DEPARTMENT OF STATE
REQUEST FOR INFORMATION
Information Acknowledgement Form

	SUBMIT RESPONSE TO:
Page **1** of **15** pages	**Department of State** **Division of Administrative Services** **christina.harrell@dos.myflorida.com or vonda.murray@dos.myflorida.com**
DEPARTMENT RELEASE DATE: October 9, 2017	

SOLICITATION TITLE: FLRules Technology Refresh Project	SOLICITATION NO: DOS RFI 08/17-07

RESPONSES WILL BE OPENED:
November 27, 3:00 p.m., EST

RESPONDENT NAME:	
RESPONDENT MAILING ADDRESS:	
CITY – STATE – ZIP:	Authorized Representative's Signature
PHONE NUMBER:	
TOLL FREE NUMBER:	
FAX NUMBER:	
EMAIL ADDRESS:	Name and Title of Authorized Representative
FEID NO.:	
TYPE OF BUSINESS ENTITY (Corporation, LLC, partnership,	

RESPONDENT CONTACTS: Please provide the name, title, address, telephone number and e-mail address of the official contact and an alternate, if available.

PRIMARY CONTACT:		SECONDARY CONTACT:	
NAME, TITLE:		NAME, TITLE:	
ADDRESS:		ADDRESS:	
PHONE NUMBER:		PHONE	
FAX NUMBER:		FAX NUMBER:	
EMAIL ADDRESS:		EMAIL ADDRESS:	

This is a RFI as defined in s. 287.012(21), Florida Statutes. The Department of State is issuing this RFI for planning purposes only. Any subsequent implementation activities will depend on budget approval. This RFI is not a solicitation and will NOT result in a contract. However, information received in response to this RFI may be used to develop future procurements. Vendors are encouraged to respond with solutions that meet all or part of the specified requirements

SECTION A - SPECIAL INSTRUCTIONS

This RFI has been designed to help ensure all responses are reviewed in a consistent manner, as well as to minimize costs and response time.   INFORMATION SUBMITTED IN VARIANCE WITH THESE INSTRUCTIONS MAY NOT BE REVIEWED.

SOLICITATION NUMBER	**DOS RFI 08/17-07**
SOLICITATION TYPE	**REQUEST FOR INFORMATION**
PROCUREMENT OFFICER:	Christina Harrell or Vonda Murray
	Department of State
	500 S. Bronough Street
	Tallahassee, Florida 32399
	Telephone No.: (850) 245-6581
	E-mail: christina.harrell@dos.myflorida.com
	vonda.murray@dos.myflorida.com

These contact persons are the only authorized individuals to respond to RFI comments and questions.

A.1   Calendar of Events

Listed below is the calendar of important actions and dates/times by which the actions must be taken or completed. If the Department finds it necessary to change any of these dates/times, it will be accomplished by addendum.   All listed times are local in Tallahassee, Florida.

	Estimated Calendar of Events	Date and Time
1.	Date of Issuance and publication on the Florida Vendor Bid System website at: http://vbs.dms.state.fl.us/vbs/main_menu	October 9, 2017 @ 4:00 p.m.
2.	Technical Questions Regarding RFI due to Department	October 24, 2017 @ 12:00 p.m.
3.	Department Responds to Technical Questions	Anticipated November 1, 2017 @ 3:00 p.m.
4.	Responses Due and Opened	November 27, 2017 @ 3:00 p.m.
5.	Oral Presentations, if scheduled	Anticipated January 8, 2018 through January 19, 2018

Addenda or clarifications to this RFI will be posted on the Florida Vendor Bid System (VBS) http://www.dms.myflorida.com/business_operations/state_purchasing/myfloridamarketplace/mfmp_vendors/mfmp_vendor_bid_system_vbs.
It is the Respondent's responsibility to monitor the Florida Vendor Bid System for any solicitation updates.

