eSign 2020.x Upgrade Survey



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# eSign 2020 Overview

IMM is excited to introduce the next evolution of our IMM eSign service. IMM eSign 2020 has a new capability of supporting the full operation of our browser-based client in Chrome and Firefox. Edge certification should be completed in the near future.

The information below will help us prepare to implement your upgrade to eSign version 2020. This version contains many new features and significant enhancements that will add new benefits and value to your institution's use of IMM eSign.

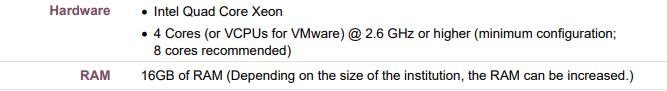
The benefits of your institution moving to eSign 2020:

1. Your institution will no longer be dependent on a specific version of Adobe Reader if you decide to use other browsers than Internet Explorer.
2. eSign will use the same browser that is used by your business system.

|  |  |
| --- | --- |
| **Upgrade Survey** | |
| Financial Institution Information | |
| Contact information  Name/Email/Role: |  |
|  |
|  |
| # Branches/# of Workstations: | Branches       Workstations |
| Time Zone: | ET  CT  MT  PT  HT |
| Are you able to commit resources for 30 days to this project? | Yes  No |
| eSign Information | |
| Production eSign/eSign Plus Version: |  |
| Module(s) Enabled: | Plus  Remote  Starter Checks  Coupons |
| Production Server Operating System: |  |
| # of CPUs / RAM on Production eSign Server: | # of CPUs       RAM |
| Certificate installed: | http  https |
| Load Balancing used with eSign: | Yes  No |
| OVA file utilized previously: | Yes  No |
| SQL Database Version / Type: | Express  Full |
| SQL being mirrored: | Yes  No |
| IMM Prod Client Component Version: |  |
| Preferred Deployment Method for Client Components | Silent Install via MSI  Manual via Machine |
| Do you use scanners with eSign? | Yes  No |
| Do you use cameras with eSign? | Yes  No |
| Test eSign Version: |  |
| AdHoc Downloader Tool installed: | Yes  No |
| Anti-Virus: |  |
| Are multiple FI(s) used within the same eSign Server? | Yes  No  If so, what host systems are used in each FI (list by FI): |
| List all in-Person devices: | Topaz Signature Pads  Tablets  iPads  Display devices  Other |
| Is the messaging option for the Topaz signature pads turned on? | Yes  No |
| Internet Browser Planned to be used with 2020 |  |
| Business System(s) Information | |
| Loan Origination System: | Version |
| In-Branch/Online Membership System: | Version |
| Account Opening System: | Version |
| Home Banking Site: | Version |
| Video Banking Channel: | Version |
| Imaging System: | Version |
| Business System(s) Test Environment  If No, which BS(s) have no test environment: | Yes  No |

# System Requirements

Following are the **minimum** **mandatory** system requirements for eSign 2020:



The following factors must be considered when evaluating the server specifications for your production server to determine if increases are needed to the minimum mandatory specifications:

* What is the total user base volume?
* Is eSign configured for use in a multi-host environment?
* What is the frequency of your TeAWebDownload task?
* Is SQL installed locally or on a dedicated SQL server?
* Express vs. Full SQL
  + SQL Express: A free product that is bundled with the eSign implementation. The maximum database size, CPU and RAM are more limited than with full SQL. Refer to: <https://docs.microsoft.com/en-us/sql/sql-server/editions-and-components-of-sql-server-version-15?view=sql-server-ver15>
  + Full SQL: This product would be purchased and maintained by the FI. Performance is enhanced with full SQL and it allows for automation of reporting.

# eSign 2020 Deployment Models

## Option 1: Existing eSign Server Upgrade (In-Place)

### Benefits:

* A shorter project timeline.
  + Deployment of new software can be accomplished in approximately 30 days.
* All previous saved sessions and customized settings are retained in this deployment model.
* This model is part of your annual maintenance, so there are no additional charges as mentioned on the support guidelines.

### Requirements:

These requirements are prerequisites that need to be met before we begin.

