



Canada
Revenue
Agency

Agence du revenu du
Canada

Invitation to Qualify #1000353414
Records Management and Storage Services (RMASS)

**RETURN RESPONSE TO:
RETOURNER LES SOUMISSION À:**

**Canada Revenue Agency
Agence du revenu du Canada**

**INVITATION TO QUALIFY (ITQ) /
D'INVITATION À SE QUALIFIER (IQ)**

Title – Sujet CRA Records Management and Storage Services (RMASS)	
ITQ No. – No de IQ 1000353414	Date December 22, 2020 le 22 décembre 2020
ITQ closes – L'invitation prend fin le February 10, 2021 le 10 février 2021 at 11:59PM à 23 h 59 m	Time zone – Fuseau horaire EST/HNE Eastern Standard Time / Heure Normale de l'Est
Contracting Authority – Autorité contractante Name – Nom : Arkadiusz Tchorzewski Email address – Adresse de courriel : arkadiusz.tchorzewski@cra-arc.gc.ca	
Telephone No. – No de téléphone (613) 291-5318	
RESPONSES MUST BE SUBMITTED TO : See section 3.2 Submission of Responses <u>ENQUIRES:</u> All enquires regarding this ITQ must be submitted via e-mail to: arkadiusz.tchorzewski@cra-arc.gc.ca	



INVITATION TO QUALIFY (ITQ)

CRA Record Management and Storage Services (RMASS)

PART 1 GENERAL INFORMATION

1.1 Parts of the ITQ

This ITQ is divided into the following parts:

- **PART 1** General Information: provides a general description of the requirement;
- **PART 2** Procurement Process: provides an overview of the phases of the procurement process;
- **PART 3** Respondent Instructions: provides the instructions, clauses and conditions applicable to the solicitation;
- **PART 4** Response Preparation Instructions: provides suppliers with instructions on how to prepare their response;
- **PART 5** Security and Other Requirements: includes information on the security clearances that are required by the CRA at certain phases of the procurement process; and
- **PART 6** Evaluation Procedures and Basis of Qualification: indicates how the responses will be evaluated and the basis of qualification.

1.2 Introduction

1.2.1 Overview of the Project

The Canada Revenue Agency (CRA) has a requirement for records management and storage services associated with the secure off-site storage and management of information records in paper-based, microform, and electronic storage media forms, on an as-and-when requested basis.

The CRA requires a Managed Services Provider (MSP) to house its existing paper-based records inventory of approximately 550,000 cartons and to provide associated records management services.

To fully support the CRA's business requirements, the following Records Management and Storage Service (RMASS) business capabilities are required: inventory management, storage, accession, retrieval, refile, delocation, destruction and data exchange.

The RMASS will form part of the CRA's new Records Management Model (RMM), identified in *Annex B: Statement of Work*, which will require integration with CRA's IT Systems services and Records Preparation services.



1.2.2 Objective

- a) The CRA seeks to establish a pool of qualified suppliers who have experience in records management and storage services associated with the secure off-site storage and management of paper records. Suppliers will participate in a three-step procurement process for Records Management and Storage Services, as described in *Annex B: Statement of Work*.

Suppliers are invited to pre-qualify in accordance with the terms and conditions of this ITQ in order to become “Qualified Respondents” for any later phases of the procurement process. At the CRA’s sole discretion, only respondents qualified through this ITQ may be permitted to bid on any subsequent solicitation issued as part of the procurement process, or alternatively, the solicitation may be open for bidding to all interested suppliers. Should the CRA move forward with the latter option, bidders who did not previously qualify through the ITQ process will be required to meet all of the mandatory requirements identified within this ITQ document. However, these bidders will not have the opportunity to further refine the requirements as part of the Review and Refine Requirements as described in Part 2 - Procurement Process.

- b) This ITQ is not a solicitation of bids or tenders; a contract **will not** result from this ITQ. The CRA reserves the right to cancel any of the preliminary requirements included as part of the Project at any time during the ITQ phase or any other phase of the procurement process. Given that the ITQ process may be partially or completely cancelled by Canada, it may not result in any of the subsequent procurement processes described in this solicitation. Suppliers who submit a response can choose not to bid on any subsequent solicitation.
- c) The CRA is considering a five year contract period, plus up to five one-year optional periods.
- d) The CRA encourages Qualified Respondents to offer service options for additional goods and services that are not defined herein during the RRR phase. Any such offerings will be reviewed with the Qualified Respondents during RRR phase.



PART 2 PROCUREMENT PROCESS

2.1 Overview

A multi-phase collaborative procurement approach called Collaborative Procurement Solution (CPS) will be used for the CRA's Records Management and Storage Services (RMAS) procurement process. This approach focuses on the engagement with industry in order to help define the requirements and the procurement approach and allow the CRA to perform due diligence with respect to the requirements with Qualified Respondents before issuing a bid solicitation.

The diagram below depicts the major phases of the CPS:



2.2 Fairness Monitor

The CRA has retained the services of a Fairness Monitor (FM) for the entire procurement process to monitor the process and to provide assurances whether this activity is conducted in a fair, open and transparent manner and that all actions involved in the specific activity are conducted in accordance with the official governance structure and prescribed processes. The fairness monitor will be given access to all the procurement documents as well as responses and bids submitted by the suppliers for all phases.

2.3 Invitation to Qualify Phase (ITQ)

- 2.3.1 The ITQ will be used to qualify Respondents who have the required experience in records management and storage services.
- 2.3.2 The responses received under this ITQ will be evaluated against mandatory evaluation criteria as detailed in Part 6 – Evaluation Procedures and Basis for Qualification.
- 2.3.3 Respondents who meet all the mandatory criteria will be notified in writing by the Contracting Authority and will be considered “Qualified Respondents” and proceed to the Review and Refine Requirements phase described below.

2.4 Review and Refine Requirements Phase (RRR)

- 2.4.1 The CRA will start the RRR phase by providing all Qualified Respondents with the detailed process that will be followed for the RRR phase.



2.4.2 The CRA has provided a preliminary Statement of Work (SOW), attached herein as *Annex B*. The CRA will seek feedback from the Qualified Respondents to clarify and refine the SOW further. The CRA may also seek feedback concerning other elements, such as recommendations on a pricing structure and bid evaluation criteria, for use in any potential RFP. These interactions could include:

- a) one-on-one discussions;
- b) presentation sessions; and
- c) written questions and answers.

2.4.3 The one-on-one discussions and presentation sessions may be done remotely through the use of technology. Specific tool(s) that may be used for this purpose will be determined prior to the start of the RRR phase.

2.5 Request for Proposal (RFP) and Contract Award Phase

2.5.1 As part of the RFP process, the CRA intends to conduct a proof of proposal verification of the top-ranked Bidder's proposal.

2.5.2 After completion of the RFP phase, including a successful proof of proposal verification, the top-ranked Bidder will be recommended for contract award. A detailed selection methodology will be provided in the RFP document.

2.6 Project Timeline - Estimated Dates (*subject to change*)

ITQ Publication:	December 2020
ITQ Completion	March 2021
RRR phase:	March – May 2021
RFP phase:	June – August 2021
Proof of Proposal:	September - November 2021
Winning bidder selected:	September – November 2021
Contract Award:	December 2021
Solution Integration and Records Transfer Phase:	January – May 2022



PART 3 RESPONDENT INSTRUCTIONS

3.1 Invitation to Qualify (ITQ) Phase

- 3.1.1** All instructions, clauses and conditions identified in the ITQ by number, date and title are set out in the Standard Acquisition Clauses and Conditions Manual (<https://buyandsell.gc.ca/policy-and-guide-lines/standard-acquisition-clauses-and-conditions-manual>) issued by Public Works and Government Services Canada (PWGSC). If there is a conflict between the provisions of this document and any documents that are incorporated into it by reference, this document prevails.
- 3.1.2** Suppliers who submit a response agree to be bound by the instructions, clauses and conditions of the ITQ.
- 3.1.3** The standard instructions and conditions 2003 (2019-03-04) are incorporated by reference into and form part of the ITQ.
- 3.1.4** Standard Instructions – Goods or Services – Competitive 2003 (2019-03-04) are revised as follows:

Wherever the term “bid solicitation” is used, substitute “ITQ”;
Wherever the term “bid” is used, substitute “response”;
Wherever the term “bids” is used, substitute “responses”;
Wherever the term “Bidder” is used, substitute “Respondent”;
Wherever the term “Bidders” is used, substitute “Respondents”;
Wherever the term “solicitation” is used, substitute “ITQ”;

Section **01 Integrity Provisions– Bid** is deleted in its entirety and replaced with the following:

01 Integrity Provisions - Response

1. The Supplier Integrity Directive (SID) dated May 24, 2016, is incorporated by reference into, and forms a binding part of the invitation to qualify. The Respondent must comply with the SID, which can be found on the Canada Revenue Agency’s website at <https://www.canada.ca/en/revenue-agency/corporate/about-canada-revenue-agency-cra/procurement-cra/supplier-integrity-directive.html>
2. Under the SID, charges and convictions of certain offences against a Supplier, its affiliates or first tier subcontractors, and other circumstances, will or may result in a determination by Public Works and Government Services Canada (PWGSC) that the Supplier is ineligible to enter, or is suspended from entering into a contract with Canada. The list of ineligible and suspended Suppliers is contained in PWGSC’s Integrity Database. The SID describes how enquiries can be made regarding the ineligibility or suspension of Suppliers.



3. In addition to all other information required in the invitation to qualify, the Respondent must provide the following:
 - a. by the time stated in the SID, all information required by the SID described under the heading “Mandatory Provision of Information”; and
 - b. with its response, a complete list of all foreign criminal charges and convictions pertaining to itself, its affiliates and its proposed first tier subcontractors that, to the best of its knowledge and belief, may be similar to one of the listed offences in the SID. The list of foreign criminal charges and convictions must be submitted using an Integrity Declaration Form, which can be found at Declaration form for procurement.
4. Subject to subsection 5, by submitting a response in response to this invitation to qualify, the Respondent certifies that:
 - a. it has read and understands the SID (<https://www.canada.ca/en/revenue-agency/corporate/about-canada-revenue-agency-cra/procurement-cra/supplier-integrity-directive.html>)
 - b. it understands that certain domestic and foreign criminal charges and convictions, and other circumstances, as described in the SID, will or may result in a determination of ineligibility or suspension under the SID;
 - c. it is aware that Canada may request additional information, certifications, and validations from the Respondent or a third party for purposes of making a determination of ineligibility or suspension;
 - d. it has provided with its response a complete list of all foreign criminal charges and convictions pertaining to itself, its affiliates and its proposed first tier subcontractors that, to the best of its knowledge and belief, may be similar to one of the listed offences in the SID;
 - e. none of the domestic criminal offences, and other circumstances, described in the SID that will or may result in a determination of ineligibility or suspension, apply to it, its affiliates and its proposed first tier subcontractors; and
 - f. it is not aware of a determination of ineligibility or suspension issued by PWGSC that applies to it.
5. Where a Respondent is unable to provide any of the certifications required by subsection 4, it must submit with its response a completed Integrity Declaration Form, which can be found at Declaration form for procurement.
6. Canada will declare non-responsive any response in respect of which the information requested is incomplete or inaccurate, or in respect of which the information contained in a certification or declaration is found by Canada to be false or misleading in any respect. If Canada establishes after award of the



Contract that the Respondent provided a false or misleading certification or declaration, Canada may terminate the Contract for default. Pursuant to the SID, Canada may also determine the Respondent to be ineligible for award of a contract for providing a false or misleading certification or declaration.

