



**THE CITY OF WINNIPEG**

# **REQUEST FOR QUALIFICATION**

**RFQ NO. 859-2016**

**REQUEST FOR QUALIFICATION FOR A CITY OF WINNIPEG ENTERPRISE  
CONTENT MANAGEMENT (ECM) SOLUTION**

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## PART B - REQUEST FOR QUALIFICATION INFORMATION (RFQ)

### B1. DEFINITIONS

B1.1 When used in this RFQ:

- (a) **“Accessibility”** means the ability to access and benefit from the ECM software/system. This would include enabling access for people with disabilities, or special needs;
- (b) **“ADKAR”** means a goal-oriented change management model (owned by Prosci) that allows organizational change management teams to focus their activities on specific business results. The five parts of ADKAR—Awareness, Desire, Knowledge, Ability and Reinforcement—show the milestones an organization or individual must achieve for change to be successful;
- (c) **“API”** means application program interface. It is a set of routines, protocols, and tools for building software applications;
- (d) **“Bid Opportunity”** means the Bid Submission, the Bidding Procedures, the General Conditions, the Supplemental Condition, the Specifications and all Addenda;
- (e) **“BLOB”** means a large file, typically an image or sound file, that must be handled (for example, uploaded, downloaded, or stored in a database) in a special way because of its size;
- (f) **“Business Benefits”** means measurable improvements that contribute towards meeting one or more business objectives;
- (g) **“Business Capabilities”** means changes or changed states that are required before future business benefits are realised;
- (h) **“Business Day”** means any Calendar Day, other than a Saturday, Sunday, or a Statutory or Civic Holiday;
- (i) **“Calendar Day”** means the period from one midnight to the following midnight;
- (j) **“Change Readiness Assessment”** means analysis of the level of preparedness for the proposed change at all levels in an organization. The greater the complexity of the proposed change, the greater the importance of understanding whether and where there is readiness for change, as this can support development of effective organizational change management plans;
- (k) **“City”** means the City of Winnipeg as continued under The City of Winnipeg Charter, Statutes of Manitoba 2002, c. 39, and any subsequent amendments thereto;
- (l) **“City Council”** means the Council of the City of Winnipeg;
- (m) **“Class 3 cost estimate”** means preliminary estimates (expected level of accuracy of +30% to -20%). This Class 3 cost estimate will form the basis for budget authorization and set initial control estimate against which project deliverables will be measured (i.e. on budget).
- (n) **“Contract”** means the combined documents consisting of the RFQ package, RFP package and any documents and drawings referred to and incorporated therein together with any submissions required to be made by the Contractor after award, and all amendments to the foregoing;
- (o) **“Contract Administrator”** means the person authorized to represent the City in respect of the RFQ unless otherwise specified hereinafter;
- (p) **“Contractor”** means the person undertaking the performance of the work under the terms of the Contract;
- (q) **“Dashboards”** means from a management information system perspective, that there is an easy-to-read, real-time user interface, showing a graphical presentation of the current status (snapshot) and historical trends of either portfolio, program or project-level key performance indicators to enable instantaneous and informed decisions to be made;

- (r) **“Discovery Phase”** means a project phase that is incorporated in some project management methodologies. The discovery phase may take as part of project initiation or planning activities. The purpose is to discover information that might be important to the project. High-level designs, prototypes and models may also be developed;
- (s) **“Document Management”** means the process of handling documents in such a way that information can be created, shared, organized and stored efficiently and appropriately;
- (t) **“ECM”** means an Enterprise Content Management, which is an enterprise software tool that supports the key processes of Enterprise Content Management (ECM);
- (u) **“ECM Project”** means project activities performed by the Proponent associated with implementation of the ECM software tool including but not limited to: project initiation, business requirements and process analysis, system design, system development & testing, software licensing and configuration, system integration and deployment, software release management and user or system support role training;
- (v) **“Enterprise Content Management”** means a formalized means of organizing and storing an organization's documents, and other content, that relate to the organization's processes. The term encompasses strategies, methods, and tools used throughout the lifecycle of the content;
- (w) **“Enterprise Software”** means a collection of computer programs with common business applications or software tools for modeling how the entire organization works. The software is intended to solve an enterprise-wide problem, rather than a departmental problem;
- (x) **“Functional Requirements”** means a function of a system and its components. Functional requirements may therefore include calculations, technical details, data manipulation and processing and other specific functionality that define *what* a system is supposed to accomplish;
- (y) **“IT Architecture”** means blueprint for how future technology acquisitions and deployment will take place. It comprises of a set of desktops, servers, bandwidth, network, server storage requirements;
- (z) **“Integration”** means the process of linking together different computing systems and software applications physically or functionally, to act as a coordinated whole;
- (aa) **“MACID”** means Media Access Control Identifier;
- (bb) **"may"** indicates an allowable action or feature which will not be evaluated;
- (cc) **"must"** or **"shall"** or **"will"** indicates a mandatory requirement which will be evaluated on a pass/fail basis;
- (dd) **“Non-Functional Requirements”** means requirements that specify criteria that can be used to judge the operation of a system, rather than specific system behaviors. Non-functional requirements are also often called the "quality attributes" of a system;
- (ee) **“Notification”** means a message that is delivered to group of recipients via use of a IT notification system that may involve a combination of software and hardware components;
- (ff) **“Organizational Change Management (OCM)”** means a process framework structured around the changing needs and capabilities of an organization. OCM is used to prepare, adopt and implement fundamental and radical organizational changes, including its culture, policies, procedures and physical environment, as well as employee roles, skills and responsibilities;
- (gg) **“Person”** means an individual, firm, partnership, association or corporation, or any combination thereof, and includes heirs, administrators, executors or legal representatives of a person;
- (hh) **“Project”** means the ECM Project, as defined in (t);
- (ii) **“Project Phasing”** means when a complete project life-cycle is broken into suitable discrete phases by the project manager to support improved project control;