* Adequate FI resources are required to fully carry out testing and training responsibilities
* The FI MUST have production and test servers.
  + If you do not have an additional server license, IMM will initiate a proposal to start this process. This ensures all the eSign functionalities are thoroughly tested prior to your financial institution’s live date with no impact to production.
  + Once the signed proposal is received, the IMM Project Manager will forward the cloning instructions to create the test server which is a replica of your production server.
* Connectivity of the eSign server to your Business Systems:
  + Each server (production, test, etc.) must have connectivity to the (production, test) business systems.
* eSign servers (production and test) MUST be an OVA. If not OVA, then IMM has to evaluate your current environment to formulate a project plan.
* eSign servers (production and test) must be running one of the following operating systems:
  + Windows Server 2012 R2 (Standard).
  + Windows Server 2016 (Standard or Datacenter).

### Detailed Steps:

1. TEST server upgrading to eSign v2020.
   1. Prior to upgrade, the FI is required to take a snapshot of the test server.
   2. IMM performs an in-place upgrade on the “cloned” test server to eSign v2020.
   3. IMM ensures the connectivity from each business system to eSign to the Imaging System.
   4. IMM will offer new features training videos for efficient training.
   5. The financial institution will certify and complete the eSign v2020 implementation using the Customer Acceptance Testing matrix (CAT). This is a checklist of all the fundamental steps within eSign.
   6. The financial institution will then be ready for the production server upgrade.
2. PRODUCTION server upgrading to eSign v2020.
   1. Prior to upgrade, the FI is required to take a snapshot of their production server.
   2. IMM performs an in-place upgrade on the production server during off hours which are listed in the Customer Support Guidelines on page 18 <https://www.immonline.com/support/information/>
   3. During the dedicated two hour window, IMM and the FI will ensure the connectivity from each business system 🡪 eSign 🡪 Imaging System.
   4. At the end of the dedicated support, the FI will be LIVE with eSign v2020 and transitioned into the IMM Support department.

## Option 2: New eSign Server (Migration due to OS/SQL changes are billable)

### Prerequisites:

* The FI MUST complete the in-place upgrade and go live with eSign 2020 in your production environment before proceeding with the new eSign server migration.

### Requirements:

* New Windows Server 2019 OVA will be provided.
* If there is a digital certificate installed for HTTPS protocol on the current Production eSign Server, then the FI must migrate the certificate before proceeding with the installation.

### Considerations:

* The migration is typically chosen when a new server operating system is introduced.
* This model is not covered under your annual maintenance. IMM will initiate a proposal to start this process.
* This deployment timeline is typically longer than 30 days.
* Your saved sessions from your production server may not be carried over.
* IMM performs the migration only during off hours as listed in the Customer Support Guidelines on page 18 (<https://www.immonline.com/support/information/>).

### Migration Upgrade Steps:

1. The FI is required to take a snapshot of the production server and a backup of the production server’s eSign directories and databases.
2. IMM provides the FI with the Windows Server 2019 OVA file.
3. The FI will need to download and configure the Windows Server 2019 OVA file in preparation for the migration.
4. In order to replace the original production eSign server, the FI must rename the new Windows Server 2019 OVA’s IP address and DNS name to match the original production eSign server.

Ex: Original production eSign server = IMMeSign

New Windows Server 2019 OVA = IMMeSign

* 1. The original production eSign server needs to be powered down prior to performing these steps.
     1. If you have saved sessions on the original production eSign server, you will need to power on that server and rename it so your users can access these sessions until all sessions are completed.
  2. This eliminates the need to contact the Business Partners to change eSign credentials.

1. IMM repairs the eSign 2020 setup.
2. A restore of the backup to the new Windows Server 2019 OVA file will occur.
3. IMM ensures connectivity from each business system, as well as, ingestion into your Imaging System.
4. After the migration, if the FI has two server licenses, IMM will provide the FI with the OVA cloning steps.
   1. The FI may clone their new production server which will serve as a new test environment.

