1. How many expected users (admin, read-only, regular user, etc.) will be in the system?
   - Admin: 6-10
   - Regular Users: 200
   - Read Only: 15000

2. How many CONCURRENT users do you expect will be in the system?

   This answer depends on the definition of a user:
   - If a user is defined as anyone accessing the system, even as read only, this is difficult to estimate, but our policy website gets over 10,000 page views every month. We are unable to determine how many are viewing policies CONCURRENTLY.
   - If a user is defined as an individual developing, approving, or actively working on policies, approximately 200 users have permission to access our system but we estimate that only 10% may be accessing it CONCURRENTLY.

3. Does UT Southwestern prefer perpetual or subscription licenses?

   We would probably prefer a perpetual subscription, but will evaluate the fees by total cost of ownership. The vendor needs to explain in their business model, the details of both.

4. What is your current process for work groups and committees?

   On the administrative side, work groups meet for an initial legal perspective and as needed throughout drafting. We draft and file documents in SharePoint, where edits are made by subject matter experts and the Policy Office. After we obtain stakeholder, executive, and legal approval for policies, we email the drafts to our Policy Executive Committee. The PEC, which meets monthly, approves policies for recommendation to our President, who provides final approval of a paper copy.

   On the hospital side, the process is similar, though the development process often involves the input of several committees in addition to individual subject matter experts. Policies are reviewed in a separate SharePoint site but may also be emailed to approvers or submitted on paper.

5. Where are your end-users currently accessing policies; is it through an internal site?
6. What are some of the pain points around searching and managing policies today? Where are policies stored currently?
   - Our current policies are stored and maintained on our intranet. We have a Google search tool that searches by any word in the policy and we can also add tags to each policy to improve search results.
   - Archived policies are maintained in a shared network drive.
   - When policies are being drafted or revised, they are stored on a SharePoint site.
   - We keep track of the metadata, status, and metrics of our policies in an Access database.
   - Pain points:
     - Currently published policies are relatively easy to search, but because we maintain a shared network drive for archived or deleted policies, it is sometimes difficult to determine when archived or deleted policies were in effect at a given time.
     - We publish our policies on the website using an HTML editor; however, we also publish a PDF version. Ensuring they always match can be a challenge. Additionally, we are saving at least 3 versions of the same policy on our shared network drive for each format needed.
     - We follow up on the development of policies by email and schedule follow ups on a manual basis, which can be overwhelming to keep up with and can sometimes stall progress.
     - We manage the status of policies in a home-grown Access database, but we also document each policy's progress on a “Tracking Sheet” that stays with the document. We are therefore maintaining the same information, in slightly different versions, in two places.
     - Some policy developers prefer to work “offline” on a given policy, which sometimes makes it difficult for all collaborators to have the most current version.
     - We have created more than 50 customized database reports to mine and report on the data, status, and metrics of our policies, which are generated on an ad hoc basis.

7. What is UT Southwestern Medical Center currently using for Policy Management?

   Our policies are in a Word template; we collaborate in two separate SharePoint sites; we seek and obtain approvals by email and committee; we publish an HTML and PDF version of each policy on our intranet using Alfresco; we generate reports and manage the status and metadata of policies in an Access database; and we maintain our archives and policy history on a shared network drive.
8. Please describe the current policy creation process. Are policies created manually or is there an automated system with workflow for creation and distribution?

See above. Policies are created manually. There are no automated workflows in place, though we know SharePoint has this capacity. Collaboration is typically done in SharePoint. The Policy Office emails requests for development, status, and approvals. Final approvals are done by committee and a wet signature from the President.

9. How many people are involved in the policy creation process?

The Policy Office comprises 2 FTEs who administer policies on the research side of this academic medical center. The hospitals and the ambulatory clinics each have at least one individual tasked with policy administration as part of their other work. Policy development teams can comprise some 5 – 10 people, which will always include an Executive Sponsor and a member of our Legal Affairs team. The Policy Executive Committee has 11 members; the President is the final approver. Anywhere from 5 to 25 (or more) people may be involved in the development and approval of any given policy.

10. How many policies are created annually?

On the academic side, an average of 30 institutional policies have been approved each year over the last 5 years. The University Hospitals and Ambulatory Clinics combined may approve as many as 100 policies or revisions in a year.

