documents including maps, computer-aided design (CAD) or engineering size documents to be used.

8. Describe any uses of digital voice or sound files.

9. Describe any uses of digital photo or video formats.

10. Explain the availability of staff for document scanning preparation, administration, and system support.

11. Describe the capacity of existing network, equipment, and support resources to complete the project.
12. Has the agency contacted other Commonwealth agencies for scanning service operations (Pennsylvania Historical and Museum Commission (PHMC) and Department of Revenue)?

☐ YES
☐ NO

13. Are funding and other resources allocated for data/image conversion?

☐ YES
☐ NO

14. Is the application similar to any other Commonwealth agency application where the code could be reused? If so, explain.

15. Describe the use of optical character recognition/intelligent character recognition (OCR/ICR), bar codes, or forms.

16. List the system reporting requirements.

17. List any use of Web or Geographic Information Systems components.

**Web Components**

1. Describe the use of or need for portal functionality such as portlets.

2. Describe any portable document format or other conversions that are required.

3. Describe any needs for payment/credit card components.

4. Describe any electronic forms requirements.

5. Describe any needs for eCommerce components.

6. Describe any needs of file viewers for special applications (e.g., CAD).

7. Describe any needs for electronic signatures.

8. Describe any needs for e-notary services.


**Records Retention**

1. Are the records/documents reflected on the agency’s records retention schedule?
If YES, list the schedule item numbers

2. Have shortened retention schedule periods been considered?
   - YES
   - NO

3. Describe any permanent, archival, or long-term requirements.

4. Describe any paper or bitmap 16-mm film requirements for a “human readable format.”

5. Are funds allocated for bitmap microfilm, if necessary?
   - YES
   - NO

6. Describe any platter/memory management or expunging requirements.

**Vendor Involvement**

1. Has a request for proposal/request for quote (RFP/RFQ) already been issued prior to consideration of all aspects of this questionnaire?
   - YES
   - NO

2. Has the agency considered making use of other Commonwealth agencies’ infrastructure and resources to host the application?
   - YES
   - NO

3. Can an existing EDMS system within the proposed system’s agency support the requirements?
   - YES
   - NO

4. Have the requirements been reviewed with the PHMC and Office for Information Technology (IT)?
   - YES
5. Does the agency have internal capability to support the system upon completion of implementation by a vendor?

☐ YES
☐ NO

6. Describe the knowledge transfer between the vendor and internal agency support staff included for the agency to able to support the system in the future?

Infrastructure
1. Has the agency contacted Exchange Management Team to discuss the impact of such a system on the enterprise exchange e-mail system?

☐ YES
☐ NO

2. Has the agency met with the Enterprise Technology Services Office (ETSO) to address bandwidth requirements?

☐ YES
☐ NO

3. Has the agency addressed application security requirements?

☐ YES
☐ NO

4. Describe the agency backup disaster recovery plan to address proposed system.

5. Is there a need for backup copies to be stored at off-site storage?

☐ YES
☐ NO

6. Has the agency determined the annual system disk space storage requirements based on the estimated annual volume of documents?

☐ YES
☐ NO
Costs Breakdown Details
Complete costs that will be required for:
- Additional staffing to support;
  Prepare documents for scanning, if applicable;
  Document scanning, if applicable;
  System administration;
  System support
- New equipment purchases or upgrades
- Migration of data for duration of retention period
- Bitmap microfilm, if applicable
- Site preparation
- Consulting fees
- Telecommunications

Business Process Reengineering (BPR)
1. Has the process been evaluated for BPR and workflow efficiency?
   - YES
   - NO

   Available resources to assist with BPR tasks include:
   - Office of Administration internal resources
   - External Consultants
   - Internal Review-current methodology and envisioned processes
   - EDMS Consulting Services from PHMC

Legal Review
1. Has the agency legal staff reviewed the records and associated records retention and disposition scheduled of the records to be captured/created in the system?
   - YES
   - NO

2. Has the agency legal staff reviewed Health Insurance Portability and Accountability Act, Right-To-Know- Law, Sarbanes-Oxley Act of 2002, Act 100 compliance issues?
   - YES
   - NO
3. Has the agency legal staff reviewed and interpreted laws, policies that may be applicable?

☐ YES
☐ NO

**Information sharing with other agencies, customers or entities**

If information is shared, explain the data sharing strategy. Address the following in the explanation:
- Compatibility issues
- Use of Microsoft Outlook/Exchange for ad hoc requests
- Output bulk transfers of image files to bitmap microfilm
- Required intranet or Web viewer
- Generally Accepted Accounting Principles, state, federal or other audits
- Document sharing plan with other agencies once they are in an electronic format

**General**

Has the agency met with the Enterprise Records Information Manager? Explain.

☐ YES
☐ NO

This chart contains a history of this publication’s revisions:

<table>
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<th>Date</th>
<th>Purpose of Revision</th>
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