

Request for Information (RFI) RLE202501 for an Enterprise Record and Document Management System

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E-mail: Correspond directly with Roy Etheridge (etheridgerl@ornl.gov). Questions submitted by a method other than email will not be accepted or answered. Questions should be submitted no later than 4:00 PM Eastern Time on March 3rd, 2025. Please ensure that your email has "RFI RLE 202501" in the subject line.

Issued by: This Request for Information (RFI) is being issued by UT-Battelle, LLC. (UT-B), managing and operating contractor of the Oak Ridge National Laboratory (ORNL) for the US Department of Energy (DOE) under prime contract DE-AC05-00OR22725.

Background: Oak Ridge National Laboratory (ORNL) is the largest science and energy national laboratory in the United States, located in Oak Ridge, Tennessee. ORNL conducts cutting-edge research in a variety of fields, including nuclear, materials, biological, computing, and environmental sciences, to name a few. ORNL's research plays a critical role in advancing energy solutions, national security, and scientific discovery. With a commitment to innovation, ORNL collaborates with academic, industrial, and government partners to address some of the world's most pressing challenges.

To maintain compliance during research and operational activities, ORNL produces, manages, transfers, archives, and destroys thousands of controlled documents and records per year, most of which are produced through research projects, government requirements, internal procedures, and other business activities. ORNL has approximately 7,200 active employees, and another 2,500 active subcontractors with computer access, all of whom may have a need to access records, procedures, and other controlled documents on varying segmented networks.

UT-B issues subcontracts to industry partners (subcontractors) to help execute ORNL's mission. The attached Statement of Work (SOW) is for assistance in performing comprehensive cost/price analyses of project proposals to ensure that the subcontractor's proposed amount is fair, reasonable, and aligns with industry standards.

RFI Purpose: This RFI is a market survey to identify potential sources that can provide an Enterprise Record and Document Management System (RDMS).

RFI Objectives: This Request for Information (RFI) seeks to identify potential suppliers interested in implementing multiple centralized record and document management systems (RDMS). The RFI will be used to gather information and identify any gaps in the capabilities of prospective systems in meeting ORNL's specified requirements.

Summary of Software Requirements

ORNL encompasses multiple organizations dedicated to fulfilling specific business and research objectives. The data generated by these entities must be managed and preserved in compliance with various government regulations and operating procedures.

To address these needs, ORNL seeks to implement multiple instances of an enterprise RDMS system on several Classified and Unclassified network(s). These separate solutions will enable improved controlled document lifecycle management and more effective processing for the identification, retention, and destruction of records for all internal business units, while keeping the segmented application platforms uniform and consistent for long-term management.

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The system must offer flexible electronic workflows, enhanced reporting and metric capabilities, robust security and access controls, and an easy-to-use user interface. Additionally, the system must provide detailed auditing, security controls, and is required to manage documents and records effectively from cradle-to-grave to ensure regulatory compliance.

1. General Requirements

- Architecture

- The system must support deployment as multiple centralized systems for managing both digital/physical records and controlled documents.
- The system must be deployable on both cloud and on-premises architectures.
- The system must support database and application data encryption, both at rest and in transit.
- The system must be compatible with the implementation of custom code and/or custom configurations.
 - The system must handle upgrades without issues.
 - Custom code and configurations should not be overwritten during software upgrades, patches, or releases.
- The system must be capable of operating without internet access for on-prem deployments. Patches, release code, and upgrade software must be available for download to ORNL's network.

- Software Environments

- The system must include a Development, Quality, and Production environment for each deployed instance to meet proper configuration change control requirements.
 - All changes to software must be formally documented, tested, and approved before production use to comply with ORNL's Software Quality Assurance (SQA) process.
- The system must allow the use of automated testing tools.
- The system must support the integration of custom scripting to allow IT technical staff to enable advanced functionality.
 - Modern open-source scripting platforms should be available.
 - Proprietary, non-standard scripting environments are not acceptable.
- The system allows scripts and jobs to run automatically, including but not limited to data scripts, email batch jobs, and reports.
- System services should be easy to administer and can be monitored with internal tools (with products such as SolarWinds and Dynatrace).
- The system's operating system must support regular patch cycles. Reboots should not require a specific recovery order to restore online services properly.

