



RETURN BIDS TO:

RETOURNER LES SOUMISSIONS À:

**Bid Receiving - PWGSC / Réception des
soumissions - TPSGC**

Place du Portage, Phase III

Core 0B2 / Noyau 0B2

11 Laurier St.,/11, rue Laurier

Gatineau

Québec

K1A 0S5

Bid Fax: (819) 997-9776

LETTER OF INTEREST

LETTRE D'INTÉRÊT

Comments - Commentaires

Vendor/Firm Name and Address

Raison sociale et adresse du

fournisseur/de l'entrepreneur

Issuing Office - Bureau de distribution

**Shared Systems Division (XL)/Division des systèmes
partagés (XL)**

Terrasses de la Chaudière

4th Floor, 10 Wellington Street

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Gatineau

Québec

K1A 0S5

Title - Sujet ATIP Processing Software Solution	
Solicitation No. - N° de l'invitation 24062-180627/C	Date 2019-08-20
Client Reference No. - N° de référence du client 24062-180627	GETS Ref. No. - N° de réf. de SEAG PW-\$\$XL-138-36728
File No. - N° de dossier 138xl.24062-180627	CCC No./N° CCC - FMS No./N° VME
Solicitation Closes - L'invitation prend fin at - à 02:00 PM on - le 2019-09-16	
Time Zone Fuseau horaire Eastern Daylight Saving Time EDT	
F.O.B. - F.A.B. Plant-Usine: <input type="checkbox"/> Destination: <input type="checkbox"/> Other-Autre: <input type="checkbox"/>	
Address Enquiries to: - Adresser toutes questions à: Gauthier, Julie	Buyer Id - Id de l'acheteur 138xl
Telephone No. - N° de téléphone () - ()	FAX No. - N° de FAX () -
Destination - of Goods, Services, and Construction: Destination - des biens, services et construction: TREASURY BOARD OF CANADA, SECRETARIAT 90 ELGIN STREET OTTAWA Ontario K1A0R5 Canada	

Instructions: See Herein

Instructions: Voir aux présentes

Delivery Required - Livraison exigée See Herein	Delivery Offered - Livraison proposée
Vendor/Firm Name and Address Raison sociale et adresse du fournisseur/de l'entrepreneur	
Telephone No. - N° de téléphone Facsimile No. - N° de télécopieur	
Name and title of person authorized to sign on behalf of Vendor/Firm (type or print) Nom et titre de la personne autorisée à signer au nom du fournisseur/ de l'entrepreneur (taper ou écrire en caractères d'imprimerie)	
Signature	Date

REQUEST FOR INFORMATION

Access to Information and Privacy (ATIP)

Request Processing Software Solution (RPSS)

For the Government of Canada

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1. BACKGROUND AND SCOPE

Public Services and Procurement Canada (PSPC), on behalf of the Government of Canada (GC) is considering issuing a multi-departmental competitive procurement process which may include Canadian Provincial and Territories Clients. This competitive process may establish a pool of qualified Bidders for Commercial off-the Shelf (COTS) Request Processing Software Solutions (RPSS – to be referred to as “Solution(s)”) for the delivery of its Access to Information and Privacy (ATIP) services. This is a key initiative that is aligned with revitalizing access to information and Canada's 2018-2020 National Action Plan on Open Government.

The GC may include Professional Services in an RFP for RPSS or the GC may decide to use a separate method of supply for each of the following:

- Implementation, integration and migration services to integrate the selected Solutions into the GC environment;
- Business analysis and configuration services, to establish and maintain common configuration of the Solutions for use by all GC institutions; and
- Onboarding services to assist individual GC institutions in transitioning to a Solution, including any additional setup, configuration, integration, training and change management work required.

1.1 Delivery Model:

Bidders must meet the Mandatory criteria in the respective stream they submit a Bid for. Bidders can submit a Bid to one, two or all three streams.

A pool of pre-qualified Bidders will then create a source list per stream.

PSPC will then issue secondary competitive procurements for each GC institution's RPSS requirement among the source list for the respective stream. The basis of selection will be determined based on a combination of highest point-rated technical score and financial score based on weightings to be provided with the secondary RFP solicitation.

The GC is not restricted from establishing other methods of supply if required. Canada reserves the right to name a resulting supplier as a departmental or enterprise standard. The evolution of the scope is expected to evolve over time and will still be considered to be in scope. The duration of any contract does not indicate the duration of the use of the solution by Canada. Canada will use as long as it makes business sense for Canada.

1.2 Three Streams of Functionality:

The three streams of functionality are Gold, Platinum and Diamond and are described below.

- (i) Gold – Stream 1: The minimum technical requirements that enables GC Institutions to deliver core ATIP services in compliancy with legislation, policies and directives.
- (ii) Platinum – Stream 2: Provides additional functionality and / or more precision to requirements in the Gold solution.
- (iii) Diamond – Stream 3: Provides additional functionality and / or more precision to requirements identified in the Platinum solution. A feature-rich solution that supports GC institutions with advanced levels of automation, system integration and specialized functionality to deliver ATIP services.

2. OBJECTIVES

The GC is soliciting interest and recommendations from the Industry to address inefficiencies in service delivery and offer one or more Solutions under three streams of functionality that can deliver goods and services affordably to varying sizes of GC Institutions which operate under varying business volumes.

The implementation of the Solution(s) is intended to yield four broad outcomes for the GC:

- Enhance the transparency and accountability of government;
- Improve service levels for the public;
- Generate efficiencies in service delivery through request management automation; and,
- Improve the capacity of GC institutions to respond to the rapidly-growing volume of requests.

GC Institutions will access the Solution(s) in one of several ways:

- GC institutions may install the RPSS on Cloud network providing users with secure remote access (bring your own license);
- GC institutions may install the RPSS on the institution network(s) and infrastructure providing users with secure remote access; and
- In cases GC institutions have a higher security requirement for the processing of information, the RPSS will be installed on GC institution specific security accredited infrastructure.

This RFI is also issued to solicit interest from the Industry to assist the GC in:

- (1) defining the requirements for modernizing the RPSS for GC institutions subject to the *Access to Information Act* and *Privacy Act* as set forth in Schedule 1 of the respective acts, and
- (2) to assist the GC in assessing the capabilities of the Industry to deliver RPSS's with various levels of functionality and compete amongst other solutions offered by qualified Bidders within the same stream of functionality.

Bidders will be invited to submit their proposals to one, two or all three streams herein. To qualify for one or more streams of functionality, Bidders will be required to meet all of the mandatory requirements of the stream(s) they want to bid on. Up to three Bidders per stream may be chosen based on their capabilities to satisfy the mandatory requirements.

3. NATURE OF REQUEST FOR INFORMATION

This is not a bid solicitation. This RFI will not result in the award of any contract. As a result, potential Bidders of any goods or services described in this RFI should not reserve stock or facilities, nor allocate resources, as a result of any information contained in this RFI. Nor will this RFI result in the creation of any source list. Therefore, whether or not any potential Bidders responds to this RFI will not preclude that Bidder from participating in any future procurement. Also, the procurement of any of the goods and services described in this RFI will not necessarily follow this RFI. This RFI is simply intended to solicit feedback from industry with respect to the matters described in this RFI.

4. RPSS REQUIREMENTS

Each proposed RPSS is required to:

- 1) streamline access to information and personal information requests;
- 2) offer participating institutions a common Service Platform comprised of a range of functionality including but not limited to: case management, document management, litigation and complaints management, fees and costing management, document imaging, reporting and collaborative functionality; and
- 3) provide GC institutions (approximately 265), with the opportunity to leverage a RPSS to process, manage and respond to access to information and personal information requests from the public.

Please see Appendix A to this RFI for the specific mandatory functional requirements per each stream as well as the projected Point Rated of functionality: Gold, Platinum and Diamond.

5. NATURE AND FORMAT OF RESPONSES REQUESTED

Respondents are requested to provide their comments, concerns and, where applicable, alternative recommendations regarding how the requirements or objectives described in this RFI could be satisfied. Respondents are also invited to provide comments regarding the content, format and/or organization of any draft documents included in this RFI. Respondents should explain any assumptions they make in their responses.

6. RESPONSE COSTS

The GC will not reimburse any respondent for expenses incurred in responding to this RFI.

7. TREATMENT OF RESPONSES

- a) **Use of Responses:** Responses will not be formally evaluated. However, the responses received may be used by the GC to develop or modify procurement strategies or any draft documents contained in this RFI. The GC will review all responses received by the RFI closing date. The GC may, in its discretion, review responses received after the RFI closing date.
- b) **Review Team:** A review team composed of representatives of the client (where applicable) and PSPC will review the responses. The GC reserves the right to hire any independent consultant, or use any Government resources that it considers necessary to review any response. Not all members of the review team will necessarily review all responses.
- c) **Confidentiality:** Respondents should mark any portions of their response that they consider proprietary or confidential. The GC will handle the responses in accordance with the *Access to Information Act*.
- d) **Industry Day or a One-on-One Session:** Canada may host an Industry Day or may hold a One-on-One session with respondents (date and address will follow). The purpose will be to:
 - Engage industry;
 - Present relevant information regarding the project; and
 - Accept questions, comments and other feedback from participants.

All interested participants are asked to register to receive the invitation for an Industry Day or a One-on-One Session in the event Canada holds an Industry Day or One-on-One Sessions. Note that there is no requirement to register for Industry Day or a One-on-One Session to be eligible to participate in subsequent activities in the project and procurement process.

Respondents interested in participating in an Industry Day or One-on-One Session should submit an e-mail to the Contracting Authority, as identified in Section 10 of this document, requesting that they be registered. All registration requests received within fourteen (14) calendar days of the publication of this RFI will be added to the invitation list. Requests received after that time may not be considered.

- e) Follow-up Activity:** The GC may meet with each respondent upon request (one-on-one meeting). Following the closing date, the Contracting Authority will follow up individually with all respondents who indicate in their responses that they wish to meet with the GC.

Documentation or any other information of the proposed solution or tool suite are welcome.

8. QUESTIONS TO INDUSTRY

RPSS Requirements	
Q-1	Please demonstrate your RPSS ATIP process workflow.
Q-2	Which stream or streams of functionality does your proposed solution fall under? (Gold, Platinum and/or Diamond) See Appendix A for full description of each stream.
Q-3	Which of the GC's requirements (mandatory and rated), attached in <u>Appendix A</u> , cannot be met by the COTS product offered by your company?
Q-4	At a high level, please describe your company's vision for the future of ATIP request processing software. (e.g. user mobility, user devices, virtualization and hosting architectures, integrated workflows, artificial intelligence, reductions in the use of paper documents, etc.).
RPSS Delivery Model	
Q-5	What factors would you recommend the GC consider in order to achieve the objectives of its proposed RPSS Delivery Model? See section 1 – Background and Scope for description of the Delivery Model.
With respect to the three proposed Scenarios below, please respond to the Scenario(s) your proposed solution would fall under.	
Q-6	Scenario 1: Assuming your proposed solution fits the mandatory functional requirements for the Gold baseline stream of functionality, could your solution then offer "modules" for the Platinum and Diamond functionalities ("feature-rich") as add on modules and increase the price per license accordingly, for the GC institutions to add as and when required?

Q-7	Scenario 2: Assuming your proposed solution fits the mandatory functional requirements for the Platinum stream of functionality, could your solution then offer “modules” for the Diamond stream, and/or remove certain features to meet the Gold stream and increase/decrease the price per license accordingly, for the GC institutions to add/remove as and when required?
Q-8	Scenario 3: Assuming your proposed solution fits the mandatory functional requirements for the Diamond stream of functionality, could your solution then offer to remove “modules” and decrease the price per license accordingly for the GC institutions, as and when required?
Q-9	Please explain how your solution could best serve the GC institutions who have varying requirements and varying business volumes.
Q-10	What is your company's appetite for participating in this type of Delivery Model? (multi-Contractor, multi-solution, secondary competitive procurement process)
Q-11	What factors would you recommend the GC consider in order to achieve the objectives of its proposed RPSS Delivery Model?
RPSS Licensing/Provisioning	
Q-12	Describe how your solution will integrate with the GC ATIP Online Request Service. (https://atip-aiprp.tbs-sct.gc.ca/en/Home/Welcome or https://atip-aiprp.tbs-sct.gc.ca/fr/Accueil/Bienvenue)
Q-13	Describe how your company would approach a GC entity wide license per stream?
General	
Q-14	Does your company hold a valid security clearance with the Government of Canada, if so, at what level?
Q-15	Has your company ever passed a Supply Chain Integrity (SCI) process with the Federal Government of Canada?
Q-16	Users are located predominantly in the NCR but also within Regional Offices. Does your company offer Professional Services, including Training, configuration, installation, etc. across Canada? Please describe how you provide these services.
Q-17	Does your company have the capacity of implementing or providing the Professional Services itself or does your company rely on third-parties (external providers).

