

MOST FREQUENTLY ASKED QUESTIONS

1. ARCHITECTURE

Q. *How, where and in what format are your documents stored?*

Documents are stored in a vault which can be located anywhere within a filing structure be it on a connected server or remotely on a SAN

Q. *Explain your Security model*

- Kcenter implements a fully comprehensive security model based around User Roles and Document and Folder Level Access Control.
- Security is provided at user and group level – (user privileges) and at both folder and document level.
- User privileges determine what functionality is available to the user and document level permissions are implemented by way of Access Control Lists. This enables each document to hold varying permissions for individual users and groups of users. For example, a document's permissions can be set so that some users can only view a document, others can edit it and indeed some may only be able to see the document's existence but not its contents.
- The Kcenter audit functionality captures document updates, document views, etc, additionally it can be customised to capture Custom Events, etc.
- The Kcenter Security Model ensures that only authorised users can change documents.
- The Version Control functionality ensures a specific process is followed when changes are made.
- All changes are logged and shown on the Audit trail.

Q. *How will your proposed solution handle servers in multiple locations, Including indicative network requirements.*

Kcenter will support a “Web Farm Concept” and is horizontally scalable. Our preferred option is for a core server, supported by one or more web servers.

ARCHITECTURE Continued

Q. *What is the proposed infrastructure/ hardware configuration to support a solution?*

The solution architecture including the hardware and infrastructure configuration will be defined jointly between KnowledgeCenter and client technical resources during the Project Initiation as part of the system design workstream. As an indication a typical implementation includes one or many IIS servers, an application / database server (or separate servers dependent on the scale and usage of the solution) with as many document vaults as required by the solution on a single or multiple servers dependent on the volumes of documents being stored.

Q. *Is the product Web enabled? Explain how this is achieved.*

Yes – Kcenter is fully web enabled, all of the major functionality is accessible via the web browser.

The application architecture is implemented over a 3 tier model – data, business logic and presentation. All 3 tiers operate on the server, the business layer is implemented as stateless COM+ components and the presentation layer is implemented as ActiveServer Pages running under Microsoft Internet Information Server.

Q. *Are there separate desktop and web clients?*

There are not separate core clients. KnowledgeCenter provide a Microsoft Office Add-ins that integrates document download and upload functionality into the Office applications. KnowledgeCenter also provide comprehensive integration with Microsoft Outlook through KC1view.

Q. *Can web users access through a standard browser or does a plug in need to be downloaded?*

A standard browser, is all that is required. There is an optional ActiveX download that provides additional integration into Office applications but full functionality is still available without this. The only other add-in required within the core product are for Workflow Designers who need to load the design tool locally.

Q. *Is the system proven to operate within a Citrix environment?*

Yes - this has been successfully achieved by Clients including QBE and BMS in the London Insurance Market who are managing large volumes of users (500+) both within the UK and Internationally.

ARCHITECTURE Continued

Q. *Is it a 'thick' or 'thin' client system?*

Kcenter is essentially a Thin Client product.

Q. *What clients are currently available, and what are planned (with release dates and platforms)?*

A number of client types are available, namely;

- 1) a thin client
- 2) an Office Add In client that exposes the system through the standard Microsoft Office product set (Offices, Excel, etc)
- 3) an Outlook integration client that embeds all of the functionality of Kcenter within Microsoft Outlook
- 4) A client side API.

Q. *Can other systems be enabled to interrogate Work flow records?*

Yes – the underlying technology retains all workflow data in an MS SQL database

Q. *Do you publish the API to allow custom development?*

Yes, there is a full API set available.

2. AUDITING

Q. *How does the auditing module work?*

All actions within the DMS and Workflow are automatically audited and stored in Microsoft SQL Server, these include:-

For DMS - Document insertions, updates, deletions, views etc.

For WF – User Activity timings & decisions, process durations, SLA durations etc.

Q. *Does the audit contain opened, saved printed and viewed details of every event?*

All of these events are captured except Printing – since this is dependant on the client application being used to print the document, however as a document must be viewed before printing a record is maintained.

Q. *Is the audit log recorded on worm technology and proved to be locked and not open to editing?*

The audit log is captured in database table. This data can then be Exported /mirrored to a WORM device.

Q. *Can usage reports be created and are these customisable by the users?*

Yes - Since the data is captured in a database table any reporting tool that can use an ODBC data source can be used for reporting.

