



## REQUEST FOR INFORMATION (RFI)

**Subject:**

**Electronic Document and Records Management System Initiative**

**Issue Date:**
**Date Information Required:**
**RFI No:**

**SEN-015 13/14**

### SUMMARY OF REQUIREMENTS

The purpose of this document is to gather information from potential suppliers for planning purposes only and have additional information about the solutions available as well as the prices. The Senate of Canada will treat all information that may be provided in response to this RFI as confidential. The Senate requires information with regards to estimated price and availability for the following services.

Within its Electronic Document and Records Management System (EDRMS) initiative, using SharePoint 2013 out-of-the box, the Senate of Canada wishes to acquire a solution (or solutions) in order to manage in an efficient manner the following important components: (1) Access Permission Control; (2) Records Management Reporting; and (3) Email Integration.

The Senate is looking for Off-the-Shelf product or products with minimal customization required, which provide a user-friendly interface. The suppliers can provide a solution for any or all of the above components.

\* For further details, please refer to the Statement of Requirement attached as **Appendix "A"** of this document.

### SENATE INFORMATION

**Deliver to:**

The Senate of Canada  
Finance Directorate  
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Ottawa, Ontario  
K1A 0A4

Fax number: 613-947-1943

Or by e-mail

[marco.pelchat@sen.parl.gc.ca](mailto:marco.pelchat@sen.parl.gc.ca)

**PLEASE MARK ALL ENVELOPES WITH THE RFI NUMBER INDICATED ABOVE**

**Contact:**

**Marco Pelchat**

**Telephone no:**

**613-415-9129**

**For further information in regard to the statement of requirement in this RFI please contact:**

**Marco Pelchat  
Contracting Officer  
Finance Directorate**

**Telephone Number: 613-947-7417**

**E-mail address: [marco.pelchat@sen.parl.gc.ca](mailto:marco.pelchat@sen.parl.gc.ca) (preferable)**

**\*\*Please note that the questions have to be received no later than 4 days prior to the closing date\*\***



**SUPPLIER SIGNATURE BLOCK**

**PLEASE COMPLETE, SIGN AND RETURN ALL DOCUMENTS ENCLOSED WITH YOUR RESPONSE.**

**Name of Firm:** \_\_\_\_\_

**Authorized Signature:** \_\_\_\_\_

**Name:** \_\_\_\_\_

**Position Title:** \_\_\_\_\_

**E-mail Address:** \_\_\_\_\_

**Date:** \_\_\_\_\_ **Telephone no.** \_\_\_\_\_ **Fax:** \_\_\_\_\_

**R.F.I. no:** ...

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## APPENDIX “A” STATEMENT OF REQUIREMENT

### 1 Background

The Senate of Canada recognizes that information resources of business value (or business value information – BVI) are essential components of effective management across its Administration. It recognizes that the availability of high-quality, authoritative and reliable information to decision makers, through good information management (IM), supports the delivery of programs and services, thus enabling its Administration to be more responsive and accountable.

In that context, the Senate of Canada’s Information Services Directorate (ISD) is responsible for designing and implementing an IM Framework through which, among other elements, Senate Administration BVI is created, acquired, captured, managed and used as a strategic asset. The ISD is also accountable for implementing structures and IM tools to ensure the authenticity, reliability, accessibility, retrievability and longevity of institutional information. Essentially the IM Framework is delivered through an Electronic Document and Records Management System (EDRMS) which is defined as an automated system used to manage, protect and preserve BVI from creation to disposition. The EDRMS maintains appropriate contextual information (core and specific metadata) and enables the Senate Administration to access, use and dispose of BVI (i.e., their destruction or transfer to archives) in a managed, systematic and auditable way in order to ensure accountability, transparency and meet the organization business objectives.

#### 1.1 EDRMS Goal and Objectives

The goal of the EDRMS is to implement records management (RM) as transparently as possible and to provide document management functionality through technology to add value to business owners.

The business objective of the EDRMS is to provide tools to the organization to manage information according to the *Information Management Policy*, as well as to facilitate collaboration among information users.