9. *FORMAT OF RESPONSES*

- a) **Cover Page:** If the response includes multiple volumes, respondents are requested to indicate on the front cover page of each volume the title of the response, the solicitation number, the volume number and the full legal name of the respondent.
- b) **Title Page:** The first page of each volume of the response, after the cover page, should be the title page, which should contain:
 - (i) the title of the respondent's response and the volume number;
 - (ii) the name and address of the respondent;
 - (iii) the name, address and telephone number of the respondent's contact;
 - (iv) the date; and
 - (v) the RFI number.
- c) **Numbering System:** Respondents are requested to prepare their response using a numbering system corresponding to the one in this RFI. All references to descriptive material, technical manuals and brochures included as part of the response should be referenced accordingly.

10. *ENQUIRIES*

Because this is not a bid solicitation, the GC will not necessarily respond to enquiries in writing or by circulating answers to all potential suppliers. However, respondents with questions regarding this RFI may direct their enquiries to:

Contracting Authority:	Julie Gauthier
E-mail Address:	Julie.Gauthier2@tpsgc-pwgsc.gc.ca

11. *ELECTRONIC SUBMISSION*

The GC requests that potential Respondents submit their response electronically by e-mail to the Contracting Authority identified above by the time and date indicated on page 1 of the RFI.

Each respondent should ensure that the company name, the RFI number and the closing date appear in the subject line of the e-mail message.

APPENDIX A

MANDATORY AND POINT-RATED EVALUATION CRITERIA

1. MANDATORY REQUIREMENTS

Bidders can choose to bid on Stream I, Stream II, Stream III or all three streams. In order to qualify in one or more stream of functionality, Bidders must meet all of the mandatory requirements identified per stream as well as the requirements for the lower(s) level of requirements. In order to qualify for the Diamond stream Bidders must meet all of the mandatory requirements for the Gold, the Platinum and the Diamond stream; and to qualify for the Platinum stream Bidders must meet all of the requirements for the Gold and Platinum streams.

1.1. STREAM I – GOLD MANDATORY REQUIREMENTS

Table 1.1 - Mandatory Requirements for Gold Stream – In order to qualify for Gold Stream, Bidders must meet all Mandatories for the Gold Stream, M1-M64 below.

Req. No.	Gold Stream Mandatory Requirements	Compliant		Bidder Response
		Yes	No	
Corporate Experience				
M1	<p>The Bidder must have a minimum of 3 years' experience in developing, and maintaining a web-based request processing software solution, which houses over 3,000 case files and supports at least one public sector client. The Bidder must provide the following details as to how the stated experience is met:</p> <ol style="list-style-type: none">1. Number of years the RPSS has been available;2. Number of request processing files the RPSS houses overall;3. Number of public sector clients that are supported by the RPSS.			
Turnkey Solution				
M2	<p>The Bidder must be able to demonstrate that the RPSS is a turnkey solution that supports the service delivery of ATIP requests. See Annex E for Conceptual View of the required RPSS</p>			

Intake and User Experience				
M3	The RPSS must allow a user to intake and capture all request related information independent of the method of submission.			
M4	The RPSS must receive the request related information for all of the requests that are submitted through the GC <i>ATIP Online Request Service</i> with limited manual intervention negating the need for a user to manually input the request data.			
Request Management				
M5	The RPSS must enable users to create, store, modify, transfer and put requests on hold. Institutions must also determine all of the required activities (or actions) and be able to capture, modify and track all of the information required for the completion of their requests.			
M6	The RPSS must be able to create and label requests with types (e.g. access to information requests, privacy requests, privacy review, copyright review, privacy impact assessments, etc.).			
M7	The RPSS must provide GC institutions with the functionality to capture: <ul style="list-style-type: none"> a) information such as the case number; b) any Section of the Acts applied to the digital records or paper copies, c) any disposition and consultation information, d) any exemptions and exclusions and any page count digitally or manually processed (on paper copies) e) and any extension taken gets captured in the request management component of the software. 			
M8	The RPSS must provide the capability for GC institutions to associate (cross-reference) requests with one-another.			
M9	Time extensions are to be applied in accordance with the governing legislation (<u>S.9</u> and <u>S.27</u> of the <i>ATI Act</i> , <u>S.15</u> of the <i>Privacy Act</i>). The RPSS must have the functionality to: <ul style="list-style-type: none"> a) select time extensions from a configurable list to be applied as needed to each request; and b) recalculate due dates when extensions are applied. 			

Information Management				
M10	The RPSS must provide GC institutions with the functionality to capture all of the data elements that appear in the Treasury Board Secretariat of Canada (TBS) annual statistical reports (current <u>TBS/STC 350-57</u> and <u>TBS/SCT 350-63</u>) including any subsequent revisions of.			
M11	<p>The RPSS must preserve and dispose of information in accordance with the GC Directive on Recordkeeping and in compliance with individual GC institution records keeping guidelines while providing GC institutions with the functionality to manage the retention and disposal of single or a series of requests with options;</p> <ol style="list-style-type: none"> 1. for disposing request-related data (images, case information and attachments); 2. for creating and retaining request tombstones while disposing of its information, or 3. for retaining the digital images while disposing of its information 			
M12	The RPSS must have the capability to access digital documents and import them in order to process ATIP requests. These digital documents can either be stored within the RPSS or stored in another repository such as GCDocs, MS SharePoint, Mikan, local or network drives, etc..			
Request Tasking / Activities management				
M13	<p>The RPSS must provide GC institutions with the functionality to:</p> <ul style="list-style-type: none"> - assign and reassign requests and its tasks/activities to internal and external contacts and; - add, assign, modify and delete activities as needed during the processing of a request. 			
M14	The RPSS must allow the users to easily visualize at glance the status for each of their requests and activities in live time.			
M15	The RPSS must allow users to easily visualize benchmarked information (e.g. workload, timelines, late, etc.) in live time.			

Document management

M16	The RPSS must be capable of importing records (i.e. single file, in mass/bulk), easily attach these records to the requests; and, conversely remove (i.e. single file, in mass/bulk) these records from the requests.			
M17	The RPSS must be capable of organizing (assembled in stacks or parts, disassemble and reassemble, delete, modify, paginate, un-paginate and repaginate) these imported records (M16).			
M18	The RPSS must have the functionality to process request documents by digitally inserting, moving or deleting these from a task/activity.			
M19	The RPSS must have the functionality to: <ul style="list-style-type: none"> a) easily review, redact (stamp, apply exemptions, exclusions or annotate); and b) release (export / publish / print) the electronic records. 			
M20	The RPSS must have the functionality to: <ul style="list-style-type: none"> a) bloc redact full pages; b) page ranges; c) paragraphs; d) lines; e) words or characters/digits; f) free-hand or polygon redacting; and g) insert annotations, watermarks and comments. 			
M21	The RPSS must have the functionality for version control. Functionality that identifies and tracks: <ul style="list-style-type: none"> a) the document revisions with the date and time the document was modified; b) the individual contact that made the last modification and what modifications were made to the digital records. c) recommendations from one subject matter expert to another or those made by the responsible contacts, team leads and managers. 			
M22	The RPSS must provide GC institutions with the options to apply or not the recommendations (changes) while retaining copies for each revision (original copy, working copies with revisions, the interim and final release version).			
M23	The RPSS must have the functionality to select colors from a color palette when redacting / watermarking.			

M24	The RPSS must have the functionality to produce a schedule (see Annex B) for consultation with the Privy Council Office (PCO Schedule) regarding the application of <u>S.69</u> of the <i>Access to Information Act</i> (see Chapter 13 of the Access to information Manual) and the application of <u>S.70</u> of the <i>Privacy Act</i> .			
M25	The RPSS must have the functionality to respond to a request for access to government records or personal information: 1- the options of printing these packages in paper format; 2- the option of securely exporting these packages in reusable digital format (.pdf, other) to be copied onto a physical storage media/device; and 3- the option of securely publishing these packages to be accessed by the requester through a secure online portal.			
M26	The RPSS must have the functionality to import nested email attachments into the software as separate searchable records.			
M27	The RPSS must have the functionality to import an Institutions respective departmental headers in order to be applied when generating correspondence letters.			
Contact Management				
M28	The RPSS must have the functionality to manage contacts such as to: a) create; b) search for; c) sort; d) modify; e) delete f) classify by types (i.e. internal, external, requester); g) classify by source (i.e. media, academic, public, etc.); h) assign roles as needed (i.e. user, administrator, power user etc.); i) associate to entities or business units; and j) associate with requests and activities.			
Collaboration				
M29	The RPSS must have the functionality to generate and track multiple consultation requests and packages. Consultation requests can either be created for internal (i.e. within the			

	organization) or external parties (i.e. other government institutions, third parties, etc.). These consultation requests often require the collaboration of one or more offices (internal and/or external) and require tracking.			
Search, Query and Reporting				
M30	<p>The RPSS must have the functionality to search for:</p> <ul style="list-style-type: none"> a) creating, storing and modifying one-time and reusable searches (ad-hoc); b) querying <u>the full set</u> of data (including contacts, system default and institution specific) stored within the application server(s); c) exporting the search results with the capability to organize; and d) custom reporting (e.g. applied exemptions / exclusions, special stamps or annotations applied to digital records). 			
M31	The RPSS must have the functionality to perform request, document and word searches.			
M32	The RPSS must have Optical Character Recognition (OCR) functionality for quick and reliable searches within the digital records to locate and highlight words or a combination of characters.			
M33	The RPSS must have the functionality to generate standard reports that use filters, (see list in Annex B) and from the results create new reports that can easily be exported in a format that can handle data manipulation (e.g. xls) or printed.			
Auditing				
M34	The RPSS must have the functionality to generate and export event and session logs (audit logs).			
M35	The RPSS must generate logs that can be archived in their original and unaltered format (in order to prevent log data alteration).			
M36	The RPSS must have the functionality to track all system activities (i.e. access, date/time, detail description, etc.) for audit purposes.			
Correspondence Management				
M37	<p>The RPSS must have the functionality to:</p> <ul style="list-style-type: none"> a) generate electronic messages to correspond with the requester or any stakeholder (contact) that may be required to take part in the processing and 			

	<p>completion of the request, or with the user responsible for the request.</p> <p>b) append (attach) correspondences to the request and its related activities (actions); and</p> <p>c) remove the electronic messages from the request and its related activities (actions).</p>			
M38	The RPSS must have the functionality to automatically attach software generated correspondence letters to a request or a request activity without the need to manually import these back into the software once generated.			
M39	The RPSS must have the functionality to flag the requester's preferred language (French or English) of communication in order to automatically generate correspondence in their language of choice, as well as the requester's preferred method for corresponding that will generate correspondences using this selected method.			
M40	The RPSS must have the functionality to generate a written explanation for responses to requests that take longer than a specified period of time to complete, with the ability to enter the number of days extended pursuant to each paragraph of <u>S.9</u> of the <i>Access to Information Act</i> and subparagraph <u>S.15</u> of the <i>Privacy Act</i> (Search, Third Party Notification, Consultation and Translation) and a detailed explanation.			
M41	The RPSS must have the functionality to generate correspondence letters that displays institution specific header.			