3. AVAILABILITY

Q. *The system will need to be available to the business users during the core hours of 08:00 to 19:00 each day with the opportunity to extend this to early morning, late evenings and weekends. Is this achievable?*

Yes – KnowledgeCenter offices are supported by on site personnel from 08.00 to 18.00, a separate Service Level Agreement can be put in place to support non standard hours.

Q. *The need for a 24 hour / 7 day operation is a future requirement. Can the system support this flexible business requirement?*

KnowledgeCenter already have a relationship with the Metropolitan Police to provide this. Again all that is required is a revised SLA and Support contract.

4. COMPLIANCE

Q. *The system must be very resilient in terms of downtime, data recovery and business continuity. Paper will not be discarded until users have confidence in the replacement. What elements of your tender address these issues?*

Kcenter is based on standard Microsoft technologies and is a highly robust and resilient product. The application architecture is based around Microsoft's Distributed Network Architecture model and therefore the system components can be configured into most high availability and resilient topologies – e.g. web farms, replicated servers, distributed servers etc.

Q. *The security of documents is critical. Please outline how document security is implemented in your offering.*

As previously stated security is set at both folder and individual document level.

The security permissions that can be set are as follows:

- See
- See Content
- Edit Properties / Attributes
- Modify (Document Level only)
- Administer Versions
- Edit Permissions
- Delete
- Add Items (Folder level only)

Q. *Over a period of time the stages in the production of a final document and the wording/clauses within the document become standardised there is a desire to capture this knowledge base in various ways – templates, procedures, wordings libraries etc. What knowledge management functionality is supplied with your solution?*

Kcenter is a knowledge management product. Procedures can be defined and stored, these procedures can be implemented in workflow if required to ensure adherence to them. Individual Documents can be 'templated' as either clauses or wordings or master templates dependent on business requirements.

This could be further enhanced by deploying another KnowledgeCenter partner product Exari which is an interview driven document production application specifically designed to allow creation, storage and re-use of templates, clauses and wordings to facilitate fast and accurate document generation.

5. DEPLOYMENT & DOCUMENTATION

Q. *Can the system provide Remote system access and remote printing capability? How can this be managed within a secure environment to prevent security breaches whilst maintaining an effective service to clients?*

Yes - through the thin client interface.

Kcenter has been deployed in a number of differing ways to ensure security and protection from intrusion. Most of KnowledgeCenter's clients have had Kcenter penetration tested as part of the deployment, and many schedule regular re-tests. Currently there are no outstanding security issues identified by these tests.

Q. *Whilst the system is likely to be used initially to support in house operations, opportunities for web based, direct access by brokers and business partners is under consideration. Is this currently supported?*

As a web centric product Kcenter has successfully supported this type of initiative and requirement for a number of our existing clients.

Q. *Is the system fully documented and is the documentation available to clients as part of the software deliverable?*

Yes – Kcenter has full documentation and additionally includes an on-line manual when deployed through MS Outlook.

6. DISASTER RECOVERY

Q. *Disaster recovery requires the availability of corporate data off site – how may this be achieved?*

It is expected that a client will already have Disaster Recovery rules for the existing IT systems. These will be reviewed as part of the system design workstream in conjunction with client technical resources to ensure the Kcenter solution is encompassed within a wider DR strategy.

Q. *What are the standard backup and restore procedures available within the core system?*

As Kcenter is based on Microsoft SQL Server all industry standard backup techniques are supported.

Q. *What is your recommended approach to system restoration, in the event of a Disaster Recovery plan being invoked?*

There is no specific recommended approach as there are numerous approaches to DR. The appropriate strategy would be defined in agreement with client technical staff as part of the technical design workstream.

Q. *How does the system deal with a crash on either the client or server?*

As the system is server based a client crash will not affect the integrity of the system. In regards to a server crash it is dependent on which server crashes (IIS, Database, Application or Storage) and how the system infrastructure has been implemented.

7. FUNCTIONALITY

Q. *A paper photocopy may also be required automatically as a result of scanning. What is your proposed solution?*

Multi functional devices can be deployed, which may well satisfy the requirement to scan and copy the original document.

Q. *There is a need to hold a number of documents relating to a data entity (e.g. policy or claim). How do you associate related documents?*

Documents are associated through Categories. Categories are a configured set of data fields that the business define (such as UMR, UCR etc) as required to provide both an effective storage structure and collation of related documents whilst facilitating efficient subsequent retrieval.