- (jj) **“Proponent”** means any Person or consortium submitting a Qualification Submission in response to this RFQ;
- (kk) **“Records Management”** means the professional practice of managing the records of an organization throughout their life cycle, from the time they are created to their eventual disposal. This process includes identifying, classifying, storing, securing, retrieving, tracking and destroying or permanently preserving records;
- (ll) **“Resistance Management”** means a process to manage employee resistance to change. Resistance to change is the act of opposing or struggling with modifications or transformations that alter the status quo in the workplace. Resistance to change can be covert or overt, organized or individual;
- (mm) **“RM”** means Records Management;
- (nn) **“Scenario Modelling”** means a strategic planning method that used by the City to support the annual Investment Planning process, via evaluation of different delivery scenarios for future projects or programs that would meet strategic objectives;
- (oo) **“SDK”** means software development kit, a programming package that enables a programmer to develop applications for a specific platform;
- (pp) **“should”** indicates a desirable action or feature which will be evaluated on a relative scale;
- (qq) **“Site”** means the lands and other places on, under, in or through which the work is to be performed;
- (rr) **“Software Product Roadmap”** means a software development plan that aligns short-term and long-term goals with specific technology or software product solutions to help meet those goals;
- (ss) **“SOUNDEX”** means a phonetic coding system intended to suppress spelling variations, used especially to encode surnames for the linkage of records;
- (tt) **“Submission Deadline”** means the time and date for final receipt of Submissions;
- (uu) **“Submission or Qualification Submission”** means that portion of the RFQ which must be completed or provided and submitted by the Submission Deadline;
- (vv) **“System Permissions & Security”** means methods to assign permissions or access rights to specific users and groups of users. These methods control the ability of the users to view or make changes to the contents of the system;
- (ww) **“Usability”** means the degree to which software can be used by specified consumers to achieve quantified objectives with effectiveness, efficiency, and satisfaction in a quantified context of use;
- (xx) **“User Adoption”** means general acceptance and regular use of an IT system or software by users because the system/software either fulfills specific user needs or provides a good solution to given problems;
- (yy) **“Varchar”** means a variable character field (varchar) is a data type which can contain any type of data: numeric, characters, spaces or punctuation. Depending on the database, the data type is capable of storing values up to its maximum size;
- (zz) **“Work”** or **“Works”** means the carrying out and the doing of all things, whether of a temporary or permanent nature, that are to be done pursuant to the Contract and, without limiting the generality of the foregoing, includes the furnishing of all Plant, Material, labour and services necessary for or incidental to the fulfilment of the requirements of the Contract, including all Changes in Work which may be ordered as herein provided; and
- (aaa) **“Workflow”** means an orchestrated and repeatable pattern of business activity enabled by the systematic organization of resources into processes that transform materials, provide services, or process information.

## **B2. EXECUTIVE SUMMARY**

- B2.1** The ECM Project is regarded as an important element of the City's overall Asset Management strategy, particularly in regards to the strategies, methods and tools used to capture, manage, store, preserve, and deliver content and documents related to organizational processes. This covers the management of information within the entire scope of the City's enterprise whether that information is in the form of a paper document, an electronic file, a database print stream, or even an email. It encompasses areas that have traditionally been addressed by records management and document management systems. It also includes the conversion of data between various digital and traditional forms, including paper and microfilm.
- B2.2** The range of City internal departments and agencies that both commission and deliver these capital projects is broad and includes, but is not limited to:
- (a) Corporate Finance;
  - (b) Corporate Support Services – includes Human Resources and IT;
  - (c) Property Planning and Development;
  - (d) Public Works;
  - (e) Transit Services;
  - (f) Winnipeg Parking Authority;
  - (g) Winnipeg Fire and Paramedic Service;
  - (h) Winnipeg Police Service;
  - (i) Community Services;
  - (j) Fleet Management Agency, and
  - (k) Water and Waste.
- B2.3** Many of the City's capital projects involve external consultant/contractor partners, as well as City staff, in the project delivery teams. So it is assumed that external consultant/contractor access would need to be supported by any future ECM software tool.
- B2.4** A variety of capital project funding mechanisms are also utilised by the City, including City tax-supported, utility funding, Manitoba provincial government, Canadian federal government and Public Private Partnership (PPP) funding schemes.
- B2.5** However, the City of Winnipeg Public Service has not received Council approval to proceed with procurement of the ECM Project.
- B2.5.1** The ECM Project is intended to be presented to Council in a 2017 Budget meeting.