A.2   Questions

Any technical questions from Respondents concerning this RFI shall be submitted in writing, identifying the submitter, by email to Christina Harrell, **christina.harrell@dos.myflorida.com**, copying Vonda Murray, **vonda.murray@dos.myflorida.com,** by the date and time specified in Section A.1, Calendar of Events. Respondent's questions should be submitted in the format included in Attachment A – Reply Questions Submittal Form.

END OF SECTION

SECTION B – SCOPE OF WORK

B.1 Introduction

Pursuant to Rule 60A-1.042, Florida Administrative Code (F.A.C.), an agency may request information by issuing a written Request for Information (RFI). Agencies may use RFI's in circumstances including, but not limited to, determining whether or not to competitively procure a commodity or contractual service, determining what solicitation process to use for a particular need, or researching general, special, and/or technical specifications for a solicitation. A Vendor's response to an RFI is not an offer and the agency may not use the Vendor's submission to justify a contract with that Vendor without otherwise complying with Chapter 287, F.S., and Rule 60A-1.042, F.A.C. Vendors submitting a response to an agency's RFI are not prohibited from responding to any related subsequent solicitation.

B.2   Overall Agency Business Summary

The Department of State (DOS/Department), strives to improve the quality of life for all Floridians. We collect Florida's important public records and preserve its rich historical and cultural heritage for the benefit of generations to come. We help to promote economic development and create a competitive business climate for the state through our business friendly corporate filing environment, grant programs that benefit all communities, enrichment of public libraries statewide, and support for events that attract tourism. We contribute to the establishment of a stable and open state government by providing access to information and protecting democracy through the oversight of fair and accurate elections.

B.3   Purpose

The Florida Department of State is requesting information regarding the selection and implementation of an integrated Document and Records Management solution. The Electronic Document Management System (EDMS) integrates with an Electronic Records Management System (ERMS), or an Enterprise Content Management (ECM). DOS is seeking information from qualified vendors who are capable of, and interested in, providing both the technology solutions and the consulting, professional, and integration services which may be required for the replacement of FLRules.org. This Request for Information is intended to:

- Educate the DOS on the vendors – and their associated offerings – in the Electronic Document Management System (EDMS), Electronic Records Management System (ERMS), and/or the Enterprise Content Management (ECM) space.
- Obtain information about various implementation and hosting options that meet the business requirements.
- Obtain Rough Order of Magnitude (ROM) cost estimates to assist DOS in understanding what realistic budgets/funding levels for an implementation effort might look like.

These RFI deliverables will be used to develop the Business Case that will help establish the strategic direction to be taken, inclusive of recommendations on best-fit solution options and an initial implementation approach. The Business Case will be presented to key management stakeholders in order to seek approval, develop budgets, and identify funding options to move forward with the subsequent phases for implementation. Further consideration will be given to this effort, based on the Business Case decision/outcome.

B.4   Description of Current System

FLRules.org - https://www.flrules.org - is the singular website where the Florida Department of State (DOS) publishes the Florida Administrative Code (FAC) and Florida Administrative Register (FAR). Publication and public access are statutorily required under Chapter 120, F.S. The website has been available to the general public and agency users, on the current platform, since 2006. Ten years of technology advances, user expectations, and security considerations are driving the need to update the system. The Department of State is seeking to refresh the system and create a progressive platform to allow electronic filing of official records.

FLRules.org is a high-visibility website. Traffic averages are 340,000 visits and a total of 5 million page views per month. The website provides services stipulated in Section 120.54, F.S., and must be continuously available to stakeholders throughout the update process.

The digital, online version of the Florida Administrative Code (FAC) is the official version. It consists of all of the administrative rules of the various state agencies that implement the Florida Statutes. It is continually amended, added to, or reduced through agency rulemaking. Those changes are made through the FLRules.org website. Accuracy and security of the FAC's public view is of paramount importance, and ease of editing from the publishing side is important as well.

