REQUEST FOR PROPOSAL (RFP)

RFP Number: **14RFP-CS008**

RFP Name: **Enterprise Content Management (ECM) Pilot Project: Non-Technical Services; Information Management Branch**

RFP Issue Date	**September 9, 2014**
RFP Closing Date	**September 22, 2014, 14:00 MST**
Procurement Contact	**Alex Skrynnikov**
Contact Info:	**procurement@aer.ca**

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1.0 General

1.1   About the AER

The Alberta Energy Regulator (AER) ensures the safe, efficient, orderly, and environmentally responsible development of the province's hydrocarbon resources over their entire life cycle. This includes allocating and conserving water resources, managing public lands, and protecting the environment while providing economic benefits for all Albertans.

Energy regulation in Alberta spans more than 75 years and has evolved over time. This evolution continued in 2013 when the AER became a new organization and began taking on regulatory functions related to energy development that were previously held by Alberta Environment and Sustainable Resource Development (ESRD). This transition is now complete, and the AER is now the single regulator of energy development in Alberta—from application and exploration, to construction and development, to abandonment, reclamation, and remediation.

For further information, please go to www.aer.ca.

1.2   Framework and Outline

For over 75 years, the AER has served as the collector and custodian of energy-related information to support its mandate to:

- Deliver strong regulatory oversight of energy development across the Province of Alberta.
- Provide to stakeholders all information collected from industry.
- Manage the integrity, security, and viability of records in compliance with the Government of Alberta (GoA) Records Management / Archival Acts and Regulations.

Over the last century, and in particular the last 30 years, information formats and management techniques have undergone momentous transformation – most significantly since the introduction of desktop computers in the 1980s. The arrival of technology in the workplace and in industry has resulted in exponential growth of both electronic and paper information – demanding effective and efficient information management solutions.

Today, the AER's unstructured electronic information is housed in varied locations: network directories and folders, internal electronic content management systems, ad-hoc external electronic content management systems, ESRD electronic content management systems, ESRD custom systems, computer desktops, user personal drives, email, and so on. AER's exponential growth of information has not been supported by corresponding information management structure, guidelines, and technology.

In March 2014, AER undertook an initiative to review the current state of information management, identify a future state, and develop a business case and roadmap. One of the recommendations provided was to develop an ECM/EIM Program to support sustained development of information management initiatives and introduce ECM technology to support AER to realize its goal to be a Best in Class Regulator.

The AER is seeking the services of an ECM / Information/Records Management Specialist Vendor with the required knowledge, experience, and resources to work with AER to deliver

and define the business and configuration requirements to implement two datasets in an OpenText Content Server technology. Supporting Change Management, Education, and Training services for Records Governance, Information Management Framework, and Technology use are also required to support the implementation

1.3 Intent

AWARD

It is the intent of the AER to negotiate and execute a service agreement with the Respondent(s) with the highest evaluated score. In the event that these negotiations should fail, The AER may enter into negotiations with the next-ranked Respondent(s). The AER may find it necessary, and reserves the right at its sole discretion if deemed appropriate and beneficial, to select more than one Respondent to perform the work contemplated in this RFP.

It is the purpose of the AER to obtain a Proposal(s) most suitable to the interests of the AER and what it wishes to accomplish, the AER has the right to waive any minor or inconsequential irregularity or insufficiency or non-compliance in any Proposal submitted and to accept the Proposal which is deemed most favorable to the interest of the AER.

Where reasonable to do so, the AER may, as a condition of Proposal acceptance, request a Respondent to correct a minor and inconsequential irregularity with no change in Proposal prices. The determination of what is or is not a minor and inconsequential irregularity, the determination of whether to accept, waive, or require correction of an irregularity and the final determination of the validity, will be at the sole discretion of the AER Procurement Manager.

Depending upon the results and outcome of the deliverables of the project, expressed herein, additional related work is possible to occur whereupon the AER reserves the right to either utilize the services of the successful Respondent(s) for this additional work, subject to the successful Respondent's performance, funding availability and successful negotiation, or return to the market with a new proposal.

In other than a sole source situation, a single response (for example, a proposal from only one Respondent to the RFP) may be deemed a failure of competition, and at the sole opinion of the AER, the RFP may be cancelled.

BEST AND FINAL OFFER

With respect to the possible variety of solutions proposed by the Respondents and where clear specifications are dependent on the breadth and variety of proposed packages, and where additional effort by possible shortlisted Respondents is projected to add the greatest value, 'best and final offer' may possibly be used after the initial evaluation.

A shortlist may result from the initial evaluation, per the requirements described and qualified in 7.0 Project Scope and Requirements. The shortlisted Respondents will be given the opportunity to modify their responses or propose additional services to the AER. The resulting 'best and final offer' will largely be scored based on best (cost/benefit) value to the AER, most effective Reprographics business solution and the best viable operating strategy.

Any and all rates for scanning/converting, file naming, media fees, delivery, reconstitution, review & redaction, expedited service, and other costs must be issued with the initial proposal response. No revised rates shall be accepted after the initial close date, September 22, 2014.

LENGTH OF AGREEMENT

The length of any agreement resulting from this RFP will not exceed ONE (1) YEAR ("The Term") from date of official acceptance and award by the AER.

The successful Respondent(s) shall be evaluated throughout the course of the contract and future extensions if applicable. Any assessment or findings will be shared with the Respondent(s), with the goal of immediate and permanent resolution where concerns have been raised. The AER reserves the right to terminate the contract with the chosen Respondent(s) if it is deemed that remedies cannot be established, and/or the work develops beyond the capacity of the successful Respondent(s), wherein, the AER reserves the right to approach the next highest rated Respondent(s) for award.

2.0 Request for Proposal Terminology

2.1 Definitions

Throughout this RFP, terminology is used as follows:

"AER" means the Alberta Energy Regulator

"Alberta Purchasing Connection" (APC) means the Government of Alberta's electronic tendering system.

"Agreement or Contract" means any written agreement between a vendor and the AER for the supply of goods and services, with pricing and/or discounts off a manufacturer published price list resulting from this RFP.

"Business Day" means 8:00 a.m. to 4:30 p.m., MST, Monday to Friday, excluding holidays observed by the AER.

"**Dataset**" means a named group of records that contain information related to a specific topic or subject that are of a pre-defined format and type.

"Equivalent" means equal to or better than the functionality and performance of the item specified in the RFP.

"Evaluation Team" means the individuals who will evaluate the proposals on behalf of the AER.

"FOIP" means the *Freedom of Information and Protection of Privacy Act*.

"Goods" means the products proposed by the respondent, including all the components and any products to be produced and/or any services to be provided under the Agreement.

"Mandatory" means a requirement that must be met in order for a proposal to receive consideration.

"MST" means Mountain Standard Time or Daylight Saving Time as provided for in the *Daylight Saving Time Act* of Alberta.

"Optional" means a requirement not considered essential, but for which preference may be given.

"PDF File" means a file created from the scanning of a paper file, report or document.

"Proposal" means the respondent's response to the RFP and includes all the respondent's attachments and presentation materials.

"Request for Proposal" (RFP) means this solicitation for goods and/or services including attached appendices.

"Respondent" means an individual or a company that submits, or intends to submit, a proposal in response to this Request for proposal.

"Service Level" means the specific value of a service performance measure that indicates a standard of quality of service which must be attained or bettered.

"Services" means the contracted services as specified in the RFP and any resulting agreement executed by the parties.

"Unstructured Data" means electronic documents vs. data stored in systems. For example, documents that are created in MS Office Tools and PDF files are considered to be unstructured documents.

"Validation" means the stage in the RFP process where the AER confirms, through environment testing, that the respondents' proposed devices comply with the requirements of the RFP.

"Validation Period" means the period of time the goods proposed shall be provided to the AER for Validation.

"Vendor" means the successful respondent chosen by the AER and who enters into a binding agreement with the AER in connection with this RFP.

3.0 Request for Proposal Process

3.1 RFP Availability

Respondents must obtain this RFP directly from the Government of Alberta's electronic tendering system (Alberta Purchasing Connection [APC]). The APC website is: www.purchasingconnection.ca.

3.2 Changes to the RFP

The AER reserves the right to modify the terms of this RFP at any time at its sole discretion. This includes the right to cancel this RFP at any time prior to entering into an agreement with the highest evaluated respondent.

The AER can waive or change any of the stated requirements, at our discretion, by notifying all respondents of the revision(s). In the event that there are modifications or additions to the RFP, all respondents who have obtained the RFP from APC will be notified of those changes through the APC site.

3.3 RFP Schedule

Planning dates are subject to change at the discretion of the AER.

STEPS	DATE
RFP release date	September 9, 2014
Questions accepted until	September 17, 2014 at 14:00 MST
Answers and clarification posted to APC	September 18, 2014
RFP closing date	September 22, 2014 at 14:00 MST
Evaluations completed by	September 25, 2014 *(tentative/as required)*
Negotiations to be complete by	October 1, 2014 *(tentative/as required)*
Commencement of services	October 6, 2014 *(tentative/as required)*

3.4 Respondent Questions

All requests for clarification and questions regarding this RFP must be submitted in writing via email to procurement@aer.ca.   All questions or clarifications must be specific to this RFP, and must include references to a specific section or schedule and item number.

It is further requested that all clarification and questions be received no later than September 17, 2014 14:00:59 Hours (MST). All questions will be answered by September 18, 2014. Although every attempt will be made, the AER cannot guarantee that questions received beyond this time period will be answered prior to the RFP closing time.

If AER Procurement, in its sole discretion determines a response or clarification is warranted, a response will be published in writing and included as an addendum to this RFP prior to the closing date. The official response to all questions will be considered final. This will ensure accurate, consistent responses to all Respondents. Only the written responses from the AER Procurement will be considered official and binding on this RFP.

The Respondent is responsible to seek clarification where they perceive ambiguity, divergence, error, omission, oversight, contradiction, or item subject to more than one interpretation in this RFP, as it is discovered, and to request any instruction, decision, or direction required to prepare the proposal.