### **B3. BACKGROUND**

- B3.1 At the March 2013 meeting of the Senior Management Team, the Director of Corporate Support Services was tasked with planning for the implementation of a comprehensive Document Management Solution. The objectives expressed by the Senior Management Team were centered on the ability to manage documents in a manner that enables quicker and precise access to the authoritative version of documents. The initial cause was determined to be a number of disconnected and diverse systems and tools being used in different departments as point systems. Each point system solved one specific problem without regards to related issues, and had no end-to-end integrated system or process to support it.
- B3.2 Some of the technologies deployed at that time, and still operating today, include File Sharing (Windows), FTP, Drupal, Radiant, Hummingbird (OpenText), FileNet (IBM), SharePoint (Microsoft), Autosshare (HP), Jive, and CorrFlow, AMANDA and other custom solutions like Report Information System (RIS) and Decision Making Information System (DMIS). Most of these systems were implemented with limited functionality.
- B3.3 In 2014, the Winnipeg Police Service embarked on a pilot Document Management project with SharePoint. It was determined that the results of this pilot should be observed to understand their implications on the greater City initiative. The results of the pilot project were presented in May 2014, and the lessons learned were incorporated into a new project plan.
- B3.4 In 2015, the City began Phase 1 of the City's ECM project, Discovery and Strategy Development. The ECM Strategy and Roadmap for the Future report was finalized in May 2016. It includes detailed analysis and findings derived from 139 discovery meetings conducted citywide from June to November 2015, and that involved the participation of 440 City Staff. The analysis of the findings revealed systemic issues present due to the absence of Enterprise Content Management at the City of Winnipeg. The following content issues below highlights the very real effects that City Staff experience on a daily basis:
- (a) The current processing, storage and retrieval of documents being described as "content chaos";
  - (b) Our current state, as compared to industry standards was labeled ad hoc and reactive which places us at the low end of the ECM Maturity Model;
  - (c) There are over 54 million documents, drawings, audio and image files scattered across hard drives, shared drives and in email described as "digital landfill";
  - (d) Document storage is now 42 Terabytes and while storage is relatively cheap the cost of retrieval and search time with City employees is very high;
  - (e) An expected yearly information growth rate of 30% will serve to compound any existing challenges;
- This phase helped to identify an initial set of requirements and a high-level review of potential software vendor offerings. An initial Business Case for the next phase (Phase 2) of the Project was also approved.
- B3.5 Phase 2 of the ECM Project commenced in July 2016, with a delivery scope that included:
- (a) To develop approved requirements documentation for the ECM based on extensive internal stakeholder interviews by September 2016;
  - (b) To develop and post an ECM RFQ by October 20, 2016; and
  - (c) To evaluate responses and shortlist RFQ Proponents by November 2016.
- B3.6 It is anticipated that future phases of the ECM Project will focus on completion of an ECM Request for Proposal (RFP) competition and subsequent activities associated with enterprise-wide implementation of the selected ECM software tool.
- B3.7 The City has placed recent emphasis on wide-spread adoption of effective Organizational Change Management (OCM) techniques to support delivery of its ECM project, including use of

the ADKAR method. A significant internal OCM practice group has also been established to support City project manager and contract administrator roles.

- B3.8 Phase 1 assessed the readiness of internal departments and agencies to adapt to an ECM system. The survey indicated that the general level of readiness for implementation of the proposed ECM software tool was only in its infancy state of maturity. It also identified the low and high risks to the future likelihood of an ECM implementation success.
- B3.9 Other key findings from the recent ECM Phase 1 analysis include:
- (a) Most of the technologies implemented at present, including File Sharing (Windows), FTP, Drupal, Radiant, Hummingbird (OpenText), FileNet (IBM), SharePoint (Microsoft), Autoshare (HP), Jive, and CorrFlow, AMANDA and other custom solutions like Report Information System (RIS) and Decision Making Information System (DMIS) were implemented with limited functionality.
  - (b) Failure to comply with the city of Winnipeg Records Management By-Law and Record keeping Policy.
  - (c) Inability to locate information residing in decentralized share drives because there are many different versions of the same document saved in multiple locations.
  - (d) Staff do not trust digital records because of the duplication and difficulty in searching.
  - (e) Paper copies of digital files are printed and stored as records. They are printed, signed, scanned, re-saved and filed.
  - (f) Experiencing increasingly slow turnaround times and miscommunications.
  - (g) Processes require manual intervention, storing, printing, and emails.
  - (h) Experiencing frustration with the lack of tools available for managing information effectively.
- B3.10 It is assumed that any proposed ECM software tool should integrate effectively with the current enterprise financial system, which is PeopleSoft version 9.1. Several PeopleSoft modules are operated currently by the City, including a Tangible Capital Assets module. An internal project to perform a PeopleSoft upgrade to version 9.2 is in-progress currently and should be complete in 2017.
- B3.11 The general IT system environment that the City operates currently includes:
- (a) Server Hardware/Operating System: The City uses HP/Intel Windows 2012 Server platforms, and employs CA Nimsoft to monitor and manage the server environment;
  - (b) Storage: The City has a SAN environment and Brocade switches to support data storage requirements for the production and development database tiers. IBM's TSM Backup/Archive, Veeam and Microsoft DPM products are used for backup and recovery services;
  - (c) Database: The City uses currently Oracle 11g Standard Edition and Microsoft SQL Server 2012 Standard Edition. The City plans to migrate to Oracle 12c during 2016. For larger scale applications Oracle is the preferred platform. The City has implemented a functional database environment that fulfills all application system functional requirements, provides full online back-up, recovery and reorganization facilities including database transaction logging and up-to-the-minute forward recovery, plus timely automated reporting of actual or potential errors or problems. The City conducts database performance measurement and tuning as necessary;
  - (d) Network: The City of Winnipeg Backbone Network Infrastructure allows TCP/IP data communications between all City departments. This allows about 5,000 devices connected through the Backbone Network to be able to communicate with each other, the Internet and with central servers at two corporate data centres;
  - (e) City's Backbone Network operates at speeds ranging from 100/1000 BaseT fiber optic connectivity for large LANs, 10 Mbps for medium sized LANs and 2 Mbps

connections for small LANs. Cisco routers and switches are used in the WAN and LAN as well as for VPN remote access. Checkpoint Nokia firewall products provide network security.