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- The system must minimize the reliance on client-side caching to ensure optimal performance and responsiveness of the browser-based user interface.
 - The system should dynamically retrieve, and update content as needed, avoiding excessive local storage requirements while maintaining efficient load times and seamless user interactions.
 - The requirement for end users to frequently delete browsing data to maintain responsive application performance or data integrity is not acceptable.
- **User Interface**
 - The system must provide a browser-based user interface with visual navigation.
 - All features and functionality must be accessible via the web interface.
 - Client-based software add-ins or agents that are required by the system to run any feature or functionality is not acceptable. There will be no client software installed on any client desktop, including Citrix environments.
 - The system must be compatible with supported modern web browsers, including Chrome, Safari, and Edge.
 - The system must enable users to save bookmarks for frequently accessed sections or content within the application.
 - The system interface must be mobile capable and mobile friendly.
 - The system must support drag-and-drop functionality for file uploads and object, folder, or other data moves.
 - The system supports the ability to create unique relationships between documents and records (for example, supersedes, superseded by, relates to, referenced by, etc.).
 - The system supports native application launch, allowing users to edit content by invoking the associated native application.
 - The system supports the ability to define and manage content templates for use during content creation.
 - The system supports the ability to create a copy of a new document/record from an existing document/record (with only defined fields copying forward to the unique replica).
 - The system supports configurable user views, preferences, and/or dashboards by all users. Changes are saved by the system (and not stored in local cache).
 - The system supports clickable hyperlinks in text fields.
 - The system must provide easily accessible URL links to the current content and properties of documents/records, as well as links to specific content and property information for each revision/version of the documents/records.
- **Database Architecture**

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- The system's relational database (RDBMS) must adhere to industry standards, with a preference for Microsoft SQL. Databases must be fully accessible for both on-premises and cloud-based system deployments.
 - The system's relational database must be scalable, accommodate increasing volumes, and provide highly available instances with disaster recovery capabilities.
 - The database application table structures must optimize high-speed retrieval and indexing of large datasets and ensure referential integrity.
 - The database must support complex queries and reporting.
 - The database must support the ability for updates to be executed by IT technical staff using SQL-based queries. Proprietary, non-standard query languages are not acceptable.
 - The database configuration must be compatible to utilize Eastern Standard Time (EST). UTC or other configurations will not be acceptable.
 - The database must not be in case-sensitive mode.
 - The system's date/time fields must be properly recognized as datetime data types in the database and the user interface.
 - The system must support the use of varchar(max) for any database field, allowing the application to handle data fields without restricting the maximum number of characters users can enter in the user interface.
 - The system must support the ability to edit user account information (such as employee names, etc.) via automation. The changes can cascade to related objects in the system.
- **Quality**
- The system must perform as intended without errors or miscalculations.
 - The system must provide clear, actionable error messages in server logs, database logs, and the user application interface.
 - The system must handle unexpected situations gracefully without crashing and ensure rapid recovery to minimize downtime after failures.
 - The system must be well-documented.
 - The system's open-source and/or custom code is available for viewing, is organized, and developer code comments are easy to read.
 - The system provides user and system administration guides that include detailed technical information about all features/functions of the software.
 - System guides must be updated and released alongside software updates, incorporating additional documentation to support system use.
 - The system and all associated software packages must support upgrades using supplier-provided executables and instructions, without requiring the supplier's direct involvement to perform an upgrade, patch, or release.