Q. *Does your solution support Indexing?*

Kcenter supports Indexing as standard through the principle of Categories and Attributes, these can be used to associate Business Specific information with the document e.g. Policy Reference, Class of business etc. Additionally Kcenter provides full Content Text Indexing (through Microsoft Indexing Server) that allows for the content of Microsoft documents such as Word, Excel etc and additionally Outlook emails along with any embedded attachments to be automatically extracted for subsequent searching.

Q. *Does your system support OCR?*

Yes – through integration with various 3rd party products.

Various different forms of OCR capture have been deployed in the past by KnowledgeCenter, ranging from full text conversion supporting search functionality to zonal capture for automated document indexing.

Q. *How does your system enable collaboration?*

Kcenter provides for collaboration through 'Projects' a core element of the Kcenter product suite. Projects allow for work / discussion forums to be setup. Users are nominated for inclusion in the collaborative forum, with the ability to share documents and discussions in a controlled and shared environment as well as creating, accepting and performing specific tasks.

FUNCTIONALITY Continued

Q. *Does your system support Workflow?*

Workflow is a core feature of the Kcenter environment, and is designed and implemented via a Graphical 'Drag and Drop' Process Designer. The user interface is web based and requires no software to be loaded on an individual user's desktop.

The workflow allows business processes to be implemented and executed as tasks delivered to users through the standard Kcenter interface (be it a Web Browser or through Microsoft Outlook). The tasks can contain complex forms and documents – the workflow engine routes tasks around the organisation by utilising a 'workflow map'. This workflow map defines the order in which tasks are performed, who the tasks are performed by, the business rules to determine the conditional branching of tasks and allows for the setup of compliance and contractual Service level agreements and any required escalation based on these.

Q. *How are your documents distributed?*

Kcenter provides for the user to access (subject to permissions) and distribute documents from within Outlook in their native format. However, it should be noted that these documents will then become unsecured and will no longer be under the control of the DMS (this is standard to all DMS products). Note that the Kcenter audit will indicate that the documents have been accessed by the user and subject to Company policy; a copy of the e-mail and associated attachments will be lodged and recorded in the DMS.

Alternatively, the user may distribute the documents as URL links. This has the effect of limiting network traffic and also maintains the access permissions configured for the Client implementation, having the added benefit that links distributed to the wrong participants will be prevented from unauthorised access.

Q. *How does your system support versioning?*

Kcenter features full version control including version roll-back, version locking, audit trails and publishing controls.

Q. *The reliability of the system and its ability to cope with peak demand at point of underwriting is a key requirement. How does your solution meet this requirement?*

Kcenter has been designed from the outset to be a fully web based product and as such is able to handle the high volume of traffic that such architectures usually face. The HTTP protocol and 'stateless architecture model that underlie Kcenter are proven for performance and resilience.

FUNCTIONALITY Continued

Q. *There is a requirement to be able to add notes to documents. How would your solution handle this, is it possible to view/ copy the document without the attached notes?*

Kcenter's imaging software supports annotations attached to scanned documents. Scanned documents can be viewed either with or without these annotations.

Q. *There is need to have a variety of indexes to a document, for instance a document might be referenced by risk number but also by document type and geographical area. Multiple indexes would provide the ability to for instance select all rating sheets for a particular geographic area. What is your proposed solution?*

Kcenter allows for documents to be categorised with multiple indexes as standard. These would be defined and configured during the implementation of the solution.

Q. *Can your solution provide for access over the internet?*

Yes – Kcenter is fully web enabled, all of the major functionality is accessible via the web browser.

The application architecture is implemented over a 3 tier model – data, business logic and presentation. All 3 tiers operate on the server, the business layer is implemented as stateless COM+ components and the presentation layer is implemented as ActiveServer Pages running under Microsoft Internet Information Server.

Q. *There is a need for version control of new documents when they are being drafted and agreed. What facilities are provided in your solution for version control?*

Kcenter features full version control including version roll-back, version locking, audit trails and publishing controls.

Q. *There is an authorisation need for payments within the workflow solution. Please comment on how financially sensitive work flow issues would be handled.*

All activities undertaken by users in a workflow process have nominated individual performers or groups. If an activity is sensitive for any reason a group can be defined to undertake that activity and remain secure from all other users. Security of workflow access is definable at both process and activity level.

Q. *What file types are supported by your product?*

Any binary file can be stored within the DMS including photographs, voice messages, video's etc.