#### **B4. WINNIPEG**

- B4.1 Winnipeg is an important Canadian city, and the capital of the Province of Manitoba. Located in Western Canada, Winnipeg plays a prominent role in transportation, finance, manufacturing, agriculture and education. It is known as the Gateway to the West. The City is located near the geographic centre of North America. It lies in a flood plain at the confluence of the Red and Assiniboine rivers and started around the point now commonly known as The Forks. It is protected from flooding by the Red River Floodway. Winnipeg covers an area of 663 square kilometers.
- B4.2 The City of Winnipeg is the Capital city of the Province of Manitoba with a population of over 650,000. Composed of a broad range of diverse neighbourhoods and communities with numerous attractions (from arts and culture to sports and entertainment), Winnipeg is recognized as one of Canada's finest places to live, work and play. The City employs over 8,000 people and provides a full range of municipal services to the citizens of Winnipeg.
- B4.3 The political representation for the City is a Mayor and 15 Councillors, each representing a City ward. The current Mayor and Council were elected in October 2014. Their term of office ends in 2018.
- B4.4 The administrative structure for the City is a Chief Administrative Officer (CAO) providing overall supervision for City departments.
- B4.5 The City provides many services to its citizens. By service, the representation is distributed as follows: Public Safety (25%), Transportation (23%), Environmental (23%), Planning and Development (4%), Leisure and Wellness (15%), Internal Support (10%). For additional information on City services, refer to the City of Winnipeg web site at [winnipeg.ca](http://winnipeg.ca)

#### **B5. PURPOSE OF THE RFQ DOCUMENT**

- B5.1 The City is requesting information from interested and qualified Proponents who have experience in the development and implementation of an Enterprise Content Management Solution (ECM).
- B5.2 The purpose of the RFQ is to identify qualified Proponents and their level of expertise.
- B5.3 The ability of the Proponent's proposed ECM software tool to meet the City's currently defined Functional and Non-Functional requirements, as outlined in Form N and the ECM Requirements Analysis document (see Appendix 1), will be assessed.
- B5.4 The City invites qualified individuals to submit a Qualification Submission, in response to this RFQ, in accordance with B21.
- B5.5 After receiving the Submissions to this RFQ, the City will review all Submissions received and then perform evaluation of the Submissions based on the ECM Evaluation Criteria outlined in B31. A short-list of the most qualified Proponents based on ECM RFQ evaluation team scores of 70% or higher will then be developed. Only those Proponents placed on this short-list will then be invited to submit further information, including:
- (a) a demonstration of their proposed ECM software tool and ECM Project implementation plan to the RFQ evaluation team in Winnipeg, and
  - (b) a preliminary Class 3 cost estimate (expected level of accuracy of +30% to -20%) to support their proposed ECM Implementation Approach in response to B26.
- B5.6 The short-listed Proponents from the RFQ competition will be invited to participate in a future RFP competition leading to an award of Contract, subject to both City Council approval of the

proposed ECM Project budget and ECM RFQ evaluation team review of the additional information outlined in B5.5(a) and B5.5(b).

**B6. SCOPE OF WORK**

B6.1 The Work to be done under the proposed Contract shall consist of the provision of a City of Winnipeg Enterprise Content Management (ECM) software.

B6.2 The major components of the Work are as follows:

- (a) Provide the City with ECM software as specified in Form N;
- (b) Provide assistance in system installation and configuration;
- (c) Provide system testing and user acceptance testing;
- (d) Provide training for both internal IT system support staff and users;
- (e) Support Organizational Change Management (OCM) activities for the ECM Project, which would be led by the City ;
- (f) Provide ongoing software support and two (2) years maintenance & support with the option of five (5) mutually agreed upon two (2) year extensions;
- (g) Provide data storage hosted within Canada, if a cloud-based hosting option is presented.

**B7. GENERAL CONDITIONS**

B7.1 The *General Conditions for Supply of Services* (Revision 2007 04 12) are applicable to the Work of the Contract.

B7.1.1 The *General Conditions for Supply of Services* are available on the Information Connection page at The City of Winnipeg, Corporate Finance, Materials Management Division website at [General Conditions for Supply of Services](#)

**B8. PROJECT SCHEDULE**

B8.1 The City intends to complete the evaluation of the Qualification Submissions by December 2016.

B8.2 It is anticipated that the City will proceed with the issuance of an RFP, subject to City Council budget approval for the Project, by Q1 2017.

B8.3 Details on the RFP schedule will be provided in the RFP. The City intends to complete the RFP stage by Q3 2017.

B8.4 Estimated Preliminary Schedule (subject to City Council budget approval by Q1 2017):

<b>ECM Phase</b>	<b>Approximate Date(s)</b>
1. RFQ Process	October – November 2016
2. Evaluation/Shortlist of Proponents	November – December 2016
3. RFP Process	Q1 - Q2 2017
4. Evaluation/Selection of Proponent	Q3 2017
5. Award	Q3 2017
6. ECM Implementation	From Q3 2017

## **B9. PROCUREMENT PROCESS**

- B9.1 The first stage of the procurement process for the Project is this RFQ. The City intends to invite only short-listed Proponents to participate in the second stage of the procurement process, the RFP.
- B9.2 An assessment will be made of the Proponent's experience in the public sector environment with implementation of their proposed ECM tool, including an evaluation of the Proponent's proposed ECM Project team for the City.
- B9.3 The Proponent's current Software Product Roadmap and customer base will be evaluated to determine the Proponent's future product development profile.
- B9.4 An evaluation of the Proponent's proposed approach to ensuring successful implementation of the ECM software tool across City departments and agencies, including user training & support and other Organizational Change Management aspects, will be made.
- B9.5 Proponents will also be asked to identify any additional value-added or innovative services that they may offer the City in conjunction with the proposed ECM software tool.
- B9.6 Following completion of the RFQ stage, short-listed Proponents will be invited to provide detailed proposals in response to an RFP. The City will evaluate the detailed proposals received from the Proponents and select the most advantageous Proposal.
- B9.7 Further details on the RFP process will be provided to the short-listed Proponents after both completion of the RFQ stage and City Council approval of the Project's budget.