In addition, FLRules.org provides access for state agency users (currently over 600 active accounts) to submit notices and materials for review by Administrative Code and Register (ACR) staff (currently there are 7-8 role based accounts). The site allows unlimited access to the public, to review and comment on administrative rules, at every stage of the rulemaking process, per Section 120.55, F.S. Additionally, the site provides access to the publically accessible FAR. All Florida state agencies file statutorily required notices for daily publication in the FAR (including Variances/Waivers, Meeting/Hearings, Declaratory Statements, Petitions/ Dispositions, Policy Challenges, Joint Administrative Procedures Committee [JAPC] Action, Bids, Miscellaneous Notices and Rules Filed for Adoption).

B.5 Specifications

The DOS seeks to implement technology that will integrate activities of the Florida Administrative Register and the Florida Administrative Code into a Florida Government Electronic Rulemaking system. The desired Integrated Document/Records Management System (IDRMS) as a solution must provide document management, records management, file/document tracking, integrated imaging and scanning (optional), integrated workflow/routing and integrated search and retrieval functionality.

A. Objectives

- The system must be able to provide Web access to content now contained in the Florida Administrative Register and Florida Administrative Code, and it must support a historic archive of FAR and FAC publications that are web accessible.
- The system must allow for the creation of invoices for billing entities engaged in the publication of notices in the FAR.
- The system must support public access 24/7 via the Web to all public rulemaking documents and rulemaking actions through an intuitive, user-friendly interface.

- The system must support customized public email notification regarding rulemaking actions, meetings and other public notices and provide user customized tracking tools, including browser independent searches and other tools to allow users to quickly locate notices, rules and regulatory actions. A public user should be able to specify preferences based on subject area and/or keyword and have ready access to any information from the Florida Administrative Register.
- The system should accommodate an integrated public meeting calendar to accommodate posting of meeting agendas, meeting minutes, and digitally recorded transcripts.
- The system should accommodate public comment on issues pertinent to proposed rulemaking during designated public comment periods and provide public access to filed comments through a search engine. The system should provide tools to help agencies manage and respond to comments.
- The system must provide a wide range of information access functions suitable for a large distributed community that includes DOS Division staff, State Agency staff, Legislative staff, and the general public.
- The system must be able to manage files in all common standard formats, including but not limited to Microsoft Word, XLS, CVS, .txt, XML, HTML, CSV, PDF.
- The system should provide a common interface to resources under its control and facilitate consistency in data and services. The interface must be Web-based with both basic and expert functions supporting public, state agency, and DOS Division staff views.
- The system must include or interface with personal productivity functions such as the ability to cut and paste, copy, save, print, mail, download, update and request.
- The system must be a forward looking, extensible system built on a cost-effective hardware and software platform for Web access. The system must provide a platform for future development in response to changing requirements and advancing technologies.
- The solution must be built using Commercial Off-The-Shelf (COTS) products, and the System Integrator must coordinate the system update with the product vendors and the system users to ensure reliability with no interruption of service.
- The system must integrate and interoperate with the network infrastructure, security scheme, and systems platform currently maintained by the DOS.
- The system should meet performance standards for response time and availability.
- The system must meet American with Disabilities Act (ADA) section 508 requirements for accessibility.
- The system must be standards-based in principle and in practice.
- The system must manage e-commerce accounts for agencies and other governmental clients who rely on the Florida electronic rulemaking system.

B. Desired Features / Functionalities

The system must provide records capture, creation, versioning, metadata, security, as well as, indexing, storage and retrieval capabilities. The system must deliver the featured and functionalities described below, including but not limited to:

1. Capture

Records are created in a diverse range of formats, may comprise multiple individual objects (compound records), and are transmitted by a wide range of communication channels (workflows, email, postal mail). The proposed system must capture the content, structure and context of records to ensure they are reliable and authentic representations of the business activities or transactions in which they were created or transmitted. It must also meet legal requirements for parameters such as trustworthiness, completeness, accessibility, legal admissibility and durability.

The system must allow records in a wide range of formats and their metadata, be captured in bulk in a number of ways. For example, from an electronic records management system, as a bulk transfer from an electronic document management system or workflow application, or as an attachment to email. The system must be able to accept these, and must include features to manage the bulk capture process.