This RFP call contains all the requirements relating to this Proposal. Other information or documentation provided to or obtained by the Proposer, from any other source prior to the close date of this Proposal, has no force or effect in relation to this Proposal.

3.5 RFP Closing

This RFP will close on Monday, September 22, 2014, at 14:00 MST.

3.6 Additional Proposals

Respondents are welcome to submit more than one proposal, if proposing alternate solutions. Additional Proposals should be submitted separately and be considered a second submission. The Evaluation Committee will evaluate each response independently.

3.7 Proposal Submissions Requirements

Respondents shall submit **3 (three)** printed copies and one electronic copy in PDF format (on a CD or USB drive) of their proposal. Proposals may be delivered by hand, courier, or mail during AER business days.

1. Proposals must be submitted no later than the RFP closing date and time.
2. The **Signature and Waiver form** in the RFP (Appendix 1) shall be completed, signed by an authorized representative of the respondent, and included in the proposal.
3. Proposals shall be sealed and clearly marked with the **RFP's number** and addressed as follows:

> **The Alberta Energy Regulator**
> **Suite 1000, 250 - 5 Street S.W.**
> **Mailroom 10th Floor**   **CONFIDENTIAL**
> **Calgary, Alberta, Canada**   **RFP: 14RFP-CS008**
> **T2P 0R4**   **Attn: Procurement**

4.0 Proposal Terms and Conditions

4.1 General

The working language of the AER is English, and all responses to this RFP must be in English.

While the AER has used considerable efforts to ensure an accurate representation of information in this RFP, the information contained in this RFP is supplied solely as a guideline for respondents. The information is not guaranteed or warranted to be accurate by the AER, nor is it necessarily comprehensive or exhaustive. Nothing in this RFP is intended to relieve respondents from forming their own opinions and conclusions with respect to the matters addressed in this RFP.

Notice to a respondent that it has been identified as the highest evaluated Vendor, and the subsequent written agreement executed by the Vendor and the AER, will constitute a contract for the goods and/or services. No respondent will acquire any legal or equitable rights, entitlement, or expectation of benefit relative to the goods until both have occurred.

This document, or any portion thereof, may not be used by a respondent for any purpose other than the submission of proposals.

4.2 Acceptance of Proposals

This RFP should not be construed as an offer to purchase or an agreement to purchase goods and/or services. Notwithstanding anything contained in or arising from this RFP, the AER is not bound to award business to the respondent who submits the lowest priced proposal or to any respondent. Proposals will be assessed in light of the evaluation criteria. The AER will be under no obligation to receive further information, whether written or oral, from any respondent.

By submitting a proposal, each respondent acknowledges and agrees that if the AER elects to reject all proposals, or chooses to end this RFP process without selecting a highest evaluated proposal, the AER will not be liable to any respondent for any claims of any nature or kind, including costs or damages incurred by the respondent in preparing the proposal, loss of anticipated revenues or profit in connection with any sale of goods and services, or any other matter whatsoever. By submitting a proposal, each respondent agrees that it will not claim damages and hereby waives any claim against the AER, for whatever reason, relating to the award or refusal by the AER to award any work contemplated in this RFP or in respect of the competitive process, including but not limited to any claim for loss of revenues or profits if the AER does not award the work contemplated by this RFP to the respondent.

4.3 Ownership of Proposals

All proposals submitted to the AER become the property of the AER.

4.4 Consent to Collection and Use of Information

The respondent consents, and has obtained the written consent from any individuals identified in the proposal, to the collection and use of their confidential or personal information in the

proposal by the AER and/or individuals providing services to the AER to enable it to evaluate proposals.

4.5   Confidentiality and Security of Information

The respondent and the respondent's employees, subcontractors, and agents must:

(a) keep strictly confidential all information concerning the AER and any knowledge of the business or activities of the AER acquired as a result of participation in this RFP and;

(b) only use, copy, or disclose such information as is lawful and necessary for the purpose of submitting a proposal, unless otherwise authorized in writing in advance by the AER.

The respondent shall maintain security standards, including control of access to data and other information, consistent with the highest standards of business practice in the industry.

4.6   Indemnification

The successful Respondent by its acceptance of the agreement or purchase order, agrees to defend, indemnify and hold harmless the AER, its officers, employees and agents, from and against all loss or expense by reason of the liability incurred by the AER, its officers, employees and agents, for damages because of breach of any term or condition of this Request for Proposal and any resulting contract (if applicable), negligence, bodily injury, including death, at any time resulting therefrom, sustained by any person or persons, or on account of damage to property, including loss of use thereof, arising out of or in consequence of the performance of this contract.

4.7   Respondents' Expenses

Respondents are solely responsible for all costs and expenses incurred in preparing a proposal, presentations and subsequent negotiations with the AER, if any.

4.8   Irrevocability of Proposals

By submission of a clear and detailed written notice, the respondent may amend or withdraw its proposal prior to the closing date and time. Upon closing time, all proposals become irrevocable. The respondent will not change the wording of its proposal after closing and no words or comments will be added to the proposal unless requested by the AER for purposes identified in this RFP.

4.9   Proposal Validity

Proposals will be open for acceptance for at least 90 days after the RFP closing date. Prices will be firm for this period unless this RFP specifically states otherwise.

4.10   Insurance and WCB

Before commencing performing the Services, the successful Respondent shall obtain, at its cost, and maintain throughout the Term:

(a) where available and applicable to the successful Respondent, Workers' Compensation insurance or similar insurance in accordance with the statutory requirements of the

Province of Alberta for all of its employees engaged in performing the Services herein. Where Workers' Compensation insurance coverages or similar insurance is not available to the Respondent, it shall provide to the AER a letter outlining the reasons for lack of coverage and provide the AER with proof of employer's liability insurance;

(b) at its own expense and without limiting its liabilities herein, insure its operations under a contract of either Comprehensive or Commercial General Liability with insurers licensed in Alberta in an amount of not less than $2,000,000 per occurrence (annual general aggregate, if any, of not less than $2,000,000) insuring against bodily injury, personal injury and property damage or loss. Such insurance(s) shall include (1) products and completed operations liability, (2) contractor's protective liability, and (3) blanket contractual liability;

(c) ensure that all such policies entered into pursuant to Section 4.10 (b), shall be written in forms and amounts and upon terms acceptable to the AER and in accordance with the Insurance Act of Alberta, as amended; and

(d) as evidence of all insurance required to be maintained under the Service Agreement, provide certificates of insurance to the AER and a letter from the Workers' Compensation Board of Alberta stating that Contractor has an account in good standing with such Board.

If awarded Respondent fails to provide or maintain insurance as required by Section 4.10, the AER shall have the right to terminate this agreement or subsequent service agreement.

4.11   Form of Agreement to Be Executed by the Vendor

The service agreement shall only establish the terms and conditions governing future project work, and does not represent a commitment to purchase. The Vendor will be expected to execute the standard form of the AER service agreement. A copy of this agreement can be found at: http://www.aer.ca/documents/about-us/Procurement/AERServiceAgreementSample.pdf

By submission of a proposal in response to this RFP, each respondent agrees that, should it be identified as the successful respondent, it agrees to and will execute the standard form of the AER service agreement. A copy of the AER service agreement is provided at http://www.aer.ca/documents/about-us/Procurement/AERServiceAgreementSample.pdf

By responding to this RFP, each Respondent and the Vendor agrees that it will sign the AER service agreement without alteration of any of its provisions. However, the AER may, in its sole discretion, consider reasonable changes to one or more terms of the AER service agreement proposed by a respondent, provided the respondent clearly identifies them in the proposal and provides compelling reasons that outline how or why the AER service agreement or a provision thereof is not appropriate or applicable in the circumstances. Any changes to the AER service agreement proposed by a respondent that are not included in its proposal may not be considered by the AER. Each respondent and the Vendor acknowledge that, by responding to this RFP, they are bound to execute the AER service agreement as detailed at: http://www.aer.ca/documents/about-us/Procurement/AERServiceAgreementSample.pdf, in the event the AER does not agree to make changes as proposed by the Respondent or Vendor during the tendering process.

In submitting a proposal in response to this RFP, each Respondent acknowledges that any indication of unwillingness to execute proposal of materially different terms than, and/or inclusion of any licensing or other agreements in the proposal that contain terms that differ from or contradict the AER service agreement may result in the AER refusing to further consider the proposal without notification or explanation to the respondent.

Each respondent must also include in its proposal a sample of each licensing agreement, or any other form of agreement, that it will request the AER to sign if the Respondent is identified as having the successful proposal. Respondents must ensure that any additional agreements included with the proposal do not contain terms that contradict any term or provision of the AER service agreement and, if so, acknowledge and agree that any provision of the AER service agreement that is inconsistent with or contradicts any provision of any additional agreement proposed by the Respondent or Vendor will always take precedence. Respondents should be aware that contract terms (including forms of agreement proposed by the respondent and requested changes to the AER service agreement) will be considered as part of the proposal to meet the requirements of this RFP and therefore may affect the AER's evaluation of the proposal.

In its sole discretion, the AER may attach and incorporate all or any portion the proposal of the Vendor in to the final agreement governing the terms and conditions of the goods and services provided by the Vendor.

4.12 Choice of Law and Forum

This RFP proposal submitted in response hereto, and any final agreement shall be construed and governed by the laws of the Province of Alberta and the laws of Canada in force in Alberta. Each respondent shall and does hereby agree to attorn to the exclusive jurisdiction of the courts of the Province of Alberta for all matters relating to this RFP and the RFP process established herein.

This RFP is subject to the *New West Partnership Trade Agreement* (NWPTA) and *Agreement on Internal Trade* (AIT).

4.13 Negotiation Delay

If a written agreement cannot be negotiated and finalized within fifteen business days following notification to the successful respondent, the AER may, in its sole discretion at any time thereafter, terminate negotiations with that respondent and either negotiate an agreement with another respondent submitting a valid proposal or choose to terminate the RFP process and not enter into an agreement with any respondent.

