



STATE OF TENNESSEE
COMPTROLLER OF THE TREASURY

REQUEST FOR INFORMATION
FOR
RECORDS MANAGEMENT/CASE FILE MANAGEMENT SYSTEM

RFI # 30716-25002

September 18, 2024

1. STATEMENT OF PURPOSE:

The State of Tennessee, Comptroller of the Treasury, issues this Request for Information ("RFI") as an information gathering and market research tool and not as a formal solicitation of specific requirements or pricing (such as in a "Request for Proposals" document). This is an opportunity for interested parties to help our office to understand the features and functionality of potential marketplace offerings. We appreciate your input and participation in this process.

2. BACKGROUND:

The Comptroller's Division of Investigations (DOI) supports the Comptroller's mission to Make Government Work Better by investigating allegations of fraud, waste, and abuse in government and publicly funded entities and by working closely with law enforcement and prosecutors on criminal allegations. DOI reports the results of its investigations, including significant internal control and compliance deficiencies, to the appropriate parties. The DOI also provides requested assistance and appropriate information to citizens, auditors, public officials and policy makers at all levels of government, other state departments and agencies, law enforcement and prosecutorial agencies and other interested parties. DOI serves a specialty function in providing forensic audits and other financial investigative work. DOI is not a law enforcement agency, nor is it a strict audit function (do not follow the Yellow Book Government Auditing Standards). More information on the DOI can be found [here](#).

DOI is considering procuring a records management/case file management system (system) to replace existing processes which include:

- case file documents stored in an online database,
- case files and records stored on a shared drive (hosted by the DOI), and
- records maintained within multiple Excel spreadsheets.

DOI's desired services and system specifications are:

- 1) Provide for the creation and management of electronic investigative case files as well as the transfer of existing investigative case files
- 2) Interface with DOI's existing allegation intake system (where citizens, officials and CPA's submit initial allegations of fraud, waste, and abuse)
- 3) Support Microsoft Office software applications: specifically, Microsoft Word and Microsoft Excel must function within the system
- 4) Create a timeline record of work completed within the system and updates to case files
- 5) Hyperlink within the case file, specifically, a record must be able to link and connect a user from one document to another document within the same case file
- 6) Track evidence, including barcoding for storage and maintenance
- 7) Contain document security, including watermarking and date stamps
- 8) Allow for migration of historical data and case files to be uploaded, maintained, and accessed
- 9) Contain management tools, including both investigator and supervisor progress dashboards, up-to-date reporting functions (to include DOI's quarterly case status reports), and alerts triggering a supervisory review of investigative case files
- 10) Allow for case file dissemination, and case file tracking by user and history
- 11) Allow permissions for users, to restrict federal case file access etc., when necessary
- 12) Maintain a searchable findings and deficiencies index
- 13) Create a dashboard which incorporates existing tools and databases, such as CLEAR, ABBYY, and BankScan

CLEAR is a subscription based investigative platform that delivers a vast collection of public and proprietary records in a single working environment to help provide actionable insights to law enforcement and government agencies

ABBYY uses AI-based OCR technology to digitize, retrieve, edit, protect, share, and collaborate on documents in the same workflow

BankScan is a system that facilitates the conversion of bank and credit card statements into Excel or other electronic formats

Note: CLEAR is a web-based service, which can be incorporated via URL. ABBYY and BankScan are installed applications, which can generate Microsoft Excel reports for upload.

3. COMMUNICATIONS:

3.1. Please submit your response to this RFI to:

Terry Mason
Procurement Specialist
TN Comptroller of the Treasury
Office of Management Services
425 Rep. John Lewis Way N.
Nashville, TN 37243
Terry.Mason@cot.tn.gov
615.401.7723

3.2. Please feel free to contact the TN Comptroller of the Treasury with any questions regarding this RFI. The main point of contact will be:

Terry Mason
Procurement Specialist
TN Comptroller of the Treasury
Terry.Mason@cot.tn.gov
615.401.7723

3.3. Please reference RFI # **30716-25002** with all communications to this RFI.

4. RFI SCHEDULE OF EVENTS:

EVENT		TIME (Central Time Zone)	DATE (all dates are State business days)
1.	RFI Issued		September 18, 2024
2.	RFI Response Deadline	2:00 p.m.	October 30, 2024

5. GENERAL INFORMATION:

5.1. Please note that responding to this RFI is not a prerequisite for responding to any future solicitations and a response to this RFI will not create any contract rights. Responses to this RFI will become property of the State.