FUNCTIONALITY Continued

Q. *Does the solution proposed enable documents to be secured and controlled on the client side as well as whilst in the repository. How would you meet this requirement?*

Moving a document from the DMS into the client environment removes the security provided by Kcenter and would not be a recommended approach in most situations. A more robust and secure method would be to store URL's back to the documents in the repository so retaining the integrity of the documents and their associated data.

Q. *Is the system available 24-7?*

Yes if required - The application architecture is based around Microsoft's Distributed Network Architecture model and therefore the system components can be configured into most high availability topologies – e.g. web farms, replicated servers, distributed servers.

Q. *How, procedurally, would you recommend scanning of time critical documents and what would be recommended for managing these during a hardware failure?*

Time critical documents requiring capture can be prioritised as part of scanning procedures (which must always be defined by the business) or scanned using a separate scanner. In a DMS solution where either time critical documents or high volumes (or both) are being scanned at least two scanners must always be deployed both to cater for volume throughput and inherently providing resilience in case of scanning hardware failure.

Q. *Please state if version control exists and how this is handled?*

Kcenter provides full version control as a standard feature, and includes version roll-back, version locking, audit trails and publishing controls. The audit trail provides a comprehensive compliance capability.

When documents are edited they are automatically versioned. Usually the most recent version of a document is available but older versions can be accessed, viewed and restored if necessary.

Q. *Can users publish a document and still have a working version? How can this be done?*

Yes – a user can publish any version of a document whilst retaining the ability to work on another version (subject to their access permissions).

FUNCTIONALITY Continued

Q. *How is check in and check out functionality used?*

A user with edit permissions on a document checks-out the document. This document is stored on their local workstation whilst it is edited. The document in the DMS is marked as being checked-out – other users can view the document in the meantime and can also request an email notification when the document is checked-in. When changes to the document are completed the user would ‘check-in’ the document – with the ability to provide any relevant version comments. The new document takes the place of the older version which is retained by the DMS.

Q. *Can different versions have different access rights?*

Yes – this is standard functionality

Q. *Are there specific templates per document type? How can these be created and used?*

Yes – The DMS provides Categories for this purpose. Categories can be created for different document types and each category can contain custom attributes for holding document specific information. For example when a document is registered into the DMS the user would need to select the Category (if it has not already been pre-selected for them). Against this Category there may be several attributes that need to be completed before the document can be registered – Broker Risk Reference, Claim Number etc. Categories and Attributes are typically configured within the DMS administration interface by non-technical users subject to appropriate privileges.

Q. *How does the user ensure that they are prompted for the appropriate indexes?*

When the user selects the category for the document that is being stored they are automatically presented with the appropriate attributes (indexes) which can be either mandatory or optional.

Q. *Can indexing be so arranged that some indexes are limited to a specific list – for instance pre-existing Policy numbers held within an IT system?*

Yes – this is standard functionality

Q. *Can indexing be used to retrieve all documents with the same .extension?*

Yes – this can be easily achieved if required.

FUNCTIONALITY Continued

Q. *Can indexed fields be calculated/retrieved from other applications? Please explain how this is completed.*

Yes – Various types of attributes (index fields) can be created – Dropdown lists, checkboxes, radio buttons and external database Lookups etc. Additional custom attribute types (predominantly where calculations are required) can also be created using the APIs.

Q. *How is multiple indexing achieved?*

A document can be accessed from multiple areas of the repository through references (Aliases in Kcenter) that allow users to view the document from different folders as required. It is important to note that the document itself is only ever stored once to ensure the integrity of a document's version control.

Q. *Can searching be done for any text string within a document?*

Yes – this is standard functionality

Q. *Documents are accessed form within office applications, via explorer, via a link from an IT application or by using a search engine; how does the user know whether the document is in the DMS or on the network.*

All of our searches apply to the DMS to ensure integrity and accuracy of response as these will have been profiled securely and correctly. Once a DMS has been implemented documents should no longer (ideally) be stored anywhere else other than the DMS just as transactional data is (ideally) always stored in the business data systems.

Q. *Can we export batches of documents?*

Yes – this is standard functionality

Q. *Does the search engine search within attachments/annotations?*

Yes - if these items are held within the documents binary file. Comments and attachments saved into the DMS as separate items would also be indexed and searchable.

Q. *Can search criteria be saved?*

Yes – these can be saved for future use.

FUNCTIONALITY Continued

Q. *Are recent used files listed?*

Such a list is achieved by identifying documents as favourites.