4.14 Conflict of Interest

All response submissions must include full disclosure of all existing business relationships that may pose a conflict of interest, or what could be perceived as a possible conflict of interest, if the respondent were to become a contracting party pursuant to this RFP (refer to AER Service Contract, Part E).
Should a conflict of interest arise, the AER, at its sole discretion, may disqualify the response submission. Failure to disclose a potential conflict of interest in the submission may result in disqualification from the evaluation process or termination of any contract that has been awarded as a result of the bid process.

4.15 Notification of Award

At the conclusion of the RFP process, the outcome shall be posted on APC where all respondents may view it. Unsuccessful respondents may request a debriefing meeting with the AER

Procurement section. During a debriefing meeting the unsuccessful respondent's proposal may be discussed, but the AER will not discuss the details or the evaluation of other respondents' proposals.

4.16 Contractor Employees

Contractor's employees shall conduct themselves in a professional and competent manner at all times that they are performing services. The AER shall immediately notify the successful Contractor, in writing, of any employee misconduct in the performance of the contract. In such instance, upon being notified by the AER of its claim of such employee misconduct, the Contractor shall promptly investigate the claim and take appropriate corrective action to remedy the situation.

4.17 Parking

Contractors shall be responsible for any parking requirements while working at an AER location.

4.18 Freedom of Information and Protection of Privacy Act

Each respondent and the vendor acknowledges the following:

(a) The *Freedom of Information and Protection of Privacy Act* (FOIP) applies to all information and records relating to, or obtained, generated, created, collected or provided under, this RFP or the agreement and which are in the custody or control of the AER. FOIP allows any person a right of access to records in the AER's custody or control, subject to limited and specific exceptions as set out in FOIP.

(b) FOIP imposes an obligation on the AER, and through this RFP and the agreement on the respondent, to protect the privacy of individuals to whom information relates. The respondent shall protect the confidentiality and privacy of any individual's personal information accessible to the respondent or collected by the respondent pursuant to this RFP or the agreement.

(c) The respondent, if it considers portions of its proposal to be confidential, shall identify those parts of its proposal to the AER considered to be confidential and what harm could reasonably be expected from disclosure. The AER does not warrant that this identification will preclude disclosure under FOIP. The AER may not be able to meet the respondent's confidentiality expectations in every instance.

(d) Materials produced by the respondent, in connection with or pursuant to this RFP or the agreement, which are or become the property of the AER pursuant to this RFP or the agreement, could be considered records under the control of a public body and could therefore also be subject to FOIP before delivery to the AER. As such, the respondent must conduct itself to a standard consistent with FOIP in relation to such materials.

(e) For the records and information obtained or possessed by the respondent in connection with or pursuant to this RFP or the agreement, and which are in the custody or control of the AER, the respondent must conduct itself to a standard consistent with FOIP when providing the services or carrying out the duties or other obligations of the respondent under this RFP or the agreement.

4.19 Fiscal Funding Out

The AER reserves the right to cancel and/or suspend the established contract if funds for the continuation of these contracted services are eliminated or are not fully appropriated in subsequent years. The AER will make all efforts, through annual budget requests, to meet financial obligations for continuing contractual obligations; however, this does not guarantee that funds will be made available from one fiscal year to the next.

The AER also reserves the right to cancel and/or suspend the established contract if changes in AER policy and/or the way business are conducted, regarding contracted services.

4.20 Assignment / Subcontracting

Neither party shall assign this contract or any monies to become due thereunder without the prior written consent of the other.

The Contractor may subcontract all or part of the Services upon the prior written consent of the AER, which consent may not be unreasonably or arbitrarily withheld, provided any such subcontracting shall not relieve Contractor from its obligations herein. Nothing contained herein shall create any contractual relationship between any permitted subcontractor of the Contractor and the AER.

4.21 Vendor Dispute Process

Any award disputes or protests must be submitted in writing to the Procurement Manager within five (5) days of the award date. Failure to protest within this time period shall be deemed a waiver of all rights.

Written protests shall include the following:

(a) Name, address, telephone and fax number of complainant,
(b) Complainant's or its representative's signature,
(c) Reference competitive bid or contract number,
(d) Detailed documentation of the legal and factual grounds of the dispute, complete with copies of relevant documents, and
(e) State dispute resolution expectations.

5.0 Respondent Response Guidelines

5.1   Proposal Format

To facilitate ease of evaluation by the evaluation team, and to ensure each proposal receives full consideration, proposals should be organized in the following format using the section titles and sequence listed below:

a) **Signature and Waiver form**
   Appendix 1 of this RFP is a mandatory requirement and must be completed and signed by an authorized representative of the respondent and included in the proposal.

b) **Table of Contents**
   A table of contents listing all key sections of the proposal must be included.
   All pages are to be numbered consecutively.

c) **Executive Summary**
   The proposal shall include an executive summary of the key features of the proposal.

d) **Respondent Profile**
   The respondent must provide full responses to all questions in Appendix 2: Respondent Profile.

e) **Respondent References**
   Provided references and detailed responses to the items listed in Appendix 4: Respondent References.

f) **Proposed business solution & response to RFP Requirements**
   Provided informative and detailed responses to the items listed in Appendix 3: Respondent Questionnaire. Proposals submitted in response to this RFP must address all items in Appendix 3.

g) **Pricing**
   Respondents are encouraged to use the provided template in **Appendix 5: Pricing – Resource Rates, and Appendix 6: Pricing – Estimates for Scope Delivery**, include one in the same format as part of their submission.

h) **Agreements**
   See Section 4.11 and document at:
   http://www.aer.ca/documents/about-us/Procurement/AERServiceAgreementSample.pdf,

i) **Appendices**
   If the respondent wishes to include any other material not specifically requested by this RFP, it may do so by including additional appendices in the proposal. Examples may include case studies, white papers, client testimonials, reference material, etc.

6.0 Proposal Evaluation Process

6.1 Evaluation Process

An evaluation team, formed by the AER, will evaluate and score the proposals using the criteria and weightings described. During the evaluation process, Procurement may contact a respondent to seek clarification in relation to any matter raised in the respondent's proposal.

6.2 Evaluation and Selection

Procurement will check proposals for compliance with the stated mandatory requirements. Proposals that do not meet all the mandatory requirements will not be forwarded to the evaluation committee for evaluation. Those proposals meeting the mandatory requirements will be further assessed against the evaluation criteria as stated in the RFP.

SECTION	MANDATORY CRITERIA	PASS	FAIL
3.5, 3.7	Proposals submitted no later than the RFP closing date and time.		
Appendix 1	Signature and Waiver form (Appendix 1) completed, signed by an authorized representative and included in the proposal.		

6.3 Evaluation Criteria/Weightings

Proposals will be evaluated based on the criteria and weighting outlined below:

CRITERIA	WEIGHTING (%)
(1) Confirmation of ability to meet requirements (Appendix 3, 1-7) • Critical Competencies • Change Management, Education, Training • Design and Analysis, Requirements, Testing • Project Team Management / Dynamics • Information Transition Preparedness and Migration • Configuration Requirements / Definition • Workflow, Process Design, Support Processes	30
(2) Qualification, Capacity, Resources • Staff Qualification • Ability to start on required date	25
(3) Pricing • Pricing details (Appendices 5 and 6) (18 points) • Price options / flexibility (2 points)	20
(4) Client References and Extra Services / Value Add • References of ability to deliver quality work on time • References of demonstrated ability to work as a partner • Validation of evaluation criteria in (1) and (2) of this section • References for projects used as examples of applicable work are preferred • Value Add, Sustainability and Innovation (5 points)	25
TOTAL:	**100**

Provided functional specifications are met, preference may be given to respondents with valid standing offer agreements with the Government of Alberta.

6.4   References

Respondents must include references of comparable organizations to which you have supplied similar services. Please include at least three (3) references (Appendix 4: Respondent References) and the type of products/services provided. Respondent may include one AER reference that is not from the Information Management or Information Technology Branch.

The AER reserves the right to check the references of any and all respondents at any time during the evaluation process and at our discretion. References may be contacted by phone and/or in writing, and any information received will be used to assist in the evaluation of a Respondent's submission to this Request for Proposal.

The AER reserves the right to consider the past performance of any Respondent when evaluating References.

The AER will not enter into a contract with any Respondent whose references, in the opinion of the AER, are found to be unsatisfactory.

6.5   Pricing

Any and all costs must be listed and detailed. Completely describe all prices (GST excluded), including initial and recurring costs, options, duty, labour, training, travel, discounts, freight the AER, and in Canadian dollars.

Pricing will be quantified using the following pricing formula: Lowest priced Proposal / Proposed price x Weight = Score. The AER reserves the right to quantify average pricing based on price of services only, total price or other average price measurements.

6.6   Financial Statements

The Respondent(s) who is the highest evaluated or who are shortlisted may be required to provide financial statements for the last three (3) years.

7.0 Project Scope and Requirements

The AER's immediate need is for non-technical services to support the implementation of two datasets in an OpenText Content Server technology. The vendor is also required to provide services and expertise to implement an Enterprise Readiness Strategy that includes enterprise implementation of an existing Enterprise Information Management Framework and Records Management Rules and Processes.

7.1   Problem Definition

The Alberta Energy Regulator (AER) is the mandated custodian of the energy-related information for the Province of Alberta; information on which the AER makes provincial, national, international, and global-impacting and visible resource management decisions. AER's unstructured, electronic, energy-related information is housed in various locations including: network drives, servers in multiple geographic locations, Energy Sustainable Resource Development (ESRD) and AER shared systems, and ad-hoc content management solutions hosted internally and externally. This unmanaged and growing information web is a barrier to AER reaching its goal as a Best in Class Regulator.