Fees Management				
M42	<p>The RPSS must have the functionality to:</p> <ul style="list-style-type: none"> a) process fees, refunds or waivers applied to a request b) auto-calculating amounts with fee balances; c) generate invoices and appended these to the request; d) report on financial transactions applied to requests; and e) support the configuration of fixed fees per unit for the types of services that institutions may offer. 			
Litigation Management				
M43	The RPSS must the functionality to manage Complaints following the processing of requests. (see <u>S.30</u> of the <i>Access to Information Act</i> and <u>S.29</u> of the <i>Privacy Act</i>).			
M44	The RPSS must have the functionality to track correction (see <u>S.12</u> of the <i>Privacy Act</i>) activities that are identified in a ruling following either a formal Complaint on the request or the Federal Court review.			
M45	The RPSS must have the functionality to track investigation activities (see <u>S.32</u> of the <i>Access to Information Act</i> and <u>S.31</u> of the <i>Privacy Act</i>) by oversight bodies (OIC and OPC) that result from a formal complaint submitted about the request.			
M46	The RPSS must have the functionality to track activities in response to Federal Court Review actions (see <u>S.41</u> of the <i>Access to Information Act</i> and of the <i>Privacy Act</i>).			
Time Management				
M47	The RPSS must have the functionality to configure the applicable calendar (GC working days or standard calendar days) and to configure for each request type and action/activity the number of days allowed for their completion.			
M48	The RPSS must have the functionality to complete and respond to each request in the timeline that has been configured as per M47 requirement by auto-calculating due dates for each request and action/activity, including the recalculation of due dates when Extensions are applied (M9).			
M49	The RPSS must have the functionality to complete and respond to each request in the timeline that has been configure as per M47 requirement by recalculating the			

	requests due date when reactivating request activities that were put <i>on hold</i> .			
Application Security				
M50	The RPSS must have the functionality to: <ul style="list-style-type: none"> a) produce secure, redacted electronic files ready for release that cannot be un-redacted; and b) ensure that sensitive information that cannot be disclosed is secured in transit as well as at rest. 			
M51	The RPSS must enable Superusers with the ability to manage software configurations as detailed in General Administration functionality under Section 2.			
Integration				
M52	The RPSS must support a wide range of Application Programming Interfaces (APIs) for integration with GC applications and tools.			
M53	The RPSS must have the functionality to print to any local or networked printer (including label and multi-function).			
System				
M54	The RPSS must have the functionality to process requests for access to government records and personal information and deploy on single or multi-domain network environments, hosted within a GC data center.			
M55	The RPSS must have the functionality to process requests for access to government records and personal information to operate on standard server components and specifications as detailed in Annex F.			
M56	The RPSS must have the functionality to process requests for access to government records and personal information to operate on standard desktop, laptop and Tablet components and specifications as detailed in Annex F			
Language				
M57	The RPSS must be able to support the processing of requests for access to government records and personal information by providing the user with the option of using the software in either of Canada's official languages (French and English) while accurately retrieving documents written using both languages.			

M58	The RPSS must provide GC institutions with the functionality to hold, manage and recognize information content in both official languages, using standard character sets.		
Security			
M59	The RPSS must support controlled access (2 form user authentication).		
M60	The RPSS must have the functionality to create, modify and deactivate user accounts. These accounts are to be created and assigned access rights and privileges by select users with applicable rights.		
M61	The RPSS must have the functionality to secure information at the software, request and document levels.		
M62	<p>The RPSS must have the functionality to manage roles and responsibilities;</p> <ul style="list-style-type: none"> - who can access what; - who can see what; and - who can create, modify or delete what within the system. <p>E.g., If granted access to a consultation package it does not give access to the entirety of the request documents whereas users can only see files or pages that they have been given permission to access.</p>		
Architecture Requirements			
M63	The architecture of each RPSS must be aligned with the Government of Canada Strategic Plan for Information Management and Information Technology 2017 to 2021 (https://www.canada.ca/en/treasury-board-secretariat/services/information-technology/strategic-plan-2017-2021.html)		

M64	<p>Each RPSS must be compliant with and be based on Treasury Board Secretariat standards, international standards, national technical regulations or recognized national standards, including, but not limited to:</p> <ol style="list-style-type: none"> 1. Simple Object Access Protocol (SOAP), version 1.2 as a minimum; 2. Web Services for Remote Portlets (WSRP), version 2.0 as a minimum; 3. Universal Description, Discovery and Integration (UDDI), version 3.0 as a minimum; 4. HyperText Transfer Protocol (HTTP), version 2.0 as a minimum; 5. Web Services Description Language (WSDL), version 2.0 as a minimum; 6. HyperText Markup Language (HTML), version 5.2 as a minimum; 7. Wireless Markup Language (WML), version 1.3 as a minimum; 8. Extensible Markup Language (XML), version 1.0 as a minimum; 9. Lightweight Directory Access Protocol (LDAP), version 3 as a minimum; 10. OWASP Top 10 Most Critical Web Application Security Risks 2017; 11. Representational State Transfer (REST); 12. JavaScript Object Notation (JSON). 		
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1.2 STREAM II – PLATINUM MANDATORY REQUIREMENTS

Table 1.2 Mandatory Requirements for Platinum stream – In order to qualify for Platinum Stream, Bidders must meet all Mandatories for the Gold Stream, M1-M64 above, as well as meet all the additional Mandatory Criteria M65 to M90 below for Platinum Stream.

Req No	Platinum Mandatory Requirements	Compliant YesNo		Bidder Response
Request Tasking / Activities Management				
M65	The RPSS must have the functionality to manage their activities within the RPSS by creating, modifying and deleting groups of activities (action groups) and activity items.			
Document Management				
M66	The RPSS must have the functionality for “drag and drop” of documents <u>into requests</u> .			
M67	The RPSS must have the functionality for “drag and drop” of documents <u>into the request tasks/actions</u> .			
Contact Management				
M68	The RPSS must have the functionality to prevent duplicating contact information within the RPSS.			
Collaboration				
M69	The RPSS must have the functionality for: 1. reviewing (edit / highlight / redact / comment) digital documents through a shared collaboration portal / module / component; and 2. simultaneous reviewing by more than one reviewing officer <u>without the need for exporting and importing the documents back into the Software</u> .			

Search, Query and Reporting				
M70	The RPSS must have the functionality to add, edit or delete searchable flags, as well as to search for requests based on these flags for quick retrieval of these flagged requests.			
M71	The RPSS must have the functionality to generate monthly reports which can be customized, saved for re-use, exported, printed or published to a GC Web portal (currently Open.Canada.ca).			
M72	The RPSS must have the functionality to identify requests and actions that are close to, at or passed due dates.			
M73	The RPSS must have the functionality to search across multiple requests and/or documents.			
M74	<p>The RPSS must have the functionality to use filters, such as but not limited to;</p> <ul style="list-style-type: none"> - predefined and custom date ranges; - and request types for querying the RPSS; and - retrieving all of the requests that are ready for disposal. 			
Correspondence Management				
M75	The RPSS must have the functionality to create software-generated correspondence emails as well as GC institution specific template documents (in .doc and .docx formats) that can autofill using data provided by the RPSS.			
Alerts				
M76	The RPSS must have the functionality to configure business rules with built-in validation to trigger alerts/notifications when these rules are not followed (see Section 4).			
Pattern Recognition and Machine Learning				
M77	The RPSS must have the functionality to prevent GC institutions from disposing of requests with specific tags (such as but not limited to active complaints, active court cases, legislated holds, cross-referenced or the last administrative action on the request is less than 731 days). These requests will be automatically flagged for retention until these tags are removed.			

M78	The RPSS must have the functionality to create, modify, and delete requests and to form templates (such as Cabinet Confidence exclusions) which can pre-populate data fields.			
M79	The RPSS must have the functionality to configure business rules that auto-generate email request acknowledgments, reminders, and notices relevant to request workflows. See business rules identified in Section 5.			
M80	<p>The RPSS must include business rules when closing a request that will auto-populate the disposition type (see Section 5.) in cases when:</p> <ol style="list-style-type: none"> 1. part of a document or a page has no exemptions or exclusions (all disclosed); 2. when a document or a page includes some redacting (disclosed in part); or 3. when a document or a page is completely withheld (all exempted). <p>When information on a page is severed in part or in full, the RPSS must automatically identify the applicable types of disposition. See examples in Section 5.</p>			
Workflow Management				
M81	The RPSS must have the functionality to configure business rules to support workflow automation.			
Application Security				
M82	The RPSS must have the functionality to share digital content with consultees while limiting access to these documents to selected consultees.			
M83	The RPSS must have the functionality to lock the requests with a closed status from being reopened and modified by non-authorized users and allowing only those with proper access to complete such action (as it relates to M62).			

Functional Integration				
M84	The RPSS must have the functionality to navigate to outside repositories (i.e., Open Text Content Server, MS SharePoint, Mikan, local or network drives or tools, etc.) to retrieve documents.			
M85	The RPSS must seamlessly operate with all of its features using portable / mobile devices, such as: tablets or notebooks that incorporate tactile functionality where all features are fully functional and displayable in larger resolution environments. This includes landscape and portrait monitors.			
M86	The RPSS must have the functionality to securely transfer data and synchronize information (request tracking data, contact data, response content, redaction processing statistics, etc.) between different security level environments (e.g., from Secret to Protected).			
Performance				
M87	The RPSS must have the functionality to process each request without incurring slow system response time, system interruptions or failures, and without reaching system limitations.			
M88	The RPSS must have large number system users with the functionality to process requests during their working hours without incurring slow system related response time, system interruptions or failures, and without reaching system limitations.			
Security				
M89	The RPSS must have the functionality to create User Security Groups which can be configured to grant or limit access rights for all of the RPSS functionality. These security groups are to be created and assigned by the Superuser or by users that have been granted system administrative rights.			
M90	The RPSS must have the functionality to configure the access rights for activity logs (audit logs).			

1.3 STREAM III – DIAMOND MANDATORY REQUIREMENTS

Table 1.3 Mandatory Requirements for Diamond stream – In order to qualify for Diamond Stream, Bidders must meet all Mandatories for the Gold and Platinum Streams, M1-M90 above, as well as meet all the additional Mandatory Criteria M91 to M116 below for Diamond Stream.

Req No	Diamond Mandatory Requirements	Compliant Yes	No	Bidder Response
Correspondence Management				
M91	The RPSS must have the functionality to generate client contact labels that can print to any Windows driven label printer connected to client workstations.			
Intake and User Experience				
M92	The RPSS must have the functionality to intake and capture all request related information with the flexibility to customize the product to add, edit or remove request related fields as needed.			
M93	The RPSS must provide online User and Administrator Guides to GC institutions.			
M94	The RPSS must have a context-sensitive “Help” functionality where the featured topics are tailored to the particular function being performed at the moment that the help is activated. The “Help” feature must be associated with any data field displayed, such that for example the user may use a mouse-over, or other similar easy-to-access technique to display the help.			
Request Management				
M95	The RPSS must have the functionality to modify multiple requests and activities in a single action (ex. reassign, change type, change status, dates, add/remove activities etc.).			
M96	The RPSS must have the functionality to auto generate new requests using information from an existing request.			
M97	The RPSS must have the functionality to configure pre-set sequence of actions to be launched when initiating requests of different types.			

Information Management				
M98	The RPSS must have the functionality to manage information by configuring what is required and what is optional when capturing information within the RPSS.			
M99	The RPSS must have the functionality to configure lists of selections tailored for a groups of users or Business Units (BU). This enables the users or BUs to select the appropriate options without being presented with the complete list of items that may not be needed for their processing responsibilities.			
Document Management				
M100	The RPSS must have the functionality to display multiple images side by side on one screen, so users are able to compare documents or review two documents at the same time.			
Contact Management				
M101	The RPSS must have the functionality to delete multiple contacts (Batch processing) at once (e.g. contacts not associated with any requests or actions due to file disposition).			
M102	The RPSS must have the functionality to hide contacts from users based on access rights.			
Collaboration				
M103	The RPSS must have the functionality to collaborate through secure cloud computing in a deployment model that will either be public, private or hybrid.			
Search, Query and Reporting				
M104	The RPSS must have the functionality for a search and sever feature.			
M105	The RPSS must have the functionality to run searches where the results will be hyperlinked to their source location for quick access.			
Auditing				
M106	The RPSS must have the functionality to configure what information is to be captured in logs and; export these logs to the user-selected format (i.e., .txt, .xlsx, .pdf).			
M107	The RPSS must have the functionality to forward events and logs to a GC-managed centralized audit log system using standardized reporting interfaces, protocols, and data formats (e.g. Common Event Format (CEF), syslog, or other common log formats) and APIs that support log data remote retrieval (e.g. via a database interface using SQL, etc.).			