Q. *Is it possible to limit the scope of a search?*

Yes – the extent of search returns can be configured in order to safeguard performance the system being configured to only return the first “X” number (suggest 1,000) results. Kcenter search functionality features various different modes (including E-mail only, Category and Property searches) in order to perform the most effective search for each particular criteria.

Q. *Can emails be sent from the DMS? Can they include attachments?*

Yes. Emails can be sent from within Kcenter with documents selected (single or multiple) rendered automatically as standard MS Outlook attachments or URLs. The benefit of URLs is that they retain the security permissions of the DMS (allowing viewing & checkout/in if required) and minimise network traffic. If documents are emailed as URLs Kcenter has the ability for the recipient to automatically render them as standard attachments for issuance to people without access to the DMS.

Additionally emails sent from native MS Outlook can have attachments selected from within the repository if so required.

Q. *Can the outlook address book be viewed from within the DMS?*

Yes – this is standard functionality

Q. *Can emails be viewed from inside the DMS? If so can the attachments be viewed?*

Yes – both are standard functionality

Q. *Can these attachments be prompted to index or auto indexed?*

Yes – both are standard functionality

Q. *Can emails or other items be drag and dropped into the DMS from Outlook?*

Yes – this is standard functionality

FUNCTIONALITY Continued

Q. *If hyperlinks exist within the product how are they used.*

Since the product is totally web based hyperlinks are used extensively. Additionally (as well as the aforementioned MS Outlook URL functionality) documents external to the DMS can be linked to by adding a URL into the DMS.

Q. *There is an operational need to identify who has received documents. How is this achieved by your solution?*

All document operations (owners, views, updates, permission, modifications etc.) are tracked within the audit trail. When an email is stored in the DMS the original recipients (including the cc's are automatically stored).

Q. *There is a desire to reduce the distribution overhead, typically once a user is emailed a document they remain on the distribution list although they may only have specialist input to the process. Please outline how document distribution is implemented within your offering?*

In Kcenter users can be emailed a URL to documents (rather than the documents themselves). As previously mentioned document permissions are therefore retained and multiple copies are not routed around the network.

Q. *If remote access is available there is a need to bear bandwidth in mind when distributing documents. What is the average size of a scanned A4 document and how big would the same document be when converted using OCR? How would a user identify the type of document before opening it?*

All Kcenter documents show the document type on the screen to allow a user to determine their type.

An average A4 word document is approximately 40k unless a compression option or algorithm is applied at the time of storing the document.

Scanned images will vary dependent upon the resolution applied, for example a 300dpi document page predominantly text based will be about 40k. An OCR'ed version of that document would be approximately 50% of the original size.

Q. *There is an issue of how scanning will be done, whether it will be central or distributed and whether everything will be scanned or whether mail recipients will sort their mail and decide on a case by case basis what to scan. The consensus appears to be some form of departmental scanning; does this have any implications on your proposed configuration?*

Kcenter is designed to cater for both centralised or distributed scanning (or a combination therein). The proposed approach would be defined as part of the project design phase.

FUNCTIONALITY Continued

- Q. *There are a number of workflow issues. When documents are scanned they will need a reference added to them and there is an issue around how this is controlled. Similarly if electronic authorisation is used how will the document trigger an action? Generally there appears to be a need to add items to user task lists. What mechanism does your workflow offering use to alert users to incoming tasks?*

Documents that arrive in an organisation be they emails or scanned documents can be configured to automatically instantiate a workflow process. The workflow process then presents itself in the Task Inbox. Items appearing in the user's Inbox are subject to their access permissions. Email notification can also be switched on to alert users to the arrival of an item of work if required.

- Q. *The system should maintain and utilise a diary for the purposes of directing workflow and user review.*

Diarisation can be designed as part of the workflow process design as required.

- Q. *The system should allow for slicing and dicing of diary and workflow into different groupings and views for different document types.*

This relates to methods by which workflows are distributed and the filters that can be applied for viewing tasks in an inbox.

Kcenter essentially uses the same access and security model throughout the system, ensuring that users only see what they have permissions to see and need to see. Kcenter workflow allows tasks to be routed to users or groups (as appropriate) and as such provides filters and sort options within task management screens to aid selection. As always, the effectiveness of the filters and sort options is governed by the design and configuration of the target workflows. However, KnowledgeCenter have a great deal of experience in this arena and will provide advice to the client in order to get the best results.