The AER is seeking proposals from respondents experienced in developing and delivering non-technical services for:

- ECM (OpenText Content Server) implementations
- Implementation of Enterprise Information Management and Records Governance programs in large organizations.
- Change Management and Education Programs to support the enterprise-wide acceptance of the technology and governance.

The AER reserves the right, at its sole discretion, to select which work will go to each vendor at any point during the contract period.

As per the 'Best and Final Offer' (Section 1.3; Intent), the AER is open to Respondents expanding on the existing scope or proposing an alternate solution, if the solution package proposed meet the minimum service requirements detailed in the Appendices.

7.2   Project Description

The purpose of the ECM Pilot Project is to introduce baseline information management governance, best practices, and ECM technology to two selected datasets to demonstrate how organized electronic information supported by ECM technology can position AER to achieve its goal of a Best in Class Regulator. The overall project objectives are:

- Demonstrate the workflow, collaboration, search, and retrieval capabilities that will position AER to address the issues and mitigate the risks identified in the Problem Definition.
- Migrate all ESRD legacy scanned PLA disposition documents from the AER shared drive to the ECM solution (Content Server) with the appropriate metadata and security.
- Modify the process for ongoing scanning of PLA documents so that new scans are stored in the ECM solution instead of the network drive.

- Improve the delivery, collaboration, and auditability of Transformation Management Office (TMO) and Enterprise Project Management Office (EPMO) initiatives by introducing collaboration and basic workflow in an ECM technology that will also control the creation, usage, management and deletion of project content.
- Implement, in an ECM technology, the foundational information management framework and governance elements (organization, process, and technology). Improved information management will help AER increase efficiencies and reduce costs over time.
- Develop and deliver an information management program to educate AER employees about their records management responsibilities, AER enterprise information management framework, and AER information management governance.
- Deliver 'toolkits' to the AER organization to prepare their information for transition to the ECM solution.
- Deliver 'toolkits' to the AER ECM business analysts to gather requirements completely and consistently for future datasets to be transitioned to the ECM solution.

7.3 Scope

The ECM Pilot Project roadmap (see Appendix 7: ECM Pilot Project Roadmap) and supporting scope, is structured into Non-Technical Delivery followed by Technical Delivery. This section provides the detailed scope for non-technical delivery and the detailed scope for technical delivery (non-technical services). Please note, for the technical delivery scope, the requirements are limited to only the business services required to support the technical delivery of the ECM Pilot Project. This breakdown is also used in Appendix 6: Pricing – Estimates for Scope Delivery where the respondent is asked to provide the resources, rates, estimated hours and costs for each of the scope requirements.

Non-Technical Delivery

Scope Requirement	Sub Requirement	Service Required from Vendor (Provide approach and costs to deliver this service.)
1. Assist AER ECM Program Manager to operationalize enterprise-wide participation in the ECM/EIM Program	a) Participate in ECM Steering Committee Meetings	Participate and engage with AER Project/Program Lead
2. General Project Management	a) Work with AER IT PM and ECM Program Manager to manage project.	Work with AER IT PM and ECM Program Manager to manage project scope, deliverables, schedule, budget, and reporting.
3. Develop and implement an enterprise preparedness strategy related to ECM	a) Develop and implement a Change Management Strategy (including Communications Strategy) **Note:** The user audience is geographically dispersed throughout Alberta.	Lead and implement the Change Management Strategy. Work with AER HR Change Management and Office of Public Affairs to ensure that all aspects of the strategies align with AER standards and best practices.

Scope Requirement	Sub Requirement	Service Required from Vendor (Provide approach and costs to deliver this service.)
3. Develop and implement an enterprise preparedness strategy related to ECM (continued)	b) Develop and implement an Education Strategy. **Note:** The user audience is geographically dispersed throughout Alberta.	Lead and work with AER Project Business Analysts to develop and implement an Education Strategy on how to educate the AER enterprise on EIM practices, IM Governance, and ECM Pilot Project. Work with AER Communications and AER HR Change Management to ensure that all deliverables and approaches align with AER standards and practices.
	c) Design, develop & deliver training materials for ECM. **Note:** user audience is geographically dispersed throughout Alberta.	Work with AER Business Analysts to develop and deliver training materials for ECM Strategies. Work with AER Communications and AER HR Change Management to ensure that all deliverables align with AER standards and practices.
	d) Create a survival strategy (strategy that AER Business Units will follow to prepare information for transition to ECM) for teams awaiting migration to ECM technology. **Note:** user audience is geographically dispersed throughout Alberta.	Lead strategy development with participation from AER BAs and AER Records Analysts.
4. Develop and implement a technology preparedness strategy related to ECM	a) Establish the ECM solution non-technical delivery processes, tools & templates, including how to capture requirements, prioritize new work in collaboration with ISB & other stakeholders.	Work with IS Branch and AER BA to develop the tools, templates, and processes.
	b) Define ECM repository administrative settings (including foundational configuration, search templates, and Enterprise Connect) for technical implementation	Work with IS Branch and AER BA to complete this task.
	c) Design Information Architecture (security, first level folder structures, enterprise metadata) for technical implementation	Lead this work and work with IS Branch and AER BA to complete this task.
	d) Design Records Management Configuration / Settings for Content Server for technical implementation.	Lead this work and work with IS Branch and AER Records Analyst and BA to complete this task.

Scope Requirement	Sub Requirement	Service Required from Vendor (Provide approach and costs to deliver this service.)
5. Design & Analysis and Requirements Definition for PLA Dataset	a) Requirements assessment and identify PLA content that the Information Management Branch (IMB) scans and stores on network drives and determine roles associated with it (e.g. who creates it, who uses it).	Lead and work with AER BA and Records to complete this task.
	b) Identify the current source of that information on the file shares and clean-up duplicate copies (if any). **Note:** Estimated content is approximately 15000 files in a consistent file folder structure with defined, standardized naming conventions.	Lead and work with AER BA to complete this task.
	c) Design the PLA work package for handoff to technical implementation (folder structure, metadata, and permissions model)	Lead and work with AER BA and IS Branch to complete this task.
	d) Design document migration plan with technical team.	Work with AER BA and IS Branch to complete this task.
	e) Modify the business process for scanning historical PLA content and putting in ECM solution instead of on the network drive.	Lead and work with AER BA to complete this task.
6. Design & Analysis and Requirements Definition for EPMO/TMO Dataset	a) Requirements assessment and identify content that is owned by EPMO / TMO and determine roles associated with it (who creates, who uses it).	Lead and work with AER BA and Records to complete this task.
	b) Identify the current source of content (file shares, email) and cleanup duplicates as required. (Note: This content should be less than 500 records).	Lead and work with AER BA to complete this task.
	c) Identify simple business processes that are good candidates for basic workflow (< 20 steps).	Lead and work with AER BA to complete this task.

Scope Requirement	Sub Requirement	Service Required from Vendor (Provide approach and costs to deliver this service.)
6. Design & Analysis and Requirements Definition for EPMO/TMO Dataset (continued)	d) Design two basic workflows for EPMO/TMO with supporting forms requirements for handoff to technical for development and implementation. Note: Basic workflow means less than 20 workflow steps that can be created with base functionality, do not require customization, and are not integrated with other systems.	Work with IS Branch and AER BA to complete this task.
	e) Develop document migration plan with Technical Team	Lead and work with AER BA and IS Branch to complete this task
	f) Work with the Technical Team to identify requirements and options for collaborative services	Work with IS Branch and AER BA to complete this task.
	g) Design the TMO/EPMO work package for hand off to technical implementation (folder structure, metadata, and permissions model)	Lead and work with AER BA to complete this task

Technical Scope – Business Services

Scope Requirement	Sub Requirement	Service Required from Vendor (Provide approach and costs to deliver this service.)
7. Support technical implementation of base configuration in OpenText Content Server	a) Develop and implement technical and functional support processes between IM Team, ISB, and IS Service Desk.	Work with IS Branch and coach AER BAs and AER Records Analysts to complete this task.
	b) Work with Technical Team to develop configuration test plans and participate in testing the configurations in test and production environments.	Work with IS Branch and AER BA.
	c) Support implementation of Information Architecture in test and production environments.	Led by IS Branch, provide business support.
	d) Support configuration of Records Management in Content Server test and production.	Led by IS Branch, provide business support.
	e) Support configuration of ECM repository administrative settings in Production and Test.	Led by IS Branch, provide business support.

Scope Requirement	Sub Requirement	Service Required from Vendor (Provide approach and costs to deliver this service.)
8. Support Technical Implementation of Public Lands Act (PLA) content in Content Server	a) Assist in migrating content.	Work with AER BA and IS Branch to complete this task.
	b) Develop user test plans and test implemented configurations in test and production environments.	Work with AER BAs and IS Branch to complete this work.
	c) Develop PLA Change and Communication Plan and implement. Educate and train impacted users on how to find their information, how to use Content Server, and how to use the new workflows. **Note:** The user audience is geographically dispersed throughout Alberta.	Lead and work with AER BA to complete this task. Work with AER Office of Public of Affairs and HR Change Management to ensure all deliverables align with AER standards.
	d) Participate in developing sustainment and support plan for PLA ECM Solution	Work with AER BAs and IS Branch to complete this work.
	e) Support implementation of PLA requirements in test and production environments.	Led by IS Branch; provide business support.
9. Support Technical Implementation of Enterprise project Management (EPMO) / Transformation Management Office (TMO) content in Content Server	a) Assist in migrating content.	Work with AER BA and IS Branch to complete this task.
	b) Develop TMO/EPMO Change and Communications Plan and implement. Educate and train impacted users on how to find their information, how to use Content Server, and how to use the new workflows. **Note:** The user audience is geographically dispersed throughout Alberta.	Lead and work with AER BA to complete this task. Work with AER Office of Public of Affairs and HR Change Management to ensure all deliverables align with AER standards
	c) Develop user test plans and test implemented configurations in test and production environments.	Work with AER BAs and IS Branch team to complete this work.
	d) Support implementation of EPMO/TMO requirements in test and production environments.	Led by IS Branch; provide business support.
	e) Participate in sustainment and support plan for TMO/EPMO ECM Solution	Work with AER BAs and IS Branch to complete this work.