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- The system's testing guides and user acceptance scripts must be of high quality, easy to follow, and include all necessary steps to thoroughly test the system's features and functionalities.
- **Integration**
 - The system must support APIs for document, record, and metadata integration with internal systems.
 - The system must include an open, documented, customer- and partner-accessible API (e.g., SOAP, REST) for operations including but not limited to read, write, delete, browsing, versioning, check-in/check-out, and content viewing.
 - The system must accommodate custom integrations that may include LDAP, SAP, SuccessFactors, and internally written custom applications (standard platforms for custom applications may include but are not limited to .Net, C#, Vue JS, etc.).
 - The system should integrate with some external systems without requiring custom code (such as direct database queries, data exports, etc.).
- **Authentication**
 - The system must support Single Sign-On (SSO) and meet government requirements for Zero Trust multi-factor authentication (MFA).
 - The system must support the ability to identify unique user accounts utilizing custom metadata, including employee badge number, user login id, and organization information.
- **File and Content Management**
 - The system must store records in NARA-approved and recognized sustainable formats.
 - The system must allow users to upload large files (50MB–50GB) with pause-and-resume functionality in case of failures.
 - The system must recognize, manage, and store content of any type.
 - The system must support in-browser viewing of common document file formats through streaming capabilities.
 - The system must enable administrators and standard users to perform bulk imports and exports of document/record content and associated metadata.
 - The system should support content federation, enabling access, management, and editing of documents and records from other systems.
 - The system should support the ability to natively utilize file compression on content.
 - The system must support the ability to upload multiple attachments to individual documents, records, or other objects.
 - The system supports the ability to link documents and records in multiple areas/folders within the application.
 - The system supports the ability to configure and enforce the expiration of shared URL links.

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Collaboration

- The system must support document collaboration, including sharing, commenting, and version control.
- The system should allow users the ability to compare two content instances or versions, with differences automatically highlighted.

- **Reporting and Analytics**

- The system must allow the design and generation of custom reports.
 - Reports must be sortable and filterable by any field/column.
 - Reports must be configurable to meet internal or government formatting requirements.
- The system must support scheduled delivery of reports to specified recipients.
- The system must provide user-friendly ad hoc reporting capabilities, allowing users to create, save, and reuse reports with ease.
- The system must support URL linking for saved reports, enabling direct access and easy sharing.
- The system must support the ability to save custom generated reports for reuse and apply system security to allow restricted users access to the reports.

- **Metadata Management**

- The system must support the use of metadata that can be applicable to any object, including folders, documents, records, and record/object sets.
 - An unlimited number of custom metadata fields can be added to the system and can support various data types (text, numeric, date, boolean, etc.).
 - Metadata values can be derived from manually populated picklists, table lookups, or queries.
 - Metadata can be used to tag objects for use in ad hoc searching or indexing.
- The system's metadata fields should allow for related data grouping, default values, mandatory fields, restrictions for blank values, and format enforcement (such as dates, city names, phone numbers, etc.).
- The system's metadata can be inherited from parent to child objects.
- The system's metadata can be exported into excel or csv format via ad hoc searching or reports.
- The system's metadata can be used to define security classifications for access control.
- The system supports autotagging, or automatic population of metadata and tags, based on rules or policies, or based on triggers or events.
- The system supports the ability for administrative or common users to bulk edit metadata about a set of documents or records (or other related objects).

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- Email and Notification Features

- The system must support sending user-friendly HTML emails for workflows and notifications.
 - Emails must be able to include properly formatted hyperlinks to the controlled documents, records, content, and metadata in the body of messages.
 - All system and workflow emails must be fully customizable through open-source coding mechanisms by IT staff. This includes the to, from, subject, and message sections of any email sent by the system.
 - The system's notifications can be customized to send during specific events and triggered accordingly.
 - The system provides audit logs for all email delivery by the system. The log includes information about the email distribution, the message, the object the message was sent for, and date/time stamps.
- The system must be configurable to send email through secure SMTP channels.
- The system must be configurable to ensure that, in test environments, emails are redirected exclusively to the logged-in test user and clearly indicate testing mode.
- The system must offer functionality that allows end users to create and manage distribution lists for notifications.
- The system offers a mechanism for resending system or workflow emails in the event of a system outage or error.