Alerts				
M108	The RPSS must have the functionality to configure business rules (such as request priorities, deadlines, near expiration or expiration of action due dates, etc.) that must auto-generate email alerts / reminders / notices relevant to request workflows.			
M109	The RPSS must have the functionality to configure secondary contacts that must also receive the alerts sent to the main contact that was assigned to the request or action.			
Metrics and Data Analysis				
M110	The RPSS must have the functionality for an integrated business analytics tool to enable users to develop dashboards that provide the status and performance metrics that are critical for request processing timeliness and efficiency.			
M111	The RPSS must have the functionality to identify and monitor usage trends (e.g. top 5 consulted institutions, top 5 exemptions invoked, etc.) to aid in trend analysis.			
Pattern Recognition and Machine Learning				
M112	The RPSS must have the functionality for users to enter one or a list of key words and/or characters associated with predefined exemptions which must trigger a business rule that could auto search, sever and apply the associated exemptions (with Stamp).			
M113	The RPSS must have the flexibility to configure page sequencing with data field access to support workflow customization.			
M114	The RPSS must have the functionality for a scheduled retention and disposal process that can provide notifications when each request meets the institution specific rules for disposition.			
Litigation Management				
M115	The RPSS must have the functionality to create new Complaints based on information received in Extensible Markup Language (.XML).			
M116	The RPSS must have the functionality to create new Personal Information Correction requests based on information received in Extensible Markup Language (.XML).			

2. DETAILED FUNCTIONALITY OVERVIEW

The following table provides more details pertaining to the RPSS features that are sought in the previous Section 1 stated requirements.

Note: The Bidder must ensure that the Detailed Information are incorporated into the proposed solutions.

Table 2.1 Minimal Feature Requirements

Functionality	Requirement Reference	Detailed Information
Login	M59	User credentials (User name and password), help
Request/Activity Benchmarking – Individual	M14, M15	Individual Active Requests, Active Actions, Approaching deadlines, Late requests
Request/Activity Benchmarking – Unit	M15	Individuals, BUs or Organization Active Requests, Active Actions, Approaching deadlines, Late requests,
Support/Help	M93	Electronic User and Administrator Guides in French and English
Contact Management	M28	Requester first, second and last names, Title, Organization, Email, Phone number, Alternate number, Fax number, Language, Source, Individual ID number, Jacket Number, Requester's File Number, Mailing address and Notes fields.
Overall Request	M5, M6, M7, M8, M9 and M28	Request Number, Request Assigned Contact Person, Requester Name, Due Date, Date Closed, Disposition, Requester Source, Request Category, Request Summary, Request Full Details, Days Allowed, Days on Hold, Days Taken, Number of Days Granted for Extension, Number of Pages Received, Number of Pages Reviewed, Number of Pages Released, Fee Balance, Request Transferred in, the Request Decision Maker Contact person.
Request Activities/Actions (A/A)	M13, M14 and M15, M65	A/A creator, A/A Name, A/A Assigned to Contact, Date A/A Created, A/A Due Date, Date A/A Completed, Number of Days Elapsed, On Hold/Stop Clock Status, A/A Comments, A/A Attachments, A/A Created Date, A/A Last Modified Date, A/A Modified By.
Fees	M42	Date the Fees was Applied, Transaction Type, Fee Type, Cost, Quantity, Amount, Currency, Comments/Details, Transaction Type (waiver, refund, estimate, payment, actual)

Functionality	Requirement Reference	Detailed Information
Extensions	M8	Extension Type, Extension Days, Extension Date
Exemptions/Exclusions	M19	List all of the act specific exemptions / exclusions that apply the <i>Access to Information Act</i> and the <i>Privacy Act</i> , Text field that applies to Section 69(1)(g) of the <i>Privacy Act</i> .
Closing	M10	Date Closed, Date the information was released (communicated), the Disposition, the Method of Access (paper, digital, other), the Method of Delivery (mail, online, in person, etc.), the Date on the Request, the Date the Request was Initially Received, the Date the Request Information was Received in its entirety, the Request Due Date, the Preferred Method of Access, the Total Number of Pages Received, the Total Number of Pages Reviewed, the Total Number of Pages Released, the Total Number of Pages that have been Deemed not Relevant, the Version of the Release Package that was sent to the requester, Comments, a flag indicating if the Request was Transferred Out to another organization, a flag to indicate if the Request required Translation, the Reason for Deemed Refusal on late requests
Complaints	M43	Date the Complaint was Received, Contact Person the Complaint is Assigned to, the Complainant Number, the Commissioner File Number, the Date the Complaint was Received by the Commissioner, the Complainant Name, the Reason for the Complaint, the Investigator Name, the Investigator's phone number, the Finding Date, the Finding, the Result, the Date the Complaint was Closed, Comments
Corrections	M44	Date Correction Requested, Contact Person Assigned to the Correction, Type of Correction Made, the Date that the Correction was applied/made, Date Notation Attached, Date the Correction was Closed, the Correction Text, the Statement of Disagreement Text, the Number of Statement of Disagreements Attached to the information, the Number of Notifications for Changes the institution sent to Third-Parties to whom the information was previously released
Investigation and Courts	M45 and M46	The Date the Application was Filed in Court, the Date of Advice to Federal Court, the Contact Person Assigned, the Court's File Number, Department of Justice's File Number, Justice Litigator's Name,

Functionality	Requirement Reference	Detailed Information
		Justice Litigator's Phone Number, the Decision Date, Comments, Section 41 of the <i>Access to Information Act</i> Text Field, Section 42 of the <i>Access to Information Act</i> Text Field, Section 44 of the <i>Access to Information Act</i> Text Field
Attachments	M16, M37, M38	The Date the Attachment was created / Uploaded, the Attachment Description, the Attachment Type
Records Group	R41	The request number and for each records group (RG) entered into a request, the software must capture the Record Group Number (RG#), the Accession Number, the Series Number, the Volume Number, the Box Number, the Reel Number, the File Number, the File Title, the Part Number, the document accessibility status (open, partially open, restricted), the File Dates, the Page Range, the Archival Reference Number, Comments, the Reviewed Dates, the Reviewer (Assigned Contact Person), the Number of Pages Reviewed, the Number of Pages Released, the Number of Pages Not Relevant, the Last Modified by.
Search	M30, M31, M99, M32, M33	Any field (standard and custom) in system with criteria such as but not limited to, Time Period, Dates, Pages, Days, Types, etc., which can be filtered, sortable, exportable, printable, saved and reusable.
Retention and Disposal	M11, M14, M114	The Period with range, with filters for Request Types and Requesters. Disposal options (with multiple selection) such as to excluding retained requests, deleting the request from the system, keeping the tombstone information only, deleting the request related data, archiving, delete the requester name, deleting the confidential text, deleting the request attachments, archiving the original (raw) and redacted Images.
General Administration	M51	<p>The Superuser must minimally be able to manage the following:</p> <ul style="list-style-type: none"> - Create, edit, delete request Activities/Actions with the number of days allowed, a stop-clock option, the type of calendar to apply and the action status, (see M90). - Create, edit, delete Activity/Action Groups to organize the Activities/Actions (see M90) - Configure global Application Settings used for capturing such parameters as the Information Commissioner's name and mailing address, the

Functionality	Requirement Reference	Detailed Information
		<p>Privacy Commissioner's name and mailing address, system features that can enable or disable functionalities within the software and other administrative settings that allow for the software to operate in and integrate within specific technical environments.</p> <ul style="list-style-type: none"> - Configure the Audits (see M116) - Create, edit, delete request types which lets the users better prioritize or classify requests (M6) - Manage Passwords - Create, edit, delete Contacts (see M28) - Create, edit, delete Correction Types (see M44) - Select the Counter that will be used to control how request id Numbers will be generated for each request type - Create, edit, delete Countries / Provinces / States / Territories / Regions used for managing requester personal information - Create, edit, delete Currencies used when managing the Fees - Create, edit, delete Dispositions in accordance with the <i>Access to Information and Privacy Acts</i> (see M7) - Create, edit, and delete Exemptions and Exclusions in accordance with the <i>Access to Information and Privacy Acts</i> (see M7) - Create, edit and delete Fee Schedules used to define a common set of Fee Types (e.g. Student Discounted Schedule) - Create, edit and delete Complaint Findings used to classify all possible conclusions made base on a request complaint (see M45) - Create, edit and delete Holidays used to enable proper date calculations (see M47) - Create, edit and delete Keywords when selected used to make a request easier to reference and search (see M7) - Create, edit and delete Label Templates used generate postal addresses for regular mail correspondence (see M91) - Create, edit and delete Methods of Access used when closing a request to indicate how the format or media of which the information was provided to a requester (e.g. paper copy, digital copy) (see M10)

Functionality	Requirement Reference	Detailed Information
		<ul style="list-style-type: none"> - Create, edit and delete Methods of Delivery used when closing a request to indicate how the requested information was provided to a requester (e.g. hand delivery, sent by regular mail, on site review, etc.) (see M10) - Create, edit and delete Methods of Payment used to identify the method in which the payment applied to a request was made (see M42) - Create, edit and delete Complaint Reasons used to classify all possible reasons for a requester to raise a complaint about a request (see M43) - Create, edit and delete Complaint Results used to classify all possible corrective actions, if required, in response to a request complaint (see M45). - Create, edit and delete requester Sources which identifies the source of the request (e.g. the public, media, academic, etc.) (see M28) - Create, edit and delete User Groups and assigning them access rights/roles (see M89, M90). - Create, edit and delete Business Units and Business Types which allow institutions to define their multi-level hierarchy of offices (e.g. Unit = Communication Services, Unity Type = Corporate) (M99) - Create, edit and delete Templates (see M37, M39, M40, M75, M78, R1-6) - Create, edit and delete Translation Types used to classify the types of translation that may be required (e.g. French to English, English to French, Other)

3. POINT RATED EVALUATION CRITERIA

3.1. STREAM I - GOLD POINT RATED EVALUATION CRITERIA

Table 3.1 Point Rated Requirements for Gold Stream: In order to qualify for Gold Stream, Bidders must meet all of the Mandatory Requirements found in Section 1, M1-64 above AND meet the minimum pass mark identified in the secondary RFP process which will be issued to the qualified solutions under the Gold Stream at the time a GC Institution has a Gold stream requirement.

Req. No.	Point Rated Requirements	Points	Bidder Response
Implementation Plan			
R1	<p>The Bidder should propose an Implementation Plan which will be rated based on the its ability to clearly identify and delineate:</p> <ul style="list-style-type: none"> - Deliverables (5pts) - Key Milestones (5pts) - Activities and Tasks (1pts) - Implementation Schedule (1pts) - Responsibilities and Assignments (1pts) - Planning Assumptions (1pts) - Implementation risks (1pts) 	<p>Max points: 15</p>	
R2	<p>The Bidder should propose an Implementation Plan which will also be rated to the extent to which it demonstrates an understanding of the work to be accomplished for the following areas:</p> <ul style="list-style-type: none"> - RPSS Configuration - Report Configuration - AORS Integration - Testing Plan - Training Plan <p>For each of the above areas of work, the rating scale (defined in Appendix A) will be as follows:</p> <p>Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	<p>Max points: 50</p>	

Local Presence			
R3	<p>Because most of GC institutions are located within the National Capital Region (NCR), at the time of the contract being awarded and throughout its duration, the Bidder should have a local presence that will be able to deliver training at its location or at the Client's location or will be capable of providing on-site support as needed.</p> <p>Local Presence = 5 pts No local presence = 0 pts</p>	Max Points: 5	
Evolution of Software			
R4	<p>The Bidder should describe:</p> <ol style="list-style-type: none"> 1. how the RPSS was conceived to support the delivery of ATIP services and the processing of processing of requests; 2. how the RPSS has evolved, with the accomplishments of each release; and 3. future plans to continue modernizing the solution. <p>For each of the above, the rating scale (defined in Annex A) will be as follows:</p> <p>Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 30	
Request Management			
R5	<p>The RPSS should be able to be configured to meet an organization's unique requirements. Configuration options should include (but not limited to) the functionality to:</p> <ol style="list-style-type: none"> a) change drop-down lists; b) field labels; c) business revise workflows; d) design of template letters /forms. <p>The rating scale (defined in Annex A) will be as follows:</p> <p>Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 10	

R6	<p>The RPSS should have the functionality to assign sequential request numbers based on a configurable file numbering scheme with alpha-numeral values that can support 15 digit numbers (e.g. examples; A-2019-0000001, AI-2019-0000001)</p> <p>The rating scale (defined in Annex A) will be as follows: Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 5	
R7	<p>The RPSS should have screen interfaces and navigation that allows users to easily navigate through the software pages and data fields with good aesthetic conditions, without incurring screen or field navigation errors, which satisfies usability conditions with customizable interface preferences and complies with Standard on Web Accessibility. This requirement will be assessed with a compliant or non-compliant using the GUI Evaluation Grid shown in Annex G.</p> <p>The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 10	
Document Management			
R8	<p>The RPSS should have the functionality to add notes, also referenced as sticky notes (150 characters) that automatically populates the name of the individual adding the note, as well as the date and time the note was placed.</p> <p>The rating scale (defined in Annex A) will be as follows: Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 5	
R9	<p>The RPSS should have the functionality to pre-set maximum file sizes for the release documents prior to printing, exporting or publishing. Should the digital document exceed the size limit users will be prompted to split the document in smaller size parts.</p> <p>The rating scale (defined in Annex A) will be as follows: Satisfactory = 10 pts Unsatisfactory = 0</p>	Max Points: 10	