7.4 Mandatory Competencies

The AER is seeking responses from Respondents that have the following competencies for the provision of ECM non-technical services. Respondents must have proven experience of providing such services in an oil and gas industry context. Respondents are requested to provide information on their resources and competencies by providing resumes of proposed candidates as requested in Appendix 3: Respondent Questionnaire – 1.3 Critical Competencies.

Resource	Desired Skills
All Resources	• All resources must have ECM OpenText Content Server 10.5 implementation experience.
ECM BA/PM	• 10 years' experience implementing ECM projects. • 10 years' project management experience. • 5 years' business analysis experience. • 5 years' experience implementing ECM OpenText Content Server projects. • PMP certification preferred.
ECM BA	• 10 years' business analyst experience • 5 years' experience conducting business analysis activities on ECM OpenText Content Server projects • IIBA member • CBAP certification preferred
ECM Information Architect	• 10 years' experience architecting information in ECM technologies. • 5 years' experience architecting information in an OpenText Content Server technology.
ECM Change Manager	• Prosci Certified Change Management Professional with 5 years' experience developing change management and communications strategies and plans for ECM implementations.

Resource	Desired Skills
ECM Training Developer / Trainer	• 10 years' instructional design and training development experience. • 5 years' experience in ECM OpenText Content Server training design, development, and delivery.
ECM Content Server Records Management Specialist	• 10 years' experience in Records Management Governance • 5 years' experience designing records management configuration / setting requirements for ECM OpenText Content Server. • 5 years' experience collaborating with IS technical teams implementing ECM technology projects.
ECM Governance Analyst	• 10 years' experience in Records Management Governance and Information Management

7.5   Reporting

- Short 10-15 minute daily standup meeting with project team to bring forward any roadblocks/issues and plan for the day.
- Weekly status reports with deliverable and budget tracking to the AER ECM Program Manager.
- Issue, Risk, Action, and Decision (RAID) tracking in project RAID log.

7.6   Deliverables

The primary project deliverables are described in the table below. Deliverables with a grey background are Technical deliverables that are led by Information Services that could include non-technical business support requirements, which are included in the scope of this RFP and defined in 7.3   Scope. The dates below assume an October 6, 2014 start date.

Deliverable	Deliverable Date
Enterprise preparedness strategy related to ECM	
ECM Change Management Strategy	December 15, 2014
Information Management Survival Guide	December 15, 2014
IMB/ECM Education Strategy	January 15, 2015
Program Training Materials	January 15, 2015
Base Technology Analysis and Design	
ECM Solution Delivery Process and Templates	October 20, 2014
Define support processes (functional/technical) for ECM	November 1, 2014
Information Architecture Design (Folders, Metadata, Security Model) (signed off)	November 17, 2014

Deliverable	Deliverable Date
ECM Repository Administrative Settings Document (settings, search, Enterprise Connect) (signed off)	November 17, 2014
Records Management Applications Settings Document (signed off)	November 17, 2014
PLA Analysis/Design and Requirements	
Requirements Assessment, including Content Inventory (signed off)	November 17, 2014
PLA Work Package Design (folders, metadata, security for PLA content) (signed off)	November 17, 2014
Document Migration Plan	November 17, 2014
EPMO/TMO Analysis/Design and Requirements	
Requirements Assessment, including Content Inventory (signed off)	November 17, 2014
EPMO/TMO Work Package (folders, metadata, security for EPMO/TMO content) (signed off)	November 17, 2014
Document Migration Plan (signed off)	November 17, 2014
Workflow Process Design (2) (signed off)	November 17, 2014
Requirements and options for collaborative work services. (signed off)	November 17, 2014
Enterprise ECM Technical Foundation Configuration and Implementation	
Implement Information Architecture (Folders, Metadata, Security Model) in Test Environment	January 19, 2015
Configure ECM Repository Administrative Settings (settings, search, Enterprise Connect) in Production Environment	February 9, 2015
Configure Records Management in Content Server in Production Environment	February 9, 2015
Test Plan Complete and Testing Sign-off	January 26, 2015
Implement Information Architecture (Folders, Metadata, Security Model) in Production Environment	February 9, 2015
Configure ECM Repository Administrative Settings (settings, search, Enterprise Connect) in Production Environment	January 26, 2015
Configure Records Management in Content Server in Production Environment	February 9, 2015
PLA Configuration and Implementation	
Execute PLA Change Management Plan (including Training and Communications)	March 17, 2015
Implementation of Solution in Test Environment	March 3, 2015
Sustainment/Support Plan	February 16, 2015
User Test Plan and Testing Sign-off	March 10, 2015
Super- and End-user Training	March 17, 2015
Implementation of Solution in Production Environment, including document migration	March 17, 2015
TMO/EPMO Configuration and Implementation	
Execute TMO/EPMO Change Management Plan (including Training and Communications)	March 17, 2015
Implementation of Solution in Test Environment	March 3, 2015
Sustainment/Support Plan	February 16, 2015
User Test Plan and Testing Sign-off	March 10, 2015
Super- and End-user Training	March 17, 2015
Implementation of Solution in Production Environment	March 17, 2015
Project Management	
Detailed Project Plan	October 31, 2014
Project Budget (revised if required)	October 31, 2014
Benefits Worksheet	October 15, 2014
Benefits Delivery Plan	October 15, 2014
Benefits Register	October 15, 2014

Deliverable	Deliverable Date
Risks, Actions, Issues, Decisions (RAID) Log	October 15, 2014
Status Reporting	Ongoing
EPMO/TMO Initiative Lessons Learned	March 24, 2015
PLA Initiative Lessons Learned	March 24 2015
Project Lessons Learned	March 30, 2015
Project Closure Report	April 10, 2015

7.7 Project Time Frame

The project time frame dates are based on the best information available to the AER at the date of the RFP, and may change at the discretion of the AER.

- Notification of selected vendor: September 26, 2014
- Contract negotiations completed & contract executed: October 1st, 2014
- Vendor starting work: October 6th, 2014
- Anticipated Project Completion - April 10, 2014

7.8 Other programs

Respondents are requested to include additional information (including all pricing) on any supplementary services associated with this Request (not supplementary to the solution, but over and above) that you are willing to offer to the AER. All such services must be available through the term of the contract and will be requested and paid for by the AER on an "as required" basis. Please note that this does not form part of the evaluation for this Request for Proposal.

APPENDICES

Appendix 1: Signature and Waiver

ECM Pilot Project Non-Technical Services; Information Management Branch

Issue Date: September 9, 2014   **Closing Date/Time:** September 22, 2014, 14:00 (MST)

Respondent Information

Legal name of respondent: _____

Address: _____

Contact: _____ **Phone:** _____ **E-mail**: _____

This form shall be included as part of your response.

The Respondent hereby acknowledges that prior to submitting a response for this quote, the Respondent has reviewed and agreed to all of the terms and conditions set out in this RFP.

The Respondent also consents, and has obtained written consent, of any individuals identified in the quote submission, to the collection and use of the information in the submission, by the AER and/or individuals and providing services to the AER, to enable it to evaluate the quote.

By signing this form, the undersigned confirms they have the full authority to represent the Respondent in all matters relating to the RFP, and confirm that the Respondent agrees to be bound by all the Terms and Conditions.

Acknowledgement of Addenda Received (*if Applicable*)

The Respondent hereby acknowledges receipt of the following addenda and has modified their bid accordingly. Check all that apply:

☐ **Addendum #1**   ☐ **Addendum #2**   ☐ **Addendum #3**   ☐ **Other:** _____

_____   _____   _____

Authorized Signature   Name   Date

Appendix 2: Respondent Profile

Respondents are welcome to use the electronic copy of this appendix that is included with the RFP on APC.

Respondent Profile: Basic Information		
Name:		
Current address:		
City:	Province:	Postal Code:
Phone:	Fax:	Website:
Contact:	Email:	Contact ph:
Structure and Profile		
Form of Business (Corp, etc):		
GST#:		Years in business:
Names of Officers			
Titles of Officers			
Financial		
Bank Name:		
Address:		Phone:
City:	Province:	Postal Code:
Email/Website:		
Other Locations/Offices		
Address1:		Type:
Phone:	Fax:	Email:
City:	Province:	Postal Code:
Address2:		Type:
Phone:	Fax:	Email:
City:	Province:	Postal Code:
Name		Name
Name		Name

Respondent's Profile: Additional information	
(a) Length of time in the ECM Implementation business.	
(b) Describe your geographic reach and market penetration.	
(c) Length of time and number of projects implementing OpenText technologies in Oil and Gas companies.	
(d) Number of projects that you have executed with a project scope similar to AER. Please refer to the Project Scope and Requirements section 7.0 to draw parallels between AER scope and that of other customers.	
(e) For 2-3 of the projects identified in item (d), provide your role on the project, whether you completed and operationalized the project on-time, on-budget, and the full project scope (and if not, why).	
(f) For the 2-3 projects identified in item (d) above, indicate the resulting-outcomes and/or benefits that you delivered or influenced with your clients.	

Appendix 3: Respondent Questionnaire

Please respond to questions listed in the table below. Respondents can find an electronic copy of this appendix included with this RFP posting on APC.