- Q. *The system should allow for the capture of notes at any stage in the workflow or with any object presented to the user while interacting with the system.*

Notes (comments in Kcenter) can be captured at any point in a workflow process and are retained thereafter whilst the instance of the process is active. These can be retained indefinitely if the workflow is defined with auto-filing set. Autofiling allows for the automatic storage of the workflow instance plus any associated attached objects within the DMS.

FUNCTIONALITY Continued

Q. *What issues have you experienced with other users of your solution and how did you overcome them?*

The approach to all projects undertaken by KnowledgeCenter is to involve users from the very beginning of the project. Key business users are identified as stakeholders (or sponsors) for each defined workstream. Design of the solution is undertaken through workshops with the business and every project has a communication workstream to allow information about the design, progress of the project to be disseminated throughout the organisation thereby minimising the 'surprise' impact when new technologies are deployed. The dissemination of this information can be through Intranet updates, demonstrations or email dependent on the client's desired approach.

Q. *What differentiates the product from it's competitors ?*

Kcenter differentiates itself in very many ways from its competitors, for example:

- Deployment (embedded) in Microsoft Outlook (as well as through IE).
- The product suite is focussed at configuration (through simple to use administration functions focussed at 'IT literate' business users) rather than technical development
- It is a single integrated DMS & Workflow product

Q. *Does the product allow invisible creation of file structures?*

Yes - This is a standard and configurable element of the DMS.

Q. *Does the DMS allow a single document to appear in many locations when existing only once?*

Yes. This is referred to as 'Aliasing' within the DMS and enables these shortcuts to have different permissions to the master document as well as the ability to point to different versions of the master document.

Q. *Are the client interface/s configurable by the user to allow custom order of field headings and sorting?*

Yes – Kcenter is designed to be a DMS product that is configured by IT literate business personnel rather than relying on technical development skills. Configuration is undertaken through the Kcenter Administration tool.

FUNCTIONALITY Continued

Q. *The client has many users of laptops, at times these will not be logged into our network/internet and thus not accessing the DMS. Is there the ability to check out files and use off line, and then have them automatically updated on attaching to the network? How is a potential clash of updates handled?*

A user with edit permissions on a document can check-out a document; this document is then stored on their local workstation whilst it is edited. The document in the DMS is marked as being checked-out – other users can view the document in the meantime and also request an email notification when the document is checked-in.

When changes to the document are completed the user would ‘check-in’ the document – providing any relevant comments. The new document takes the place of the older version which is however retained by the DMS.

Q. *Please state publishing methods to the intranet, internet or extranet. Are links maintained back to the original document?*

URL’s to documents can be added and these are maintained back to the original document.

Q. *What tools exist to migrate data to another system?*

Data can be migrated to other systems via DLLs or through the use of XML exports (which is a standard construct in the workflow tool).

8. INTEGRATION

Q. *Images are currently 'attached' to risk & claims records in a number of our systems, including Room's Subscribe system and internal applications built in SQL server. How do you handle system integration and specifically how would you avoid re-keying of information into Subscribe that could be picked from any message, email or document.*

System integration is catered for through the extensive Kcenter API set. Re-keying can be avoided by configuring the indexing fields (attributes) as 'External Table Lookups' that provides direct integration with incumbent transaction systems' databases. This approach not only reduces re-keying but ensures the minimisation of data replication and inherently data exceptions.

Q. *Documents are frequently received as email attachments, using Microsoft Outlook. How is your product integrated with MS office products, and how is indexing added to office documents?*

Kcenter has two standard interfaces; through a web browser or embedded within Microsoft Outlook. Both versions allow Microsoft Office documents to be added to the DMS, checked out from the DMS and Checked back in etc. An office add-in allows users to index (categorise) documents from within the native MS Office products. When Kcenter is exposed through MS Outlook further integration options allows for emails including attachments (drag & drop) to be stored either with embedded attachments or allows the user to store and categorise the email and attachments separately. Additionally Kcenter caters for outgoing emails to be automatically categorised and stored in the DMS.

Q. *Can other third party document generation applications be integrated with Kcenter*

Kcenter has a complete set of APIs that allow events occurring in transaction systems to trigger events in / integrate with Kcenter; these include addition of documents generated by third party systems, automated triggering of workflow processes, viewing of documents directly from third party system screens (e.g. A link could be provided from Policy details screens that displays all documentation associated with the policy being reviewed within said third party system.) as well as many others.

Q. *Can your system integrate with London Market E-Trading initiatives?*

Yes – Kcenter is already deployed in conjunction with London Market E-Trading initiatives.