Section **02 Procurement Business Number** is deleted in its entirety.

Section **03 Standard Instructions, Clauses and Conditions**, is deleted in its entirety and replaced with: “The instructions, clauses and conditions identified in the invitation to qualify by number, date, and title are incorporated by reference into and form part of the invitation to qualify as though expressly set out in the invitation to qualify.”;

Section **04 Definition of Bidder** is deleted in its entirety and replaced with the following:

04 Definition of Respondent

“Respondent” means the person or entity (or, in the case of a joint venture, the persons or entities) submitting a Response to the invitation to qualify. It does not include the parent, subsidiaries or other affiliates of the Respondent, or its subcontractors.

Section **05 Submission of Bids:**

- i. paragraph 2(d) is deleted in its entirety and replaced with the following:

(d) send its response only to the Canada Revenue Agency as specified at section 3.2 of the ITQ.

- ii. subparagraph 2(f) is amended to delete “including all requested pricing details”,

- iii. paragraph 4 is deleted;

Section **06 Late Bids** is deleted in its entirety and replaced with:

The CRA will return responses delivered after the stipulated ITQ closing date and time, unless they qualify as a delayed response as described in section 07.

For responses submitted either by fax or by an electronic/online fax service, the late responses will be deleted. Records will be kept documenting the transaction history of all late responses submitted.

Section **07 Delayed Bids:**

- i. all references to “PWGSC” are deleted and replaced with “the CRA”;
- ii. at paragraph 1, “before the contract award date” is deleted and replaced with “before the RRR phase”;
- iii. subparagraph 1(b) is deleted;



Section **08 Transmission by facsimile or by epost Connect** is deleted in its entirety and replaced with the following:

08 Transmission by facsimile or using an electronic/online fax service

1. Facsimile

- a. Unless otherwise specified in the ITQ, responses may be submitted by facsimile. The only acceptable facsimile number for responses to solicitations issued by the CRA is **1-418-556-1811**, or, if applicable, the facsimile number identified in the solicitation.
- b. For responses transmitted by facsimile, the CRA will not be responsible for any failure attributable to the transmission or receipt of the faxed response including, but not limited to, the following:
 - i. receipt of garbled, corrupted or incomplete response;
 - ii. availability or condition of the receiving facsimile equipment;
 - iii. incompatibility between the sending and receiving equipment;
 - iv. delay in transmission or receipt of the response;
 - v. failure of the Respondent to properly identify the response;
 - vi. illegibility of the response; or
 - vii. security of response data.
- c. A response transmitted by facsimile constitutes the formal response of the Respondent and must be submitted in accordance with section 05.
- d. The ITQ number should be identified in the cover page of all faxed transmissions.
- e. Respondents must ensure that they are using the correct facsimile number.
- f. Respondents are discouraged from using colours and shades in their response documents as transmittal process may render the information non readable.

2. Electronic/Online Fax Service

- a. Unless otherwise specified in the solicitation, responses may be submitted by using an electronic/online fax service (for example eFax, Metrofax, Myfax, Hellofax, Ring Central Fax etc.). The only acceptable facsimile number for responses to solicitations issued by the CRA is **1-**



418-556-1811, or, if applicable, the facsimile number identified in the solicitation.

- b. To submit a response using an electronic/online fax service, the Respondent must send its response directly only to the specified facsimile number provided using its own software or licensing agreement for electronic/online fax services.
- c. The ITQ number should be identified in the cover page of all electronic/online fax service transmissions.
- d. For responses transmitted by electronic/online fax service, Canada will not be responsible for any failure attributable to the transmission or receipt of the response including, but not limited to, the following:
 - i. receipt of a garbled, corrupted or incomplete response;
 - ii. availability or condition of the electronic/online fax service;
 - iii. incompatibility between the sending and receiving equipment;
 - iv. delay in transmission or receipt of the response;
 - v. failure of the Respondent to properly identify the response;
 - vi. illegibility of the response;
 - vii. security of response data; or,
 - viii. inability to transmit through the electronic/online fax service.
- e. When the transmission using the electronic/online fax service is complete a time stamp will be applied and the file saved.
- f. Respondents must ensure that they are using the correct facsimile number for the Bid Receiving Unit when submitting their response using an electronic/online fax service.
- g. A response transmitted using an electronic/online fax service constitutes the formal response of the Respondent and must be submitted in accordance with article 05.

Section **11 Rights of Canada**, paragraphs (b), (c) and (g) are deleted in their entirety;

Section **12 Rejection of Bid**, subsections 1(a) and 1(b) are deleted in their entirety;

Section **14 Price Justification** is deleted in its entirety;

Section **16 Conduct of evaluation**:



- i. at subparagraph 1(c), “before award of any contract” is deleted and replaced with: “before the RRR phase”,
- ii. subparagraph (e) is deleted in its entirety;

Section 17 Joint venture :

- i. at subparagraph 1(b), the word “Procurement” is deleted from the sentence;
- ii. paragraph 3 is deleted in its entirety and replaced with: “The Response must be signed by all the members of the joint venture unless one member has been appointed to act on behalf of all members of the joint venture. The Contracting Authority may, at any time, require each member of the joint venture to confirm that the representative has been appointed with full authority to act as its representative for the purposes of the invitation to qualify.”

Section 20 Further Information is deleted in its entirety;

Section 21 Code of Conduct for Procurement-bid is deleted in its entirety.

3.2 Submission of Responses

When responding, the responses **MUST** be sent by fax or using an electronic/online fax service to **1-418-556-1811**

Respondents should keep a copy of their fax transmission report for record keeping purposes.

ONLY ELECTRONIC RESPONSES WILL BE ACCEPTED. Due to the COVID-19 situation, the delivery of a physical (paper) response is not considered to be practical and therefore physical responses will not be accepted.

Canada reserves the right to request a copy of the response documentation in native format (example: MS Word, MS Excel, Portable Document Format) after ITQ closing for use in the evaluation phase. Respondents may be asked by the Contracting Authority to provide this documentation via email with a specified timeframe. If there is a discrepancy between the wording of the electronic copy submitted in response to the Contracting Authority’s request and the original faxed copy submitted by fax or using an electronic/online fax service, the wording of the original faxed copy will have priority over the wording of the electronic copy.

3.3 Enquiries during the ITQ Period

- 3.3.1** There are two question periods. All enquiries regarding the ITQ must be submitted in writing to the Contracting Authority within the two periods identified below. Enquiries received after this period may not be answered.



Period 1: Enquiries should be submitted no later than **January 12, 2021**.

Period 2: Enquiries should be submitted no later than **January 26, 2021**.

- 3.3.2** Respondents should reference as accurately as possible the section and numbered item of the ITQ to which the enquiry relates. Care should be taken by Respondents to explain each question in sufficient detail in order to enable the CRA to provide an accurate answer.
- 3.3.3** Technical enquiries that are of a proprietary nature must be clearly marked “proprietary” at each relevant item. Items identified as proprietary will be treated as such except where the CRA determines that the enquiry is not of a proprietary nature. The CRA may edit the questions or may request that the Respondent do so, so that the proprietary nature of the question is eliminated, and the enquiry can be answered with copies to all respondents. Enquiries not submitted in a form that can be distributed to all respondents may not be answered by the CRA.

3.4 Submission of Only One Response

- 3.4.1** A Respondent can be an individual, a sole proprietorship, a corporation, a partnership or a joint venture.
- 3.4.2** Each Respondent (including related entities) will only be permitted to qualify once. If a Respondent or any related entities participate in more than one response (participating means being part of the Respondent, not being a subcontractor), the CRA will provide those Respondents with two Federal Government Working Days (FGWDs) to identify the single response to be considered by the CRA. Failure to meet this deadline may result in all responses being disqualified or at its own discretion, the CRA may decide which of the responses to evaluate.

An FGWD is a calendar day, except for Saturday, Sunday and the following holidays: 1) New Year’s Day¹; 2) Good Friday and Easter Monday; 3) Victoria Day; 4) St-Jean Baptiste Day¹; 5) Canada Day¹; 6) 1st Monday in August; 7) Labour Day; 8) Thanksgiving Day; 9) Remembrance Day¹; 10) Christmas Day¹; and 11) Boxing Day². Notes: ¹If this holiday occurs on a Saturday or Sunday, then the following Monday will be a holiday. ²If this holiday occurs on a Saturday, then the following Monday will be a holiday. If this holiday occurs on a Sunday or Monday, then the following Tuesday will be a holiday.

- 3.4.3** For the purposes of this article, regardless of the jurisdiction where any of the entities concerned is incorporated or otherwise formed as a matter of law (whether that entity is an individual, corporation, partnership, etc.) an entity will be considered to be “related” to a Respondent if:
- a) they are the same legal entity (for example: the same natural person, corporation, partnership, limited liability partnership, etc.);
 - b) they are "related persons" or "affiliated persons" according to the Canada Income Tax Act;



- c) they have now or in the two years before the ITQ closing had a fiduciary relationship with one another (either as a result of an agency arrangement or any other form of fiduciary relationship); or
- d) they otherwise do not deal with one another at arm's length, or each of them does not deal at arm's length with the same third party.

3.4.4 Despite the restriction set out above, a Respondent may act as a subcontractor to another Respondent.

3.4.5 Any individual, sole proprietorship, corporation, or partnership that is a Respondent as part of a joint venture cannot submit another response on its own or as part of another joint venture.

Example 1: Supplier A does not itself have all the experience required by the ITQ. However, Supplier B has the experience that Supplier A lacks. If Supplier A and Supplier B decide to team up to submit a response together as a joint venture, both entities are together considered the Respondent. Neither Supplier A nor Supplier B can team up with another supplier to submit a separate response, because each is already part of a Respondent.

Example 2: Supplier X is a Respondent. Supplier X's subsidiary, Supplier Y, decides to team up with Supplier Z to submit a response as a joint venture. Suppliers Y and Z, as well as Supplier X, will all be asked to determine which one of the two responses will be considered by Canada. Both responses cannot be submitted, because Supplier Y is related to Supplier X as an affiliate.

3.4.6 By submitting a response, the Respondent is certifying that it does not consider itself to be related to any other Respondent.

3.4.7 The Contracting Authority may still require that one or more of the entities constituting a respondent submit a certification or legal opinion regarding whether or not it is related to any other respondent and explaining why.

3.5 Language

Respondents should identify in the ITQ Submission Form (Annex A) which of Canada's two official languages it prefers for future communications with the CRA.