# Upgrading from eSign 2017 or lower

This section is required to be reviewed and assessed if your version of eSign is 2017.x or lower prior to proceeding with the upgrade to eSign 2020. If we find that you have these types of situations in your current environment, we will need to work together to address.

## Unique FIID name

* Each FI ID within eSign must be a unique name if on the same server.

Example:

|  |  |
| --- | --- |
| **FI ID Name within one eSign Server** | **Supported – Yes or No** |
| FIID 2: CFCU | No |
| FIID 3: CFCU |
| FIID 2: CFCU | Yes |
| FIID 3: CFCU\_RTS |

If the FI ID is renamed, you may need to reach out to your Business System to update the credentials.

## Indexes for Multiple FIs

* If there are multiple business systems accessible from the same eSign FI, then the number of indexes must match for that eSign FI. Example:
  + FIID 2 has 2 Business Systems
    - Business System 1 has 9 indexes
    - Business System 2 has 5 indexes
* The Index Validation Tool will add the necessary indexes to match the index schema to ensure both Business Systems have the same number of indexes.
  + In this example, both Business Systems will eventually have 9 indexes.
* IMM will perform these steps to ensure the indexing schema matches.
* The Index Validation Tool will generate the database script.
  + The script must be run within your SQL database.
* This step must be performed by your IMM installer prior to upgrading to eSign 2020 to assess the number of index fields and ensure the order of the indexes are in the proper index schema.

## Access to Credentials for Business Partners

IMM may need to provide you with new credentials, which will be required to be inserted into your business systems.

If your FI is running eSign 2015, there is a good chance that new credentials will be required. For eSign version 2017 or greater, we expect the credentials to be the same unless your business system introduces a new integrated feature such as Status API.

# Upon Completing the Upgrade to eSign 2020

## eSign XML

### eSign XML Client Components

Browser Hardware

* If you are using Internet Explorer, but are not using cameras or scanners, there is no requirement to install an eSign client component.
* If you are using Internet Explorer, and utilizing cameras and scanners with eSign, then you will be required to upgrade the eSign 2020 Client Components.
* If you are using another supported browser, other than Internet Explorer, with scanners within eSign, there is no need to install the eSign XML client components. However, there are separate, standalone scanner components which you will be required to install. Refer to the following section: [eSign Scanner Components](#_eSign_Scanner_Components)

Please review the grid to determine if the eSign Components are required:

|  |  |  |
| --- | --- | --- |
| **Required eSign Client Components:** | **Browser:** | **Scanners:** |
| No | IE | No Scanners |
| Yes | IE | Yes Scanners |
| No | Non-IE | No Scanners |
| No, Install the Standalone Scanner drivers | Non-IE | Yes Scanners |

Refer to the eSign 2020.1.1 Client XML Components Installation Upgrade Guide for the silent install method of deployment: <https://www.immonline.com/wp-content/uploads/2020/11/eSign-XML-2020.1.1-Client-Components-Installation-Upgrade-Guide.pdf>

### Uploading and Converting PDFs for Supported Browsers

After the upgrade to eSign 2020, the Convert Document Tool will be run to upload all documents within the SourcePDF folder of your current eSign server. This will make the documents compatible with all supported internet browsers. There is no need to separate your documents by the dictionary type for the tool. This step needs to only be performed once.

### Testing Your Documents Prior to Go-Live

Processing the documents in Chrome, Firefox, Edge and Internet Explorer.

* **Requirement:** Upon the completion of the upgrade, FI MUST enable the checkbox for the “Process Sessions on All Browsers XML” setting.
* Your documents are expected to work as long as each PDF is created using LiquidOffice Forms Designer.
* Your documents are expected to work within any of the supported browsers as long as the fields are mapped using the best practices explained in IMM’s LiquidOffice Training Manual.
* Your documents will continue to auto-populate data from the XML provided by your business system.
* Your documents MUST be thoroughly tested and certified prior to your go-Live. This includes the testing of your PDFs if they contain field mappings from any of these scenarios:
  + If the field(s) are auto-populated using custom JavaScript
  + If the field(s) are auto-populated using expression builder
  + If the signature field(s) have a condition using custom JavaScript or expression builder

**Important:** If there are different documents with the same field mapping (using custom JavaScript and expression builder), then the FI can test one document thoroughly. If one document works, the rest of the documents using the same field mapping are expected to work. The objective is to ensure that the FI thoroughly tests the documents with customized mapping prior to go-live.