#### 1.2 EDRMS Architecture Platform

In the past few years, the Senate of Canada has invested in Microsoft SharePoint as a platform. A number of applications have been developed using SharePoint, most notably IntraSen, the Senate of Canada’s intranet, was developed using Microsoft SharePoint 2007. Though the Senate currently has a number of initiatives in production in SharePoint 2010, the EDRMS is to be implemented using out-of-the-box SharePoint 2013 functionality as much as possible. This will help to ensure smooth upgrades, and a continued high level of integration with the Microsoft Office suite. A further objective is to ensure smooth integration with the Senate’s technological infrastructure.

##### Information Architecture (IA)

The Function-Based Classification System (FBCS) is a core component of the EDRMS. The FBCS defines the organization of the Activity Sites, the Records Centre and the Archive Centre.

The following roles have been identified for the EDRMS:

- EDRMS Administrator (IM and IT staff)
- Site Custodians (managers responsible for their respective activity site(s))
- Members (employees who have read / write permission to information in activity site(s) for which they have access)
- Visitors (employees who have read access permission to information in activity site(s) for which they have access)

To implement transparent RM, and to minimize the burden on business users to manage records, the Senate has adopted the following IA model: in Activity Sites, business users will declare a record by tagging a document as ‘final’ or ‘complete’. This causes it to be declared an In-place Record. It continues to be available to business users, but cannot be altered. The record will automatically move to the Records Centre after a defined period of time (e.g., 2 years). The record resides in the Records Centre for the semi-active period (e.g., 3 years). At the end of that period, the Site Custodian will review and approve disposition (destruction or archiving). Content to be archived moves automatically to the Archive Centre, where it is stored according to its FBCS and security classification.

Several types of sites have been identified for the EDRMS:

- Directorate Sites will provide a non-BVI sharing area for directorates
- Activity Sites will enable creation and management of BVI within business functions
- Records Centre will manage semi-active records to disposition.
- Archive Centre will manage archival records.

Because the EDRMS is configured to mirror the FBCS in Activity Sites, records classification is taking place as content is created by users. Metadata tagging is mostly automatic, based on activity site EDRMS location. Permissions are managed by EDRMS location. Information management policies are applied in each document library to manage retention and disposition. Physical records are managed by ICS 2 (ICS 2 stands for Information Classification System, version 2, and is also a SharePoint site), with a custom label-generating function added. Since the essential RM functions are handled by SharePoint, third-party RM solutions, such as LiveLink from OpenText, and GimmelSoft, are not necessary.

## 2 Context

Though SharePoint 2013 OOTB offers great features for an EDRMS solution, it has its limitation in the following 3 areas:

- Access permission control;
- Records Management reporting; and
- Email integration.

It is in this context that the Senate of Canada wishes to acquire a solution (or solutions) in order to manage in an efficient manner these three important components. The Senate is looking for Off-the-Shelf product or products with minimal customization required, which provide a user-friendly interface. The suppliers can provide a solution for any or all of the above components.