PART 4 RESPONSES PREPARATION INSTRUCTIONS

4.1 Response Preparation Instructions

- 4.1.1** Pricing is not a requirement of this ITQ and should not be included in the response.
- 4.1.2** The CRA requests that **no brochures and promotional materials** be included with the response.
- 4.1.3** Format for Response: The CRA requests that Respondents follow the format instructions described below in the preparation of their response:
 - a) use a numbering system that corresponds to the ITQ;
 - b) include a title page at the front of each volume of the response that includes the title, date, procurement process number, Respondent's name and address and contact information of its representative; and
 - c) include a table of contents.

4.2 Content of the Response

A complete ITQ response consists of the following documents:

- a) ITQ Submission Form found at Annex A; and
- b) Response to the evaluation criteria outlined in Annex C.

4.3 ITQ Submission Form – Annex A

Respondents are requested to include the completed ITQ Submission Form (Annex A) with their response. The form provides a common format in which Respondents can provide information required for evaluation.



PART 5 SECURITY, FINANCIAL AND OTHER REQUIREMENTS

5.1 Security Clearance Requirement

- 5.1.1** There are no security clearances required to participate in this ITQ. Annex E: Security Requirements outlines the essential mandatory security requirements expected to be applicable at the RFP stage. These requirements address some, but not necessarily all of the requirements which Canada intends to address in the RFP. Additional security requirements may be included in subsequent phases of this procurement process. Canada is including these requirements in this ITQ to provide respondents advance notice of some of the requirements that are likely to be included in the associated RFP. The CRA intends to include security requirements during the RFP Stage of the procurement process that the successful bidder will have to meet before the award of any contract.
- 5.1.2** The CRA will provide the RFP and contract security clauses at the RRR phase of this procurement process. The CRA reserves the right to revise the security requirements following the RRR phase.

5.2 Financial Capability

- 5.2.1** It is anticipated that PSPC's SACC Manual clause A9033T (2012-07-16), Financial Capability, will apply to any subsequent bid solicitation(s); except that:
- a) subsection 3 may be deleted and replaced with the following: "If the Bidder is a subsidiary of another company, then any financial information required by the Contracting Authority in 1(a) to (f) must be provided by each level of parent company, up to and including the ultimate parent company. The financial information of a parent company does not satisfy the requirement for the provision of the financial information of the Bidder; however, if the CRA determines that the Bidder is not financially capable but the parent company is, or if the CRA is unable to perform a separate assessment of the Bidder's financial capability because its financial information has been combined with its parent's, the CRA may, in its sole discretion, award the Contract to the Bidder on the condition that the parent company grant a performance guarantee to Canada."; and
 - b) subsection 4 may be deleted.
- 5.2.2** In the case of a joint venture, each member of the joint venture would have to meet the financial capability requirements.
- 5.2.3** Financial capability will be evaluated during the Bid Solicitation Phase.



PART 6 EVALUATION PROCEDURES AND BASIS OF QUALIFICATION

6.1 General Evaluation Procedures

- 6.1.1** An evaluation team composed of representatives of the CRA will evaluate the ITQ responses. The CRA may hire any independent consultant, or use any Government resources, to evaluate any ITQ response. Not all members of the evaluation team will necessarily participate in all aspects of the evaluation.
- 6.1.2** Each response will be reviewed to determine whether it meets the mandatory requirements of the ITQ as described in Annex C: Mandatory Criteria. Any element of the ITQ identified with the words “must”, “shall”, “will” or “mandatory” is a mandatory requirement. Responses that do not comply with each and every mandatory requirement will be declared non-responsive and be disqualified.
- 6.1.3** In addition to any other time periods established in the ITQ:
- a) Requests for Clarifications: If the CRA seeks clarification or verification from the Respondent about its response, including certifications, the Respondent will have two FGWDs (or a longer period if specified in writing by the Contracting Authority) to provide the necessary information to the CRA. Failure to meet this deadline will result in the response being declared non-responsive.
 - b) Extension of Time: If additional time is required by the Respondent, an extension may be granted at the sole discretion of the Contracting Authority.

6.2 Project Reference Process (Annex C: Mandatory Criteria, Criterion M1)

- 6.2.1** The CRA will contact the Primary reference or, when applicable, the Backup reference, in order to validate the accuracy of any information within the Project References. The CRA may conduct any Project Reference validation check in writing by e-mail by sending to the reference a copy of the Project Reference provided by the Respondent in its response. The CRA will email (cc) the Respondent's contact when an e-mail is sent out for Project Reference validation checks.
- 6.2.2** The CRA must receive the reference's confirmation of the validity of the information within the Project References within five FGWDs from the date of the request by the Contracting Authority. If the CRA does not receive confirmation within five FGWDs from either the Primary or Backup reference that the information within the Project Reference is accurate (or that any inaccuracies are not material to whether or not the project meets the mandatory requirements), that Respondent's Project Reference will not be considered in the evaluation. The CRA may also contact a Primary or Backup reference for clarification purposes.
- 6.2.3** If during a Project Reference validation by the CRA it becomes apparent that the email address for any of the references is incorrect or missing, the Respondent will be permitted to provide the correct telephone number or email address within one FGWD of a request



by the CRA. If the named individual for the Primary reference is unavailable because they are on leave, or no longer working for that organization, the CRA will contact the Backup reference from the same customer organization.

6.3 Basis for Qualification

- 6.3.1** A Respondent whose response to the ITQ has been declared responsive will be a Qualified Respondent and proceed to the RRR phase. A formal notification by the Contracting Authority will be issued.
- 6.3.2** The CRA reserves the right to re-evaluate any aspect of the qualification of any Qualified Respondent at any time during the three phase procurement process. For example, if new information comes to the attention of Canada that calls into question any of the Qualified Respondent's qualifications under this ITQ, Canada may re-evaluate that Qualified Respondent. If Canada re-evaluates the qualification of any Qualified Respondent, Canada may request further information and, if the Qualified Respondent fails to provide it within five FGWDs (or a longer period provided by the Contracting Authority), Canada may disqualify the Qualified Respondent.
- 6.3.3** Unsuccessful Respondents will not be given another opportunity to participate nor be re-evaluated for the subsequent phases of the procurement process, unless Canada determines in its sole discretion to open the solicitation to all interested suppliers at the RFP stage.
- 6.3.4** All Respondents will be notified in writing regarding whether or not they have qualified.



PART 7 CERTIFICATIONS

The following certifications are provided for information purposes only. The CRA intends to include these certifications during the RFP stage of the procurement process. **These certifications are not required as part of the Respondent's ITQ response.**

Certifications and Additional Information

Bidders will be required to provide the required certifications and associated information to be awarded a contract.

The certifications provided by bidders to Canada will be subject to verification by Canada at all times. Canada will declare a bid non-responsive, or will declare a contractor in default in carrying out any of its obligations under the Contract, if any certification made by the Bidder is found to be untrue, whether made knowingly or unknowingly, during the bid evaluation period or during the contract period.

The Contracting Authority will have the right to ask for additional information to verify the Bidder's certifications. The Contracting Authority will provide a timeframe for responding. Failure to comply and to cooperate with any request or requirement imposed by the Contracting Authority may render the bid non-responsive or constitute a default under the Contract.

The Certifications listed at 7.1 will be required to be completed and submitted with the bid in the Request for Proposal (RFP) and Contract Award Phase. Failure to submit the Certifications listed at 7.1 in response to the RFP will render the bid non-responsive and the bid will receive no further consideration.

7.1 Certifications Required To Be Submitted At Time of Bid Closing

Joint Venture Certification

Only complete this certification if a joint venture is being proposed

The Bidder represents and warrants the following:

- (a) The bidding entity is a joint venture in accordance with the following definition. A "joint venture" is an association of two or more parties who have entered into a written contract in which they have set out the terms under which they have agreed to combine their money, property, knowledge, skills, time or other resources in a joint business enterprise, sharing the profits and the losses and each having some degree of control over the enterprise.
- (b) The name of the joint venture is: _____ (if applicable).
- (c) The members of the contractual joint venture are (the Bidder is to add lines to accommodate the names of all members of the joint venture, as necessary):



- (d) The Business Numbers (BN) of each member of the contractual joint venture are as follows
(the Bidder is to add lines for additional BNs, as necessary):

- (e) The effective date of formation of the joint venture is: _____
- (f) Each member of the joint venture has appointed and granted full authority to
_____ (the "Lead Member") to act on behalf of all members
as its representative for the purposes of executing documentation relating to the solicitation
and any resulting contract.
- (g) The joint venture is in effect as of the date of bid submission.

This Joint Venture Certification must be signed by each member of the joint venture.

The Joint Venture Certification shall be effective throughout the entire period of the Contract,
including any exercised option period, if exercised.

The CRA has the right to request documentation from the Bidder evidencing the existence of
the contractual joint venture.

Signature of an authorized representative of each member of the joint venture:

(the Bidder is to add signatory lines as necessary):

_____ Signature of Duly Authorized Representative	_____ Name of Individual (Please Print)	_____ Legal Name of Business Entity	_____ Date
_____ Signature of Duly Authorized Representative	_____ Name of Individual (Please Print)	_____ Legal Name of Business Entity	_____ Date



7.2 Certifications Precedent to Contract Award and Associated Information

The certifications listed below should be completed and submitted with the bid but may be submitted afterwards. If any of these required certifications is not completed and submitted as requested, the Contracting Authority will inform the Bidder of a time frame within which to provide the information. Failure to comply with the request of the Contracting Authority and to provide the certification within the time frame provided will render the bid non responsive and the bid will receive no further consideration.

7.2.1 Integrity Provisions – Associated Information

By submitting a bid, the Bidder certifies that the Bidder and its Affiliates are in compliance with the provisions as stated in Section 01 Integrity Provisions - Bid of the 2003 (2019-03-04) Standard Instructions. The associated information required within the Integrity Provisions will assist Canada in confirming that the certifications are true.

7.2.2 Employment Equity

By submitting a bid, the Bidder certifies that the Bidder, and any of the Bidder's members if the Bidder is a Joint Venture, is not named on the Federal Contractors Program (FCP) for employment equity list at [FCP Limited Eligibility to Bid](#).

Canada will have the right to declare a bid non-responsive if the Bidder, or any member of the Bidder if the Bidder is a Joint Venture, appears on the list mentioned above at the time of contract award.

7.2.3 Former Public Servant

Contracts awarded to former public servants (FPS) in receipt of a pension or of a lump sum payment must bear the closest public scrutiny, and reflect fairness in the spending of public funds. Bidders must provide the information required below before contract award. If the answer to the questions and, as applicable the information required, have not been received by the time the evaluation of bids is completed, Canada will inform the Bidder of a time frame within which to provide the information. Failure to comply with Canada's request and meet the requirement within the prescribed time frame will render the bid non-responsive.

Definitions:

For the purposes of this clause, "former public servant" is any former employee of a department as defined in the [Financial Administration Act](#), R.S., 1985, c. F-11, a former member of the Canadian Armed Forces or a former member of the Royal Canadian Mounted Police. A former public servant may be:

- a. an individual;
- b. an individual who has incorporated;
- c. a partnership made of former public servants; or
- d. a sole proprietorship or entity where the affected individual has a controlling or major interest in the entity.