## **B10. DISCLOSURE**

- B10.1 Various Persons provided information or services with respect to this Work. In the City's opinion, this relationship or association does not create a conflict of interest because of this full disclosure. Where applicable, additional material available as a result of contact with these Persons is listed below.
- B10.2 The Persons are:  
(a) N/A

## **B11. ENQUIRIES**

- B11.1 All enquiries shall be directed to the Contract Administrator identified in B12
- B11.2 Any Proponent who has questions as to the meaning or intent of any part of this document or who believes this document contains any error, inconsistency or omission should make an enquiry prior to the Submission Deadline requesting clarification, interpretation or explanation in writing to the Contract Administrator.
- B11.3 If the Proponent finds errors, discrepancies or omissions in the document, or is unsure of the meaning or intent of any provision therein, the Proponent shall promptly notify the Contract Administrator of the error, discrepancy or omission at least five (5) Business Days prior to the Submission Deadline.
- B11.4 If the Proponent is unsure of the meaning or intent of any provision therein, the Proponent should request clarification as to the meaning or intent prior to the Submission Deadline.
- B11.5 Responses to enquiries which, in the sole judgment of the Contract Administrator, require a correction to or a clarification of the RFQ will be provided by the Contract Administrator to all Proponents by issuing an addendum.

- B11.6 Responses to enquiries which, in the sole judgment of the Contract Administrator, do not require a correction to or a clarification of the RFQ will be provided by the Contract Administrator only to the Proponent who made the enquiry.
- B11.7 The Proponent shall not be entitled to rely on any response or interpretation received pursuant to B11 unless that response or interpretation is provided by the Contract Administrator in writing.

**B12. CONTRACT ADMINISTRATOR**

- B12.1 The Contract Administrator is the City of Winnipeg , represented by:

**Kola Rosanwo**  
ECM (Phase 2)  
Project Manager

Telephone.No. 204-805-3282

E-mail Address: [krosanwo@winnipeg.ca](mailto:krosanwo@winnipeg.ca)

**B13. ADDENDA**

- B13.1 The Contract Administrator may, at any time prior to the Submission Deadline, issue addenda correcting errors, discrepancies or omissions in the RFQ, or clarifying the meaning or intent of any provision therein.
- B13.2 The Contract Administrator will issue each addendum at least two (2) Business Days prior to the Submission Deadline, or provide at least two (2) Business Days by extending the Submission Deadline.
- (a) The Addenda will be available on the Bid Opportunities page at the Materials Management Division's website at [Bid Opportunities](#)
- B13.2.1 The Proponent is responsible for ensuring that he/she has received all addenda and is advised to check the Materials Management Division's website for addenda regularly and shortly before the Submission Deadline, as may be amended by addendum.
- B13.3 The Proponent should acknowledge receipt of each addendum on Form A: Request for Qualification Application.

**B14. CONFLICT OF INTEREST AND GOOD FAITH**

- B14.1 Proponents must not include among their team, any business entity or individual who is, or is associated with, in any way, any consultant retained by the City in relation to the Project, including but not limited to consultants providing engineering, architectural, legal, process, finance or financial capacity advice or any Person likely to create a conflict of interest or a perception of conflict of interest.
- B14.2 If a Proponent considers that a particular relationship or association does not create a conflict of interest and will not create a perception of conflict of interest, but is concerned that the City could arrive at a different conclusion, the Proponent should fully disclose the circumstances to the City at the earliest possible date, and request that the City provide an advance interpretation as to whether the relationship or association will be likely to create a conflict of interest or a perception of conflict of interest.
- B14.3 The Proponent declares that in submitting its response to this RFQ, it does so in good faith and will disclose to the best of its knowledge, whether there are any circumstances whereby any member of Council or any officer or employee of the City would gain any pecuniary interest, direct or indirect, as a result of the Proponents participation in this Project.

B14.4 Failure to comply with this provision may result in disqualification of your Submission from the RFQ process or, if the City becomes aware of your breach of this provision after the RFP has been issued, disqualification from the RFP process.

## **B15. CONFIDENTIALITY AND PRIVACY**

B15.1 Information provided to a Proponent by the City or acquired by a Proponent by way of further enquiries or through investigation is confidential. Such information shall not be used or disclosed in any way without the prior written authorization of the City. The Proponent shall not make any statement of fact or opinion regarding any aspect of the RFQ and any subsequent proposal to the media or any member of the public without the prior written authorization of the City.

B15.2 The protection of personal information and privacy will be fundamental aspects of the Project. Proponents shall comply with all applicable privacy legislation, including but not limited to the Personal Information Protection and Electronic Documents Act (Canada) ("PIPEDA"). In addition, Proponents are advised that the City is subject to The Freedom of Information and Protection of Privacy Act (Manitoba) ("FIPPA") and that the Contractor will be expected to comply with the obligations imposed upon the City pursuant to FIPPA.

B15.3 To the extent permitted, the City shall treat all Submissions as confidential. However, the Proponent is advised that any information contained in any Submission may be released if required by City policy or procedures, by FIPPA, by other authorities having jurisdiction, or by law.