INTEGRATION Continued

- Q. *We understand Document Management will integrate with existing applications, notably office products by having functionality embedded to allow, for example saving to DMS from within the application.
Please provide list of applications the product integrates with, state whether this is seamless or Out of the box (customisable).*

Kcenter integrates seamlessly with all Microsoft Office based products i.e. with

- MS Word
- MS Excel
- MS PowerPoint
- MS Outlook etc.

In addition, the VBA development tools present in the Office applications can be used to create specific custom DMS applications.

Kcenter has also been integrated with Lotus Notes.

- Q. *Can IT systems route documents directly to the DMS and automatically update the relevant indexes?*

Yes – through KnowledgeCenter’s XML based API.

- Q. *The system should be able to integrate with external systems for the purposes of directing workflow.*

Kcenter workflow allows a variety of methods for integration with existing systems (be they internal or external). These vary from SQL stored procedures, DLLs, XML interchange or scripting. The precise method adopted is wholly dependent on the target system and will be defined as part of the technical design phase.

- Q. *The system should have the ability to extract core data from documents.*

Kcenter includes text data extraction as standard using Microsoft Index Server.

- Q. *The system should allow the user to enter and integrate to client applications from any point in the workflow, diary and documents etc where record keeping exists pertaining to the entity being reviewed/processed.*

Kcenter workflow can be implemented to integrate to third party applications as standard. However the extent of the integration is wholly dependent on the ‘openness’ of the target application. The integration approach and methods would be identified as part of the technical design workstream.

9. MIGRATION

- Q. *The client will need a migration capability for existing images, which are currently stored as .pdf files, word documents, emails, spreadsheets etc. on a file server. Describe the facilities available in your system.*

Migration capabilities are a standard function within Kcenter and are supported via the DMS interface allowing documents to be migrated into the DMS through Microsoft Windows Explorer. Additionally a Batch Import tool is available to support the uploading of multiple documents.

KnowledgeCenter consultants have extensive experience in migrating documents from legacy DMS products and have performed large volume migrations for Catlin, QBE and THB in the last 4 years.

10. PERFORMANCE

Q. *The system must have capabilities for speedy scanning of paper documents & indexing. What is your proposed solution?*

Kcenter supports desktop and or network scanning using standalone scanners or multi function devices. Documents are scanned to user or group queues for categorisation (Indexing) and storage.

Alternatively, can provide bespoke OCR functionality for bulk capture and indexing of documents where they are of a set format and where indexing attributes can be pre-populated. Further details available upon request.

Q. *What is the maximum number of users supported? Please explain the performance issues when scaling user base upwards.*

There is no maximum defined the largest client to date had in excess of 1,000 users connected.

Generally an approach of adding additional web servers is applied to support the introduction of new users.

11. SCALABILITY

Q. *How will this impact the system availability and performance, and what is the likely bandwidth needed to support multiple, concurrent access for 100 / 200 / 300 internal / external users?*

The architecture of Kcenter provides for the deployment of multiple web servers allowing the application and/or related services to be fully scalable to thousands of users. However, the precise network and hardware requirements will be dependant upon a number of variables that include the number of users, type of activity (document lodging, retrieval, workflow tasks, searches etc), number and nature of third party integrations, internal network configuration, external connection bandwidth etc.

True concurrent access for 200 or 300 users would suggest a user base of many many thousands. However, analysis of the full requirements will define the actual level of concurrency that needs to be supported.

Q. *Can the system support the client's plans for future expandability, both in terms of user base, business volumes and additional product support?*

As Kcenter is a fully scalable product that has been proven in environments with in excess of 2,500 users, across multiple servers and locations both within the UK and Internationally KnowledgeCenter is confident that it will support user growth and requirement. Existing clients have environments with many millions of documents being handled / managed efficiently within the present releases of the product. As such KnowledgeCenter is confident that Kcenter will handle both existing and projected volumes. With regard to product support, Kcenter is consistently enhanced in line with London Market directives and Microsoft product releases. Core staff numbers are increased in line with client support needs.

12. SECURITY

Q. *There is a need to identify which documents will be accessed by departments other than their owner. Will it be possible to factor department and document type into access security?*

Kcenter implements document access control through permissions granted to individuals or groups. The owner of the document will by default have all rights to the document. Different document categories can also be configured with differing security permission as required.