"lump sum payment" means the period measured in weeks of salary, for which payment has been made to facilitate the transition to retirement or to other employment as a result of the implementation of various programs to reduce the size of the Public Service. The lump sum payment period does not include the period of severance pay, which is measured in a like manner.

"pension" means, a pension or annual allowance paid under the [Public Service Superannuation Act](#) (PSSA), R.S., 1985, c.P-36, and any increases paid pursuant to the [Supplementary Retirement Benefits Act](#), R.S., 1985, c.S-24 as it affects the PSSA. It does not include pensions payable pursuant to the [Canadian Forces Superannuation Act](#), R.S., 1985, c.C-17, the [Defence Services Pension Continuation Act](#), 1970, c.D-3, the [Royal Canadian Mounted Police Pension Continuation Act](#), 1970, c.R-10, and the [Royal Canadian Mounted Police Superannuation Act](#), R.S., 1985, c.R-11, the [Members of Parliament Retiring Allowances Act](#), R.S., 1985, c.M-5, and that portion of pension payable to the [Canada Pension Plan](#), R.S., 1985, c.C-8.

7.2.3.1 Former Public Servant in Receipt of a Pension

As per the above definitions, is the Bidder a FPS in receipt of a pension? **Yes () No ()**

If so, the Bidder must provide the following information, for all FPSs in receipt of a pension, as applicable:

- a. name of former public servant; and
- b. date of termination of employment or retirement from the Public Service.

By providing this information, Bidders agree that the successful Bidder's status, with respect to being a former public servant in receipt of a pension, will be reported on departmental websites as part of the published proactive disclosure reports.

7.2.3.2 Work Force Adjustment Directive

Is the Bidder a FPS who received a lump sum payment pursuant to the terms of the Work Force Adjustment Directive? **Yes () No ()**

If so, the Bidder must provide the following information:

- (a) name of former public servant;
- (b) conditions of the lump sum payment incentive;
- (c) date of termination of employment;
- (d) amount of lump sum payment;
- (e) rate of pay on which lump sum payment is based;
- (f) period of lump sum payment including start date, end date and number of weeks;



- (g) number and amount (professional fees) of other contracts subject to the restrictions of a work force adjustment program.

For all contracts awarded during the lump sum payment period, the total amount of fees that may be paid to a FPS who received a lump sum payment is \$5,000, including Applicable Taxes.

7.2.4 Vendor Reporting Information

The following information should be provided to enable CRA compliance with paragraph 221(1)(d) of the Income Tax Act, R.S.C. 1985, c.1 (5th Supp.) and report payments made to contractors under applicable services contracts (including contracts involving a mix of goods and services) on a T1204 Government Service Contract Payments slip.

For the purpose of this clause:

“Legal Name” means the name of the company, corporation or other entity constituted as a legal person under which this person exercises its rights and performs its obligations.

“Operating Name” means the name that is legally protected and used in the course of its business by a company, corporation or other entity legally constituted as a legal person, or by the individual.

The Bidder is requested to provide the following:

Legal Name:	<hr/>
Operating Name:	<hr/>
Address:	<hr/>
Payment/T1204 Address (if different)	<hr/>
	<input type="radio"/> Payment address is same as above
	<hr/>
	<hr/>
City:	<hr/>
Province:	<hr/>
Postal Code:	<hr/>
Telephone:	<hr/>



Canada
Revenue
Agency

Agence du revenu du
Canada

Invitation to Qualify #1000353414
Records Management and Storage Services (RMAS)

Fax:

Type of Business (Select only one)

- ☐ Corporation ☐ Partnership ☐ Sole Proprietor ☐ Non-Profit Organization ☐ US or International Co.

All registered companies (excluding Non-Profit organizations and US or International companies) must provide their Goods and Services Tax (GST) or Business Number (BN). Additional details on how to obtain a BN can be found at: <https://www.canada.ca/en/services/taxes/business-number.html>

If the services will be rendered by an individual, please provide the Social Insurance Number (SIN). If a SIN number is being provided, the information should be placed in a sealed envelope marked "Protected".

Goods and Services Tax (GST)

Number:

Business Number (BN):

Social Insurance Number (SIN):

☐ N/A Reason:

Note: If you select "N/A", then you must give a reason.

Date:

Name:

Signature:
(Signature of duly authorized representative of
business)

Title:

(Title of duly authorized representative of
business)



ANNEX A: ITQ SUBMISSION FORM

<p>Respondent's full legal name.</p> <p>For joint venture: the legal names of all the companies in the joint venture, as well as the legal name of the joint venture.</p>	
<p>Authorized Representative of Respondent for evaluation purposes (example: clarifications)</p>	<p>Name:</p> <p>Title:</p> <p>Address:</p> <p>Telephone #:</p> <p>Email:</p>
<p>Canada's Official Language in which the Respondent will communicate with the CRA during any subsequent process - indicate either English or French</p>	
<p>Applicable Laws (the Respondent may insert the Canadian province or territory of its choice; otherwise, the laws of Ontario will apply)</p>	
<p>As the authorized representative of the Respondent, by signing below, I confirm that I have read and understood the entire ITQ including the documents incorporated by reference into the ITQ and the entire Response, and I certify that:</p> <ol style="list-style-type: none">1. All the information provided in the ITQ Response is complete, true and accurate.2. The Respondent agrees to be bound by all the terms and conditions of this ITQ, including the documents incorporated by reference into it.	<p>Name:</p> <p>Title:</p> <p>-----</p> <p>Signature of the authorized representative of the Respondent. A digital signature is acceptable.</p>



ANNEX B: STATEMENT OF WORK

The requirements identified in Annex B are the CRA's current expectation and vision of the way the CRA's records management and storage services will be met. However, as indicated at Part 2 Procurement Process, 2.4 Review and Refine Requirements Phase, the CRA will seek feedback from the Qualified Respondents to clarify and refine the SOW further during the RRR phase, as necessary.

1.0 Title

Canada Revenue Agency (CRA)'s Records Management and Storage Services (RMASS).

2.0 Objective

The CRA has a requirement for records management and storage services in order to manage its paper-based, microform, and electronic storage media forms, on an as-and-when requested basis.

The CRA requires a Managed Services Provider (MSP) to house its existing paper-based records inventory (estimated at 550,000 cartons or 660,000 cubic feet) and to provide records management and storage services. The MSP must ensure that the CRA's inventory is identified, accessioned, physically stored, made available and fully operational to the CRA by May 2022.

To fully support the CRA's business requirements, the following business capabilities are required: storage, accession, retrieval, refile, storage, delocation, destruction and data exchanges.

3.0 Background

In support of the CRA's mission to administer tax, benefits, and related programs, the CRA collects and creates physical records holdings, which include documents such as, but not limited to tax returns, information returns, and corporate records. These documents are managed according to the *Income Tax Act* and other related legislation and must be retained and disposed of according to the scheduling requirements set out in the CRA's legislation and corporate policy.

The CRA currently has a contract for management of its records storage and life-cycle services. The off-site inventory of approximately 100 million records are stored within an estimated 550,000 cartons (or 660,000 cubic feet) and are housed by a single private sector storage company in three locations across Canada.

Distribution of records between the CRA's 50+ sites and the current Contractor facilities is performed by the CRA's national transportation provider. The incoming MSP will not be required to provide national transportation services as part of this contract.

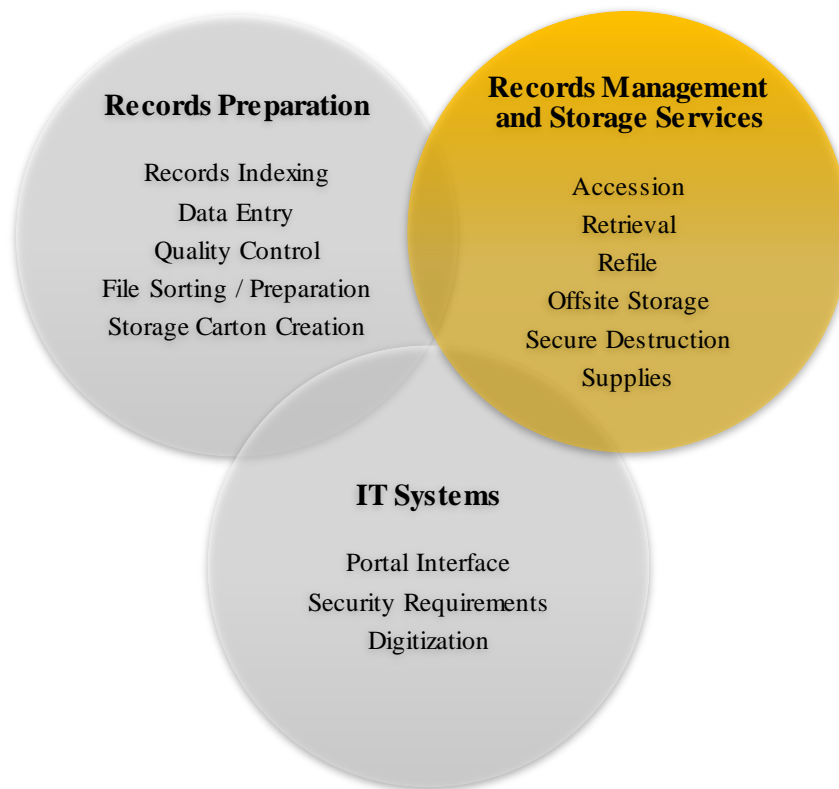
4.0 Requirements Overview

The CRA requires a strategic relationship with an MSP to provide record management and storage services to support the CRA's new Records Management Model (RMM).



The new RMM will leverage core competencies from multiple suppliers in order to bridge the digital divide between paper, imaged and digital information assets. Specifically, the CRA's business requirements have been separated into three categories that collectively make up the CRA's new RMM:

1. Records Preparation Services (identifying, indexing, packaging of CRA records);
2. Records Management and Storage Services (offsite storage, retrieval and destruction services);
3. IT System Services (records inventory management, portal interface, digitization).



The Records Preparation services and IT Systems services are not in scope for the RMASS contract but will be discussed as part of the ITQ process in order to provide context for the CRA's new RMM.

To meet the business requirements of the CRA, the MSP must work in collaboration with CRA internal and external partners that will provide the Records Preparation services and IT Systems services.

The CRA may, at its sole discretion, request future services related, but not limited to, lifecycle management of the CRA's records, including the project management, business transformation, planning, analysis, design, development, deployment and change management activities that are within the identified scope of RMASS.



4.1 Solution Integration and Records Transfer Phase

- 4.1.1 The Solutions Integration, and Records Transfer Phase refers to the period of time and activities associated with setting up the IT infrastructure and testing the data exchange functionality with the IT Systems vendor. This phase also involves the transfer of the CRA's records inventory into the management and care of the MSP.
- 4.1.2 This Initial Transfer Phase will include the following:
- 4.1.2.1 Establishing protocols to securely transfer data between the MSP and the CRA's IT Systems vendor. These protocols will be tested as part of the Proof of Proposal, allowing the transfer phase to commence following contract award (*Refer to Part 2 Procurement Process, Section 2.6 - Estimated Dates*).
- 4.1.2.2 The MSP must securely transfer, accession and store the CRA's records inventory currently housed in three storage facilities, located in Kanata, Ontario; Brampton, Ontario; and Surrey, British Columbia.