### Frequently Asked Questions for Document(s) Approval prior to Go-Live

Q1: Which browser should my FI use for testing documents?

A1: eSign will use the same browser that is used by your business system. However, inquire with

your Business System for their supported browser.

Q2: Is there a requirement to have Adobe Reader installed?

A2: It is different depending on the browser used for eSign.

|  |  |
| --- | --- |
| **eSign Browsers Supported By Your Business Applications** | **Adobe Reader**  **Yes or No** |
| Chrome | No |
| Firefox | No |
| Internet Explorer 11.x | Yes – Required  For Preview Documents  OR View Reports |

Q3: When can the FI begin testing documents?

A3: The testing of your documents can begin immediately after the upgrade, since you have the

connectivity between your business system and eSign.

Q4: How can my FI better organize the documents testing process?

A4: You should make an Excel spreadsheet with the following columns:

* + - eSign Document Name
    - Approved (Yes/No)
    - Issue Reported

As the document is tested and approved, the spreadsheet should be updated.

* If there are any field issues, the spreadsheet should be updated with enough details to explain the issue, then forward this spreadsheet to your IMM Project Manager to show the progress which will generate a ticket.

Q5: Should my FI test documents even if the documents are NOT auto-populating fields using

JavaScript and/or Expression Builder?

A5: Yes, the FI should pick the most widely used documents then test as recommended.

This process will certainly help the FI and increase the familiarity of each screen experience prior

to the go-live.

Q6: What should the FI be looking for when documents are processed within eSign?

A6: When the document “Displayed upon Process” button is clicked:

* Each field is auto-populating the expected data.
* Each field is behaving as expected if changed by the user.

When the document is opened from the “Session Details” screen:

* Each field shows the expected or changed data.

When the document is opened after applying In-Person Signature and before clicking “Archive”

button:

* Each field shows the expected or changed data.

Q7: Does my FI have to test the documents prior to committing to the go-live? Why?

A7: Yes, the documents testing process is required so the FI can ensure there is no loss of

functionality within the supported browser.

* The document testing and approval process prepares IMM and FI for a smooth go-Live.
* If there are any field issues, both IMM and FI have enough time to diagnose and plan the resolution.

Q8: Does your FI have the latest LiquidOffice training manual?

A8: Generally, the LiquidOffice training manual is updated prior to each LiquidOffice training class.

* There is an annual subscription to the LiquidOffice training manual.
* If your FI creates/maintains eSign documents, IMM strongly recommends the subscription.
* To get started click here: <https://www.immonline.com/resource-center/liquidoffice-training-manual-program/>

## eSign RTS

### AIM: Uninstall Required

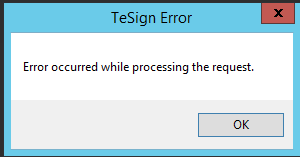
Admin Index Manager (AIM) will no longer be used after the upgrade to eSign 2020.

AIM has been replaced by the Template Manager which is built within eSign 2020.

You have the ability to control who has the role to access the Template Manager. This role should only be granted to your personnel who will be creating document templates.

Upon go-live with eSign 2020, the FI must navigate to Add or Remove Programs of the machine/server that is running AIM and perform the uninstall.

If AIM is launched after the completion of the upgrade to eSign 2020, AIM will generate an error:



Training for the new Template Manager is provided via video:

New features: <https://www.immonline.com/imm-training-resources/esign-2020-rts-template-manager/>

Training: <Insert URL>

### Template Testing

IMM recommends that one workstation installs the latest Client RTS Component to test all templates thoroughly. Once the validation of all templates are certified, then you may proceed with rolling out the eSign Client RTS component.

### eSign RTS Client

During the in place upgrade, IMM and the FI will upgrade one test workstation with the eSign 2020 client so the FI can test the new functionality.