R10	<p>The RPSS should have the functionality to automatically generate more packages with smaller size should the digital document exceed the size limit (R9).</p> <p>The rating scale (defined in Annex A) will be as follows: Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 5	
Contact Management			
R11	<p>The RPSS should have the functionality to retain or dispose of contact information when disposing of requests.</p> <p>The rating scale (defined in Annex A) will be as follows: Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 5	
Digital Imaging			
R12	<p>The RPSS should have the functionality to scan documents into the redacting component using any imaging technology.</p> <p>The rating scale (defined in Annex A) will be as follows: Satisfactory = 10 pts Unsatisfactory = 0</p>	Max Points: 10	
R13	<p>The RPSS should have the functionality to process paper records and convert them into digital documents ready for redaction with configurable imaging enhancement options that will allow a user to manipulate images for clarity (such as color, grayscale, bitonal, black and white, pixel selection, etc.).</p> <p>The rating scale (defined in Annex A) will be as follows: Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 5	

R14	<p>The RPSS should have the functionality to process paper records and convert them into digital documents ready for redaction with image corrections (line straightening, rotation, cropping etc.) in order to generate clear, properly presented and easily legible documents.</p> <p>The rating scale (defined in Annex A) will be as follows: Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 5	
R15	<p>The RPSS should have the functionality for batch scanning; indexing and single page scanning</p> <p>The rating scale (defined in Annex A) will be as follows: Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 5	
Search, Query and Reporting			
R16	<p>The RPSS should have the functionality to identify and mark sensitive information in the request text so that this information is excluded from reports (e.g. use of { } brackets around sensitive information to be removed).</p> <p>The rating scale (defined in Annex A) will be as follows: Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 5	
R17	<p>The RPSS should have the functionality to generate reports (e.g. Annual reports to Parliament, Monthly Summaries of Closed ATI requests) based on configurable standard templates (see examples in Annex B)</p> <p>The rating scale (defined in Annex A) will be as follows: Satisfactory = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 10	
Performance			
R18	<p>The RPSS should have the functionality to enter their comments for each requester, for each request, and for each action, to capture in these text fields as little or up to 2000 characters of information for institutions be able to efficiently retrieve this information with minimal loss of performance.</p>	Max Points: 10	

	<p>The rating scale (defined in Annex A) will be as follows:</p> <p>Outstanding = 10 pts</p> <p>Satisfactory = 5 pts</p> <p>Unsatisfactory = 0</p>		
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3.2 POINT-RATED EVALUATION CRITERIA FOR PLATINUM STREAM

Table 3.2 Point Rated Requirements for Platinum stream - In order to qualify for Platinum Stream, Bidders must meet all of the Mandatory Requirements found in Section 1, M1-90 above AND meet the minimum pass mark identified in the secondary RFP process which will be issued to the qualified solutions under the Platinum Stream at the time a GC Institution has a Platinum stream requirement.

Req No	Point Rated Requirements	Points	Bidder Response
Search, Query and Reporting			
R19	<p>The RPSS should have the functionality to identify duplicate requests and documents. Document duplication should be identified by identical content between different file formats such as content within a .pdf document being identical to content within a .doc. document.</p> <p>The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 10	
R20	<p>The RPSS should have the functionality to use Boolean comparisons in the search function i.e. not, and, with, without, etc.</p> <p>The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 10	
Correspondence Management			
R21	<p>The RPSS should have the functionality to generate template messages <u>using any data elements</u> within the RPSS.</p> <p>The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 10	

3.3 POINT-RATED EVALUATION CRITERIA FOR DIAMOND STREAM

Table 3.3 Point Rated Requirements for Diamond stream - In order to qualify for Diamond Stream, Bidders must meet all of the Mandatory Requirements found in Section 1, M1-116 above AND meet the minimum pass mark identified in the secondary RFP process which will be issued to the qualified solutions under the Diamond Stream at the time a GC Institution has a Diamond stream requirement.

Req No	Point Rated Requirements	Points	Bidder Response
Intake and User Experience			
R22	<p>The RPSS should open the online User and Administrator Guides within the RPSS and open in a different window or tab.</p> <p>The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 10	
R23	<p>The RPSS should upon closing the online User and Administrator Guides take the User back to the RPSS at the screen and field positions where the user was last.</p> <p>The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 10	
Search, Query and Reporting			
R24	<p>The RPSS should have the functionality to locate request related information, execute request processing activities and dictate text with the user's voice alone, without needing a keyboard usage.</p> <p>The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 10	
Request Management			
R25	<p>The RPSS should have the functionality to assign requests and activities at once (single action).</p> <p>The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 10	
R26	<p>The RPSS should have the functionality to close requests and activities at once (single action).</p>	Max Points: 10	

	<p>The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>		
R27	<p>The RPSS should have the functionality for a template builder for departments that process standardized forms where there is a specific section on a page that is always redacted.</p> <p>The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 10	
R28	<p>The RPSS should have the functionality to utilize a template to redact the section for all similarly marked pages eliminating the need to manually redact each page (automatically apply redactions based on a template in established reports, e.g. remove the name and address of someone applying for a government program).</p> <p>The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 10	
Document Management			
R29	<p>The RPSS should have the functionality to securely review, redact and release (export) this information to the requester in full or in part in their native format.</p> <p>The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 10	
Digital Imaging			
R30	<p>The RPSS should provide GC institutions with the functionality to select imaging enhancement options such as but not limited to dot-per-inch (dpi) resolution, color resolution, image cropping or noise resolution.</p> <p>The rating scale (defined in Annex A) will be as follows: Satisfactory = 10 pts Unsatisfactory = 0</p>	Max Points: 10	
R31	<p>The RPSS should have the functionality to display multiple images on one screen (e.g. 2X2, 4X4, 8X8) and to be able to enhance, move, delete and replace these images.</p> <p>The rating scale (defined in Annex A) will be as follows:</p>	Max Points: 10	

	Satisfactory = 10 pts Unsatisfactory = 0		
R32	The RPSS should have the functionality to automatically transpose request related information from paper copies into the RPSS. The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0	Max Points: 10	
R33	The RPSS should have the functionality for information that appears on the GC issued forms (R14) be digitally processed using OCR technology such that it gets transferred into the RPSS in their value matching fields. The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0	Max Points: 10	
Pattern Recognition and Machine Learning			
R34	The RPSS should have the functionality to automatically identify sensitive Personally Identifiable Information (PII) and flag for potential redaction. The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0	Max Points: 10	
Integration			
R35	The RPSS should have the functionality to identify request details with quick reference features. The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0	Max Points: 10	
R36	The RPSS should have the functionality to automatically replicate to the GC archival CMS any changes pertaining to the accessibility status (open, partially open, restricted) that are applied within the RPSS. The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0	Max Points: 10	
R37	The RPSS should support the option for an automated transfer of the release packages into the GC CMS.	Max Points: 10	

	<p>The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>		
R38	<p>The RPSS should have the functionality to query other GC records/collections management tools to retrieve (order) the request related records.</p> <p>The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 10	
R39	<p>The RPSS should have the ability to migrate information from the various ATIP software currently being used by GC institutions to the RPSS.</p> <p>The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 10	
R40	<p>The RPSS should have the assurance that if a new RPSS is purchased, no existing data or information from past file repositories is lost in the transition and that this information can be accessed and reused in the new RPSS.</p> <p>The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 10	
R41	<p>The GC has a requirement for Software that supports functionality for managing the review and processing of archival records. As referenced in Annex E, these records are part of Canada's archival collection and their metadata is organized and indexed within a Collections Management System (CMS known as Mikan). When a request is submitted for archival records a search is initiated through this system. Once located by GC institutions these records must be ordered (retrieved) and digitally uploaded into the Request Processing Software. The RPSS should ensure that the accompanying metadata for each record (see Records Group in Table 1 of Section 3. for details) stored within the CMS will also be imported into the Request Processing Software.</p> <p>The rating scale (defined in Annex A) will be as follows: Outstanding = 10 pts Satisfactory = 5 pts Unsatisfactory = 0</p>	Max Points: 10	

4. QUALITY ASSURANCE

The following Table pertains to Mandatory Requirement M76.

Table 4.1 Quality Assurance

Req#	Functionality for quality assurance that permits users and institutions to identify requests with incomplete, inaccurate and missing information prior to closing:
M76-1	Outstanding Fees
M76-2	Pending Actions
M76-3	Missing Number of Pages
M76-4	Missing Method of Access
M76-5	Request / Actions still on hold
M76-6	Actions Completed before Date Created
M76-7	Late Requests without the Reason for Deemed Refusal selected
M76-8	The number of pages entered on the Closing screen must follow the Business Rules detailed in subsection 5. (Table 5.1)
M76-9	The Method of Access selection entered must follow the Business Rules detailed in subsection 5. (Tables 5.2 and 5.3)
M76-10	The Method of Delivery selection entered must follow the Business Rules detailed in subsection 5. (Tables 5.3 and 5.4)
M76-11	The Disposition entered must follow the Business Rules detailed in subsection 5. (Table 5.4)

5. BUSINESS RULES PRIOR TO CLOSING A REQUEST

The following four tables pertain to Mandatory Requirement M80

Table 5.1 Number of Pages where values must be set as “0”

Pages / Disposition	Abandoned after fee estimate	Abandoned by applicant	All Disclosed	Disclosed in Part	Does Not Exist	Entered by Error	All Excluded	All Exempted	Trans ferred	Neither Confirmed or Denied
Pages Reviewed					0	0	0”	0’	0	0
Pages Released	0	0			0	0	0	0	0	0
Pages Not Relevant					0	0			0	0

0’ Applies only to Section 69 of the *Privacy Act*

0” Applies only to Section 68 of the *Access to Information Act*

Neither Confirmed nor Denied: Leave the values as “0” for pages reviewed and released. If a request falls under this disposition, then it cannot be confirmed or denied that any pages were processed or disclosed.

Table 5.2 Possible Combinations - Method of Access and Disposition

Method of Access / Disposition	Abandoned after fee estimate	Abandoned by applicant	All Disclosed	Disclosed in Part	Does not Exist	Entered by Error	All Excluded	All Exempted	No Reply Required	Transferred	Neither Confirmed or Denied
Examination			*	*							
Copies and Examination			*	*							
Paper Copies			*	*							
Digital Copies			*	*							
Not Applicable	*	*	**	**	*	*	*	*	*	*	*

Table 5.3 Possible Combinations – Method of Access and Method of Delivery

Method of Access / Method of Delivery	Courier	Email	Fax	Hand Delivery	Not Applicable	Pick up	Registered mail	Regular mail
Examination				*		*		
Copies and Examination	*	*	*	*		*	*	*
Paper Copies	*		*	*		*	*	*
Digital Copies	*	**		*		*	*	*
Not Applicable					*			

* This method of Delivery applies to the copies given (any format)

** Applies only if the institution is communicating the information via telephone

*** Applies if the information sought is included in the response letter

Table 5.4 Possible Combinations – Disposition and Method of Delivery

Disposition/Method of Delivery	Courier	Email	Fax	Hand Delivery	Not Applicable	Pick up	Registered mail	Regular mail
Abandoned after fee estimate					*			
Abandoned by applicant					*			
All Disclosed	*	*	*	*		*	*	*
Disclosed in Part	*	*	*	*		*	*	*
Does Not Exist					*			
Entered by Error					*			
All Excluded					*			
All Exempted					*			
Transferred					*			
No Reply Required					*			
Neither Confirmed or Denied					*			

Other rules:

- A request cannot be closed if it has digital pages that have not been reviewed
- A request cannot be closed if it still has an “on hold” status
- A request cannot be closed if it still has activities or actions on hold
- A request cannot be closed if there is no reason (Deemed refusal – S.10 of the *ATIA* and S.16 of the *Privacy Act*) captured in the request indicating why the time taken exceeded the time allowed.