Estimated Carton Quantities By Location (Dec. 2021)	
Location	Storage (in cartons)
Brampton, ON	194,000
Kanata, ON	310,000
Surrey, BC	46,000
Total	550,000

- 4.1.2.3 The daily transfer of records cartons is estimated to be 10,000 cartons per day.
- 4.1.2.4 The MSP must physically review each CRA carton and reconcile against an inventory listing that will be provided by the CRA.
- 4.1.2.5 The MSP must provide an uninterrupted experience to CRA users throughout the initial transfer phase. Records must be available for urgent retrieval services at the request of the CRA.

4.2 On-Going Services Phase:

- 4.2.1 The On-Going Services Phase refers to the MSP providing records management and storage services for the CRA, on a day-to-day basis, and on an as-and-when requested basis. The On-Going Services Phase will commence as records are accessioned into the MSP's facilities.
- 4.2.2 The scope of the On-Going Services Phase will include the following: The MSP will provide records management and storage services such as: Accessions, Storage, Retrieval, Refile and Destruction. (*Refer to Section 5.0 – Records Management Requirements* for a complete list of services required).

5.0 Records Management Requirements

The requirements listed should serve as a guide for the bidders to consider and use in preparation for the RRR phase. It is the intent of the CRA to include all requirements, as they are currently known,



that may be evaluated at the Request for Proposal (RFP) phase. These requirements are subject to change in later stages of the procurement process.

During the RRR phase, the Qualified Respondents will be expected to provide comprehensive analysis of the proposed CRA requirements as outlined below, including current processing operations, such as record handling, quality assurance, etc.

Qualified Respondents are free to offer any recommendations that will achieve or improve the CRA's business requirements, objectives and required service level performance stated in this ITQ or subsequently provided as a part of the RRR phase.

An image-based retrieval service will also be considered and discussed during the RRR phase.

The MSP will be expected to provide the following services in accordance with the Service Level Agreement (SLA) (*Refer to Section 5.12 Service Level Agreements*).

5.1 Accession

- 5.1.1 A carton accession is a procedure by which the MSP acquires or takes physical custody of, or otherwise takes responsibility of, a carton. This includes the documentation of the transfer, including the carton barcode registration, into the MSP's Information Management Control System (IMCS), in order to locate the carton in the future when requested by the CRA.
- 5.1.2 Upon accession the following information must be digitally transferred by the MSP to the CRA's IT Systems vendor in accordance with the data transmission SLA (*Refer to Annex D: Service Activity Data Exchange Information*)
 - 5.1.2.1 Carton barcode, or other barcode when applicable.
 - 5.1.2.2 Status update to 'Available'.
 - 5.1.2.3 MSP Storage facility location (facility address).
- 5.1.3 The MSP will receive pre-indexed, carton-level records to be accessioned to the MSP's custody and tracked in its IMCS.
- 5.1.4 The MSP must confirm that cartons received are packaged and identified according to the requirements as defined by the CRA.
 - 5.1.4.1 Items incorrectly sent to the MSP must be returned to the CRA as part of a rejection process.

5.2 Storage

- 5.2.1 Storage is the physical act of safekeeping records held by the MSP in a safe and secure environment on behalf of the CRA.
- 5.2.2 The MSP will store the CRA's records inventory packaged in a variety of standard CRA storage cartons.
- 5.2.3 Carton quantities by location are estimated to be the following by December 2021 (once the contract is expected to be awarded):

Estimated Carton Quantities By Location (Dec. 2021)	
Location	Storage (in cartons)
Brampton, ON	194,000
Kanata, ON	310,000
Surrey, BC	46,000



Total	550,000
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5.3 Delocation

- 5.3.1 Delocation is the one-time action and services performed to remove records from the MSP's custody in preparation for the records' final disposition. Final disposition options include return to the CRA or certified secure destruction. The IMCS must be updated to reflect delocation and final disposition.
- 5.3.2 The MSP must update the CRA's IT Systems Portal to reflect delocation in accordance with the data transmission SLA (*Refer to Annex D: Service Activity Data Exchange Information*).

5.4 Certified Secure Destruction

- 5.4.1 Certified Secure Destruction is the act of destroying a record using a shredder, disintegrator, or similar mechanism that renders a record unidentifiable and the issuance of a written certification attesting to the destruction of specific records.
- 5.4.2 The MSP must provide all vehicle(s), equipment, and personnel for the pickup/delivery involved in secure destruction services.
- 5.4.3 The MSP must provide secure destruction services for paper, microforms, and electronic media that meets the secure destruction requirements of the CRA.
- 5.4.4 The MSP must have in place a media recycling and disposal program to ensure end-of-life material is managed in a secure and environmentally sound manner consistent with the principles of sustainable development.
- 5.4.5 The MSP must provide a Certificate of Destruction and update the CRA's IT Systems Portal to reflect the permanent withdrawal and certified destruction (*Refer to Annex D: Service Activity Data Exchange Information*).
- 5.4.6 The MSP must provide a closed loop destruction service (an unbroken chain of custody from storage to certified confidential destruction).
- 5.4.7 The MSP must ensure that all destruction is done within Canada.

5.5 Record Services - (Retrieval and Refile)

- 5.5.1 Records Retrieval is the service of physically locating a record from storage and packaging or preparing it for delivery to an authorized client (CRA employee).
- 5.5.2 The MSP must update the CRA's IT Systems Portal, via secure data exchange, to reflect the service requisition processing status and update record metadata requirements in accordance with the requirements as outlined in *Annex D: Service Activity Data Exchange Information*.
- 5.5.3 The MSP must locate the record(s) using the information or finding aids provided in the service request (*Refer to Annex D, Chart 2*).
 - 5.5.3.1 If a record(s) cannot be found in the expected location, the MSP must follow an agreed upon search process and reporting of inability to produce CRA record(s).
- 5.5.4 The MSP must provide bulk - program retrievals. Bulk - program retrievals are defined as mutually planned special projects, for example large volume requests defined as having more than 1,000 items.
- 5.5.5 The MSP must identify and sort all retrievals requests according to the CRA delivery destinations in order to efficiently transport records to CRA users.



5.6 Other Services

5.6.1 Hourly and Specialty Services

5.6.1.1 The MSP must have available qualified and trained records management staff for special projects and services related to records management and storage but not explicitly identified in this SOW but forming part of the general scope of the Work and will typically use the Contract's established Basis of Payment.

5.6.1.2 Hourly and Specialty Services must be based on mutually agreed upon timeframes and terms between the MSP and the CRA Project Authority or its authorized representative, which must be established and documented in writing before the start of any special projects or specialty services. This may be accomplished either via a Task Authorization or a formal amendment to the contract.

5.6.2 IT-Related Services

5.6.2.1 The MSP must provide IT-Related Services for application/system enhancements on an as-and-when-requested basis.

5.6.2.2 IT-related services must be based on mutually agreed upon timeframes and terms between the MSP and the CRA Project Authority or its authorized representative, which must be established and documented in writing before the start of any special projects or specialty services. This may be accomplished either via a Task Authorization or a formal amendment to the contract.

5.6.3 Re-boxing

5.6.3.1 The MSP must repackage damaged cartons in appropriate and similar sized cartons. Cartons identified by the MSP as not having sufficient structural integrity, or damaged beyond reasonable repair are to be relabelled, and contents transferred in the same order to a new carton.

5.6.3.2 The MSP must update CRA's IT Systems Portal to indicate the new carton barcode, reference as a cross reference to original barcode and to update and assign reporting of the finding aid data.

5.7 Shipping and Packaging (Transportation Preparation Services)

5.7.1 The CRA's has engaged a third-party transportation contractor for the movement of records to and from the MSP facilities.

5.7.2 The MSP must provide shipment administration services to prepare requested records for transportation.

5.7.3 The MSP will supply all necessary envelopes and packaging material for the packaging of documents associated to a retrieval request.

5.7.4 The CRA will supply the MSP with packaging materials to be used to prepare records for secure transportation when using the CRA's transportation provider. These materials may include, but not be limited to, the following:

5.7.4.1 Blue Poly Bags;

5.7.4.2 Red bins;

5.7.4.3 Red Paired Seals; and

5.7.4.4 RFID Tags.

5.7.5 The MSP, in preparation for transportation must prepare and package records as per the agreed upon procedures and service levels (transportation preparation services are subject to change), including:



- 5.7.5.1 Place all files into two blue poly bags;
- 5.7.5.2 Blue poly bags are to be placed in a red bin accompanied by an RFID tag;
- 5.7.5.3 Log the shipment using the CRA's third party transportation provider's Electronic Shipping Tool;
- 5.7.5.4 Affix the CRA's third party transportation provider's label and close the bin using the red paired seals;
- 5.7.5.5 Secure the bin using a strapping machine.
- 5.7.6 The MSP, when and if providing optional transportation (see section 5.8 below), must provide all packaging materials required.
- 5.7.7 The MSP must ensure all shipments prepared by the MSP are packaged using procedures and materials that have the following characteristics:
 - 5.7.7.1 Durable;
 - 5.7.7.2 Waterproof;
 - 5.7.7.3 Tamperproof;
 - 5.7.7.4 Non-transparent;
 - 5.7.7.5 Secure.
- 5.7.8 All packaging material must be labelled for destination and be easily identifiable throughout the transportation process.
- 5.7.9 The MSP, in consultation with the CRA, must aggregate and consolidate shipments by CRA delivery destination in order to efficiently transport records to CRA users and minimize transportation costs.
- 5.7.10 The MSP must update the CRA's third party transportation electronic tracking system when shipments are sent out of the MSP facility using CRA's third party transportation provider.

5.8 Transportation - Optional

- 5.8.1 MSP may offer to provide transportation services within metropolitan areas where CRA records are stored.
 - 5.8.1.1 The MSP must, when providing transportation, use MSP-operated vehicles or the MSP's CRA approved third party transportation provider.
 - 5.8.1.2 The MSP must, when supplying transportation, provide auditable, secure chain of custody tracking for CRA records and information, to and from the client destination and storage facility.

5.9 Proof of Delivery and Chain of Custody Tracking

- 5.9.1 The MSP must use a CRA approved process for Proof-of-Delivery (POD) for any shipment.
- 5.9.2 The MSP must ensure that Proof-of-Delivery requests are available through web-based shipping tools, or through a live customer service representative.
- 5.9.3 The MSP must, when supplying transportation, provide auditable chain of custody tracking and reporting for each pickup and delivery request.
- 5.9.4 The MSP must update the CRA's third party transportation electronic tracking system when shipments are sent out of the MSP facility using the CRA's third party transportation provider.
- 5.9.5 The MSP must provide a detailed Chain of Custody tracking of all service activities as outlined in *Annex D: Service Activity Data Exchange Information*.