IMM and the FI will perform an end-to-end test from each business system into eSign, then ensure ingestion of archived documents into your Imaging System.

Although the old versions of the eSign RTS client components are compatible with eSign 2020, and there is no mandatory client upgrade necessary immediately, IMM encourages you to upgrade within the next few months. Note that you should only roll out the latest client component after you thoroughly test all your templates. Only eSign RTS 2020 client, and higher, will be supported in the future releases of IMM eSign.

Refer to the eSign 2020.1.1 Client RTS Components Installation Upgrade Guide for the silent install method of deployment: <https://www.immonline.com/wp-content/uploads/2020/11/eSign-RTS-2020.1.1-Client-Installation-Upgrade-Guide.pdf>

The new eSign RTS client has many features, please review the following training video for more information on the new features:

<https://www.immonline.com/imm-training-resources/rts-esign-client-component/>

Here is a brief overview of those features:

The first is a new browser-based element called the Collected Documents page. With this new page, the end user can either upload documents that were printed to the eSign Client Printer or drag and drop PDFs stored on a workstation or a file share to create a brand new session or add them to an existing one.

The Document Designer page is enhanced. Document Designer is used when an attachment is selected, and a user wants to add signatures, initials, or other fields to that attached document. This should be accessible by any user for one-time use.

Administrators will appreciate a simplified deployment of the client components now that the eSign Client settings have been centralized and made easily accessible within the General Settings area of eSign. These settings will automatically download from the eSign server to the updated client component during startup on the user’s workstations. This streamlined distribution of the client settings greatly reduces time spent by the Administrator to implement them across their institution.

The eSign product has evolved to accommodate customers who service multiple affiliates or financial institutions, or perhaps you have a test environment in addition to your current live environment. The new eSign Client Component now allows the user to easily toggle between different FIs ensuring the documents are being processed in the correct environment.

## eSign Generic (Both XML & RTS)

### eSign Scanner Components

If you are using scanners within eSign XML or RTS to scan documents as an attachment, then you are required to install the standalone scanner components on the workstations. During the upgrade, the software and instructions will be provided and discussed by your IMM Installer.

### Topaz GemView Installation

If your FI plans to use Internet Explorer and already has their GemView tablets working with eSign, you should not be required to update your drivers.

If you are using another supported browser other than Internet Explorer, you will need to refer to Topaz Systems website for updated and supported environments. The required components are outlined in the Topaz Software Install Guide, which you can reference here: <https://www.immonline.com/wp-content/uploads/2020/11/eSign-2020.1.1-Topaz-Software-Install-Guide.pdf>

### Topaz Signature Pads Installation

Topaz Signing devices are supported with different web browsers. The installation can be performed manually or silently.

If your FI plans to use Internet Explorer and already has their signature pads working with eSign, you should not be required to update your Topaz drivers.

If you plan to use all supported web browsers, you will need to refer to Topaz Systems website for updated and supported environments. The required components are outlined in the Topaz Software Install Guide, which you can reference here: <https://www.immonline.com/wp-content/uploads/2020/11/eSign-2020.1.1-Topaz-Software-Install-Guide.pdf>

### Optional Topaz Signature Pad Messaging

IMM eSign offers an optional feature known as “Sig Pad Messaging”.

The Sig Pad Messaging is the guided process on the signature pads for the consumer as shown below:

|  |  |  |
| --- | --- | --- |
|  |  |  |

This feature is made available to IMM eSign via the underlying functionality contained in the Topaz drivers for Internet Explorer. However, Topaz has not yet moved the Sig Pad Messaging functionality to the Chrome and Firefox drivers. Since Topaz does not support this functionality in their Chrome and Firefox drivers, IMM eSign is therefore unable to provide the Sig Pad Messaging option in those browsers at the present time.

It is important to understand that the inability for IMM eSign to perform Sig Pad Messaging in Chrome or Firefox is not an IMM eSign issue. IMM is entirely reliant upon Topaz to provide the support within their software drivers for Chrome and Firefox.