- Administration Features

- The system supports the ability for users to easily create and manage their own security groups within the application (add/remove users for role-based application groups).
- The system supports the ability for users to bulk approve sets of controlled documents or records through workflow.
- The system must allow users to "act on behalf of another user" while maintaining strict audit controls to clearly record and display actions performed on behalf of the other user.
- The system must support multiple (unlimited) custom automatic numbering conventions for controlled documents and records to prevent number duplication.
- The system must allow placeholder documents and records to be created without content.
- The system should support archiving content based on defined age or retention policies.
- The system must allow version and revision tracking with no limits on the number of revisions generated.
 - Certain custom-defined metadata specific to a revision must not carry over to subsequent revisions, while other custom-defined metadata should be retained across revisions.

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- The system must enable users to check out and check in content, with collision detection and suggestions for resolution.
- The system must enable the ability for administrators and common users the ability to easily bulk update object permissions and the security apply immediately. Clicking single objects to change and save permissions is not acceptable.
- **Usability and Accessibility**
 - The system must meet general usability heuristics for user interface and product design (e.g., Nielsen's Usability Heuristics).
 - The system interface must meet WCAG 2.2 standards for readability and accessibility.
 - The system interface must accommodate users with disabilities (e.g., support for screen readers, color contrast).
 - The system interface must support rebranding to align with ORNL's branding, allowing for the removal of supplier logos and adjustments to colors.
 - The system interface must provide visibility of system status, error messages with actionable solutions, and help documentation accessible in context.
- **Compliance Requirements**
 - The system must be able to meet the following government regulations:
 - **NARA Requirements:** 36 CFR Part 1222
 - **DOD 5015.2 and DOE 243.1C:** Records Management
 - **FDA 21 CFR 11, ISPE GAMP 5:** Controlled Document Management for Pharmaceutical Manufacturing
 - **NQA-1 – 2000 Part 1 and NQA-1 -2000 Part II, Subpart 2.7 –** Controlled Document Management for Nuclear Facilities
 - **NIST SP800-171, FISMA, ISO27001, ISO15489**
 - **FedRAMP Moderate:** Cloud Hosting
 - **Two-factor digital signatures (DocuSign):** Cryptographic electronic signatures verifying signer identity and data integrity.

2. Security and Access Control Requirements

- The system must provide controls and protection for data integrity, data confidentiality, and data availability.
- The system must limit access to authorized individuals.
- The system supports the ability to define security controls at the content-type, classification, object, folder, or other custom-defined data levels.

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- The system's access rights and permission rules for records and documents must be easily adjustable to accommodate changes in the legal or regulatory environment, varying business activities, data classification changes, employee turnover, or organizational structure updates.
- The system must support hierarchical permission inheritance, allowing security controls to be automatically or manually applied from parent objects to child objects when documents or records are moved within the system or when content is created/edited in a parent object.
- The system allows authorized users to modify the security of inherited objects. For instance, independent child object permissions can be overwritten to allow more stringent permission sets to be applied without impacting the parent object.
- The system supports read, edit, browse, version, delete, print, download, and share level permissions on all objects.
- The system provides comprehensive logs for monitoring and forensic analysis. The system supports regular system and database auditing and logging features to track all access and changes.
 - The system uses secure, computer-generated, time-stamped audit trails to independently record the date and time of operator entries and actions that create, modify, or delete electronic records.
 - Audit logs include metadata changes (displaying both old and new values) for all form fields on a document or record.
 - All documents and records include an easily accessible audit log that displays actions performed on the object, the user who performed the action, and the date/time stamp of the action.
 - Changes cannot obscure previously recorded information, and audit trails capture metadata and content that are accessed, viewed, downloaded, or printed by authorized or unauthorized users.
 - Audit trail documentation is retained for at least as long as required for the associated electronic records or controlled documents.
 - Audit trails can be configured for archive or truncation based on the type of audit captured. Certain system audit information must be retained long term.
- The system supports easily configurable role-based access control for documents, records, and workflow processing.
- The system supports the use of Personally Identifiable Information (PII) scanning tools, E-Discovery (for identifying data requiring legal hold or retention), and PDF redaction utilities (allowing users to manually redact or mask content and set redactions as permanent or role-based).
- The system supports the ability to enforce security controls at the metadata field level. Individual form fields can be set to read-only or editable by role-based groups, depending on the document status.