### 2.1 Access Permission Control

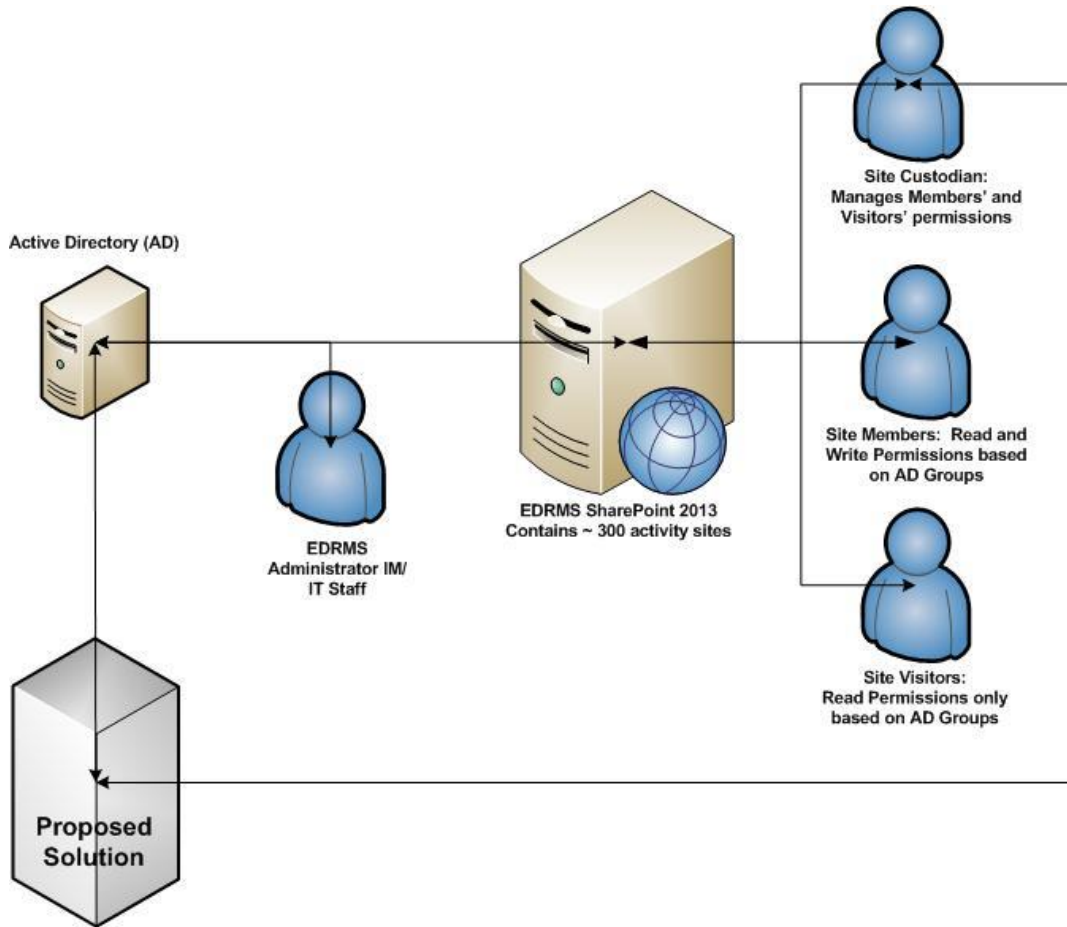
The EDRMS team has defined permissions for all FBCS activities. Permissions define who can access documents, who can edit documents, and who has stewardship responsibility for the documents. These are defined in the Security Model tables for each FBCS function.

The intention is to use Active Directory (AD) groups added to SharePoint permission groups. The current access permission control methodology takes the three (3) default SharePoint Groups (i.e. Visitors, Members and Owners) and assigns an AD group to each one of them. Then users are added and removed as needed from the AD groups to control access to the SharePoint sites. Once the SharePoint AD groups are established, the EDRMS team will delegate authority to EDRMS Site Custodians to add or remove users in AD groups within their SharePoint groups. This will allow rapid response to permission change requests. This is in accordance with SharePoint best practices. ISD Network Services will create AD groups and the EDRMS Site Custodians will manage SharePoint permissions by managing users within the AD groups.

One of the drawbacks of using AD groups is that it is difficult to know who is in the group. In the EDRMS, this is to be addressed by providing a customized display that lists the members in each AD group added to SharePoint security groups in a site.

The following diagram provides a high level overview of the core components needed to manage access permission control for the EDRMS solution. Suppliers are encouraged to add / remove any additional components and /or interconnections required to achieve the ideal solution that will meet the business and security requirements listed in this RFI.