B15.4 All Qualification Submissions submitted to the City will be kept in confidence with the City for the sole purposes of evaluating and developing the best possible strategic option for the City. Qualification Submissions will become the property of the City. The City will have the right to make copies of all Submissions for its internal review process and to provide such copies to its staff and/or external advisors and representatives.

B15.5 All information will become and remain the property of the City; none will be returned. If the application contains any proprietary or trade secret information, said information must be indicated as such.

B15.6 The City reserves the right to post the names of the shortlisted Proponents on its website, or otherwise make this information public at the end of the RFQ selection process.

## **B16. NON-DISCLOSURE**

B16.1 Proponents must not disclose any details pertaining to their RFQ and the selection process in whole or in part to anyone not specifically involved in their Submission, without the prior written approval of the City. Proponents shall not issue a news release or other public announcement pertaining to details of their Qualification Submission or the selection process without the prior written approval of the City.

B16.2 Proponents are advised that an attempt on the part of any Proponent or any of its employees, agents, contractors or representatives to contact any members of City Council or their staff or any member of City Administration other than the Contract Administrator with respect to this RFQ solicitation, may lead to disqualification.

## **B17. NO COLLUSION**

B17.1 Upon making a Submission to this RFQ, each Proponent shall declare that they have not participated in any collusive scheme or combine.

B17.2 Proponents must ensure that their participation in this RFQ is conducted without collusion or fraud on their part or any of their team. Proponents and their team members shall not engage in discussions or other communications with any other Proponents or their team members

regarding the preparation or submission of their responses to this RFQ. Breach of this provision may result in disqualification from the RFQ process or, if the City becomes aware of your breach of this provision after the RFP has been issued, from the RFP process.

**B18. NO LOBBYING**

B18.1 Any form of political or other lobbying whatsoever in relation to the Project or with a view to influencing the outcome of this RFQ process is strictly prohibited. Failure to comply with this provision may result in disqualification from the RFQ process or, if the City becomes aware of your breach of this provision after the RFP has been issued, disqualification from the RFP process.

**B19. ELIGIBILITY**

B19.1 No Persons involved with the City, or acting as a consultant or sub-consultant to the City with respect to this Project, are eligible to submit a Qualification Submission for this RFQ or participate in any manner whatsoever as a participant or advisor to any Proponent participating in this RFQ or subsequent RFP.

**SUBMISSION INSTRUCTIONS**

**B20. SUBMISSION DEADLINE**

- B20.1 The Submission Deadline is 4:00 p.m. Winnipeg time, **November 4, 2016** .
- B20.2 The Contract Administrator or the Manager of Materials may extend the Submission Deadline by issuing an addendum at any time prior to the time and date specified in B20.1.
- B20.3 Qualification Submissions will not be opened publicly.
- B20.4 Qualification Submissions determined by the Manager of Materials to have been received later than the Submission Deadline will not be accepted and will be returned unopened.
- B20.5 The Qualification Submission should be submitted enclosed and sealed in an envelope clearly marked with the RFQ number and the Proponent's name and address.
- B20.6 Qualification Submissions submitted by facsimile transmission (fax) or internet electronic mail (e-mail) will not be accepted.

B20.7 Qualification Submissions shall be submitted to:

The City of Winnipeg  
Corporate Finance Department  
Materials Management Division  
185 King Street, Main Floor  
Winnipeg MB R3B 1J1

B20.7.1 Samples or other components of the Qualification Submission which cannot reasonably be enclosed in the envelope may be packaged separately, but shall be clearly marked with the RFQ number, the Proponent's name and address, and an indication that the contents are part of the Proponent's Qualification Submission.

## **B21. QUALIFICATION SUBMISSION**

B21.1 The Qualification Submission should consist of the following components:

- (a) Form A: Request for Qualification Application (Section A);
- (b) Form N: Proponent Proposal – Requirements (Section B);
- (c) Public Sector Knowledge & Experience of Proponent (Section C), including
  - (i) Form C: Proponent\_RFQ\_Consultant\_Form;
- (d) Product Development Profile of Proponent (Section D);
- (e) ECM Implementation Approach of Proponent (Section E);
- (f) Value-Added or Innovative Services of Proponent (Section F).

B21.2 All requirements of the RFQ should be fully completed or provided, and submitted by the Proponent no later than the Submission Deadline, with all required entries made clearly and completely to constitute a responsive RFQ.

B21.3 Proponents are advised that inclusion of terms and conditions inconsistent with the RFQ document will be evaluated in accordance with B31.1(b)

B21.4 All Submissions received in response to this RFQ will be kept in confidence with the sole purposes of evaluating and developing the best possible strategic option for the City.

B21.5 Submissions and the information they contain will be the property of the City upon receipt. No Submissions will be returned.

### **Format**

B21.6 Proponents should submit one (1) unbound original (marked "original") and eight (8) copies.

- (a) Each requirement should be addressed in a separate section clearly marked with the corresponding letter;
- (b) Each section should be written on a standard 8.5x11 ", using a printing font with a 12 pitch. Any graphics included should be contained within the specified amount of pages;

B21.7 The City reserves the right to make additional copies of all Submissions for its internal review process and to provide such copies to its staff and external advisors.

## **B22. FORM A: REQUEST FOR QUALIFICATION APPLICATION**

B22.1 Further to B21.1(a), the Proponent shall complete Form A: Request for Qualifications Application, making all required entries.