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- The system integrates with Digital Rights Management (DRM) tools and/or supports third-party DRM solutions.
- The system supports virus and malware scanning of content upon upload to the repository. Suspicious files are quarantined.
- The system supports generating or setting a one-time password or passcode that recipients must use to access secure content via a shared link.

3. Workflow and Automation Requirements

- The system allows IT technical staff to easily create and edit workflows independently of the supplier.
 - The system supports the ability to configure multiple workflows.
 - The system supports custom workflows with integrated roles and permission sets.
 - The system supports complex workflows, such as: parallel tasks, alternate reject paths (not just one step back), sequence logic for approvals, etc.
 - Workflows can be sent back steps or forward steps based on business requirements.
 - Workflows can be initiated manually, on a schedule, or based on events defined in the system.
 - Workflow tasks can be assigned priorities.
 - Workflows can be paused, resumed, or recalled at any time.
 - Workflows can be defined to ensure exceptions and errors are handled appropriately instead of rerouting to a prior step.
 - Workflows can be chained to trigger sub-workflows.
 - Steps in the workflow process can integrate with other systems to retrieve or push data or trigger external events.
 - Workflow tasks can be sent to individual users or groups of users.
 - Workflow tasks can be reassigned to a delegate or other authorized user.
 - Workflow tasks can have defined durations that initiate task escalation.
 - Workflow task emails are configurable by IT technical staff.
 - Workflows can be easily displayed via process maps, flowcharts, or diagrams generated by the system.
- The system's workflow approvals can be configured for system date/time-stamped approvals or two-factor digital signatures (utilizing DocuSign for cloud-based deployments).
- The system supports mandatory reviews on objects, ensuring users adhere to default review frequencies while allowing for more frequent or customizable review periods.

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- The system must enable users to review and approve multiple in-progress revisions of a document before its publication.
- The system supports both document and record reviews and approvals, including the ability to skip steps if necessary.
- The system supports the ability to add or remove reviewers and approvers mid-workflow.
- The system supports the ability to automatically add role-based groups as reviewers or approvers based on document or record metadata selections.
- The system supports training and required-reading before or after document publication, with the potential to integrate with the company's Learning Management System (LMS).
- The system supports controlled document copyholder tracking, notifications, and acceptance based on the copy type.
- The system supports auto-promotion of workflows based on predefined system rules and object data.
- The system allows end users to view a list of all workflow tasks for which they are responsible.
 - Authorized end users can view the status of their active or in-progress workflows.
 - Authorized users or managers can view the status of all workflows across the system.

4. Record Management Requirements

- General Record Management

- The system must support creating, managing, transferring, and disposing of physical hard copy records, boxed records (such as those stored in onsite or offsite warehouse locations), and electronic records (some of which exist in other systems).
 - Records must be captured, managed, and preserved with appropriate metadata
 - Records must remain accessible and retrievable for as long as needed.
- The system must generate accurate and complete copies of records in both human-readable and electronic forms suitable for inspection, review, and copying.
- The system must support grouping individual records into collections (or sets) to manage them as single entities with unified security and retention policies.
- The system must maintain links or relationships between records, such as when one record supersedes or replaces another, while managing each record's rules, cutoff dates, or holds independently.
- The system must have the capability to easily identify, preserve, and/or transfer permanent records (including content and metadata) to NARA or other government entities.
- The system can assign records by the organization and/or an individual responsible for their receipt.