5.10 Supplies

5.10.1 Transportation and Shipping Supplies

5.10.1.1 The MSP must supply, at no additional cost to the CRA, supplies required for the transportation of the CRA information assets. Supplies provided include, but are not limited to: document shipping envelopes, shrink wrap, pallets, and warehousing equipment required for shuttling and moving pallets.

5.10.2 Unique Identifier Labels

5.10.2.1 The MSP must supply unique numbered carton, file and document-level identification labels using barcode, RFID or both technologies as required in order to support lifecycle activities (for example retrieval and destruction processes).

5.10.3 Storage Cartons

5.10.3.1 The MSP must provide various standard sized storage cartons at the request of the CRA. Required carton dimensions include, but are not limited to:

5.10.3.1.1 **Legal/Letter:** A carton designed to store both legal and letter sized materials.

5.10.3.1.1.1 Cartons are approximately 10"x12"x15" (one piece, carton lid included and attached).

5.10.3.1.2 **Voucher:** A carton designed and sized to store vouchers, cheques, T4s and media items, for example, microfilm and microfiche.

5.10.3.1.2.1 Cartons are approximately 18.5"x 11"x 4.5" (One piece, carton lid included and attached).

5.10.3.1.3 **Other:** Large document cartons. For example: blueprints, architectural plans, engineering drawings.

5.11 Invoicing

5.11.1 The MSP's IMCS must have the ability to establish master, standard and custom billing code and costs schedules.

5.11.2 The MSP must ensure that the service and bill codes are identifiable and customizable; the service and billing codes represent a particular service action and definition.

5.11.3 The MSP must ensure all billing codes and service definitions are available for review by the CRA in various report formats.

5.11.4 The MSP's billing must have the ability to provide comprehensive aggregation of financial costs reflective of the CRA's organizational structure. Reporting billing features will include:

5.11.4.1 The ability to create separate invoices for selected or all CRA defined organizational billing units;

5.11.4.2 The ability to bill storage and services;

5.11.4.3 The ability to bill for storage only; or

5.11.4.4 The ability to bill for services only by CRA defined organizational billing units;

5.11.4.5 The ability to bill by cost centres.

5.11.5 The MSP's billing must support multiple storage billing criteria; including:



- 5.11.5.1 Cubic foot;
- 5.11.5.2 Carton/Carton letter-legal;
- 5.11.5.3 Carton/Carton voucher;
- 5.11.5.4 Linear feet;
- 5.11.5.5 Meters;
- 5.11.5.6 Item;
- 5.11.5.7 File.
- 5.11.6 The MSP must provide invoicing for services, storage billing and detailed transactional reports on a monthly basis.
 - 5.11.6.1 The invoice total and supporting documentation must be rounded to (2) decimal points.

5.12 Service Level Agreement

- 5.12.1 The MSP shall monitor the performance levels of the services provided to the CRA (*Refer to Chart 5.12.2 Service Level Expectations*) and the transmission of data to update the IT Systems Portal (*Refer to Annex D: Service Activity Data Exchange Information*)
- 5.12.2 The MSP must meet the service level standards stated in the following components of service requisitions:

Chart 5.12.2.2 – Service Level Expectations		
Service	Service Level Expectation	Proposed Key Performance Measure
Accession - Carton	24 Hours	From electronic receipt of request
Delocation - Carton	72 Hours	From electronic receipt of request
Certified Secure Destruction - Carton	72 Hours	From electronic receipt of request
Retrieval Regular – Document / Carton	24 Hours	From electronic receipt of request
Retrieval Urgent – Document / Carton	4 hours	From electronic receipt of request
Retrieval Bulk Scheduled – Special Project	As scheduled	From electronic receipt of request
Shipment Administration	Included in retrieval SLA	From electronic receipt of request
MSP Optioned Transportation (Same Day - within Metropolitan Area)	4 hours	From electronic receipt of request
MSP Optioned Transportation (Regular - within Metropolitan Area)	1 business day	From electronic receipt of request

- 5.12.3 The MSP IMCS must have the ability to update the CRA's IT Systems Portal using a CRA approved transmission technology and process that meets the data transmission frequency outlined in *Annex D: Service Activity Data Exchange Information*.

5.13 Non-functional requirements

- 5.13.1 Geographic Requirements
 - 5.13.1.1 The MSP must ensure that all CRA records (including back-up tapes and all other formats) will only be processed, stored, maintained and destroyed by the MSP within Canadian borders.
 - 5.13.1.2 The MSP must ensure that all information technology (including databases, data input, servers, processing, storage, accessing, and all



electronic back ups) will be processed and housed within Canada at Protected B level.

5.13.2 Technical Requirements

5.13.2.1 The MSP must maintain a database of all CRA cartons that have been stored in the MPS's facility(ies) since the initial transfer. This must include the unique record identifier, active storage location and activity status.

5.13.2.2 The MSP must maintain an unclassified transactional record of each retrieval service request. All protected information from the client request must be deleted following completion of the service.

5.13.2.2.1 The MSP must retain the following details of the transaction in their IMCS: Item transaction code, requestor name, requestor email, delivery address, work location, activity type, record barcode number and the date of request (*Refer to Annex D, Chart 2*).

5.13.2.2.2 All retrieval request information, with the exception of the data outlined in 5.13.3.2.1, must be deleted from the MSPs servers following completion of the service (*Refer to Annex D, Chart 2*).

5.13.2.3 The MSPs-IMCS must have the ability to update the CRA's IT Systems Portal using a secure data transition (*Refer to Annex D: Service Activity Data Exchange Information*)

5.13.3 Transmission Protocol

5.13.3.1 The MSP must use CRA approved transmission technology and processes to transfer data and images to the CRA or to the ITS IMCS, which may include, but is not limited to:

5.13.3.1.1 FTP

5.13.3.1.2 FTPS

5.13.3.1.3 SFTP

5.13.3.1.4 PKI/P7M

6.0 Glossary

Accession: Procedure by which the MSP acquires or takes physical custody of, or otherwise takes responsibility of, a record. This includes the documentation of the transfer of records or materials into a database and the physical placement to final storage location.

Bulk: The term "bulk" (shipments and or service requests) is used to express a quantity of a particular services activity that is above a defined volume of normal service activities. Bulk services activities will be planned with the MSP in advance. For example:

1. **Bulk Shipment:** The movement of large volumes of CRA records by freight transportation services.
2. **Bulk Request:** A service request for the retrieval of 1,000 or more records/items at one time by a single CRA user.

Carrier: A Carrier is referred to as an individual or entity that is responsible for transporting records.



Centre of Records Expertise (CORE): A centralized team within the CRA to provide a single focused source for Records Management Administration and to manage the MSP relationship.

Certified Secure Destruction: The act of destroying a record using a shredder, disintegrator, or similar mechanism that renders a record unidentifiable and the issuance of a written certification attesting to the destruction of specific records.

Chain of Custody (CoC), is the chronological electronic documentation or paper trail that provides end-to-end visibility of records, identifies the sequence of custody, control, transfer, analysis, and disposition of records, including physical or electronic media. CoC is a term used to describe the chronology of the ownership, custody or location of a document or group of documents).

Carton: A carton is a product in which records are stored and referenced to. Types of cartons include:

- **Legal/ Letter:**
 - A Carton designed to store both legal and letter sized materials,
- **Voucher:**
 - A Carton designed and sized to store vouchers, cheques, etc.
- **Media:**
 - A Carton designed for a specific type of media (for example: microfiche)

Delocation: The one time action and services performed to remove records from the MSP's custody in preparation for the records' final disposition. The Inventory Management Control System is updated to reflect delocation from the physical facility and the IMCS.

Destruction: See "Certified Secure Destruction" for definition.

Demilitarized Zone (DMZ): "a DMZ or demilitarized zone is a physical or logical subnetwork that contains and exposes an organization's external-facing services to an untrusted, usually larger, network such as the Internet"

File: See "Record" for definition.

Final Disposition: Final disposition of records includes either the permanent physical return to custody by the CRA, or performance of certified secure destruction.

Finding Aid(s): A guide or protocol that is electronic or written. It defines the parameters and is a tool containing detailed, indexed, and processed information about a specific record(s) within an IMCS and the physical facility.

File Transfer Protocol (FTP): A protocol that allows the transfer of files between a local system and another system on the network.

Image: Single page of an imaged document.

Imaging: Transformation of a physical information resource into a digital format through the use of certified processes. After imaging, the original physical information resource remains the official record and must be held available according to the retention schedule.



Indexes: A systematic guide to the contents of a file, document, or group of documents, consisting of an ordered arrangement of terms or other symbols representing the contents and references, code numbers, page numbers, etc., for accessing the contents.

Indexing: Indexing is the process of creating a finding aid and linking metadata to a record; Indexing is very closely linked to the accession of a record and is typically performed at the same time.

Initial Transfer: The work processes provided by the MSP to establish a records management service which begins with a physical transfer of records from the custody of the current Contractor to the custody of the MSP during the Initial Transfer Phase as defined in the SOW.

Information Processing (IP): The systematic performance of operations upon information that includes data processing and may include operations such as data communication and office automation.

Inventory Management Control System (IMCS): The MSP Inventory Management Control System (IMCS) is the MSP's internal database that will be used to track carton-level data for storage purposes and will be used to manage retrieval requests that come via feed file from the IT Systems Portal. **Note – The IT Systems Portal is a separate database that stores all CRA document-level and carton-level metadata and allows CRA employees to search for and request documents.*

Information Resources Quality Control (IRQC): The IRQC is a control unit with the CRA that will perform activities related to Records Preparation services within the new Records Management Model.

IT Systems Portal: The database and portal that will be managed by the CRA's IT Systems vendor, which will store all CRA document-level and carton-level data and allow CRA employees to search for and request documents. **Note – The IMCS is the MSP's internal database that will be used to track carton-level data for storage purposes and will be used to manage retrieval requests that come via feed file from the IT Systems Portal.*

Item: An item is an individual article or media unit, that is, one that is part of a collection, or set of back up tapes.

Legacy Records: CRA records that are stored and managed in an MSP's records facility prior to the implementation of the newest Records Management Model.

Managed Service Provider (MSP): A contractor or private sector company that provides the CRA with defined business processes and functions (for example: records management storage and services).

Metadata (meta-content): Defined as data providing information about one or more aspects of the data, such as: the purpose of the data, the time and date of creation, the creator or author of the data, etc.

Not in Facility (NIF): a status assigned to a document when the MSP attempts to retrieve a requested document, placed inside of a carton by the CRA, but the document could not be located.

Perm Out: a status associated to a document or a carton when they are permanently removed from the storage inventory, typically prior to destruction.

Protected 'A': Information that is not considered sensitive and the degree of potential injury is low.



Protected ‘B’: Information that is considered particularly sensitive and where the degree of potential injury is ‘MEDIUM’. Examples include: Name, Social Insurance Number; Bank Account and Transit Number.

Record (Record Holding): In this context, a record is an all-encompassing term for information held or transmitted in a physical format. Records may include, but are not exclusive to, boxes, cartons, files, documents, film/fiche, tapes, cassettes and CD’s DVD’s.

