ATTACHMENT E: CRM / DMS Use Case Questions

# UWINCO Resource Management (CRM)

**OVERVIEW**

O-1 UWINCO values -

* Ease of use,
* Intuitive UI UX,
* Quick and accurate searching,
* Customizable reporting,
* Flexibility,
* High level of confidence in output.

Please describe how your system will provide for each of these attributes.

O-2 Describe how your system is used by an Endowment with similar characteristics as UWINCO from a recent implementation.

O-3 Please provide a data dictionary with available standard data fields, including name, definition, data type, possible values, Required Status (Y/N).

O-4 Please provide a listing of reports in the system’s standard report library. Listing should include: Report Name, Description and Parameters.

**SEARCH AND RETRIEVE**

S-1 Please describe search capabilities.

S-2 A Portfolio Manager is travelling to London next month. To help with setting appointments, they would like the following report, “give me a report of all managers in London who we have as Medium or High interest, date of last visit, and link to last visit. How would your system achieve this? Please provide a sample.

S-3 An Analyst is working on a presentation regarding the Semiconductor space, they would like a report that refers to all notes that contains TSMC or Intel, with Date, Manager name, Author, and link to note. How would your system achieve this? Please provide a sample.

S-4 An Analyst is working on an annual strategy review for Venture Capital. They would like to review all meetings with managers in that asset class over the past 12 months. How would your system achieve this? Please provide a sample.

S-5 The auditor needs to see proof that the investment office met with every active manager in the past 12 months. The report needs to include a list of active managers, number of meetings in the last 12 months per manager, and dates of meeting, and whether the meeting was in person or virtual. How would your system achieve this? Please provide a sample.

S-6 The operations team would like to clean up the system and identify all meeting notes that are not related to a manager that were created in the last 12 months. How would your system achieve this? Please provide a sample.

S-7 If an analyst meets with an existing manager, but also discusses a prospective manager (the existing and prospective manager are invested in the same company), how does the system distinguish between the manager the analyst met with and the manager the analyst discussed?

S-8 Please describe Ad Hoc reporting capabilities.

S- 9 Please provide a sample Manager Tear Sheet or Summary report.

S -10 Please describe how your existing clients pull ‘Travel Packs” from your system which are a group of documents that investment teams like to download prior to a manager meeting – are these standard reports/views or are they created for each client? Once the view or report is in the system, can it be adjusted? How can documents be paired with contact information and meeting notes for the manager as well?

S-11 A Portfolio Manager was scheduled to travel tomorrow – due to an issue they are unable to make the trip. At 11PM an operations team member who is occasional RMS.CRM user has been asked to cover the meeting but has very little background on the manager. They would like to print out the last 6 – 10 years of meeting notes but have not been on the system for 6 months. They have forgotten their Username and Password. Please describe the process they would use to gather these documents before their 7 AM flight. Please provide all steps from password reset to printing of report.

S-12 An Admin has been asked to produce and print a list of all contacts and historic people at one organization. Please detail how this would be done and provide a sample.

S -13 A Portfolio Manager would like to compare two funds via research notes during the same time period. Please describe how they would achieve this using your system.

S -14 Is it possible to track the growth of a firm from an AUM and headcount perspective over time? Is AUM and Headcount a series of data fields or just current? Is reporting on this available?

S-15 Aging report – is it possible to get a report showing frequency of manager interactions – list of managers contacted <30 day, 30-90 days, > 90 days. And have custom time frames.

S-16 Document digest – is it possible to get a list of documents that are categorized with a certain document type, posted to the system in the last 14 days, and are related to managers within a certain asset class?

**DATA VISUALIZATION**

DV-1Can users design their own dashboards?

DV-2 How could a user see how many funds per asset class are in the pipeline today?

DV-3 How could a user compare how many funds per asset class were in each pipeline stage today vs. 6 months ago vs. 12 months ago be visualized in the system?

DV-4 How could a user see all pipeline funds within a certain asset class and the associated tasks that are outstanding for those funds visually in the system?

DV-5 How could all existing managers divided by person responsible be visualized in the system?

DV-6 Does your system have the ability to display a shared calendar with all upcoming meetings? If so, what is the process to enter the meetings in the system so they appear on the shared calendar?

**DATA ENTRY**

DE-1 Please describe how a new entry is created such as a contact, manager, meeting note, or fund.

DE-2 Is there the ability to import contacts from Outlook? LinkedIn?

DE-3 Can a signature block from an email be copy / pasted / Auto Formatted as a data source?

DE-4 How can you keep a contact in the system, but change its status or employer? For example, can a contact be labeled as deceased while remaining attached to the entity? Can a contact be moved from one entity to another unrelated entity and still maintain the fully history for that contact.