ANNEX A TO APPENDIX A – GLOSSARY OF TERMS AND ACRONYMS

Term	Definition
Action	Types of ATIP related activities – Actions could be, for example, assessment, retrieval, final response, assignment, transfer, e-mail, etc.
Action Group	An accumulation of Actions (i.e. a higher level in the hierarchy); for example Consultations, Fees, Closing, etc.
Annotation	A note added by way of comment, stamp or explanation.
Annual Report	A report on a government institution's administration of the <i>Access to Information Act</i> or the <i>Privacy Act</i> during the fiscal year, which is prepared by the head of a government institution for submission to Parliament.
AORS	GC ATIP Online Request Service
Application Programming Interface	Set of subroutine definitions, protocols, and tools for building application software. In general terms, it is a set of clearly defined methods of communication between various software components. There are many different scanners, and many of those scanners use different protocols. In order to simplify applications programming, some Applications programming interfaces ("API") were developed. The API presents a uniform interface to the scanner.
ATIP	Access to Information and Privacy
Authentication	The process of establishing confidence in user credentials. Authentication is different from authorization. However, they are usually inextricably linked. Authentication precedes authorization. Authentication simply establishes credential assurance but not what the holder of that credential is authorized to do or what access privileges he or she has; this is a separate decision. The RP can use the authenticated information provided by the credential provider to make authorization or access control decisions. The Federation directly addresses authentication, and indirectly supports authorization.
Authorized User	An individual or entity permitted to make use of the Software Solution.
Automation	Technology by which a process or procedure is performed with minimal or without human assistance. Technology that performs tasks that were previously performed by humans which reduces human intervention to a minimum.
Bidder	Means the person or entity (or, in the case of a joint venture, the persons or entities) submitting a response. It does not include the parent, subsidiaries or other affiliates of the Bidder, or its subcontractors.
Business Unit	A division or a unit in a GC organization.
CMS	Collections Management System
Complaint	A complaint to the Information Commissioner on any of the grounds outlined in subsection 30(1) of the <i>Access to Information Act</i> or to the

Term	Definition
	Privacy Commissioner on any of the grounds outlined in subsection 29(1) of the <i>Privacy Act</i> .
Component	One of the parts that make up a whole system
Configurable	Capable of being configured; customizable; permitting rearrangement or adjustment.
Consultation Package	Selected portion of a document that needs to be sent to another party for consultation under the legislation.
Consultees	Persons who is formally consulted or asked for advice on a matter
COTS	Commercial Off-the-Shelf
End-User(s)	Person(s) who ultimately uses or is intended to ultimately use the product.
Exclusion	A provision of the <i>Access to Information Act</i> or the <i>Privacy Act</i> that removes certain records from the application of the legislation.
Exemption	A mandatory or discretionary provision under the <i>Access to Information Act</i> or the <i>Privacy Act</i> that authorizes the head of a government institution to refuse the disclosure of records in response to an access or privacy request.
Extension	An extension of the time limit for response under the legislation.
External Site	Non Federation member system that provides end-user discovery service, and redirects the end-user to the selected Federation member system. Examples include agency portals, and government sites such as canada.ca
FY	Fiscal Year – 01 April to 31 March
GC	Government of Canada
GC Institution	Any department, ministry of state, body, or office listed in Schedule I of the <i>Access to Information Act</i> or in the Schedule of the <i>Privacy Act</i> and any parent Crown corporation and wholly owned subsidiary of a Crown corporation within the meaning of section 83 of the <i>Financial Administration Act</i> . The term "government institution" does not include Ministers' Offices.
GUI	Internet Engineering Task Force.
Information Commissioner	An Officer of Parliament appointed by the Governor in Council to investigate complaints related to any matter involving the request or acquisition of records under the <i>Access to Information Act</i> .
International Character Sets	Information that is about an identifiable individual and recorded in any form, as defined in section 3 of the <i>Privacy Act</i> .
Last Administrative Action (use)	ATIP request related information and records are retained for 2 years following the <i>last administrative action</i> or administrative use, i.e. the last activity registered on the request.
Mikan	Current Archival Collection Management System used by the GC.

Term	Definition
OIC	Office of the Information Commissioner
OPC	Office of the Privacy Commissioner
OPI	Office of Primary Interest (OPI) is an office (or business unit, branch, section, etc.) that GC institutions reach out to for the retrieval of documents that pertain to ATIP requests.
Personal Information	Information that is about an identifiable individual and recorded in any form, as defined in <u>S.3</u> of the <i>Privacy Act</i> .
Privacy Commissioner	Is an Officer of Parliament appointed by Governor in Council, whose main function is to investigate complaints made by individuals under the <i>Privacy Act</i> and the Personal Information Protection and Electronic Documents Act.
Rating Scale	<p>Outstanding: Comprehensive and complete in all details; exceeds all requirements and objectives.</p> <p>Satisfactory: Meets all minimum requirements; demonstrates partial understanding; some detail missing; requires clarification.</p> <p>Unsatisfactory: Incomplete response; lacks understanding; missing lots of details.</p>
Record	Means any documentary material, regardless of medium or form.
Records Group	See Annex D.
Request	An Access Request for access to a record or records made under the <i>Access to Information Act</i> ; or a privacy Request made under the <i>Privacy Act</i> by or on behalf of an individual for his or her own personal information.
Request Type	Types of Requests could be, for example, Access to Information, Access Consultation, Access Informal, Privacy, Privacy Consultation, Privacy Impact Assessment, Personal Information Bank, Privacy Policy, and others.
Requester	A Canadian citizen, a permanent resident, or any individual or corporation present in Canada that requests access to a record under the Access to Information Act; a Canadian citizen, a permanent resident, or any individual present in Canada who requests access to a record under the Privacy Act.
Requester Information	Identifying information regarding an individual or entity who makes a request subject to the <i>Access to Information Act</i> ; an individual who requests access to a record under the <i>Privacy Act</i> .
Responsible Contact	An individual assigned to any activity.
Retention and Disposal	Standards that Identify the length of time records are maintained under the control of an institution and the point at which the final disposition is applied.
Superuser	A person with unlimited access privileges who can perform any and all operations within the software solution.

Term	Definition
System	A particular set of rules, features and functionality, especially in computing, which is used to store and process data and make deductions from stored data,
Third Party	Means either a government institution or any person, group of persons, or organization other than the person that made the access request.
Tools	Resource materials for ATIP practitioners, including electronic and analogue among others.
Turnkey Solution	A turnkey solution is a type of system that can be easily implemented into current business processes. A turnkey solution is immediately ready to use upon implementation with minimal configuration.
User-friendly Interface	<p>A system that is easy to learn and easy to use, and can be learned quickly by users who have never worked with a similar program. The interface has the following attributes:</p> <ol style="list-style-type: none"> 1. <u>Simple</u>. A user-friendly interface is not overly complex, but instead is straightforward, providing quick access to common features or commands. 2. <u>Clean</u>. A good user interface is well-organized, making it easy to locate different tools and options. 3. <u>Intuitive</u>. In order to be user-friendly, an interface must make sense to the average user and should require minimal explanation for how to use it. 4. <u>Reliable</u>. An unreliable product is not user-friendly, since it will cause undue frustration for the user. A user-friendly product is reliable and does not malfunction or crash.

ANNEX B TO APPENDIX A – STANDARD REPORTS

Twenty six (26) Reports as per Mandatory Requirement M36 and the PCO Schedule as per Mandatory Requirement M24.

The following lists the twenty six (26) reports that must be producible by the RPSS within the software solution for the proposal to be considered and PCO Schedule that will be used for evaluation purposes. Each report is described below.

The twenty six (26) mandatory reports must include the option to filter per request type, date range and must provide the options of including the summary and the full text of the request, the source and/or the name of requester, and removing confidential text, where applicable.

Reporting and Outputs:

1. Statistical Reports on the Access to Information Act and Privacy Act

This is an annual report that provides information on the performance of the ATIP Office in regards to formal Access to Information Requests. The information on the report must answer all of the questions in the following documents, and any revisions of:

<http://www.tbs-sct.gc.ca/tbsf-fsct/350-62-eng.asp>

<http://www.tbs-sct.gc.ca/tbsf-fsct/350-63-eng.asp>

2. Performance Report (Summary)

This is a report completed on a monthly; quarterly; annual and user defined period that is summarizes the compliance rate of the internal contacts for document retrieval and internal review. The information on the report must include, for each of the institutional levels of authority, the number of times the contact was tasked, the number of times the contact did not respond within the assigned deadline, the total number of days elapsed, the total number of days past due, the average number of days elapsed and the average number of days past due.

3. Performance Report (Detailed)

This is a report completed on a monthly; quarterly; annual and user defined period that provides details to evaluate the compliance rate of the internal contacts for document retrieval and internal review. The information on the report must include, for each task, the Request number, the creation date, the due date, the completed date, the number of days take and the number of working days overdue. The tasks must be grouped by institutional level of authority.

4. Deadline List

This is a report completed on a weekly basis showing all active Requests divided into two tables: within deadlines and past deadline. The information on the report must include the Request number, the source of the Requester, the summary of the Request, the date received and the due date.

5. New Request report

This is a report identifying all of the new Requests received during a given time period. The information on the report must include the Request number, the source of the Requester, and the summary of the Request, the date received, the due date and the date closed with the option of providing the full text of the Request.

6. Workload report

This report provides a quick view of the current workload of each officer in the ATIP Office by Request type. The information on the report must include the number of Requests and the pages to review for

each type of active Request, complaint and court cases. The report must also include the total number of Requests and the total pages to review for each officer and the entire office.

7. Active Request by officer

This report provides a quick view of the workload grouped by specific officer. The information on the report must include the Request number, the name and/or source of the Requester, the summary of the Request, the date received, the due date, the last action that was performed, the number of days take and the number of days allowed.

8. Case Action List

This report details all of the case actions by group (ATIP, Acknowledgement, Retrieval, etc.) with their respective unique identifiers, name, description, bring forward (BF) type (calendar vs. work days), BF length and stop clock information. Option to include status text on the report must also be included.

9. Cash Management Report

This report must detail all the collected and waived fees per Request for a given time period. Reporting details must include the Request number, Requester source, fees charged (broken down by type), as well as waived amounts including reason. A total (broken down by type and grand total) of all net fees collected and waived must also appear on the report.

10. Complaint Summary

This report lists with filter options (active, received, date closed and finding date by date range and Request type) all Requests with complaints by officer assigned, reason, finding, category and result. Report details include the Request summary, the commissioner file number, the date the complaint was received, the reason(s) for the complaint, the name of the investigator, the finding(s), resulting action(s) and date closed.

11. Court Summary

This report lists with filter options (active, received, date closed and finding date by date range and Request type) court cases by officer assigned to the court case. Report details include the officer assigned to the case, the Request number, summary of the Request, date the Request was received, the court's file number, the justice's file number, the litigator's name, the litigator's telephone number and the court decisions date.

12. Fees Outstanding

This report lists with filter options (Request type and Requester) outstanding fees. The information that must be included on the summary report is: the name of the Requester and the outstanding balance. The information that must be included on the detailed report is: the name of the Requester, the Request number, the disposition of the Request, the date closed and the outstanding balance.

13. Closing Report

This report must be accessible from within a Request. It provides a snap shot of a specific Request, the processing of the Request and the disposition of the Request. The following is a list of information that must be included:

➤ **Request Information**

To include Request type; Request number; Category; Officer assigned; Decision Maker; Date on Request; Date the Request was initially received; Date the Request was deemed completely received; Date the Request is due; Jacket number; Disposition of Request; Number of days taken to process; Number of days allowed to process; Summary of the Request; Full text of Request; and Keyword(s).

➤ **Requester Information**

To include Name; Source; Address; Telephone number; Fax number; and Email address.

➤ **Extensions**

To include Number of days extended under each provision of the Access to Information and Privacy Acts; and Total number of days extended.

➤ **Fees**

A chronological list of all fees charged, paid, waive, abandoned and transferred including: Date; Fee type; Unit cost; Quantity; Debit total; Credit total; Currency; and Balance.

➤ **Case Actions**

A chronological list of all actions performed during the processing of the Request including, but not limited to: Action; Responsible contact; Date create/started; Due date; Date completed; and Comments.

➤ **Closing**

To include Date the Request was closed; Date the decision was communicated; Number of pages reviewed; Number of pages released; Disposition (again); Method of access; Method of delivery; Translation required; List of articles of law that were applied during the processing of the Request; and Comments.

14. Progress Report

A tabular report that shows the variance between a given time period and fiscal year to date as well as the corresponding periods for the previous fiscal year. The report must include the number of Requests received, the number of active Requests, the number of Requests completed, the number of complaints received, the number of pages reviewed, the number of pages released, and dispositions of Requests. The report must be able of producing this information grouped by Requester source, officer and Request category.