For each line item select one of the following from the following list (if applicable):

F – Fully experienced more than 10 years
P – Partially experienced more than 5 years but less than 10 years
L – Limited experienced less than 5 years

AER REQUIREMENTS SECTION			RESPONDENT SECTION
Line #	Feature	(F P L)	Respondent's Response
1	**Critical Competencies**		
1.1	Vendor shall have proven experience in providing services required in 7.3 Scope. **Respondent please provide:** A list of your projects with a similar scope to that in 7.3 Scope. Please provide a high-level description of each of the listed projects.		
1.2	Vendor shall have executed projects with scope similar to that in 7.3 Scope for oil and gas and/or government. The projects must have used OpenText Content Server technology. **Respondent please provide:** a list and high-level description of OpenText Content Server projects (of scope similar to this AER ECM Pilot Project).		
1	**Critical Competencies**		
1.3	Vendor shall assign resources to the project that have the experience and skill level as defined in 7.4 Mandatory Competencies. **Respondent please provide:** Resumes for all proposed resources (identifying the assigned project role) as required in 7.4.		
2	**Change Management/Education/Training**		
2.1	**Requirement:** Vendor shall have experience developing and delivering Enterprise Change Management Strategies specific to ECM projects. **Respondent please provide:** • Using 2-3 projects, provide examples of		

2	**Change Management/Education/Training**		
	Change Management Strategy and implementation services that you have provided for ECM projects. • Details of the techniques employed to design a strategy that addressed both enterprise change AND change associated with individual business units and dataset owners. • Methods used to measure the benefits / outcomes captured in the Change Management Strategy.		
2.2	**Requirement:** Vendor shall have experience following Prosci Change Management methodology. **Respondent Please provide:** A list of ECM projects and scope of services that were delivered using Prosci Change Management methodology.		
2.3	**Requirement:** Vendor shall have experience developing and delivering Enterprise Education Strategies for Record Governance and Information Management Programs. **Respondent Please Provide:** • Using 2-3 projects, provide examples of Enterprise-level Education Strategy and Implementation services that you have provided for Records Governance and Information Management implementation projects. • For each example, provide the scope of the services that were provided.		
2.4	**Requirement:** Vendor shall have experience developing and delivering (to a geographically dispersed audience) training materials to support ECM OpenText Content Server Projects. **Respondent Please provide:** • Using 2-3 projects, provide examples of training materials development and delivery services that you have provided for ECM OpenText Content Server projects. • For each project, indicate if the training audience was geographically dispersed and how the training was designed to support that situation.		
2.5	**Requirement:** Vendor shall develop Change and Communication Plans for the PLA and the EPMO/TMO datasets. **Respondent please provide:**		

2	**Change Management/Education/Training**		
	- Using 2-3 projects, provide your experience developing and implementing Change and Communication Plans for specific dataset implementations in ECM technology. - Experience working with client change teams to develop and execute on Change and Communication Plans. - Details of the tools, templates, and techniques you use to develop Prosci-based Change and Communication Plans. - Description of the techniques used to ensure that the dataset/business unit changes were managed at the Enterprise level. - Description of the techniques used to manage change for a geographically dispersed audience.		
2.6	**Requirement** Vendor shall deliver training to impacted users (in geographically dispersed locations) on how to find their information, how to use Content Server, and how to use the new workflows. **Respondent please provide:** - Using 2-3 example projects, your experience developing training materials (user audience definition, learning objectives, success measures, etc.) and delivering to impacted users. - Experience developing training and delivering training materials for OpenText Content Server implementations. - Description of the tools, templates, and techniques you use to develop and measure (benefits/outcomes) of effective training for impacted users.		

AER REQUIREMENTS SECTION		RESPONDENT SECTION	
Line #	Feature	(F P L)	Respondent's Response
3	**Design and Analysis / Requirements / Testing**		
3.1	**Requirement:** Vendor shall provide requirements gathering strategy, including tools, templates, and techniques for consistent gathering (for all datasets) of configuration requirements for handoff to technical team for implementation.		

3	**Design and Analysis / Requirements / Testing**		
	Respondent please provide: • Description of the tools, techniques, and templates that you use to consistently (for all datasets) gather configuration requirements for handoff to technical team for implementation. • List the configuration requirements criteria that you gather for an ECM OpenText Content Server implementation (e.g. metadata, taxonomy, search criteria).		
3.2	**Requirement:** Vendor shall complete requirements assessment and gathering for PLA (~15,000 files stored in structured file folder design with consistent, logical file naming conventions) and EPMO/TMO data (~500 files) stored on AER Network Drives and in Confluence (EPMO/TMO only). This includes working with the business data owners. **Respondent please provide:** • Using 2-3 projects, provide your experience gathering ECM (OpenText Content Server) requirements for a single dataset of documents that were scanned from paper records. (PLA) • Using 2-3 projects, provide your experience gathering ECM requirements for data stored in Confluence (or other document repositories) with unstructured naming conventions.		
3.3	**Requirement**: Vendor shall complete requirements assessment and gathering for PLA and EPMO/TMO data using tools and techniques that minimize the time burden on subject matter experts and also ensure completeness of requirements. **Respondent please provide:** The requirements gathering tools, techniques, and templates that you use to gather requirements from subject matter experts; minimizing the impact on their time, but also ensuring that the requirements are complete.		

3	**Design and Analysis / Requirements / Testing**		
3.4	**Requirement:** Vendor shall provide for each dataset (PLA and EPMP/TMO) the detailed requirements in a consolidated work package for handoff to technical team for implementation. The work package would include (but is not limited to) folder structures, metadata, and permissions model. **Respondent please provide:** • The requirements / configuration information that you would provide in a dataset-specific consolidated work package that could be delivered to the technical team for implementation in OpenText Content Server. • Description of the tools, templates, and techniques that you would use to capture the consolidated work package and how you confirm the completeness of the information. • Description of the methods used to ensure the effective implementation of the requirements defined in the work package and the techniques used to manage changes in the requirements.		
3.5	**Requirement:** The vendor shall resource and manage the concurrent gathering, analysis, and documenting of the general ECM configuration requirements and requirements from two datasets (three requirements gathering areas). **Respondent please provide:** • Description of your techniques for concurrently gathering requirements for general ECM configuration, PLA dataset configuration, and EPMO/TMO dataset & workflow configuration. • Description of your tools and techniques to ensure that the requirements are gathered and documented in a consistent manner to support analysis of requirements across all areas.		

3	Design and Analysis / Requirements / Testing		
3.6	**Requirement** Vendor shall work with AER to develop end user test plans for the PLA and EPMO/TMO configuration and migrated data in test and production environments. **Respondent please provide:** • Using 2-3 example projects, provide your experience working with a technical team to develop test plans for dataset configurations and migrations into an ECM technology. Please describe how the test plans verify the requirements. • Using 2-3 example projects, provide your experience managing and executing dataset-specific end user tests per the test plan. • Description of your tools, templates, and techniques you use to develop test plans and execute and track the test results.		
3.7	**Requirement:** Vendor shall work with the AER technical team to develop configuration test plans (of base OpenText Content Server configuration – not dataset specific) and participate in testing the configurations in test and production environments. **Respondent please provide:** • Using 2-3 example projects, provide your experience working with a technical team to develop test plans for a base ECM configuration (not dataset specific). Please describe how the test plans verify the requirements. • Using 2-3 example projects, provide your experience executing tests per the test plan and working with the Technical Team to report on and resolve issues/bugs. • Description of your tools, templates, and techniques you use to develop test plans and executing and tracking the test results.		
3.8	**Requirement:** Vendor shall have tools and processes for tracking and tracing requirements against final ECM configuration and implementation. **Respondent please provide:** Description of your tools and processes that you use to track and trace requirements through testing to actual implementation of the product.		

AER REQUIREMENTS SECTION			RESPONDENT SECTION
Line #	Feature	(F P L)	Respondent's Response
4	**Project Team Management / Dynamics**		
4.1	**Requirement:** The vendor shall provide ECM implementation coaching and mentoring support to qualified AER personnel working on the project. **Respondent please provide:** • Using 2-3 projects, your experience coaching / mentoring client staff on executing ECM project assigned tasks. • Description of your tools, techniques that you use to coach / mentor client staff.		
4.2	**Requirement:** Vendor shall provide a Project Manager for managing the non-technical work (schedule and deliverables) of the ECM Pilot Project. Vendor Project Manager will report to the ECM Program Manager. **Respondent please provide:** • Using 2-3 projects, your experience managing the non-technical work of an ECM technology implementation project. • Description of your techniques for working on a project team with a Program Manager and a Technical Manager.		
4.3	**Requirement:** Vendor shall have experience working on a team where business and technical services may be provided by two different vendors. **Respondent please provide:** • Description of projects on which you have been required to work on a project where the technical implementation was performed by a different vendor. • Description of the techniques used to work collaboratively on tasks with a different vendor.		

AER REQUIREMENTS SECTION			RESPONDENT SECTION
Line #	Feature	(F P L)	Respondent's Response
5	**Information Transition Preparedness and Migration**		
5.1	**Requirement:** Vendor shall develop a document migration plan (with AER team members) for the PLA and EPMO/TMO existing documents and participate in the migration of the data. **Respondent please provide:** • Description of your tools, templates, and techniques that you would use to develop the document migration plan. • Using 2-3 example projects, provide your experience in planning data migration and migrating data from a source location (ECM technology (e.g. Confluence) and network drives) to a different ECM Technology (at least 1 project must have a destination ECM of OpenText Content Server).		
5.2	**Requirement:** Prior to data migration, vendor shall clean up source data (EPMO/TMO - ~500 records; PLA - ~ 15000 records), identify duplicate information, ensure only one document is migrated, and inventory content to migrate. **Respondent please provide:** • Description of your tools, techniques, and templates used to inventory directories of source content and identify duplicate records. • Description of your document/records management approaches for managing duplicate records. • Using 2-3 example projects, provide your experience on conducting data clean-up on ECM technology implementation.		

5	Information Transition Preparedness and Migration		
5.3	**Requirement:** Vendor shall provide tools, templates, and techniques to support an ECM Survival Strategy that will allow AER business units to start preparing their electronic information in a consistent, standardized format that will facilitate transition to the ECM technology. **Respondent please provide**: • Description of the tools, techniques, and templates that you use to enable business to proactively prepare electronic information for transition to an ECM technology. Include how you captured taxonomy, metadata, security of prepared information. • Using 2-3 example projects, provide your experience on enabling business units to proactively prepare their information for transition to an ECM technology.		