11. Since UT Southwestern Medical Center is interested in knowing about other modules of GRC which we offer. Is there any specific module such as risk management, audit management etc. that you are looking for?

We may be interested in adding other tools in the future, such as the following:
- Compliance risk assessment documentation and assessment tools
- Compliance investigation tracking tool
- Risk and audit management

12. Describe the training to be included with your solution – Is UT Southwestern Medical Center looking for a Training Management solution along with Policy Management? If yes, how many users will be using the Training Management?

UT Southwestern currently uses Taleo to push out required training to the whole campus. For the Policy Management system, we are most interested in being able to obtain user attestations for significant policies we may wish to distribute, either campus-wide or to certain populations.
13. Is UT Southwestern Medical Center looking for integration with any third party regulatory content provider for updates on regulation related to Healthcare?

Yes, and possibly Research as well. Some examples may be The Joint Commission; Centers for Medicare and Medicaid Services; HIPAA Privacy Rule 45 CFR 160.103; Health Information Technology for Economic and Clinical Health (HITECH); Texas Administrative Code; etc.

14. Could you please elaborate your requirement towards ADA?

UT Southwestern provides equal opportunities to qualified individuals in all areas of the employment relationship, including without limitation application, recruitment, promotion, compensation, benefits, and training. UT Southwestern provides appropriate reasonable accommodations to disabled individuals to allow equal employment and educational opportunities and equal access to UT Southwestern services, programs, and activities.

UT Southwestern is committed to making its websites attainable to all users. To that end, UT Southwestern has included several features designed to improve accessibility for users with disabilities. UT Southwestern’s complete Accessibility Policy is available at: http://www.utsouthwestern.edu/legal/accessibility-policy.html

15. How many users/employees will be accessing the solution? Please provide the total user count as well as a breakdown by role/frequency of usage based on the definition below:

   a. **Regular Users**: Up to once a week (System Administrators, COEs, Policy & Risk Managers, Auditors, Core Compliance Coordinators, Attorneys): 5 – 15

   b. **Medium Users**: Up to once a quarter (Policy Editors, Reviewers, Control Testers, Risk Mitigation Plan Users): 200

   c. **Light Users**: Less than once a quarter but more than once a year (Issue Tracking Users, Reporting Users): 12

   d. **Policy Users**: (end users/employees who browse or search for policies/documents and attest to policies. These are typically different than users managing and working on policies/documents that are heavy, medium or light): 15,000

16. What is the project timeline after the RFP submission including decision, implementation and Go-Live target dates?

We would like to initiate the project during FY 16 (i.e., before August 31, 2016).
Scope of Organization:
17. Please confirm the number of beds within the facilities that are included in the scope of this RFP.

There are 612 beds in the two University Hospitals included in the scope of this RFP. However, as an academic medical center, we also have a medical school and many research departments.

18. Please confirm the number of employees within the facilities that are included in the scope of this RFP.

We are estimating 15,000 total users (employees + students).

Attachments:
19. I understand the request to answer all questions within the structure provided and not simply reference a product guide for all questions within a section. However, for more detailed answers such as system requirements and/or rules and regulations content listing, can external attachments be provided as an answer? (It would be challenging and difficult for your view to attempt to load a multipage excel document within the confines of a word document.) Please advise.

Most questions ask for specific pieces of information that we believe can be typed or pasted into the document. However, if the RFP requires information that cannot be readily included in a Word document, it can be added as an Appendix.

Specific Function Clarification Requested:
• 5.2.15 Please clarify the need. Are these links pointing into our system, pointing to external files? Both? Please clarify with business example, if possible.

Many of our policies link to other existing policies on our intranet. If these policies change (name change, link location, etc.), we have to manually find all of the places these policies are referenced and change the links in all of those places.

• 5.4.7 The number of steps is defined by you, the client, for what is needed to be published. Once published it is available immediately. If this answer does not suffice, please provide more detail.

• We are trying to determine how complicated the actual posting process is with your system – after the policy is developed and approved by everyone, what does it take to publish it? Currently, we have a lengthy and multi-step process to post a policy after it is signed by the President (at least an hour per policy).