15. Situation Report

This report lists with filters and report options (Request type, Request text, Request summary, responsibilities, Requester and category) all active Requests with their status information, including: Request number, Requester source, date received, due date, responsibility contact for the last action, date last action was created, last action due date and last action response date completed.

16. Status Report

This report lists with filter options (active Requests, active Requests plus recently closed using date range, Request type, keyword list, category and/or officer) the status of Requests detailing: Request number; Requester source; Date the Request was deemed completely received; Request due date; Number of days that the Request has been extended; Indicator if Request is overdue; Request summary; Request status; Last action description; Last action responsible contact(s); Last action date created; Last action due date; and Last action date completed.

17. Time Analysis Report

This is a tabular and detailed report outlining the on time/overdue Requests for completed and active Requests. The report must include the file number, the Requester source, the summary of the Request, the date received, the date closed, the number days taken, the number of days allowed, the number of days past due, an indication as to the use of exemptions, an indication as to the use of exclusion, the number of pages reviewed (or to be reviewed) and the number of pages released.

18. Weekly Status Report *of all active Requests*

This report lists with filters and report options (Request type, active Requests, active complaints and active court cases, Request text, Requester, responsibilities and category) all active Requests detailed with the file number, date received, due date, indicator if the file is late, date closed, number of days extended, Requester source and Request status.

19. On-time Moving Average Report

This report outlines each officer's performance in responding to a specified Request type and compares to the departmental average for a given date. The information provided includes the number of files closed, the number of pages reviewed for each closed file, the number of files closed on time and the performance rate during four time periods: 3, 6, 9 and 12 months preceding the given date.

20. Statistical Summary Report

This is an annual report summarizing Request information by Requester source and complaint type for a given Request type and given time period. The report must include the following information:

➤ For the given time period:

The number of Requests received and number of pages reviewed (to be reviewed); number of active Requests brought forward and number of pages to be reviewed (to be reviewed); number of Requests completed, number of pages reviewed and number of pages released; and number of Request carried forward and the number of pages reviewed (to review).

➤ For the fiscal year to date:

The number of Requests received; and number of Requests completed, number of pages reviewed and number of pages released.

21. Record Group Closing Report

Accessible from within a Request, this report details all of the relevant fields that pertain to Request related Record Groups. This report details the Request number, dates commenced and completed, the Request status, exemptions applied, exclusion applied, group, series, volume, accession, box, reel, file number, pages reviewed and released, file title a comment field as well as the total count of record groups related to the Request.

22. Active Consultations Report

This report lists with filters and report options (Request type, Active Consultations, Responsible Contact, Consulted Department(s) and Time Periods) all active requests detailed with the file number, date received, due date, number of days extended, Responsible Contact (analyst), consulted department(s), date the consultation was sent, number of pages sent and due date that the consultation must be completed.

23. Consultations Report

This report outlines the consultations that have been created (active, closed, all) for a given time period. The information provided can be summary or detailed.

- The summary information includes the total of consultation requests that have been assigned to another organization (filter); by unit or contact (filter); the number of pages that have been submitted for consultation; the average time taken for the consultation action to be completed (for closed); and the number of days taken (for active).
- The detailed information includes for each request the request number; the responsible unit or contact for the request (filter); the date the request was created; the due date and closed date; the consultation action; the consultation comments (or notes); the name of the organization consulted (filter); the date the consultation action was created; the expected due date; the number of days since the action was created; any extension taken on the request; and the number of pages sent for consultations.

24. Summaries of Completed Access to Information Requests

This report lists with filters and report options (Request type, Time Periods) all closed requests detailed with the request number, Organization, Disposition of the request, Year, Month, Number of pages disclosed and the Summary of the completed request. Information not included in this report include Requests made under the *Privacy Act*, Informal requests, Request that were transferred to another Government institution, Requests that were treated informally, Requests that were abandoned and request made under the Access to Information Act that contain primarily personal information of the requester or that are uniquely of interest to the requester. The format of this report is identified in Sample 1. *Summary of Completed Access to Information Requests*

Sample 1. Summary of Completed Access to Information Requests

Request Number: A-2018-00001

Organization: Treasury Board of Canada Secretariat

Disposition: Disclosed in Part

Year: 2018

Month: March

Number of Pages: 125

Summary: A copy of all of the briefing notes for the period of June 1, 2014 to June 30, 2014

25. Legal Consultation

This document details the suggested application of Section 69 of the *Access to Information Act* (Confidences of Cabinet) when consulting with Legal Services (internal or through Department of Justice Canada). The template must list each document being sent for consultation in chronological order - undated documents must be listed first - including a description, to, from, date and subject. The template must also quote every suggested redaction by page including the suggested articles of law. The format of the Legal Consultation template is identified in Sample 2. *Legal Consultation Sample Template* below.

Sample 2. Legal Consultation Sample Template

*Legal Consultation document to be marked - **SECRET***

Documents Attached to

Letter from *Officer Name*

Dated: *****

ATIP File A-20XX-XXXXX / aaa

DOCUMENT DESCRIPTION AND CONCLUSION

1 *Description* (pages:)

Subject:

From:

To:

Date: *in chronological order, undated documents at the beginning*

Recommendation:

must specify the page number, quote the portion to be excluded and specify the sections to be applied (repeated for each redaction)

CONCLUSION: *(must remain empty)*

2 *Description* (pages:)

Subject:

From:

To:

Date:

Recommendation:

CONCLUSION: *(must remain empty)*

26. Retention and Disposal Report

This report lists with filters and report options (Request Eligibility, i.e. ready for disposition, Request type, Time Periods) all closed requests ready for disposition detailed with the request number, Requester Source (media, academic, public, etc.), Request Category (Routine, Urgent, Other).

ANNEX C TO APPENDIX A – GOVERNMENT FRAMEWORK, POLICIES, GUIDELINES AND STANDARD REQUIREMENTS

The following table details the governance that guides ATIP Offices within the GC in the delivery of their ATIP services.

Document Title	Location (link or path)
<i>Access to Information Act</i>	http://laws-lois.justice.gc.ca/eng/acts/A-1/index.html
<i>Access to Information Regulations</i>	http://laws-lois.justice.gc.ca/eng/regulations/SOR-83-507/index.html
Budget 2016	http://www.budget.gc.ca/2016/home-accueil-en.html
Canada's Third Biennial Plan to the Open Government Partnership	http://open.canada.ca/en/content/third-biennial-plan-open-government-partnership
Directive on Identity Management	http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=16577
Directive on Internal Support Services	http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=25594
Directive on Open Government	http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=28108
GC Directive on Record Keeping	https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=16552
Directive on the <i>Administration of the Access to Information Act</i>	http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=18310
GC Information Technology Strategic Plan 2016-2020	https://www.canada.ca/en/treasury-board-secretariat/services/information-technology/information-technology-strategy/strategic-plan-2016-2020.html
Modernizing the Administration of Access to Information	https://www.canada.ca/en/treasury-board-secretariat/news/2017/06/government_of_canadaintroducesreformstoaccessstoinformation.html
<i>Privacy Act</i>	http://laws-lois.justice.gc.ca/eng/acts/P-21/index.html
<i>Privacy Regulations</i>	http://laws-lois.justice.gc.ca/eng/regulations/SOR-83-508/FullText.html
Policy on Government Security	https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=16578

Document Title	Location (link or path)
Policy on Service	http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=27916
Recommendations by the Office of the Information Commissioner of Canada (OIC).	http://www.oic-ci.gc.ca/eng/media-room-salle-media_speeches-discours_2016_6.aspx
Review of the <i>Access to Information Act</i> - Report of the Standing Committee on Access to Information, Privacy and Ethics	http://www.parl.gc.ca/HousePublications/Publication.aspx?Language=e&Mode=1&Parl=42&Ses=1&DocId=8360717&File=129
Revitalization of Access to Information – Improving the Way Access Requests are Processed	http://open.canada.ca/en/content/revitalizing-access-information-factsheets
Special Report to Parliament 2008–2009. Systemic Issues Affecting Access to Information in Canada	http://www.oic-ci.gc.ca/eng/rp-pr_spe-rep_rap-spe_rep-car_fic-ren_2008-2009.aspx
Speech from the Throne	http://speech.gc.ca/en/content/making-real-change-happen
Standard on Metadata	https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=18909#
Standard on Web Accessibility	https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=23601

ANNEX D TO APPENDIX A – RECORDS GROUP CONCEPT

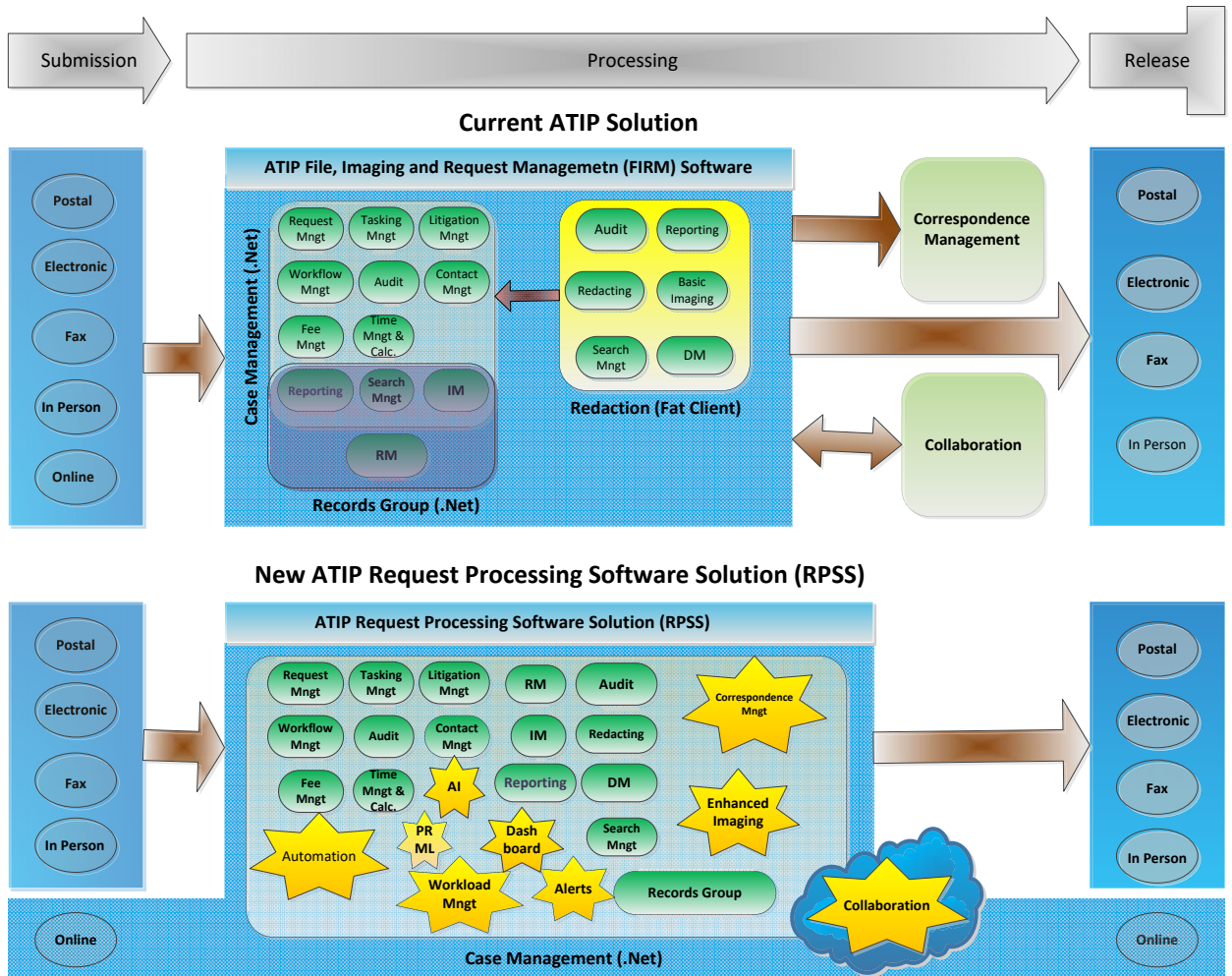
<<In arranging records, archivists in the Government of Canada divide records into record groups, and within record groups into series and sub-series of records. Given the centrality of the record group to the Government's operations and indeed to the organization of this Guide, some understanding of the record group concept is necessary for users that seek access to the Government's holdings.