**Diagram 1**  
**EDRMS High Level Core Components Overview of Access Permission Control**



Questions/ Answers	Please provide as much detail as possible in the allocated spaces below for each question. If your solution has additional features that may be of interest, feel free to describe them.
Q1	Describe how your solution will allow site custodians to manage permissions within AD groups that have been added to SharePoint groups in their Activity Site, including adding users and removing users. The Site Custodian should be able to make changes only to AD groups that have been added to their site.
A1	
Q2	<u>Security Logging</u> : Does your solution log changes relevant to access control permissions and delegation at the Site Custodian level? If so, what details are captured (e.g. who performed the change, what was changed, day / time of change, etc.)
Q3	
Q4	What type of connection / permission does your solution need to Active Directory and / or SharePoint? Please describe this in detail through the use of a network diagram.
A4	
Q5	Describe how your solution will log all unauthorized attempts to access EDRMS or any of its sites.
A5	
Q6	Does your solution provide any real time automated email notification to site administrators triggered by failed access attempts or other relevant security events? If so, please describe how this is accomplished and what options are available.
A6	
Q7	Does your solution have logging capabilities to capture relevant changes to the security configurations of your solution? For example, any modifications to predefined “roles” that govern what tasks assigned users can perform within the solution. If so, list what events are captured and what associated information is recorded.



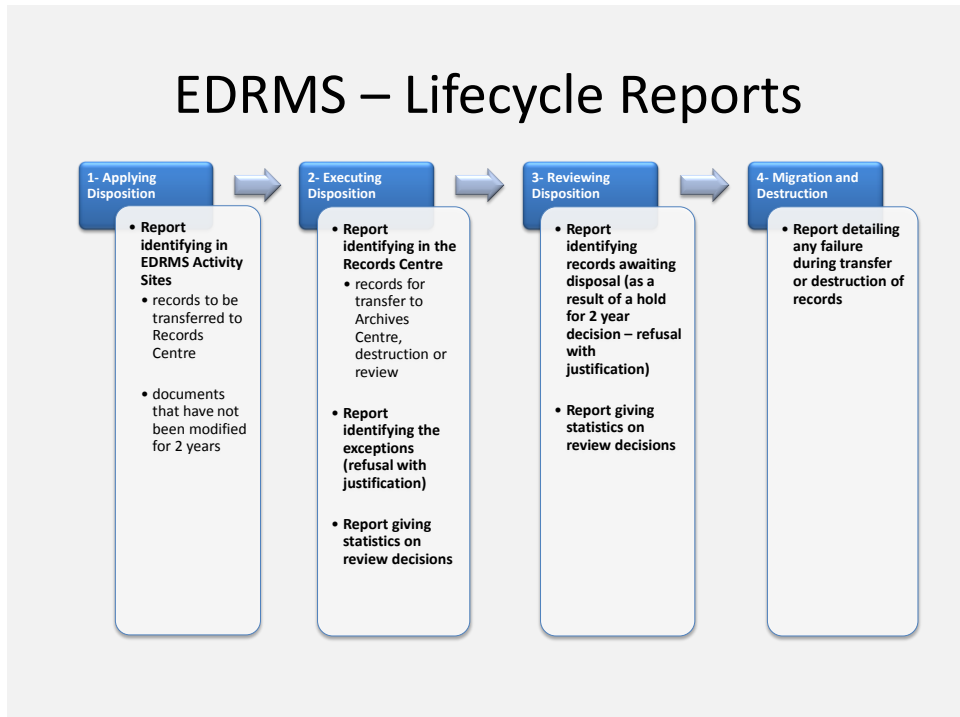
A7	
Q8	One of the EDRMS requirements is the ability for Site Custodians and EDRMS Administrators to generate reports on site permissions, for example who has access to a particular site. Does your solution have the ability to manually and/or automatically generate meaningful and granular permission reports on site permissions within the EDRMS solution? If so, please provide as much detail as possible of what can be displayed in these reports.
A8	
Q9	<u>Operational Auditing</u> : Does your solution have logging capabilities to capture changes to the permission changes at the Site Member and Site Visitor permissions levels made by Site Custodians? If so, what details are captured (e.g. who performed the change, day / time of change, previous and new level of access for a user, etc.).
A9	
Q10	Does your solution support the function of exporting logs to industry standard file formats? If so, please list file formats (e.g. CSV, HTML, PDF, etc.)
A10	
Q11	Does your solution provide or support the storage of internal log files in a tamper resistant storage container (i.e., logs cannot be altered)? If so, how is this achieved?
A11	

**2.2 Records Management Reporting**

This section articulates basic reporting requirements on lifecycle management of records residing in activity sites and the Records Centre. The Senate is seeking a solution that can be added to SharePoint 2013 and configured and managed by Senate staff.