- **Document:**
 - A document is the primary level of a record, in that no other record is kept within the document.
- **File:**
 - A file is the secondary level of a record, in which one or multiple related documents are kept as a unit.
- **Carton:**
 - A carton is the tertiary level of a record, in which one or multiple related or unrelated files and/ or documents are kept together.

Refile: Procedure by which MSP acquires or takes custody of, or otherwise accepts physical responsibility for a returning record.

Record Retention: The legally or administratively defined period of time that a record should be held useful and available before it is destroyed or otherwise disposed of. This process is regulated by the CRA’s Records Disposition Authorities (RDA) are documented as Multi-Institutional Disposition Authorities (MIDA) and Institution-Specific Disposition Authorities (IADA).

Record Retrieval: The service of physically locating a record from storage and packaging or preparing it for delivery to an authorized CRA employee or identified MSP.

Secure File Transfer Protocol (SFTP): A protocol that runs on a secure channel to allow the transfer of files between a local system and another system on the network.

Shipment: A record of a physical carton registered with a unique tracking number and a radio frequency identification (RFID) tag.

Shipment Administration: The activities associated with preparing records for secure shipment; including, but not limited to shipment registration for tracking and packaging.

Storage: The physical act of safekeeping physical records held by the MSP in a safe and secure environment on behalf of the CRA.

Transportation: The secure shipment of CRA records and assets, by CRA or a third party transportation provider.

Transmittal Document: A transmittal document is a summary of data used to identify a record that is used to create a finding aid for the information asset.

7.0 Acronyms

BN: Business Number



CRA: Canada Revenue Agency

CISD: Canadian Industrial Security Directorate

CORE: Centre of Records Expertise

CPS: Collaborative Procurement Solution

CSE: Communications Security Establishment

DMZ: Demilitarized Zone

EDI: Electronic Data Interchange

FCP: Federal Contractors Program

FGWD: Federal Government Working Days

FIPS : Federal Information Processing Standards

FM: Fairness Monitor

FPS: Former Public Servant

FTP: File Transfer Protocol

FPE: Fiscal Period End

GETS: Government Electronic Tendering Service

GST: Goods and Services Tax

GC: Government of Canada

ID: Identification

ISP: Industrial Security Program

IT: Information Technology

ITQ: Invitation to Qualify

IMCS: Inventory Management Control System

IRQC: Information Resources Quality Control

MSP: Managed Service Provider

N/A: Not Applicable

NIF: Not in Facility

OTC: Ottawa Technology Centre

POD: Proof of Delivery

PSPC: Public Services and Procurement Canada

PSSA: Public Servant Superannuation Act

PWGSC: Public Works and Government Services Canada

RFID: Radio-Frequency Identification



RDA: Records Disposition Authority

RFP: Request for Proposal

RM: Records Management

RMASS: Records Management and Storage Services

RMM: Records Management Model

RRR: Review and Refine Requirements

SFTP: Secure File Transfer Protocol

SID: Supplier Integrity Directive

SLA: Service Level Agreement

SIN: Social Insurance Number

SOW: Statement of Work

VPN: Virtual Private Network

8.0 Anticipated Volumes

(Note: these are anticipated volumes to the best of the CRA's knowledge. These volumes cannot be guaranteed and should not be considered as a firm commitment)

	Year 1	Year 2	Year 3	Year 4	Year 5	Option Year 1	Option Year 2	Option Year 3	Option Year 4	Option Year 5
	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031
Storage & Storage Services										
Storage - Container - Previous YE	563,000	542,269	513,203	465,624	427,086	396,760	359,141	323,371	292,444	258,401
Accession - Container (BAU)	5,739	4,851	4,203	2,819	131	0	0	0	0	0
Accession - Container (Pipeline)	18,640	17,095	15,051	13,220	11,128	0	0	0	0	0
Delocation - Container	(45,110)	(51,012)	(66,833)	(54,577)	(41,586)	(37,619)	(35,770)	(30,927)	(34,043)	(20,000)
RM SERVICES										
Retrievals (docs) #	300,000	300,000	300,000	200,000	100,000	100,000	100,000	75,000	75,000	75,000
Transport Preparation (COC)	300,000	300,000	300,000	200,000	100,000	100,000	100,000	75,000	75,000	75,000
Refile Containers	3,000	3,000	3,000	2,000	1,000	1,000	1,000	750	750	750
Reboxing Service	3,000	3,000	2,000	1,500	1,500	1,500	1,500	1,500	1,500	1,000
Secure Destruction - Containers	30,000	30,000	20,000	15,000	15,000	15,000	15,000	15,000	15,000	10,000
MATERIALS										
Storage Containers	30,379	27,946	24,254	19,539	13,760	2,500	2,500	2,250	2,250	1,750
Note 1: Storage volume is estimated average volume/year										
Note 2: Conatiner is average volume of 1.2 cf										
Note 3: Material containers = sum of "new accessions/rebox/refile containers"										
Note 4: Transportation Preparation Fee - COC envlopes, prepinto SMS, packaging to meet Protected B....										



ANNEX C: MANDATORY CRITERIA

Responses will be evaluated in accordance with the process outlined in Part 6 Evaluation Procedures and Basis of Qualification and all the mandatory evaluation criteria detailed below. Responses failing to demonstrate compliance to ALL mandatory requirements will be considered non-responsive and the response will receive no further consideration.

MANDATORY TECHNICAL REQUIREMENTS	
M1 – EXPERIENCE <i>The Respondent MUST demonstrate, at a minimum, that the following mandatory criteria are met:</i>	
M1 Storage Capacity and Capability	<p>Has experience in delivering, as the prime contractor, physical document storage services that address the CRA's requirements as described in Annex B: Statement of Work.</p> <p>To demonstrate compliance, the Respondent must:</p> <ol style="list-style-type: none">1. Provide a written statement, including a minimum of two Project Reference(s)* and their contact information, along with a description of the services provided, to certify that it (the Respondent) has, during the two year period immediately prior to ITQ closing, provided physical records storage services within Canada and managed two or more individual client(s) that each have, at a minimum, an average annual storage inventory volume of 250,000 cubic feet.2. Provide a written statement, including a minimum of two Project Reference(s)* and their contact information, along with a description of the services provided to certify that it (the Respondent) manages a current records inventory with a volume greater than 1,000,000 cubic feet within Canada. <p>The same references can be used for both items 1 and 2.</p> <p>For a detailed project reference process see Part 6: Evaluation Procedures and Basis of Qualification, article 6.2 Project Reference Process.</p> <p><i>*The CRA cannot be used as a Project Reference for this criterion.</i></p> <p><u>Prime contractor</u>: where the Respondent was the operational service provider for document storage services as described within Annex B: Statement of Work.</p>



M2 – RECORDS MANAGEMENT SERVICES

*The Respondent **MUST** demonstrate, at a minimum, that the following mandatory criteria are met:*

M2 Records Management Services

Has experience in delivering, as the prime contractor, physical document storage solutions and document life-cycle management services that address the CRA's requirements as described in Annex B: Statement of Work.

To demonstrate compliance, the Respondent must:

1. Provide a written statement, including a minimum of two Project Reference(s)* and their contact information, along with a description of the services provided, to certify it (the Respondent) has experience in providing ongoing document life-cycle management services, including a minimum of 100,000 retrieval requests in a one year period, within the last three years, immediately prior to ITQ closing.

For a detailed project reference process see Part 6: Evaluation Procedures and Basis of Qualification, article 6.2 Project Reference Process.

**The CRA cannot be used as a Project Reference to certify this criterion.*

Prime contractor: where the Respondent was the operational service provider for document storage solutions and document life-cycle management services as described within Annex B: Statement of Work.

Ongoing: where there is monthly document life-cycle management services throughput for a minimum of 12 consecutive months.



ANNEXD: SERVICE ACTIVITY DATA EXCHANGE INFORMATION

Record status and metadata updates will be updated in the new IT Systems Portal, managed by the CRA's IT Systems vendor. Metadata and status changes can occur directly in the portal by CRA employees and must be updated by the MSP via a secure data file transfer when a transaction, such as an accession, retrieval or destruction activity occurs.

Note: Greyed portions indicate a CRA activity.

Chart 1: Outlines the activity based status changes that are to be tracked and updated in the CRA's portal managed by the IT Systems vendor.

Chart 2: Includes the retrieval request information and data elements that are digitally transferred to the MSP to facilitate each retrieval request.

Chart 3: Details the metadata requirements that are to be included in the activities outlined in *Chart 1*.



Annex D – Chart 1: Activity Based Status Change Summary Table

New Add Document Process					
ID	Action Description	Status Change	Status Creator	Metadata Update	Frequency
S1	Carton and document-level metadata created and uploaded to 'MSP Portal'.	Carton & Documents newly created. A ' Pending ' status must be assigned to carton and each document contained in carton.	Carton and document status created by the Records Preparation service provider.	Metadata uploaded to 'MSP Portal'.	Daily
S2	Physical Carton Received and Inbouded to Physical Storage.	Carton status changes from ' Pending ' to ' Available '. The carton status change to 'Available' must trigger a status change to the documents contained in the carton from ' Pending ' status to ' Available ' status.	Carton status update provided by the MSP.	Metadata listed in Annex D - Chart 3 sent and uploaded to 'MSP Portal'.	Daily
Retrieval Document Process (Metadata and Status Exchanges)					
ID	Action Description	Status Change	Status Creator	Metadata Update	Frequency
S3	Document request made by authorized user in 'MSP Portal' (Regular, Urgent, IOD).	' Available ' status to ' Requested ' status.	A CRA employee triggers status change directly in IT Systems Portal when document is requested.	N/A	Ad-hoc
S4	Document request received by MSP via a secure data exchange.	' Requested ' status to ' Request Received ' status.	Document status update in portal by MSP via secure data exchange.	Metadata listed in Annex D - Chart 3 sent and uploaded to 'MSP Portal'.	
S5	Document has been located by MSP.	' Request Received ' status to ' Located ' status.	Document status update provided by MSP via secure data exchange.	Metadata listed in Annex D - Chart 3 sent and uploaded to 'MSP Portal'.	Hourly



S6	Document Retrieved and Prepared for Shipping.	'Located' status to 'Out' status.	Document status update provided by MSP via secure data exchange.	Metadata listed in Annex D - Chart 3 sent and uploaded to 'MSP Portal'.	Hourly
S7	Document could not be located.	'Request Received' status to 'NIF' status.	Document status update provided by MSP via secure data exchange.	Metadata listed in Annex D - Chart 3 sent and uploaded to 'MSP Portal'.	Hourly
S8	Document could not be located and confirmed by CRA.	'NIF' status to 'Perm Out' status.	Document status update provided by MSP via secure data exchange.	Metadata listed in Annex D - Chart 3 sent and uploaded to 'MSP Portal'.	Hourly
Refile Document Process (Metadata and Status Exchanges)					
	Action Description	Status Change	Status Creator	Metadata Update	Frequency
S9	Document Refile Request.	'Out' status to 'Pending Refile' .	A CRA employee triggers status change directly in IT Systems Portal when a document is refiled.	N/A	Daily
S10	Document Refile Processing.	Document status changes from 'Pending Refile' to 'Pending' status.	Document status provided by Records Preparation service provider via data exchange.	N/A	Daily
S11	Carton Created to Refile Documents.	No status to 'Pending' status assigned to carton.	Carton status created by Records Preparation service provider via data exchange.	N/A	Daily