### Customer Available Options

With the introduction of IMM eSign 2020, we anticipate that we will have customers that will want to move to Chrome or Firefox and also retain the Sig Pad Messaging feature. Unfortunately, IMM is unable to provide this capability until Topaz delivers the Sig Pad Messaging functionality for the Chrome and Firefox environments.

Topaz has indicated that they will be providing this functionality to the drivers in the future. However, they have not indicated a target date or schedule of release availability at this time. We have been led to believe it is not on their roadmap within the next 6-month timeframe.

Therefore, IMM customers who are moving to IMM eSign 2020 can consider the following available options in the interim:

### Continue using IMM eSign with Internet Explorer

Customers can continue to utilize Internet Explorer for IMM eSign workstations where in-person signing events are to be performed. This will enable them to maintain the Sig Pad Messaging feature until such time that Topaz provides the necessary feature in their drivers for Chrome/Firefox and IMM can schedule the feature to be implemented in an upcoming release of IMM eSign.

This will also allow the customer to migrate non-in-person signing workstations to Chrome or Firefox browsers as desired.

### Migrate to Chrome and Firefox and Not Utilize Sig Pad Messaging

If a customer desires to migrate from Internet Explorer to another browser for FI-specific reasons, then they have the option to migrate their in-person signing workstations to Chrome or Firefox and not utilize the Sig Pad Messaging feature within IMM eSign. If this approach is taken, consideration should be given by the FI to ensure the change does not conflict with any requirements designated by their compliance/security personnel.

### Modernize In-Person Devices from Signature Pads to Tablets or Pen-display Tablets

Customers who are concerned about compliance and also about continuing to operate within Internet Explorer environments now have an excellent opportunity to migrate from the simple signature pads to an enhanced, modernized in-person signing experience. Many customers are electing to move to tablet devices (iPad, Surface tablets, etc.) or pen-display devices such as the Topaz GemView for in-person signing requirements. These devices provide an attractive and enhanced signing event combined with elevated compliance - as the signing party is presented with the consent language directly on the device – as well as the actual documents that are also viewed and signed directly on the device.

### Use Remote Signing In-Branch

Perhaps the most cost-effective approach for our financial institution who must move to Chrome or Firefox due to the requirements of their Core, AO, or LOS system would be to leverage remote signing as an in-branch solution until Topaz provides the necessary drivers for Chrome/Firefox. This could also be desirable as it creates a “contact-less” signing experience, eliminating the need for the customer to sign on your FI’s equipment, and eliminate the need for the FI to consider hygiene protocols for the in-branch devices.

## Imaging System

When performing CAT matrix testing, you are required to test the importing of your archived documents into your imaging system.

If you do not have a test environment for your imaging system, please import your archived documents into your production imaging system to ensure the importing functions as expected.

We ask that you test each one of your Business Systems with a minimum of a few documents, then delete the ingested documents from your production imaging system.

If issues arise related to the importing and they are due to lack of testing, any troubleshooting assistance IMM provides after go-live may be billable.

# eSign Requirements

## Anti-Virus exclusions

The following folders, respective sub-folders, child-folders and applications must be exempted from Live or Active Virus Scanning and from your Indexing Service.

These folders are:

* %Install Path%\TeAASP
* %Install Path%\TeAASPFiles (and all sub-folders)
* Destination folder for the Imaging Service (aka Document Mover Service)
* C:\Windows\Microsoft.Net\Framework\ vXXXX \Temporary ASP.Net Files
* C:\Windows\ServiceProfiles\NetworkService\AppData
* C:\Windows\System32\inetsrv\w3wp.exe
* C:\Windows\SysWOW64\inetsrv\w3wp.exe

# Best Practices:

## Server Maintenance

The eSign server requires regular maintenance and management. This includes having the IMM eSign server on a regular reboot schedule. The eSign Windows server reboot should take place during non-business hours. Additional maintenance includes applying necessary Windows updates to the server. These maintenance responsibilities ensure optimal server health.

# Optional Professional Service

Annual Maintenance includes software upgrades to your existing environment’s configuration. Any additional element/configuration changes, etc. are billable at our then current rate and would require a work order to proceed.