DE-5 Please describe the process of editing or correcting any entry in your system.

DE-6 UWINCO uses Outlook for email, contacts, and calendaring, please describe your integration with Outlook.

DE-7 Please list the different ways meetings can be created in the system along with entering meeting notes.

DE-8 Please describe how a user can see a list of meetings they attended that are missing meeting notes. How can that user than easily paste the meeting notes in the system?

DE-9 Are there any changes in format that occur when pasting in meeting notes from a word document, Outlook, etc.?

DE-10 Are meeting notes collaborative. We often have multiple team members attend meetings, do they enter individual unique entries, or can they be combined into one entry?

DE –11 Can team members make comments on another’s notes? (Similar to a sticky note on a pdf, or “comments” in a collaborative word document.)

DE-12 Does your system have functionality that will lead to higher data quality/greater standardization and more efficient data entry? If so, please explain.

**WORKFLOWS**

W-1 Please describe capabilities for workflows surrounding investment status such as pipeline, etc. Please also describe how users can track sub-statuses such as run-off or active.

W-2 Can the tasks or a checklist be automatically generated with a due date and person responsible based on the investment status?

W-3 Please describe your workflow notification tools such as sending a list of new capital call notices published to the system in the last day with links to the documents.

**IMPLEMENTATION**

I-1 UWINCO has 16 years of history on Backstop. In the event this RFP results in a change of systems, please describe your methodology and experience in loading that history on your system. How many conversions have you successfully completed from Backstop to your system?

I-2 Please provide a draft project plan for implementation.

I-3 What actions or lack of action by a new client make it difficult to have a successful implementation? How can UWINCO assist in a successful implementation?

**TRAINING / CLIENT SERVICE**

T-1 A change in CRM / RMS system can often require a change in a client’s processes/procedures. This may lead to a change in office culture, and change can be difficult to build acceptance. Describe your philosophy and actions to help users gain traction on using the system and confidence in output.

T-2 Please describe the training process offered during implementation. Please highlight any differentiation in pricing for training (e.g. # training sessions, customized follow-up training).

T-3 Please describe the level of training offered post-implementation.

T-4 Please describe the level of training for creating User Defined Fields, Custom reporting.

T-5 Describe the approach you would use to resolve any conflicts between user expectations and the actual functionality delivered.

T-6 Please describe your ongoing Client Service Model.

**PRODUCT PIPELINE**

PP – 1 Describe any new features or functionality that is planned to be released in the next 6-12 months.

PP – 2 Do you have a 3-to-5-year development roadmap? What are its goals?

PP – 3 How do you solicit feedback from users on how to improve features or functionality in the system?

**MISCELLANEOUS**

M -1 Does your system have a mobile app? If so, does it support voice recording for meeting transcription?

M – 2 User Roles: Are there system level permissions? Does your system support user roles where a local admin can set user/group permissions for UWINCO’s instance of your system? Or, can all users do all things?

M – 3 User Audit Logs: please describe audit trail reporting by user.

M – 4 Customizations: other than user defined fields and reporting customizations. Please describe any customizations provided to other clients that could be available for UW along with the cost.

M – 5 Integrations – Describe the integrations you have in place with Caissa. If so, is this an additional cost?

M-6 Please provide parameters for creating User Defined Fields.

M - 7 Is it possible to have a field for Manager rankings? Meeting rankings? Is this possible to be tracked over time? (Unique data sets, not overwritten)

M- 8 Please provide reporting capabilities for User Defined Fields

# UWINCO Document Management

**Overview**

O - 1 Provide an overview of your document management system (DMS).

O- 2 Describe the onboarding process for new clients, including consideration for non-disclosure agreements and interested party approvals.

O - 3 Describe the compatibility of your DMS system with third-party systems such as client relationship management (CRM) or research management systems (RMS) and/or your combined RMS/CRM/DMS offering. Please list all successful integrations completed with third-party systems.

**Document Retrieval**

DR - 1 Describe how incoming documents are monitored and captured in your system. Include consideration for e-mail and third-party investor portals. Describe how often your system fetches documents from third-party investor portals.

DR – 2 Describe how documents from third-party portals are accessed, including consideration for multi-factor authentication. What % of the manager portals are not yet automated by technology and are accessed manually by your team?

DR – 3 Does your document retrieval process require the use of shared usernames/passwords? If so, please describe how usernames/passwords are tracked and updated.

DR – 4 Can your system retrieve documents in bulk from a third-party investor portal? For example, can your system download and process all documents or certain document types (e.g. Audited Financials) available on a third-party investor portal? If so, please describe, including what portions are automated versus manual.