Archivists follow two principles when organizing records. First, the principle of provenance states that the records of a given records creator must not be intermingled with those of other records creators. Second, the principle of original order states that the original filing or classification system of records in their office of origin (which may not be the order in which they are first received at the Archives) must as far as possible be respected and/or recreated. To do otherwise, to arrange and organize records by research-oriented subject areas, geographical location, or chronological period, for example, would destroy the evidential value represented by the records themselves; it would, in effect, remove them from the context in which they were created and thus destroy a significant part of the information they contain. Accordingly, the Government's archival holdings are organized into separate record groups as the means of following these two principles.>>

Copied from the National Archives of Canada General Guide Series; Government Archives Division manual, 1991, compiled by Cynthia Lovering

RG information consists of archival indexing data. This data is processed through a Government of Canada archival collections management system (Mikan) and is stored in a separate unsecured SQL database (different server). Upon reviewing archival records through ATIP requests the GC must update the status of these records (accessible, not accessible or accessible in part) as well as the boxes, volumes, parts, documents and pages that have gone through this ATIP revision. The RG information is to be captured within the Request Processing Solution which then must synchronize (push data) with the GC software.

ANNEX E TO APPENDIX A – CONCEPTUAL VIEW OF ATIP SOFTWARE



ANNEX F TO APPENDIX A - TECHNOLOGY COMPLIANCE

Qualifying bidders must ensure that their RPSS is compliant with current GC technology and future upgrades including, but not necessarily limited to:

Server

Table 1. Server Specifications

System
<ol style="list-style-type: none"> 1. <i>Enterprise</i> Server (32 bit and 64 bit version): <ul style="list-style-type: none"> • Windows Server 2012 R2 or higher; • SUSE Linux <i>Enterprise</i> Server (SLES) 11-SP3 or higher; and, • Red Hat Linux (RHEL) version 6.5 or higher. 2. File System: <ul style="list-style-type: none"> • NTFS; • Ext4 and/or Ext 3; and, • Btrfs. 3. Relational Database Management System (RDBMS): <ul style="list-style-type: none"> • Oracle Database 11g version 11.2 and higher; and, • Microsoft SQL Server 2012 R2 and higher. 4. Exchange Server: <ul style="list-style-type: none"> • Microsoft Exchange Server 2016 or higher. 5. Web Services: <ul style="list-style-type: none"> • <i>REST</i>; and, • JSON or <i>XML data</i> formats for transmitting <i>data</i>. 6. Development Language: <ul style="list-style-type: none"> • Java <i>Enterprise</i> Edition (Java EE) 6 or higher; • .NET version 4.5 and higher; • JRE 1.7 or higher on <i>RCMP</i> workstation; and, • Extensible Hypertext Markup Language (XHTML). 7. Supported browser by web based software: <ul style="list-style-type: none"> • Internet Explorer (IE) 11 or higher, and Edge(IE 11) at least; • Firefox version 60 or above; • Chrome version 48 or above; and, • Safari for Microsoft Windows version 5.1 or above. 8. Antivirus Software: <ul style="list-style-type: none"> • McAfee Antivirus 8 or higher. 9. Electronic Mail: <ul style="list-style-type: none"> • Microsoft Exchange 2010 or above with Outlook 2007 or above; and • Novell GroupWise 2014 R2 or above 10. Virtual Machine: <ul style="list-style-type: none"> • VMware vSphere version 6.5; and, • ESXi version 5x or higher. 11. Software Capability: <ul style="list-style-type: none"> • A single intuitive Graphical <i>User Interface (GUI)</i> to <i>integrate</i> all functions and allow <i>users</i> to seamlessly switch between tools and functions. 12. Application Server: <ul style="list-style-type: none"> • WebLogic Application Server 12c or higher.

Desktop / Laptop

The Table below outlines the Standard Desktop and Laptop components and specifications in which each RPSS must operate. These must be compliant with the system configurations that appears in the GC National Master Standing Offer (NMSO) for Desktops and Workstations.

Table 2. Desktop / Laptop Specifications

Components Specifications	
Processor	Intel(R) Pentium(R) 4 CPU Single Core 3.00GHz to AMD Phenom(tm) II X4 B93 Processor Quad Core 2.8 Ghz
Platform	Windows 7 (64 bit for OS, 32 bit Microsoft 2007 for compatibility)
Motherboard	ASUS P5E-VM equivalent
	Intel Pentium CPU support
	1333 MHz FSB or above
	Serial ATA support
	PCI express video slot
	PCI version 2.2
	On Board Network Interface Card 100/1000
	Fiber Optic Network Interface Card 1000Base-FX PCI 64/32 Bit
	On Board PCI Express video card
	On Board 16Bit Sound Card
RAM	1GB to 4GB DDR 400MHz (PC-3200) to DDR3 1333Mhz (PC3-10600)
Storage	80GB – 130 GB Hard Disk 5400 - 7400RPM w/ SATA 2 support
Platform	Window 7 and later

Tablets

The Table below outlines the Standard tablet components and specifications in which each RPSS must operate. These must be compliant with the system configurations that appears in the GC National Master Standing Offer (NMSO) for Notebooks, Ruggedized Devices, Mobile Workstations and Tablets.

Table 3. Tablet Specifications

Components Specifications	
Processor	Quad Core 1.4 Ghz
	Intel Core 2.6Ghz
	A10X Fusion Chip /64 bits
Platform	Android 7
	Windows 10
	iOS 9
RAM	2GB to 16GB
Storage	16 GB – 512 GB
Display	10.1" screen
	1920 X 1200 pixels

ANNEX G TO APPENDIX A - GUI EVALUATION GRID

The following lists the seventy (70) criteria against which the interface will be tested. Each criterion is binary (pass = 1 and fail = 0). Each criterion that does not apply to the evaluated RPSS will be given a pass mark.

The total number of pass marks will be divided by 2.80 in order to obtain a grade out of twenty five (25) points. Scores between 0 and 15 will be considered *Unsatisfactory* (0 pts). Scores between 16 and 20 will be considered *Satisfactory* (5 pts) and Scores 21 and higher will be considered *Outstanding* (10 pts).

Table 1– Aesthetic Conditions

Req#	Questions	Pass or Fail	Comments
GUI-1	The general screen background should be the correct colour. I.e. consistent with the Windows blue colour schemes.		
GUI-2	The field should prompt the correct colour. I.e. consistent with the Windows blue colour schemes.		
GUI-3	The field backgrounds should be the correct colour. I.e. consistent with the Windows blue colour schemes.		
GUI-4	All colour options that the user can select should display consistently with the software blue color schemes.		
GUI-5	In read-only mode, all the field should prompt the correct colour. I.e. consistent with the Windows blue colour schemes.		
GUI-6	In read-only mode, all field backgrounds should be the correct colour. I.e. consistent with the Windows blue colour schemes.		
GUI-7	All the screen prompts specified should be in a consistent font.		
GUI-8	The text in all fields specified should be in a consistent font.		
GUI-9	All field prompts should align perfectly on the screen.		
GUI-10	All the field edit boxes should align perfectly on the screen.		
GUI-11	All group-boxes should align correctly on the screen.		
GUI-12	The screen should be resizable.		
GUI-13	The screen should be minimis able.		
GUI-14	All field prompts should be spelt correctly.		
GUI-15	All micro help text should be spelt correctly.		
GUI-16	All error messages should be spelt correctly.		
GUI-17	There should be a default value in each of the fields that require non-null values. The user should either enter an alternative valid value or leave the default value intact.		
GUI-18	All windows and screens should have a consistent look and feel.		
GUI-19	All dialog boxes should have a consistent look and feel?		
	Total	/ 19	

Table 2 – Grid Validation Conditions

Req#	Questions	Pass or Fail	Comments
GUI-20	For each field, validation should not cause a sensible user error message.		
GUI-21	The user should not be required to fix entries which have failed validation tests.		
GUI-22	If the user enters an invalid value and clicks on the OK button (i.e. does not TAB off the field), the system should identify the invalid entry and highlights it correctly with an appropriate error message.		
GUI-23	Entering a negative value in any field that should only accept non-negative values should not cause a failure of validation.		
GUI-24	The system should validate that all mandatory fields have been completed before proceeding.		
	Total number of passes	/ 5	

Table 3 – Navigation Conditions

Req#	Questions	Pass or Fail	Comments
GUI-25	Each screen should be accessed correctly from the menu.		
GUI-26	Each screen should be accessed correctly from the toolbar.		
GUI-27	Each screen should be accessible via buttons be accessed correctly.		
GUI-28	Each screen should be accessible by single and double clicking on a list control be accessed correctly.		
GUI-29	Is the screen modal? I.e. The user should be prevented from accessing other functions when this screen is active.		
GUI-30	Multiple instances of each screen should not be opened at the same time with the exception of those used for data comparison.		
	Total number of passes	/ 6	

Table 4 – Usability Conditions

Req#	Questions	Pass or Fail	Comments
GUI-31	All the dropdowns on the screens (other than tool bar) should be sorted correctly. Alphabetic sorting is the default unless otherwise specified.		
GUI-32	All date fields should be in the correct format. I.e. consistent with the Windows defaults.		
GUI-33	The toolbars should be displayed and hidden by selection.		
GUI-34	All buttons should have been given appropriate Shortcut keys.		
GUI-35	Shortcut keys should work correctly.		
GUI-36	The menu options should have been assigned fast keys associated.		
GUI-37	The menu bar/tool bar menu option should be accessible using expanded right click.		
GUI-38	The Tab Order of each screen should go in sequence from Top Left to bottom right.		
GUI-39	All read-only fields should be avoided in the TAB sequence.		

GUI-40	All disabled fields should be avoided in the TAB sequence.		
GUI-41	The cursor should not be placed in read-only fields by clicking in the field with the mouse.		
GUI-42	The cursor should be positioned in the first input field and control when each screen is opened.		
GUI-43	There should be a default button specified each screen.		
GUI-44	The default button should work correctly.		
GUI-45	When an error message occurs, The focus should return to the field in error.		
GUI-46	The Alt+Tab function to switch applications should not have any impact on the screen upon return to the application.		
Total number of passes		/ 16	

Table 5 – Data Integrity Conditions

Req#	Questions	Pass or Fail	Comments
GUI-47	The data should be saved when the window is closed by clicking on the close box.		
GUI-48	All fields which require non-null values should have default values. The user should either enter an alternative valid value or leave the default value intact.		
Total number of passes		/ 2	

Table 6 – General Conditions

Req#	Questions	Pass or Fail	Comments
GUI-49	There should be a "Help" menu.		
GUI-50	Menu commands and options should properly grouped and sorted.		
GUI-51	There should not be any conflicting Hotkeys on any screen.		
GUI-52	Pressing the escape key should undo any changes done within a field.		
GUI-53	If the system uses pop-ups and cascading windows, it should not be possible to use command buttons in other windows and dialog boxes.		
GUI-54	Command buttons that are not usable should be greyed out.		
GUI-55	The OK and Cancel buttons should be grouped separately from other command buttons.		
GUI-56	All of the command buttons should be of similar size and shape, and the same font and font size?		
GUI-57	All command buttons should be accessible via a hot key combination.		
GUI-58	There should not be any option buttons and radio buttons with abbreviated names.		
GUI-59	There should not be any option boxes with abbreviated names.		
GUI-60	The colour red should not be used to highlight active objects. (It mustn't be because many individuals are red-green colour blind).		

GUI-61	The application should use the operating systems colour scheme for application desktop and highlight colours.		
GUI-62	There should not be any of the screens/windows cluttered.		
GUI-63	The Ctrl+F6 should open the next tab within a tabbed window. (if the proposed solution does not use tabbed windows, a pass mark will be assigned)		
GUI-64	The Shift+Ctrl+F6 should open the previous tab within a tabbed window. (if the proposed solution does not use tabbed windows, a pass mark will be assigned)		
GUI-65	The tabbing should go to the next editable field in the window.		
GUI-66	If there are 8 or fewer options in a list box, all options should be visible without scrolling.		
GUI-67	The user should be prevented from exiting every screen, window and dialog box until all errors are corrected.		
GUI-68	When going to a new tab, dialog box, screen or window, the focus should be placed on the first editable field.		
GUI-69	The font should be consistent throughout the entire application.		
GUI-70	There should be micro help information for each field and button.		
	Total number of passes	/ 22	
		/ 70	/ 25