B22.2 Paragraph 2 of Form A: Request for Qualifications Application shall be completed in accordance with the following requirements:

- (a) if the Proponent is a sole proprietor carrying on business in his/her own name, his/her name shall be inserted;
- (b) if the Proponent is a partnership, the full name of the partnership shall be inserted;
- (c) if the Proponent is a corporation, the full name of the corporation shall be inserted;
- (d) if the Proponent is carrying on business under a name other than his/her own, the business name and the name of every partner or corporation who is the owner of such business name shall be inserted.

B22.2.1 If the Submission is submitted jointly by two or more persons, each and all such persons shall identify themselves in accordance with B22.2.

B22.3 In Paragraph 3 of Form A: Request for Qualifications Application, the Proponent shall identify a contact person who is authorized to represent the Proponent for purposes of this RFQ.

B22.4 Paragraph 7 of Form A: Request for Qualification Application should be signed in accordance with the following requirements:

- (a) if the Proponent is sole proprietor carrying of business in his/her own name, it shall be signed by the Proponent;
- (b) if the Proponent is a partnership, it shall be signed by the partner or partners who have authority to sign for the partnership;
- (c) if the Proponent is a corporation, it shall be signed by its duly authorized officer or officers and the corporate seal, if the corporation has one, should be affixed;
- (d) if the Proponent is carrying on business under a name other than his/her own, it shall be signed by the registered owner of the business name or by the registered owner's authorized officials if the owner is a partnership or a corporation.

B22.5 The name and official capacity of all individuals signing Form A: Request for Qualification Application should be printed below such signatures.

B22.6 All signatures should be original.

B22.7 If a Submission is submitted jointly by two or more persons, the word "Proponent" shall mean each and all such persons, and the undertakings, covenants and obligations of such joint Proponents in the Submission, shall be both jointly and several.

### **B23. FORM N: PROPONENT PROPOSAL-REQUIREMENTS**

B23.1 Further to B21.1(b), the Proponent shall complete Form N: Proponent Proposal-Requirements, making all required entries, including:

- (a) Mandatory Requirements (Requirement References: R1 to R129); and
- (b) Non-Mandatory Requirements (Requirement References: R130 to R261).

B23.2 The Proponent should submit information in sufficient detail within Form N: for the City to evaluate the Proponent's proposed ECM software tool, in terms of

- (a) Mandatory Requirements; and
- (b) Non-Mandatory Requirements.

### **B24. PUBLIC SECTOR KNOWLEDGE & EXPERIENCE OF PROPONENT**

B24.1 Further to B21.1(c), the Proponent should submit information in sufficient detail for the City to evaluate the qualifications of the Proponent according to B31.1(d), by providing:

- (a) the number of contracts similar in size, scope and complexity within the public sector;
- (b) the details of the scope and value of each contract;

- (c) the names of recent public sector clients (within the last three (3) years);
- (d) three (3) references for recent public sector projects similar in size and scope in the last 5 years. Each reference should consist of an organization name, contact name, email address, phone number and a brief description of the project including:
  - (i) project scope;
  - (ii) role of the Proponent;
  - (iii) project's original contracted cost and final cost, and
  - (iv) project schedule (anticipated project schedule and actual project delivery schedule.
- (e) details of the Proponent's proposed Key Personnel for the ECM Project in **Form C**, according to B21.1(c)(i). Resumes for the proposed Key Personnel should also be submitted at this time. The resumes must be no longer than two (2) pages in length, using the format according to B21.6

B24.2 The Proposal should include general firm profile information, including years in business, average volume of public sector work, number of employees and other pertinent information for the Proponent.

B24.3 Key Personnel that the Proponent identifies in B24.1(e) will be subject to the City's Substitutions rules, in accordance with B28.

## **B25. PRODUCT DEVELOPMENT PROFILE OF PROPONENT**

B25.1 Further to B21.1(d), the Proponent should submit information in sufficient detail for the City to evaluate the Proponent's current software product development profile by providing:

- (a) details of the Proponent's current Software Product Roadmap;
- (b) details of the Proponent's IT Architecture;
- (c) the names of clients (from all business sectors) who use current versions of the Proponent's proposed ECM software tool.

## **B26. ECM IMPLEMENTATION APPROACH OF PROPONENT**

B26.1 Further to B21.1(e), the Proponent should submit information in sufficient detail for the City to evaluate the Proponent's proposed ECM implementation approach for the City by providing:

- (a) details of the Proponent's proposed project management approach for the ECM Project, including:
  - (i) proposed Project team organization chart;
  - (ii) the Project management methodology that would be adopted, which should align with City's Project Delivery Framework (see Appendix 2);
  - (iii) proposed Project delivery timescale and scope;
  - (iv) proposed Project phasing or sequencing;
  - (v) proposed resource effort (hours) per Project phase;
  - (vi) proposed quality management model for the Project, and
  - (vii) anticipated Project support effort (total hours) required by City staff.
- (b) details of the Proponent's proposed approach to Organizational Change Management (OCM) aspects of the ECM Project, including
  - (i) proposed training strategy for City users and IT support staff;
  - (ii) proposed ECM Project communication activities, and
  - (iii) proposed change and Resistance Management methods to increase ECM User Adoption.
- (c) a description of the collaborative process/method with City staff that would be used by the Key Personnel outlined in B21.1(e), during the proposed phases of the ECM Project

**B27. VALUE-ADDED OR INNOVATIVE SERVICES OF PROPONENT**

B27.1 Further to B21.1(f), the Proponent should submit information in sufficient detail for the City to evaluate the Proponent's ability to offer additional Value-Added or Innovative Services for the City by providing:

- (a) for Value-Added Services: a description of any Proponent services or products that are offered currently to other clients of the Proponent, if available, that may provide the City with additional business benefits;
- (b) for Innovative Services: a description of any Proponent services or products that are offered currently to other clients of the Proponent, if available, that may provide the City with additional business capabilities;
- (c) brief details of other Proponent software products that integrate with the Proponent's proposed ECM software tool, if available

**B28. SUBSTITUTIONS**

B28.1 If, following your Submission, you become aware that any Persons identified to participate in this Project will be unable or is likely to be unable to participate on this Project, you must immediately advise the Contract Administrator and indicate your proposed substitute Person. Failure to do so may result in disqualification of your Submission from the RFQ process or, if the City becomes aware of your breach of this provision after the RFP has been issued, from the RFP process.