The following diagram identifies, in a step-based approach, the various lifecycle reports to be generated to documents and records residing in either activity sites or Records Centre.

**Diagram 2  
EDRMS Lifecycle Reports**





### 2.2.1 EDRMS Administrator (IM staff)

This section articulates basic reporting requirements for the EDRMS Administrator. It does not articulate the requirements for a comprehensive reporting system. The solution must provide reporting by Activity Site (across multiple document libraries), and within the Records Centre (across multiple libraries). Ideally, the solution will also provide the ability for approved users to interact with a report to record decisions with respect to retention and disposition.

Questions/ Answers	Please provide as much detail as possible in the allocated spaces below for each question. If your solution has additional features that may be of interest, feel free to describe them.
Q12	Describe how your solution will permit selection of actions to be monitored and report on those actions across multiple document libraries (for example declaration, modification, deletion, re-location); the user undertaking the action; and the date and time of the action.
A12	
Q13	Describe how your solution will report the date and time of change made to any metadata associated with a document library.
A13	
Q14	Describe how your solution would support the review of retention and disposition within site document libraries, which provide the disposal schedules.
A14	
Q15	Describe how your solution will report any change to any IM Policy (RDS) applied on document libraries in Activity Sites and in the Records Centre.
A15	
Q16	Describe how your solution will report creation, modification or deletion of a user or group.
A16	
Q17	Describe how your solution will report the outcome of the destruction process that lists, for each document library, records successfully destroyed.
A17	
Q18	Describe how your solution will report the outcome of the transfer to Archives Centre process, for each document library (reporting successes and any failures).
A18	
Q19	Describe how your solution will report any disposition review actions carried out by custodians.
A19	
Q20	Describe how your solution will ensure that audit trail data cannot be modified in any way, or any part of the data be deleted by anyone, including the EDRMS Administrator.
A20	

### 2.2.2 Site Custodians

This section articulates basic reporting requirements for Site Custodians. It does not articulate the requirements for a comprehensive reporting system. The solution must provide reporting by Activity Site (across multiple document libraries), and within the Records Centre (across multiple libraries). Ideally, the solution will also provide the ability for approved users to interact with a report to record decisions with respect to retention and disposition.

Questions/ Answers	Please provide as much detail as possible in the allocated spaces below for each question. If your solution has additional features that may be of interest, feel free to describe them.
Q21	Describe how your solution will generate a report by activity site of all records that have reached end of active retention period (with a notice that records will move to Records Centre in one month)
A21	
Q22	Describe how your solution will generate report on records located in Records Centre due for destruction and archive and provide the ability for Site Custodians to approve disposition of each item, or change retention period, with justification note.
A22	
Q23	Describe how your solution will generate a report for an activity site of documents (transitory documents) that have not been modified for more than 2 years. Preferably the report should break down the list by document library within the site, and the report should be sent annually.
A23	



### 2.3 Email Integration

It is expected that users will manage email records in the EDRMS. This ensures that all relevant records for a business activity can be found together (including emails). It is important that email be stored in the .MSG format, so that it remains fully integrated with Outlook.

Questions/ Answers	Please provide as much detail as possible in the allocated spaces below for each question. If your solution has additional features that may be of interest, feel free to describe them.
Q24	Describe how your solution will allow users to easily save email messages to the EDRMS. They should have the option to save with attachments or to separate email and attachments. Email-specific metadata such as Sent Date, Received Date, To, From, and Subject metadata should be captured with the email.
A24	

## 3 Licensing Model

The suppliers should provide a description of their licensing model including annual support and maintenance requirements.

## 4 Ownership of Intellectual and Other Property Including Copyrights

Documents and information (“work”) produced by the suppliers in the performance of this contract as well as the copyrights in and to the work, shall vest in and remain the property of the Senate of Canada.

Work shall be marked with the following copyright notice: © Senate of Canada (year)

## 5 Language

The suppliers must ensure that solution(s) is(are) available in both official languages (English and French).