2. Creation, Collaboration, Classification and Management

The system must facilitate documents and content creation, editing and revision, as well as, procedures of proofreading, peer or public reviewing, authorizing, printing and approving etc. Collaboration should be an inherent part of the system; allowing documents to be retrieved by multiple users to view and modify (or markup) documents at the same time. The system must store the various markups by each individual user during the collaboration session, to allow document history to be monitored.

The system must provide a conceptual hierarchical classification tool that can facilitate the capture, titling, retrieval, maintenance and disposition of records. It should define the way in which records are grouped together (aggregated) and linked to the business context in which they were created or transmitted.

Records captured into electronic records management sub-systems must be actively maintained to ensure their continued accessibility. Establishing appropriate security controls, building in disposal outcomes and enabling the management of records in order to facilitate comprehensive, authentic, useable, tamper-proof and appropriately disposed records.

3. Workflow Automation

Provide and support the ability to interface with a workflow facility to provide an enterprise level Business Process Management and Workflow Automation that automatically routes the documents to their destination. The workflow automation should provide:

- Rule based processing on incoming documents
- Setup individual rules and document actions
- Automatic and Manual workflow
- Document Routing
- Business Process Modeling with Customized Windows, Reports
- Configure multi-level approvals
- Automatic creation of records based on documents
- Update records based on documents

4. Security

The system must provide functionality over and above that of an Electronic Document Management System, in order to preserve the security, authenticity and integrity of records to enable the permanent preservation of records. Its primary management functions are as follows:

- The system must support use of a protective marking scheme in order to control which users are allowed access to which records, folders and series, consisting of a hierarchy of security categories from unrestricted access at the lowest level to highly restricted access at the highest level;
- The system must support the allocation of a single security category and membership of multiple pre-defined access groups, recorded in the user profile for each user known to the system; and must restrict the ability to allocate these markings to an Administrator;
- The system must manage a file plan to which records are filed;
- Maintain the relationships between records and files, and between file series and the file plan;
- Identify records are due for disposal and manage the disposal process; associate the contextual and structural data within a document;
- Construct and manage audit trails;
- Manage record version control;
- Manage the integrity and reliability of records once they have been declared as such; manage records in all formats in an integrated manner.

5. Search, Display and Presentation

The system must provide facilities for searching, retrieving and displaying series, folders, electronic records and markers (where markers are used). It must provide a search and display interface via a web browser platform, to support retrieval and display of folders and records, and the folder and record metadata normally available to the end user.

Search
The system must be capable of searching for all records management metadata elements, including user-defined elements. It must be capable of searching the full-text content of electronic records. It must allow the use of advanced search features, such as probabilistic retrieval, relevancy feedback, and pattern matching.

Display
The system must enable the contents of any or all of the folders or records in a set of search results to be directly displayed without requiring a further search, or re-entry of data already retrieved. It must be able to print all types of electronic records which it is able to capture, and which are printable, in the same manner as they are displayed on screen within the system without use of 'screen-dumping' or 'snapshots'.

Presentation
The system should provide facilities for the presentation of folder metadata, records and record metadata to a destination external to the system in a form suitable for electronic publication.

6. Dashboard

The system interface should be simple and easy to navigate. The main dashboard should also include:
- Workflow Inbox;
- Document inbox;
- Alerts and Notifications;
- Reporting Dashboard and Follow-ups;
- Inbuilt Calendar, and Email.

7. Customization

In order to accommodate DOS specific requirements that must be taken into consideration; the ideal system should provide a certain level of customization allowing users to:
- Create customized Windows and Records;
- Generate Custom Fields and Reports;
- Add custom Document Attributes;
- Describe custom workflow; and
- Create Custom Dashboard Reports.

END OF SECTION

SECTION C - INSTRUCTIONS TO RESPONDENTS

Process

Responses to this RFI will be reviewed by the Department staff for informational purposes only and will not result in the award of a contract. This is an RFI as defined by section 287.012(22), Florida Statutes. Responses to this RFI are not offers and cannot not be accepted by the Department to form a binding contract. §287.012(22), F.S. Information received in response to this RFI, however, may be used to develop future procurements. Respondents to this RFI will not be prohibited from submitting bids to such future procurements based solely on having responded to this RFI. §287.057(17)(c), F.S. The Department will review responses received from this RFI to determine the feasibility of issuing a competitive solicitation for services or commodities. Any request for cost information is for budget purposes only.