S12	Physical Carton containing refile documents Received and Inbanded to Physical Storage.	Carton status changes from ' Pending ' to ' Available '. The carton status change to ' Available ' will trigger a status change to the documents contained in the carton from ' Pending ' status to ' Available ' status.	Carton status update provided by MSP via secure data exchange. Document update triggered through IT Systems Portal when parent carton status changes to ' Available '.	N/A	Daily
S13	Document File Pass to another employee.	' Out ' status remains 'Out' but movement history information changes.			
Document Destruction Process (Metadata and Status Exchanges)					
ID	Action Description	Status Change	Status Creator	Metadata Update	Frequency
S14	Document retention report extracted from IT Systems Portal outlining a listing of cartons that can be destroyed when the document-level contents have met their retention period.	N/A	Project Team	N/A	N/A
S15	Permanent delocation request sent to storage facility directly from the CRA.	'In' status to 'Perm delocation' status.	MSP	Work Order #	Daily
S16	Destruction request sent to storage facility directly from the CRA.	'In' status to 'Destroyed' status.	MSP	Work Order #	Daily

Annex D – Chart 2: Retrieval Request Information

Code	Order and Delivery Information	Example	Mandatory
TBD	Item Transaction Code	20200515-000001	Y
TBD	Retrieval Type	Regular Retrieval = 1 Urgent Retrieval = 2 Fax Retrieval = 3 IOD Retrieval = 4	Y
TBD	RequestorName	John Smith	Y
TBD	RequestorEmail	John.Smith@cra-arc.gc.ca	Y



TBD	Delivery Address	250 Albert Street	Y
TBD	Work Location	Section, pole number, floor, room	Y
Code	Retrieval Data Elements	Example	Mandatory
TBD	Carton Barcode #	K50000000	Y
TBD	Transmittal Slip Barcode #	TBD	TBD
TBD	File Barcode #	9000000000000, UIF00572076137, CMRC017954567	Y
TBD	Alias Barcode (previous barcode)	UIF00572076136, CMRC017954566	N
TBD	Account Number	123456789RC0001	N
TBD	Record Series Code	T2Returnpaper	Y
TBD	Short Description	2015-12-31 T2 Return paper	N



Annex D – Chart 3: Metadata Update Details

Annex D – Chart 2.1: Retrieval Request Received Data Exchange Details			
Code	Delivery Information	Example	Mandatory
TBD	Item Transaction Code	20200515-000001	Y
TBD	Work Order Number	Z1234567	Y
TBD	Status	'Request Received'	Y

Annex D – Chart 2.2: Retrieval Request Located Data Exchange Details			
Code	Delivery Information	Example	Mandatory
TBD	Item Transaction Code	20200515-000001	Y
DE5*	Carton Barcode Number	R50000000	Y
TBD	Work Order Number	Z1234567	Y
TBD	Status	'Not Located' or 'Located'	Y

Annex D – Chart 2.3: Retrieval Request Sent Data Exchange Details			
Code	Delivery Information	Example	Mandatory
TBD	Item Transaction Code	20200515-000001	Y
TBD	Work Order Number	Z1234567	Y
TBD	Status	'Out'	Y

Annex D – Chart 2.4: Refile Carton Creation Data Exchange			
Code	Delivery Information	Example	Mandatory
DE5	Carton Barcode	R50000000	Y
DE6	Status	'Pending'	Y

Annex D – Chart 2.5: Refile Document Data Exchange			
Code	Delivery Information	Example	Mandatory
DE5	Carton Barcode	R50000000	Y
DE3	File Barcode	6000000000000	Y
DE6	Status	'Pending Refile'	Y

Annex D – Chart 2.6: Refile Carton Confirmation Data Exchange			
Code	Delivery Information	Example	Mandatory
DE5	Carton Barcode	R50000000	Y
DE6	Status	'Pending Refile'	Y



ANNEX E: SECURITY REQUIREMENTS

The requirements listed herein address some, but not necessarily all of the requirements which Canada intends to address in the RFP. Additional security requirements may be included in a subsequent phase of this procurement process. Canada is including these requirements in this ITQ to provide respondents advance notice of some of the requirements that are likely to be included in the associated RFP.

1. Physical and Personnel Security Requirements:

The MSP shall, at all times during the performance of the Contract, hold a valid Designated Organization Screening (DOS) with approved Document Safeguarding (DSC) at the Protected B level issued or granted by the Canadian Industrial Security Directorate, Public Works and Government Services Canada or a letter issued by the SIAD confirming that the facility is approved and meets the CRA security requirements.

The MSP's personnel requiring access to Protected information, assets or sensitive work site(s) must each hold a valid Reliability screening, granted by the Security and Internal Affairs Directorate (SIAD) of the Canada Revenue Agency (CRA) or the Canadian Industrial Security Directorate (CISD) of Public Works and Government Services Canada (PWGSC).

2. Information Technology Security Requirements:

Information Technology Security Requirements refer to the protection of information and information systems from unauthorized access, use, disclosure, disruption, modification, inspection, recording or destruction.

All data input, processing, storage, accessing, and electronic back ups to be domestically processed and stored in Canada.

Security Log Requirements

- The MSP must ensure that all of their applications, platforms, and databases record security event information in logs.
- The MSP must ensure log file integrity and ensure access control is limited to read only access.
- The MSP must use appropriate administrative separation of duties.
- The MSP must maintain detailed audit trail of changes to the security logs and retain the logs for the life of the contract, or as otherwise directed by the CRA.
- The MSP must ensure consolidation of security logs in a repository.
- The MSP must have the ability to apply log retention rules.
- Individual system identities are uniquely distinguishable from related peers.
- The MSP IMCS must provide definition of events and errors that are logged.
- Log must be human readable form.
- Binary format logs must have application that translates into a human-readable format.
- Record the event severity level in the security log.
- Violation of access control events for malicious purposes is recorded.
- Violations are reviewed by the information owner by the MSP at the determination of the CRA.



Encryption Requirements

- Designated Protected B information transmitted across a public network (that is, the Internet) over wireless and infrared networks must be protected using CRA-approved encryption. CRA-approved cryptographic modules must meet at least one of the following conditions:
 - FIPS 140-2 level 1 validation; or
 - Communications Security Establishment (CSE) approval
- Information at the Protected B (Particularly Sensitive) level must be encrypted on its storage media (for example, hard drives, removable media) when the information is transported or stored on a device (for example, laptop, PDA, telecommute workstation, disk) outside of CRA-controlled sites
- Emails will not contain information at the Protected B level.
- Any CRA-IT archived and/or backed-up information, which is designated, protected and/or under classified levels must be secured to the highest classification level of the data processed on that system using CRA-approved encryption.
- Back-up tapes will be secured to the highest classification level of the data stored using CRA-approved encryption.
- VPN traffic, including identification and authentication, must be encrypted.
- The local IT Authority must establish a management process to register and maintain a current list of encryption keys for occasions where data recovery procedures are enacted.

File Transfer Service:

Data exchanged using a file transfer service (for example: FTP).

- The CRA will push CRA data from its trusted environment to CRA Anonymous FTP Server in DMZ (hereafter CRA FTP server). Sensitive information must be encrypted, see Encryption Section for encryption requirements. The CRA will pull encrypted data from CRA FTP Server to CRA trusted environment.
- The MSP will push MSP data to CRA Anonymous FTP Server. Sensitive information must be encrypted, see Encryption Section. The MSP will pull CRA data from CRA FTP Server to MSP-trusted environment.
- The CRA FTP Client on Corporate Gateway must provide a capability for the pushing (that is, ftp put) and pulling (that is, ftp get) of this data.
- The MSP must use hidden directories for the inbound (that is, dropzone) and outbound (that is, pickup zone) directories for the CRA.
- The MSP FTP inbound dropzone directory will have restricted access to allow write-only on the FTP Server.
- The MSP FTP outbound pickup zone directory will be "read" only for the public side.
 - Rationale: This configuration will eliminate an external attacker in the Public Zone from replacing the file with a forged one or causing a denial of service (DoS) attack.
- The IP address from the CRA Anonymous FTP server will be authenticated on the MSP's FTP server before allowing an inbound connection.
- The MSP's inbound dropzone directory will be scanned every 60 seconds for a new file. Detected inbound files will be moved to a trusted area on the CRA FTP server. Once moved, the inbound file will be deleted from the inbound dropzone directory.



- There will be a short pre-designated window allowing for the deposit of a file thus reducing the chances of malicious individuals depositing files until the server exceeds its limits (denial of service attack).
- All CRA data placed on the outbound directory will have a date timestamp on.

Audit Trails

Description: An audit is an evaluation of a person, organization, system, process, enterprise, project or product.

- The MSP must have an audit trail showing who has accessed taxpayer data and what operations/actions were performed during a given period time.
- The MSP must follow the requirements specified in the acts and regulations, such as section 241 of the *Income Tax Act*, *Access to Information and Privacy Act*.
- The MSP must ensure that all accesses to taxpayer information (including query (that is, select), create, view, modify, delete) using an applicable application must be logged (have an audit trail) unless exempted by the Security and Internal Affairs Directorate (SIAD), Canada Revenue Agency (CRA) through the Threat and Risk Assessment (TRA) process.
- The MSP must ensure that all systems and applications providing employee (that is, user) access to taxpayer information must record these accesses in an audit trail record in a manner determined by the Information Security Division, SIAD.
- The MSP must send or maintain an accessible record of the audit trail(s) for the CRA (ITB) at least once per day in a format approved by the CRA.
- The MSP must ensure audit trails are incorporated into the design of any system providing employee access to CRA information.
- The MSP must ensure all audit trails involving CRA records and related log data is permanently retained and accessible to the CRA on a scheduled or ad hoc basis.
- The CRA requires the ability to inspect and investigate all systems, facilities, and contracts used by the MSP to provide services to the CRA.
- The MSP must provide an audit room on site at each of the warehouse(s) for the use by CRA identified users to examine the requested information available for their inspection. The room must be equivalent to the MSP standard office environment.
- The MSP must provide the capability to determine whether an individual took a particular action.
 - The MSP IMCS must associate data producer identity with data and data's label.
 - The MSP IMCS must validate binding of producer's identity to data and label.
 - The MSP IMCS must maintain reviewer or releaser identity and credentials in chain of custody, and data labels and marking integrity.
 - The MSP IMCS must validate reviewer identity binding to data and label prior to release from domain.
- The MSP must ensure that the audit records include the following event data:
 - Event(s) occurred;
 - Source(s);
 - Outcome;
 - Identity;
 - Type;
 - Time stamp from trusted time source.



- The MSP must provide capability to determine whether an individual (employee or user) took a particular action to:
 - Associate data producer identity with data and label;
 - Validate binding of producer's identity to data and label;
 - Maintain reviewer or releaser identity and credentials in chain of custody, and data labels and marking integrity; and
 - Validate reviewer identity binding to data and label prior to release from domain.