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- The system must track the "chain of custody" of records, documenting events such as transfer requests, approvals, releases, returns, or dispositions.
- The system must ensure that records migrated from other systems undergo a validation process to verify their accuracy, reliability, consistent performance, and detect any invalid or altered records.
- The system must ensure that electronic or handwritten signatures remain linked to their respective records to prevent falsification.
- The system must be able to identify inactive record holders or organizations and provide administrators and common users with the ability to seamlessly bulk update record owners and organizations for multiple records.
- The system must facilitate record reviews based on predefined schedules.
- The system supports the ability to declare content as a record at the point of creation.
- **Physical Record Management**
 - The system must support the management of boxes on warehouse shelves, as well as physical hardcopy records located in buildings, rooms, or cabinets.
 - The system can maintain a list of available shelves across multiple warehouse locations.
 - Box metadata must reflect warehouse, building, shelf, and room locations.
 - Boxes can be associated with individual hardcopy records.
 - Hardcopy records can be tracked by box, building, room, and/or cabinet locations.
 - The system must enable the checkout of boxes and/or physical hardcopy records, while retaining tracking information until the physical assets are returned to the Records office.
- **Record Retention and Disposition**
 - All records must align with an approved Department of Energy (DOE) citation, section, and retention schedule.
 - The system must support modifying DOE citation, section, and retention policies to avoid incorrect record disposition.
 - The modification or revision of all citations, sections, and retention policies are audited and can be easily viewed in an audit log for any citation, section, or record. Prior versions of citation, section, and retention policies are available for viewing.
 - The system must support the following records management hierarchy, with the flexibility to accommodate potential hierarchies based on a record type, location, or organizational structure(s):
 - DOE Citation
 - DOE Section (sets retention requirements)
 - Series (displays retention requirements)

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- Record (applied retention)
- Record series can be created, inactivated, or revised, with the ability to move records seamlessly from one series to another.
 - Changes to record series must apply to all associated records within the series.
 - Record series (and all associated records) can be easily moved from one citation/section to another.
 - Records moved from one citation or series to another are seamlessly updated with the new retention requirements.
- The system can apply citations, series, and retention policies to documents and records via folders or other predefined structures.
- The system must support individual or file-level cutoff dates for all records, indicating when retention starts.
- The system's record and retention rules can be assigned based on metadata profiles or other retention classifications.
- The system should allow the ability to define different disposition authorities.
- The system must allow additional records to be added to original retention policies, including reopening closed citations or series as necessary.
- The system determines record eligibility for disposition once the record meets the associated retention policy's time-period (based on record dates or event dates):
 - Records must not be dispositioned before meeting their eligibility period.
 - The system must support multiple retention phases (event-based or time-based) per record, with final disposition based on the most conservative retention schedule.
 - The system must allow adding or removing a permanent markup on a record series or a citation, applying the permanent markup to all records in the citation or series.
- The system must enable manual or automated submission of multiple records for single disposition approval.
- The system requires multi-step role-based approvals and confirmations for record dispositions:
 - Ability to batch records dispositions per approver.
 - Electronic records must be destroyed upon final approval, retaining metadata.
 - Physical records must be destroyed after final approval and additional destruction confirmation, with metadata retained.
- **Security and Compliance**
 - The system must provide controls for file integrity monitoring to prevent unauthorized use, alteration, concealment, or deletion of records.

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- The system's access rights and permission rules for records must comply with regulatory requirements (e.g., CUI, National Security Classification, HIPAA) and be tailored to the record function, activity, or business process.
- The system must support two-factor digitally signed electronic records for cloud-based deployments, including the signer's printed name, execution date/time, and the purpose of the signature (e.g., review, approval, authorship). For on-premises deployments, the system must include system date/time mechanisms to enable similar record signature functionality.
- The system must support record immutability mechanisms to prevent modification or deletion of declared records or objects under retention policies.
- The system must notify the Records office of exceptions, errors, or failures in declaring records, setting retention, or executing dispositions.
- **Legal and Audit Requirements**
 - The system must support the configuration of multiple legal or EPI (electronic preservation and integrity) holds and must be capable of halting or reversing approved in-process dispositions when the holds are applied or released.
 - The system must support the ability to configure permanent record holds.
 - The system can record, document, and track any actions that change access levels, alter records, or modify record locations in a secure, time-stamped audit log.
- **Integration**
 - The system provides access to records in other systems (e.g., SharePoint). The record must be easily linked and/or viewable from the system.