The Department will be offering an opportunity for eligible vendors to present their product capabilities. Trade secrets are confidential and exempt from disclosure under Chapter 119, F.S., pursuant to the statutory provisions in F.S. 812.081, F.S. 815.04 and F.S.815.045. If vendor claims trade secret information is required to demonstrate their product, their meeting will be deemed confidential and closed to other vendors and the public.

Confidential, Proprietary or Trade Secret Material

The Department takes its public records responsibilities as provided under Chapter 119, Florida Statutes and Article I, Section 24 of the Florida Constitution, very seriously. If Vendor considers any portion of the documents, data or records submitted in response to this RFI to be confidential, trade secret or otherwise not subject to disclosure pursuant to chapter 119, Florida Statutes, the Florida Constitution or other authority, Vendor must also simultaneously provide the Department with a separate redacted copy of its RFI, and briefly describe in writing the grounds for claiming exemption from the public records law, including the specific statutory citation for such exemption. This redacted copy shall contain the Department's RFI name, number, and the name of the Vendor on the cover, and shall be clearly titled "Redacted Copy."

The Redacted Copy shall be provided to the Department at the same time Vendor submits its response to the RFI and must only exclude or obliterate those exact portions which are claimed confidential, proprietary, or trade secret. The Vendor shall be responsible for defending its determination that the redacted portions of its RFI response are confidential, trade secret or otherwise not subject to disclosure. Further, Vendor shall protect, defend, and indemnify the Department for any and all claims arising from or relating to Vendor determination that the redacted portions of its RFI response are confidential, proprietary, trade secret or otherwise not subject to disclosure. If Vendor fails to submit a Redacted Copy with its response, the Department is authorized to produce the entire documents, data or records submitted by Vendor in answer to a public records request for these records.

Vendor Costs

Vendors are responsible for all costs associated with the preparation, submission, and any potential meeting to discuss this Request for Information. The State of Florida, Department of State will not be responsible for any vendor-related costs associated with responding to this request.

Response Submittal

Submit an electronic copy in Print Document Format (.pdf) and to the Procurement Officer noted in Section A, no later than the time and date noted in the A.1., Calendar of Events. Responses must reference

the **RFI No.: DOS RFI 08/17-07 i**n the subject line of the response submission.

If Respondent considers any portion of its response to be confidential, Respondent shall submit a separate file/attachment with the confidential information redacted. This file/attachment shall be titled "Redacted Copy."

The instructions for this RFI were designed to help ensure all responses are reviewed in a consistent manner. Please keep in mind that both technical and nontechnical staff at DOS will be reviewing information submitted in response to this RFI. As such, please craft your responses in a plain, clear, and concise manner. Please organize responses as follows:

TAB 1   Information Acknowledgement Form

The response must include the Department Information Acknowledgement Form signed by an individual with authority to provide the requested information on behalf of Respondent. The form must contain the name, title, address, telephone number, and email address of a contact person who will be available for telephone or email contact regarding the RFI.

TAB 2 Company Information

- Name of Company
- Company Address
- Company Point of Contact for RFI Response
- Point-of-Contact Phone Number
- Point-of-Contact Email Address
- Company Area(s) of Expertise
- Length of time Company has been in existence including company ownership details
- Company Business Model

TAB 3 Software/Modules and Services

- Provide the product name(s) and active version(s) that your Company offers that would meet the needs identified in this RFI. If your response refers to third-party products that support additional functionality or extended capabilities, please specifically name them.
- Describe your solution, and clearly identify the application software modules, add-ons e.g. utilities/tools/report generators, underlying technology and third party applications that your Company offers that meets our requirements.
- Provide high level perspectives related to solution project factors such as: cost, cost methodology, timelines, and implementation sequence/approach.
- Please identify any business intelligence and reporting capabilities which are part of your solution, and could be used to help us improve performance measurement reporting.
- Briefly explain how you would assist DOS in overcoming business process standardization and data migration issues related to this project, as well as, refining business processes and implementation models.
- Please indicate whether your company offers a site-hosted and/or web-based solution. Provide any additional services your company offers, e.g., IT Help Desk, Service Support Teams to assist clients with fast response to production issues.