AER Requirements Section			**Respondent Section**
Line #	Feature	(F P L)	**Respondent's Response**
6	**Configuration**		
6.1	**Requirement:** Vendor shall have experience defining and supporting the implementation of ECM repository administrative settings for a base OpenText Content Server configuration (not dataset specific). **Respondent Please Provide:** • Using 2-3 projects, a description of the experience defining ECM repository administrative settings (foundational configuration, search template, Enterprise Connect) for an OpenText Content Server implementation. • Provide a list of the administrative settings / configuration criteria that you would define for a base OpenText Content Server configuration (not dataset specific). • Description of your tools, techniques, and templates that you use to capture the administrative settings for delivery to the technical team for implementation.		

6	Configuration		
6.2	**Requirement:** Vendor shall have experience defining and supporting implementation of the information architecture (security, first level folder structures, enterprise metadata) for handoff to technical team for implementation. **Respondent Please provide:** • Using 2-3 projects, a description of the experience and techniques used to develop and implement the information architecture for a new OpenText Content Server installation (no datasets installed). • Description of your tools, techniques, and templates that you use to define and document the information architecture for handoff to technical team for implementation. • Describe the key components of the information architecture that you will deliver to the technical team for implementation.		
6.3	**Requirement:** Vendor must have experience designing and supporting implementation of the OpenText Records Management Settings for Content Server. **Respondent Please Provide:** • Using 2-3 projects, provide your experience, tools, and techniques for designing and implementing the settings for OpenText Records Management in Content Server. • Describe the tools, templates, and techniques used to capture and document these requirements for delivery to technical team for implementation. • Describe how you ensure that the settings align with the corporate Record Management practices, policies, retention schedules, and guidelines?		

AER REQUIREMENTS SECTION			RESPONDENT SECTION
Line #	Feature	(F P L)	Respondent's Response
7	**Workflow / Process Design / Support Processes**		
7.1	**Requirement:** The vendor shall assess the current scanning and uploading process for scanned PLA paper records and modify the process to support the upload of the PLA scanned records into the OpenText Content Server technology. **Respondent please provide:** • Description of the tools, templates, and techniques that you would use to complete the business process re-engineering and measure the success of the process changes. • Using 2-3 example projects, provide your experience in business process re-engineering to support implementations of ECM technology.		
7.2	**Requirement:** Vendor shall identify simple EPMO/TMO processes that are candidates for basic workflow (<20 steps) in OpenText Content Server. **Respondent please provide:** Description of the tools, templates, and techniques that you use to assess a valid candidate for basic workflow implementation in OpenText Content Server. Please include the criteria that you would use to determine a valid workflow candidate.		

7	**Workflow / Process Design / Support Processes**		
7.3	**Requirement:** Vendor shall design two basic workflows for EPMO/TMO with supporting forms for handoff to technical team for development and implementation. Note: Basic workflow means less than 20 steps and that can be created with base OpenText functionality – no custom coding and no integration with other systems). **Respondent please provide:** - Using 2-3 example projects, provide your experience in designing basic workflow functionality (that use supporting forms) in ECM technology implementations (must include 1 project using OpenText Content Server technology). - Provide the criteria used to measure the benefits / effectiveness of the new workflow. - Description of the tools, templates, and techniques you use to capture the workflow requirements and hand them off to the technical team for implementation.		
7.4	**Requirement:** Vendor shall work with AER to develop and implement technical and functional support processes (between IM Branch, IS Branch, and IS Service Desk) for the OpenText Content Server installation. **Respondent please provide:** Using 2-3 example projects, provide your experience developing and implementing ECM technology support processes between the business, Information Services, and service desk.		
7.5	**Requirement:** The vendor shall work with AER to determine the requirements for work collaboration with the dataset owners (PLA/EPMO/TMO) and identify opportunities using existing or OpenText solutions to meet those requirements. **Respondent shall provide:** - Using 2-3 example projects, your experience in developing collaborative work solutions for ECM technology implementations. - Experience developing collaborative work solutions for at least 1 OpenText Content Server implementation.		

7	Workflow / Process Design / Support Processes		
7.6	**Requirement:** Vendor shall work with AER to develop sustainment and support plan for the dataset implementations (PLA and EPMO/TMO). **Respondent please provide:** • Using 2-3 example projects, your experience development sustainment and support plans for dataset implementations (for different business units). • Description of the tools, templates, and techniques you use to measure success (benefits/outcomes) of implemented sustainment and support plans.		

AER REQUIREMENTS SECTION		RESPONDENT SECTION	
Line #	Feature	(F P L)	Respondent's Response
8	**Service Agreement and Terms**		
8.1	Confirm or comment your willingness to adopt the AER Service Agreement: http://www.aer.ca/documents/about-us/Procurement/AERServiceAgreementSample.pdf. Describe any changes that you would request in the service agreement and provide a written rationale for those changes.		
8.2	Identify any concerns or limitations with respect to compliance with AER conflict of interest matters (Part E and F of the AER Service Agreement, http://www.aer.ca/documents/about-us/Procurement/AERServiceAgreementSample.pdf.		
8.3	Please describe the normal process your company uses to handle day-to-day service quality issues.		
8.4	Please describe your change request process. Provide specific examples of what you consider to be major vs. minor changes, the degree to which the change process is followed, and the turnaround time to implement the changes.		
8.5	Please provide any additional information AER should be made aware of.		

Appendix 4: Respondent References

Respondents must include references of comparable organizations to which you have supplied similar services. Please include at least three (3) references and the type of products/services provided. Respondent may include one AER reference that is not from the Information Management Branch.

CLIENT REFERENCE #1			
Company Name			
Address			
Contact Name		Title	
Phone Number		email	
Client Since (date)			
Description of work that is similar to what is being requested in this RFP.			

CLIENT REFERENCE #2			
Company Name			
Address			
Contact Name		Title	
Phone Number		email	
Client Since (date)			
Description of work that is similar to what is being requested in this RFP.			

CLIENT REFERENCE #3			
Company Name			
Address			
Contact Name		Title	
Phone Number		email	
Client Since (date)			
Description of work that is similar to what is being requested in this RFP.			

Appendix 5: Pricing – Resource Rates

Respondents are encouraged to use this template or must include one in the same format as part of their submission. Respondents can find an electronic copy of this appendix included with this RFP posting on APC.

Resource	Rate (CAD)
ECM BA/PM	
ECM BA	
ECM Information Architect	
ECM Change Manager	
ECM Training Developer/Trainer	
ECM Content Server Records Management Specialist	
ECM Governance Analyst	

Pricing will be quantified using the following pricing formula: Lowest priced Proposal / Proposed price x Weight = Score. The AER reserves the right to quantify average pricing based on price of services only, total price or other average price measurements.

Total cost is based on the scope of work as indicated on **pp. 53 and 55 of this RFP**:

Delivery Component – Scope of Work	Cost (CAD)
Non-Technical Delivery (see p.53)	
Technical Delivery (see p. 55)	
TOTAL:	

Payment Terms		
PAYMENT TERMS NET	CASH DISCOUNT OF %	IF PAID IN DAYS
Discounts will be considered if deemed in the best interests of the AER. Discount may be given up to 3% weighting.		

Assumptions (if applicable): Please note any assumptions

During the term of any contract the AER may, at its discretion, seek Electronic commerce and payment alternatives.

Appendix 6: Pricing – Estimates for Scope Delivery

Based on the Scope of Work defined in 7.3 Scope and the defined Service required, please provide an estimate of the hours, assigned resources and rates, and calculated cost per scope requirement.

A detailed project roadmap is provided in Appendix 7 of this document.

Non-Technical Delivery – Business Scope and Estimate

Scope Requirement	Sub Requirement	Service Required from Vendor (Provide approach and costs to deliver this service.)	Vendor Resource Type(s), Rates	Estimated Hours	Estimated Cost for Requirement
1. Assist AER ECM Program Manager to operationalize enterprise-wide participation in the ECM/EIM Program	a) Participate in ECM Steering Committee Meetings (biweekly for duration of project)	Participate and engage with AER Project/Program Lead			
2. General Project Management	a) Work with AER IT PM and ECM Program Manager to manage project.	Work with AER IT PM and ECM Program Manager to manage project scope, deliverables, schedule, budget, and reporting.			
3. Develop and implement an enterprise preparedness strategy related to ECM	a) Develop and implement a Change Management Strategy (including Communications Strategy)	Work with AER HR Change Management and Office of Public Affairs to develop a Change Management Strategy for ECM Initiative. Lead and implement the Change Management strategy.			
	b) Develop and implement an Education Strategy.	Work with AER Communications and Project Business Analysts to develop an Education Strategy on how to educate the AER enterprise on EIM practices, IM Governance, and ECM Pilot Project (up to Phase 1).			

Scope Requirement	Sub Requirement	Service Required from Vendor (Provide approach and costs to deliver this service.)	Vendor Resource Type(s), Rates	Estimated Hours	Estimated Cost for Requirement
	c) Design, develop and deliver training materials for ECM.	Work with AER Business Analysts to develop and deliver training materials up to Phase 1.			
	d) Create a survival strategy (strategy that AER Business Units will follow to prepare information for transition to ECM) for teams awaiting migration to ECM technology.	Lead strategy development with participation from AER BAs and AER Records Analysts.			
4.Develop and implement a technology preparedness strategy related to ECM	a) Establish the ECM solution delivery processes, tools and templates, including how to capture requirements, prioritize new work in collaboration with ISB and other stakeholders.	Work with IS Branch and AER BA to develop the tools, templates, and processes.			
	b) Define ECM repository administrative settings (including foundational configuration, search templates, and Enterprise Connect) for technical implementation	Work with IS Branch and AER BA to complete this task.			
	c) Design Information Architecture (security, first level folder structures, enterprise metadata) for technical implementation	Work with IS Branch and AER BA to complete this task.			
	d) Design Records Management Configuration / Settings for Content Server for technical implementation.	Work with IS Branch and AER Records Analyst and BA to complete this task.			

