



## Request for Information RFI 14932

### **Electronic Records Management**

IOWA DEPARTMENT OF TRANSPORTATION  
Office of Finance, Purchasing Section

Information must be received no later than

**August 26, 2015**

1 p.m. Central Time

*For information about the notice*  
*Interested persons shall contact only:*

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## Section 1.0 Definitions

Iowa DOT: The Iowa Department of Transportation  
EDMS: Electronic Documents Management System  
ERMS: Electronic Records Management System  
RFI: Request for Information  
RFP: Request for Proposal

## Section 2.0 Purpose

### 2.1 Purpose for the RFI

In an effort to ensure that State of Iowa citizens are receiving the best possible services at sustainable cost, the Iowa DOT is issuing this RFI to identify the latest technology for managing and retaining electronic records particularly as it pertains to government environments. The goal is to determine where Iowa DOT's records management practices and systems fall in relation to best records management practices available today.

### 2.2 Relevant Dates

Issuance of RFI – August 12, 2015  
RFI response deadline – August 26, 2015

### 2.3 Current Environment

The Records Management Section under the management of the Iowa DOT's Information Technology Division implemented Northrop Grumman's (formerly Integic) EDMS solution more than 15 years ago. The current system is comprised of over 110 million records compiled from the Iowa DOT's business units within their respective divisions with anticipated growth of 4 million or more records per year. Known within Iowa DOT as an electronic records management system or ERMS, this robust system natively allows for the administration of the entire record lifecycle: creation, use, maintenance, and disposition. Secure access is built in. Because of the length of time ERMS has been in place at Iowa DOT, it is in the Iowa DOT's best interest to seek products currently available in the industry including but not limited to current and anticipated standards and trends.

### 2.4 Information Sought

Responsible electronic records management includes two broad approaches: Conceptual and Functional. Elements of both naturally overlap; concept and function are integral to each other. Iowa DOT is interested in gathering information from both perspectives. To provide guidance on the information sought by the issuance of this RFI, specific considerations are as follows:

#### Concepts:

- Automated capture/user involvement
- Smart classification
- Deduplication of content
- FOIA requests
- Content crawlers

- Classifications systems
- Defensible disposition
- Identify and capture social media
- Use of global metadata
- Email integration
- Access control
- Compliance monitoring
- Managing unstructured content
- Any other elements of best electronic records management concepts

**Functionalities:**

- Platform independence
- System compatibility/interoperability
- Web-Based user interfaces/user experience
- Scalability
- Full-Text search functions
- Search and retrieval methods
- Non-Proprietary image formats
- Administration components
- Capture tools (scan, import)
- Universal API connectors (web services)
- Disaster recovery/backup methods
- Any other elements of best electronic records management functionalities

**This not a Request for Proposal;** therefore, detailed quotes or estimates for hardware, software, services, labor, or any other costs are not required. However, with an understanding of the current and expected scope of Iowa DOT's records management system it is preferred that vendors offer an approximation of records management system costs including expected costs-per-record-per-year or costs-per-user-per-year, and costs of system implementation, data migration, annual maintenance and upgrade costs, if possible.

## Section 3.0 RFI Response

### 3.1 Response

Responses to this RFI may qualify vendors to participate in a formal Request for Proposal (RFP) process, should the Iowa DOT choose to solicit bids for this type of system.

### 3.2 Submission of Response

Vendors may e-mail, mail or hand deliver written responses.

Acceptable formatting shall be one of the following:

- Media: E-mail with attachments; formatted CD-ROM or DVD; or USB flash drive.
- File Formats: Adobe Portable Document Format (.pdf); Microsoft Word (.doc) or (.docx); Microsoft Excel (.xls) or (.xlsx).
- Web-based Information: Please feel free to insert or “embed” URLs for all web-based information into your response.

### 3.3 Copyright

By submitting a response, the vendor agrees that Iowa DOT may copy or share the RFI information as desired for internal use or to respond to requests for public records. The vendor represents that such copying will not violate any copyrights in the materials submitted.

### 3.4 RFI ownership

Once received, submitted vendor information shall become the property of the Iowa DOT.

### 3.5 No Obligation to Issue Request for Proposal (RFP)

The issuance of this RFI does not obligate the Iowa DOT to issue an RFP for any goods or services described in this RFI.

### 3.6 Costs to Vendors

Iowa DOT is not responsible for any costs incurred by a vendor that are related to the preparation or delivery of the response, or any other activities related to this RFI.