5. Document Management Requirements

- **Document Identification**
 - The system can identify controlled and uncontrolled documents.
 - The system can identify individuals responsible for the preparation, review, approval, and distribution of controlled documents.
- **Document Content Updates**
 - The system updates document content to include varying cover pages (based on templates) and/or watermarking for various statuses, including but not limited to Published, Superseded, and Obsolete, to ensure proper document control.
 - The system allows authorized users to access document content along with a cover page, while protecting the original content from being downloaded, except for users with the appropriate security or role-based access.
 - The system applies a watermark or header/footer when a document is printed that reflects the date and time the document was printed.

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- The system allows authorized users the administrative capability to regenerate watermarks and cover pages ad-hoc.
- **Format Support**
 - The system supports the creation of multiple formats of content, such as a PDF rendition of a Word document.
- **Document Reviews**
 - The system ensures reviews of controlled documents are complete and correct.
 - The system must identify review participants and their specific responsibilities.
 - The system retains documentation of review comments and their resolution.
 - The system must allow users to resolve review comments.
- **Document Approvals**
 - The system must allow controlled documents to be approved prior to distribution.
 - The system must identify approval participants and their specific responsibilities.
 - The system must retain documentation of approval comments.
 - The system allows approvals to occur in parallel (all approvers notified simultaneously) with the option to include a Final Approver, who approves after all others.
 - The system allows approvals to also occur sequentially (approvers are notified one at a time in a designated order).
- **Metadata Editing**
 - The system allows authorized users to edit certain metadata fields for controlled documents while the document is in a Published status.
- **Document Change Management**
 - The system allows major changes to documents to be reviewed and approved by the appropriate organization.
 - The system allows minor changes, such as editorial corrections, to not require the same review and approval as original documents.
- **Document Assignment**
 - The system must support assigning controlled documents to a responsible organization or author/sponsor.
 - The system must identify inactive controlled document holders and provide an administrative ability to bulk update authors, sponsors, and organizations seamlessly.
- **Revision Control**
 - The system supports starting revision numbers at 0 or 1.

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- End users can adjust revision numbers as needed.
- **Record Management**
 - The system supports the ability to apply record retention data, such as file plan, record dates, and disposition schedules to controlled documents.
- **Integration and Display in Other Systems**
 - The system allows controlled document content to be accessible and displayable in other systems.
 - The system allows managed procedures to be viewable or exportable to work order systems.
 - The system allows managed procedures related to required work to integrate with the Learning system, ensuring the user's completion of required readings is noted and reflected in the system.

6. Search Requirements

- **General Search Capabilities**
 - The system must allow users to perform a full-text indexing and search of an object's content and metadata.
 - The system should support the use of an Artificial Intelligence (AI) search engine.
 - The system allows IT staff to refresh and rebuild the index on demand or via a schedule.
 - The system includes the capability to perform proximity searches and analyze the distance between two words in a full text of content stored in the repository.
 - The system provides the ability to limit the scope of queries to certain folders or locations.
 - The system allows audit logs to be easily searched.
 - The system allows database tables to be easily searched.
 - The system provides a mechanism for end users to easily initiate a search.
 - The system supports indexing OCR/ICR content.
 - The system supports the ability to save and reuse search criteria.
- **Search Results**
 - The system's search results conform to the system's access controls. For example:
 - If a user does not have access to a document, it will not be returned in the results.
 - If a user has access only to properties about the file, they will not be able to open it.
 - The system search results must include all results found in the system without limiting any set maximum result set value without impacting system performance.
 - The system includes the ability to preview content returned within the search results.