Scope Requirement	Sub Requirement	Service Required from Vendor (Provide approach and costs to deliver this service.)	Vendor Resource Type(s), Rates	Estimated Hours	Estimated Cost for Requirement
5. Design & Analysis and Requirements Definition for PLA Dataset	a) Requirements assessment and identify PLA content that the Information Management Branch (IMB) scans and stores on network drives and determine roles associated with it (e.g. who creates it, who uses it).	Lead and work with AER BA and Records to complete this task.			
	b) Identify the current source of that information on the file shares and clean-up duplicate copies (if any). **Note:** Estimated that source content is approximately 15000 files in a consistent file folder structure with defined, standardized naming conventions.	Lead and work with AER BA to complete this task.			
	c) Design the PLA work package for handoff to technical implementation (folder structure, metadata, and permissions model)	Lead and work with AER BA and IS Branch to complete this task.			
	d) Design document migration plan with technical team	Work with AER BA and IS Branch to complete this task.			
	e) Modify the business process for scanning historical PLA content and putting in ECM solution instead of on the network drive.	Lead and work with AER BA to complete this task.			

Scope Requirement	Sub Requirement	Service Required from Vendor (Provide approach and costs to deliver this service.)	Vendor Resource Type(s), Rates	Estimated Hours	Estimated Cost for Requirement
6. Design & Analysis and Requirements Definition for EPMO/TMO Dataset	a) Requirements assessment and identify content that is owned by EPMO / TMO and determine roles associated with it (who creates, who uses it).	Lead and work with AER BA and Records to complete this task.			
	b) Identify the current source of content (file shares, email) and cleanup duplicates as required. (Note: This content should be less than 500 records).	Lead and work with AER BA to complete this task.			
	c) Identify simple business processes that are good candidates for basic workflow (< 20 steps).	Lead and work with AER BA to complete this task.			
	d) Design two basic workflows for EPMO/TMO with supporting forms for handoff to technical for development and implementation. Note: Basic workflow means less than 20 workflow steps that can be created with base functionality, do not require customization, and are not integrated with other systems).	Work with IS Branch and AER BA to complete this task.			
	e) Develop document migration plan with Technical Team	Lead and work with AER BA and IS Branch to complete this task			
	f) Work with the Technical Team to identify requirements and options for collaborative services	Work with IS Branch and AER BA to complete this task.			

Scope Requirement	Sub Requirement	Service Required from Vendor (Provide approach and costs to deliver this service.)	Vendor Resource Type(s), Rates	Estimated Hours	Estimated Cost for Requirement
	g) Design the TMO/EPMO work package for hand off to technical implementation (folder structure, metadata, and permissions model)	Lead and work with AER BA to complete this task			
TOTAL ESTIMATE FOR NON-TECHNICAL DELIVERY (PLEASE <u>RECORD ON APPENDIX 5</u>)					$

## Technical Delivery – Business Scope and Estimate

Scope Requirement	Sub Requirement	Service Required from Vendor (Provide approach and costs to deliver this service.)	Vendor Resource Type(s), Rates	Estimated Hours	Estimated Cost for Requirement
7. Support technical implementation of base configuration in OpenText Content Server	a) Develop and implement technical and functional support processes between IM Team, ISB, and IS Service Desk.	Work with IS Branch and coach AER BAs and AER Records Analysts to complete this task.			
	b) Work with Technical Team to develop configuration test plans and participate in testing the configurations in test and production environments.	Work with IS Branch and AER BA.			
	c) Support implementation of Information Architecture in test and production environments.	Led by IS Branch, provide business support.			
	d) Support configuration of Records Management in Content Server test and production.	Led by IS Branch, provide business support.			

Scope Requirement	Sub Requirement	Service Required from Vendor (Provide approach and costs to deliver this service.)	Vendor Resource Type(s), Rates	Estimated Hours	Estimated Cost for Requirement
	e) Support configuration of ECM repository administrative settings in Production and Test.	Led by IS Branch, provide business support.			
8. Support Technical Implementation of Public Lands Act (PLA) content in Content Server	a) Assist in migrating content.	Lead and work with AER BA and IS Branch to complete this task.			
	b) Develop user test plans and test implemented configurations in test and production environments.	Work with AER BAs and IS Branch to complete this work.			
	c) Develop PLA Change and Communication Plan and implement. Educate and train impacted users on how to find their information, how to use Content Server, and how to use the new workflows	Lead and work with AER BA to complete this task.			
	d) Participate in sustainment and support plan for PLA ECM Solution	Work with AER BAs and IS Branch to complete this work.			
	e) Support implementation of PLA requirements in test and production environments.	Lead by IS Branch; provide business support.			
9. Support Technical Implementation of Enterprise project Management (EPMO) / Transformation Management Office (TMO) content in Content Server	a) Assist in migrating content.	Lead and work with AER BA and IS Branch to complete this task.			

Scope Requirement	Sub Requirement	Service Required from Vendor (Provide approach and costs to deliver this service.)	Vendor Resource Type(s), Rates	Estimated Hours	Estimated Cost for Requirement
	b) Develop TMO/EPMO Change and Communications Plan and implement. Educate and train impacted users on how to find their information, how to use Content Server, and how to use the new workflows	Lead and work with AER BA to complete this task			
	c) Develop user test plans and test implemented configurations in test and production environments.	Work with AER BAs and IS Branch team to complete this work.			
	d) Support implementation of EPMO/TMO requirements in test and production environments.	Lead by IS Branch; provide business support.			
	e) Participate in sustainment and support plan for TMO/EPMO ECM Solution	Work with AER BAs and IS Branch to complete this work.			
TOTAL ESTIMATE FOR TECHNICAL DELIVERY – BUSINESS SUPPORT (PLEASE <u>RECORD ON APPENDIX 5</u>)					$

Appendix 7: ECM Pilot Project Roadmap

Below is the ECM Pilot Project Roadmap that illustrates the project schedule and critical milestones. Note that the items highlighted in green, are tasks led by the Information Management Branch and are part of the Non-Technical Scope. Items in orange are tasks led by the IS Branch and in this RFP are part of the Technical Scope – Business Services.
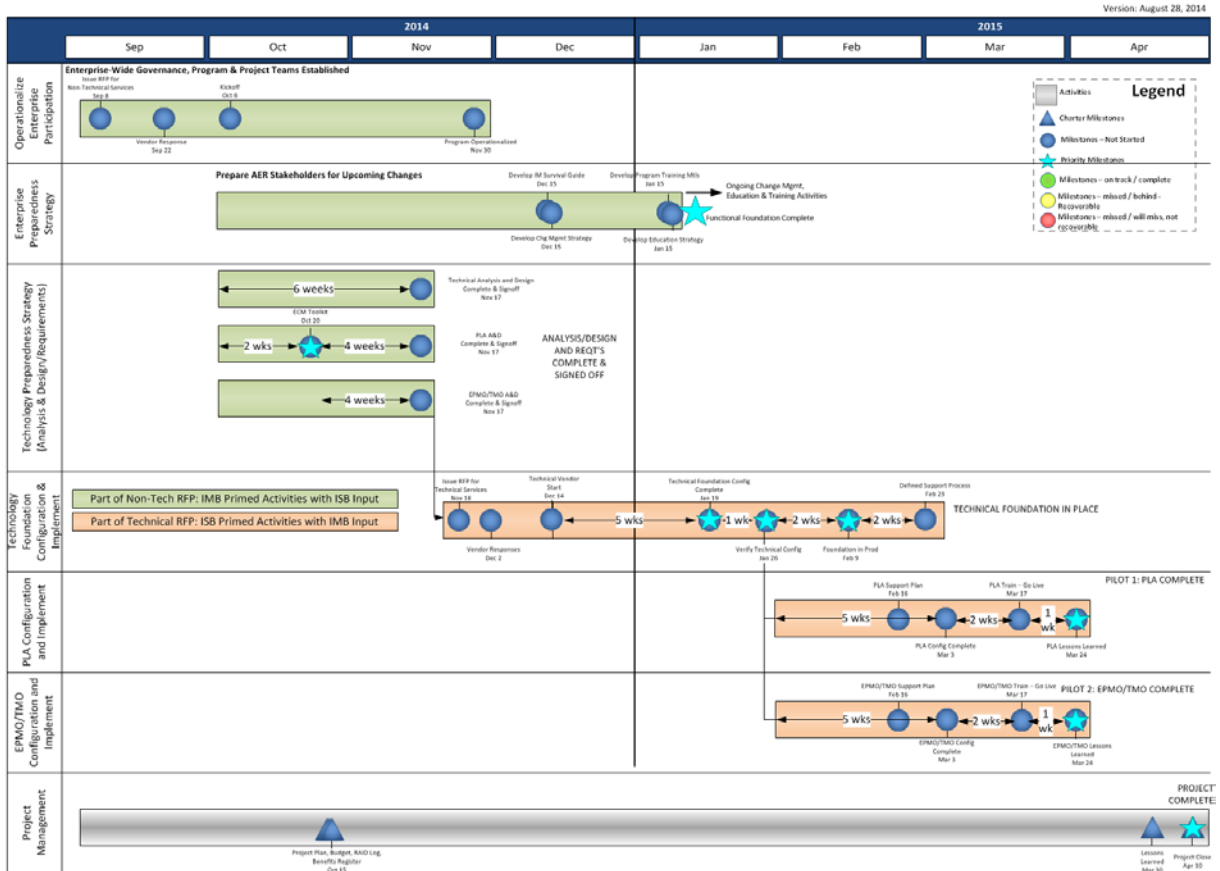
Appendix 8: Value Add, Sustainability, Innovation

Please describe your value proposition, sustainability or innovation for your submission. This may include but not be limited to the following:

a) Methodology
b) Alternative solution
c) Any integrated and/or green approach promoting or supporting sustainability
d) Unique Experience