- Provide the name of software products and/or services that are available via any Federal or State contract.
- How long has the company offered the solution?
- What is the future company vision of the proposed solution?
- What is the company's percentage of market share for the proposed solution relative to its competitors?

TAB 4 Vendor's Implementation Approach

- Provide high level observations of potential problems/risks that DOS may encounter during this project. Include risk mitigation strategies that similar organizations have successfully implemented.
- Provide three (3) or more examples of where the solution has been operational within the last five (5) years and describe the industries, business environments, and if possible, include client names.
- Please estimate the number of DOS personnel (FTEs) that could be required to   implement your product(s). Estimates can be stated as an approximate number of FTEs. Please describe the skills, tasks description, and percentage of their time involved.
- Describe how your company would implement a solution and balance risk and system benefits. Indicate how your company would sequence the application's modules and why.
- Please estimate the number and types of DOS employees required to maintain and support your product(s) after it has been implemented and placed into production.

TAB 5 Technology Information

- Provide architectural diagrams of the company's proposed solution. Describe the solution's platform and list the application development tools available.
- Describe how product support compliance and audit activities. Also, include information about the use of firewalls, digital certificates, and encryption.
- Describe your approach to conversion of historical data, as well as any associated documents or images. Specify any special utilities or tool sets utilized for conversion purposes.

TAB 6 Additional Information

In this section, DOS invites comments, suggestions, recommendations and creative ideas on what makes your company and product/services unique, and welcomes submission of white papers, market brochures, case studies, and URL web links and other supporting information.

TAB 7 Financial Information

In this section, DOS invites pricing information for your company's product/application including a breakdown of the pricing for each of the components including any additional recommended features not specifically mentioned in this RFI.

Provide Rough Order of Magnitude (ROM) pricing information (not a specific price quote) for variables impacting the price, and other fees/charges for the solution. Provide details on how the vendor is compensated for the services provided.

DO NOT PROVIDE A SPECIFIC PRICE QUOTE. To preserve your pricing competiveness on a future procurement requests related to this RFI, it is important to provide ROM pricing information only, such as an annual fee schedule and/or cost per usage fee (i.e., competitive ranges and variables impacting price; not a specific price quote.)

END OF SECTION

SECTION D – ORAL PRESENTATION INSTRUCTIONS

Respondents may be invited to present their proposals and answer any questions about their experiences in the development, implementation and/or support of their solutions. All presentation must be in person.

Based upon the completeness of the response, the Department, at its sole discretion, may invite vendors for an oral presentation. Each presentation will be scheduled from two hours, plus one hours for questions from the Department. Please ensure the presentation covers at a minimum:

- A high-level overview of the product high-lighting the core agency processes the product addresses, including customer references for the product where it is currently installed
- A discussion of the vender's experience and competency in the design, development and support of a COTS Solution, training and knowledge transfer activities, operations and maintenance of the proposed solution, and, if applicable, any additional vendors partnered with to provide a complete solution
- A discussion about the approach taken in previous implementations, challenges and risks encountered, and mitigating factors taken into consideration

END OF SECTION

ATTACHMENT A
REPLY QUESTIONS SUBMITTAL FORM

For Attachment A, Respondents shall complete the form provided based on their questions relating to this RFI. The completed form shall be submitted in accordance with the instructions provided in A.2. The electronic response must be submitted as a Microsoft Word version file format.   This form may be expanded as needed to facilitate response to this requirement.

Respondent's Name: _____

Respondent Question Number*	RFI Page Number, Section Number, Subsection Reference*	Question*
1		
2		
3		
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10		

*Add rows as necessary.