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- The system indicates the total number of returned results and supports navigation through large result sets in a paged fashion.
- **Customization of Search Results**
 - The system allows users to define and save how search results are displayed, including:
 - Display columns
 - Sort order
 - Display summaries
- **Machine Learning and Analytics**
 - The system supports the ability to identify and extract machine-learning-based analytics based on text, images, and/or other content.
 - The system's machine-learning-based analytics are configurable.
- **Exporting**
 - The system supports the ability to export search results.
 - The system's search results can be exported to csv, excel, word, and/or PDF formats.
 - The system's searches and results can be adjusted to include any columns/fields available in the system and can list these data fields in the user interface and exports.

7. Cost and Licensing

- The supplier should include a clear, easily understood breakdown of licensing model (per-user, concurrent, perpetual, subscription, enterprise, usage-based, etc.).
 - The system should support licensing at no charge for Development and Quality systems.
- The supplier should provide estimated implementation and annual maintenance costs.
- The supplier should provide cost breakdowns for on-premises and cloud-based deployments.
- The supplier should provide any additional hosting services or hardware related costs.
- The supplier should provide any additional software add-ins or module costs that would be of interest to Oak Ridge National Lab's RDMS system or that would assist ORNL in meeting the listed requirements.

8. Support and Maintenance

- Product support should be offered for a minimum of three years for a specific version of the platform at standard costs.
- Product support should be offered for a minimum of two years of extended support (defined as past normal support) for a specific version.
- Supplier must be able to release support patches and software upgrades within the documented support schedule.

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- Critical security vulnerabilities that are discovered must be patched immediately.

Contract Structure

The supplier will be responsible for working with the IT Software Engineering group to determine the appropriate software architectural designs for the software deployment. Additional deliverables and activities may include:

- Workflow recommendations and configurations
- Permission/role recommendations and configurations
- Data migration planning and execution
- Project execution and software implementation
- Support

The planned contract type for any resulting procurement action will be Firm-Fixed-Price (FFP).

RFI Response

Responses to this RFI should address the following:

1. The system's existing capabilities regarding record and document management (RDMS) and the system's ability to fulfill all RFI requirements. The response may also highlight any functional gaps that would prevent meeting specific requirements and can include a listing of future roadmap items (with release dates) that could allow the system to eventually meet ORNL requirements.
2. Any additional software requirements or components not listed in this RFI that may be of interest to Oak Ridge National Laboratory regarding a record and document management system (RDMS).
3. Architecture components of multiple software instances for cloud based and on-prem networks.
4. Application integrations, data migration, and enterprise software implementation experience related to Department of Energy or other Government Agency software deployments.
5. Information about the software's user interface design and ability to meet usability requirements.
6. Potential cost and licensing model for multiple on-prem and cloud software deployments. Responses should include information that describes whether licensing is based on perpetual, concurrent, named user, etc. licensing schemes.

Responses Due: All responses must be in electronic format and emailed to etheridgerl@ornl.gov.

All responses must be received no later than the date and time specified on the first page of this RFI

Responses to this RFI must provide the following:

1. The name, title, email address and phone number for your point(s) of contact
2. Your firm's capability to meet the stated objectives
3. Your firm's past performance in meeting the stated objectives, particularly with federal government customers
4. Describe the methods employed for individual taskings. In your experience, what has worked the best?
5. A list of references, including company name, contact name, contact's phone number and email address

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6. Roles and current resumes of Key Personnel as you decide
7. Additional benefits and/or services your firm provides in enterprise document management
8. SAM.gov Unique Entity ID number

Disclaimer

This RFI neither constitutes a solicitation, Request for Proposal (RFP), Invitation for Bid, or promise to issue an RFP in the future, nor does it restrict UT-B to an ultimate acquisition approach. This RFI is issued solely for information and planning purposes and should not be construed as a commitment of any kind.

Best Regards,

Roy Etheridge

Procurement Officer
Contracts Division
UT-Battelle, LLC.
Management and Operating Contractor
Oak Ridge National Laboratory