Q. *Can your system support the client's business requirement to control security within MS/Active Directory? How is this achieved?*

Yes – Kcenter is LDAP compliant and is typically deployed using MS Active Directory thereby automatically inheriting the AD group and user definitions.

Q. *Does your product provide security down to document Level?*

Yes

Q. *Can you receive a file in read only mode when the file is locked (assuming relevant permissions)?*

Yes – this is standard functionality.

Q. *Explain how simultaneous record editing is handled.*

Kcenter uses Microsoft Transaction Server in order to manage updates to the database. Various transaction levels are operated dependant upon the nature of the transactions, however, simultaneous updates to a single record are not allowed, so the initial request is handled whilst any others wait for the record to be unlocked. Note that this has no visual or detrimental impact upon the user as transactions should be sub-second activities.

Q. *Can security permissions be copied between documents/templates?*

Yes – Permissions can be inherited.

Q. *Who can unlock security?*

The Systems Administrator

SECURITY Continued

Q. *Is there a security hierarchy?*

Yes – through User and Groups architecture. All users belong to a base group but can additionally be defined as invited members of other groups depending on business requirements.

Q. *Can a user set a document as private?*

Yes - a User can secure a document or folder by applying permissions that only allowed them access.

13. SLA

Q. *The system should be able to produce SLA monitoring reports.*

The system is designed to deliver SLA setting, monitoring and appropriate work escalation. All this data is stored in MS SQL server and can be reported on using standard reporting tools.

Q. *Define the service level agreement that you are able to guarantee to the client, e.g.:*

- *system availability*
- *response to service calls / problems*
- *guaranteed fix times*
- *out of hours response times*
- *escalation procedures*
- *screen response time to 'Enter' key*

All service level agreements would be agreed and documented in a KnowledgeCenter / Client support contract. An example can be made available upon request.

Q. *What agreements do you have in place with respect to any proprietary products that may be embedded within your product? How are the licensing costs calculated and how do you cater for obsolescence / proprietary products no longer supported?*

Outside of core Microsoft products there are no 3rd party products embedded within Kcenter. As the Kcenter product is tightly integrated with Microsoft software, KnowledgeCenter only maintain releases in line with Microsoft's own software support policy.

14. STORAGE

Q. *What is the maximum number of documents that can be stored?*

There is no identified maximum.

Q. *What file format is used to store images?*

This depends upon the client and the type applied during scanning. Kcenter will support most types presently in use.

Q. *Are documents stored in native format?*

Yes if that is the clients choice. Alternative formats can be applied if required i.e. PDF.

15. WORKFLOW

Q. *The system should have the ability to detect items 2 months ahead of renewal and put them either:-*

- *Into a 'diary' system*
- *Onto an 'action list'*

This can be achieved as part of the workflow process design as required.

Q. *The system should allow for the viewing and reporting of historical, current and future tasks and activities with varying levels of granularity.*

Kcenter workflow allows users to view the historic activities undertaken (including the audit of who, when etc.). To view the process and it's future activities (deadlines etc) users have the ability to open a graphical view of the process. All details of the process are lodged in the Kcenter SQL database audit table for reporting.

Q. *The system should be able to define limits and thresholds for individuals and other groupings that can direct the workflow.*

If KnowledgeCenter understand the question correctly this relates to methods by which workflows are routed and or distributed to users or groups.

Kcenter's workflow design tool puts the power in the hands of the user allowing a non technical designer to set out business rules using standard business terms that route or re-route process tasks based upon a wide range of decision criteria.

For example, it is simple to apply a rule that states if the value for a defined attribute (say, a claim amount) is less than \$10,000 send on to task A, but if \$10,000 or above send on to task B.

The easy to use designer tool allows for rules to be set against an attribute value exposed in the process, as well as the ability to define ad hoc user decision based routing based upon "Decision Buttons" E.g. Take the "Accept" or "Reject" option to route accordingly.

Q. *The system should have the ability to automatically generate unique referencing on key fields e.g. Broker Ref, UMR, Our Ref, Assured etc*

The system can be configured to provide this type of functionality and KnowledgeCenter can provide a number of references where such functionality has been deployed.

Q. *The system should allow for the transference of tasks from one user to another with appropriate security and controls.*

This is standard Kcenter functionality.

WORKFLOW Continued

Q. *The system should allow the addition of custom attributes that can direct the workflow.*

This is standard Kcenter functionality.

Q. *Can workflow be pre-set for some tasks to define a specific sequence of tasks?*

Yes