DR – 5 Are there any limitations on the file types (e.g. .pdf, .doc, email body, etc.) or file sizes that can be retrieved? Are there any total storage limitations?

DR – 6 If there is an issue with document retrieval (e.g. a password failed and/or there was an issue with multi-factor authentication for an investor portal), please explain how issues are tracked, when and how clients are notified. Provide details on how often issues occur and generally how quickly they are resolved.

DR – 7 Can users customize any of the processes described in the document retrieval section above such as the frequency of document retrieval or document categorization? If so, please explain.

**Document Entry**

DE – 1 Describe your document entry and classification process including any use of artificial intelligence or machine learning. Include detail on any metadata captured to support automated or rules-based classification.

DE – 2 Describe the system’s ability to rename files and/or tag documents based on metadata or classification rules, detailing what portions are automated versus manual renaming and tagging

DE – 3 Can a user submit documents to the system such as a manager letter or presentation received individually? If so, please describe the ways the user can upload that document to the system

DE – 4 Describe how your system identifies duplicate documents or records that already exist in the system.

DE-5 Describe how your system identifies locked documents and how it makes these documents accessible to the users.

DE – 6 How does the system prevent overwriting of existing documents or records? If applicable, please explain how the system tracks the version history of the same document.

DE – 7 Describe how the system tracks all email and document activity. Do users have the ability to monitor/review activities before documents are classified by the system? Include consideration for non-recurring email activity or document types.

DE – 8 If there is an issue with document categorization or tagging (e.g. the system is unable to determine the appropriate classification), describe how issues are tracked and resolved. Provide details on how often issues occur, what type of intervention is necessary (e.g. human review by system provider or client user) and generally how quickly issues are resolved.

DE – 9 Can your system extract specific data fields from documents (e.g. the capital call amount and due date from a capital call notice)? If so, please list the document types that clients are currently extracting data from as well as the fields within each document type.

DE – 10 Can users customize any of the processes described in the document entry section above? If so, please explain.

**Search & Retrieve**

SR – 1 Describe the search functionality available within the system. Include consideration for any advanced or customizable features.

SR – 2 Are users able to preview all document types in the system (e.g. excel, word, PDF, etc) without downloading?

SR – 3 Provide an example of how a user could find all capital statements from a specific investment manager for the current calendar year. Include consideration for an investment manager that the client has multiple fund investments with (e.g. a private equity manager where the client has investments in ABC Fund I, II and III).

SR – 4 Can the system search for key words/phrases within a document? If so, does your system use optical character recognition (OCR) or another technology? Are located key words highlighted or bolded on identified documents?

**Reporting & Workflows**

RW – 1 Describe the reporting functionality available within the system.

RW – 2 Describe the system’s ability to generate reports, dashboards and/or email summaries for documents or other activities received. Include consideration of how users can create reports based on specific document types (e.g. Capital Statements, Audited Financials, etc.) and the status of documents received (e.g. Processed, Failed to Process, In-Review, Needs Client Review, etc.).

RW – 3 Can your system generate a summary of activities on a recurring basis (e.g. on a daily or weekly basis)? Provide an example of a daily summary of all activities received. Include consideration for how users may be able to customize activity summaries.

RW – 4 Describe how your system tracks documents that are expected to be received and how users can track and/or be notified of exceptions. For example, if a capital statement is expected to be received by a certain business day after month-end, can your system track whether the capital statement has been received? If so, can users be notified if that document has not been received by a specified deadline? Provide an example of how this can be done in your system.

RW – 5 Describe your system’s ability to create workflows based on specific document or activity types.

RW – 6 Provide an example workflow for a capital call received. Include details on how your system can track and maintain audit records for the following workflow steps: Reviewed, Approved, Wire Submitted, Wire Approved, Cash Settled.

**Access & Audit**

AA – 1 Can users edit documents and/or add notes/comments to documents within the system? If so, please describe.

AA – 2 How does the system control access to relevant documents and records? If the investment office only wants to show reference call notes to a subset of users, how could the system be configured to accomplish that objective?

AA – 3 List the entities that the system maintains audit records on (e.g., managers, funds, contacts, documents, etc) Please confirm whether users can access those audit records.

AA – 4 UW has records retention requirements. Describe the process for deleting records that no longer need to be stored on your system. Can the process be tailored for specific types of documents (e.g. audited financials) or a group of documents for a specific manager that is no longer in the portfolio and past the retention date?

**Product Pipeline**

PP – 1 Describe any new features or functionality that is planned to be released in the next 6-12 months.

PP – 2 Do you have a 3-to-5-year development roadmap ? What are its goals ?

PP – 3 How do you solicit feedback from users on how to improve features or functionality in the system?