5.2. The information gathered during this RFI is part of an ongoing procurement. In order to prevent an unfair advantage among potential respondents, the RFI responses will not be available until after the completion of evaluation of any responses, proposals, or bids resulting from a Request for Qualifications, Request for Proposals, Invitation to Bid or other procurement method. In the event that the state chooses not to go further in the procurement process and responses are never evaluated, the responses to the procurement including the responses to the RFI, will be considered confidential by the State.

5.3. The State will not pay for any costs associated with responding to this RFI.

6. INSTRUCTIONS FOR RESPONDING

- 6.1. Sections 7 **through 13** below indicate the information specified to be included in your response. All components should be addressed according to the instructions within this section and any item-specific instructions, e.g., page limitations, as noted below.
- 6.2. Respondents are **not** expected to insert responses directly into the RFI template. Please provide your response under separate cover in accordance with the details noted in the sections below.
- 6.3. Please clearly label each question/item in your response according to the exact numbering system used in the requirements below.
- 6.4. To better enable an efficient and effective review process, please respond as succinctly as reasonably possible to satisfy the questions/requirements.

7. RESPONDENT LEGAL ENTITY NAME:

8. RESPONDENT CONTACT PERSON:

Name/ title, role, address, phone number, email.

9. EXPLANATION OF VENDOR EXPERIENCE AND RELEVANT SOLUTION:

Please provide a summary statement regarding how your entity and its solution can provide the services and desired specifications provided above within Section 2. BACKGROUND.

10. INFORMATION TECHNOLOGY SECURITY REQUIREMENTS:

Please describe your solution application's ability to meet the following:

- 10.1. All State Data is housed in the continental United States, inclusive of backup data. All State data must remain in the United States, regardless of whether the data is processed, stored, in-transit, or at rest. Access to State data shall be limited to US-based (onshore) resources only.
- 10.2. All Confidential State Data at rest and in transit using the current version of Federal Information Processing Standard ("FIPS") 140-2 **or** 140-3 (or current applicable version) validated encryption technologies. The State shall control all access to encryption keys.
- 10.3. Be subject to (including any subcontractors used to host State data) an annual engagement by a licensed CPA firm in accordance with the standards of the American Institute of Certified Public Accountants ("AICPA") for a System and Organization Controls for service organizations ("SOC") 2 Type 2 examination. The scope of the SOC 2 Type 2 examination engagement must include the Security, Availability, Confidentiality, and Processing Integrity Trust Services Criteria. Any processing or storage services must be included in the scope of the SOC 2 Type 2 examination engagement.
- 10.4. Annually perform Penetration Tests and Vulnerability Assessments against its Processing Environment per the NIST 800-115 definition.

- 10.5. Comply with the State's Enterprise Information Security Policies as amended periodically. The State's Enterprise Information Security Policies document is found at the following URL: <https://www.tn.gov/finance/strategic-technology-solutions/strategic-technology-solutions/sts-security-policies.html>. This applies to all subcontractor, including any data center used to host State data, including those of all subcontractors.

11. COST INFORMATION

- 11.1. Describe your entity's pricing models/structure related to licensing, subscription fees, hosting, technical support and maintenance.
- 11.2. Describe your entity's pricing models/structure related to initial and ongoing software configuration and customization.
- 11.3. Describe your entity's pricing models/structure related to the migration of historical case file records and data into the system.

12. ADDITIONAL INFORMATION

**Please limit your response to three (3) pages.*

Please provide any other information that might be helpful for the State to consider in drafting and evaluating a competitive solicitation.