**B29. NON-CONFORMING SUBMISSIONS**

B29.1 Notwithstanding B21.1, with the exception of B20.4, if a Proponent's Submission is not strictly in accordance with any provision of this RFQ, the City may, at its option:

- (a) waive the non-conformance if, in the City's opinion, the non-conformance is immaterial; or
- (b) reject the Submission as non-responsive if, in the City's opinion, the non-conformance is material.

B29.1.1 If the non-conformance is an omission, the City may, at its discretion, give the Proponent up to five (5) Business Days to supply the omitted material.

B29.2 If the requested information is not submitted by the time specified in B29.1.1, the Submission will be determined to be non-responsive.

**B30. PROPONENT'S COSTS AND EXPENSES**

B30.1 Proponents are solely responsible for their own costs and expenses in preparing and submitting a Qualification Submission and participating in the RFQ, including the provision of any additional information, software demonstrations to the ECM RFQ evaluation team, if short-listed, or attendance at meetings.

## EVALUATION

### B31. EVALUATION CRITERIA

B31.1 Proponents will have their Submissions evaluated in accordance with the criteria and weight factors indicated below:

EVALUATION CATEGORY	WEIGHTING (%)
(a) Form A	<b>Pass/Fail</b>
(b) Form N: Mandatory Requirements Conformance to Mandatory Requirements or acceptable deviation therefrom.	<b>Pass/Fail</b>
(c) Form N: Non-Mandatory Requirements Conformance to Non-Mandatory Requirements or acceptable deviation therefrom	<b>50</b>
(d) Public Sector Knowledge & Experience (Section C)	<b>10</b>
(e) Product Development Profile (Section D)	<b>5</b>
(f) ECM Implementation Approach (Section E)	<b>30</b>
(g) Value-Added or Innovative Services (Section F)	<b>5</b>
<b>Total Score</b>	<b>100</b>

- B31.2 Further to B31.1(a), B31.1(b) and B29, the City may reject a Submission as being non-responsive if the Submission is incomplete, obscure or conditional, or contains additions, deletions, alterations or other irregularities. The City may reject all or any part of any Submission, or waive technical requirements or minor informalities or irregularities if the interests of the City so require. Further to B31.1(c), the Proponent's response to Form N shall be evaluated considering the degree to which the Proponent can satisfy the mandatory and non-mandatory requirements for the solution requested and submitted in response to B23. Further to B31.1(d), Public Sector Knowledge & Experience will be evaluated considering the experience of the Proponent on projects of similar size and complexity in the public sector as well as other information requested and submitted in response to B24.
- B31.5 Further to B31.1(e) Product Development Profile will be evaluated considering the Proponent's response to the information requested and submitted in response to B25.
- B31.6 Further to B31.1(f), ECM Implementation Approach will be evaluated considering the Proponent's understanding of the City's Project, proposed project management approach as well as other information requested and submitted in response to B26.
- B31.7 Further to B31.1(g) Value Added or Innovative Services will be evaluated considering the Proponent's understanding of the City's Project, proposed project management approach as well as other information requested and submitted in response to B27.
- B31.8 Reference checks to confirm information provided may not be restricted to only those submitted by the Proponent, and may include organizations representing Persons, known to have done business with the Proponent.
- B31.9 The City has full power to conduct an independent verification of information in any Submission received and generally pertaining to the qualifications and experience of the Proponent and any proposed members of its team.

- B31.10 The City may, in its sole discretion, interview any or all Proponents during the evaluation process, to provide clarification or additional information in relation to its Submission.
- B31.11 Further to B31.2 to B31.7 a Submission may be determined to be not qualified if the Submission does not obtain a minimum of 70% of the points for each category.

**B32. NO CONTRACT**

- B32.1 By submitting a Qualification Submission and participating in the process as outlined in this document, Proponents expressly agree that no contract of any kind is formed under, or arises from this RFQ, and that no legal obligations will arise.
- B32.2 Although it is the intention of the City to establish a short-list of Proponents to participate in the RFP stage of the procurement process, the City reserves the right and the full power to give notice in writing of any change to its Contract Administrator, amend any dates, schedules, limits and Scope of Work and any contract awarded, or to reject any and all Submissions, to launch a new or amended procurement process, or to decide that it will not issue the RFP, without incurring any liability in respect of costs or damages incurred by any Proponent or any member of a private sector team.
- B32.3 Without limiting the generality of the foregoing, the City reserves the right and the full power to amend or cancel this RFQ, the procurement process or the Project at any time.
- B32.4 If the City proceeds to request a more detailed proposal, only to Proponents determined to be qualified under the RFQ process, the City will have no obligation to award a Contract where:
- (a) only one Submission is received; or
  - (b) in the judgment of the City, the interests of the City would best be served by not entering into a Contract.
- B32.5 The City reserves the right to disqualify any Proponent whose Submission, in the opinion of the City, contains false or misleading information.
- B32.6 Following the conclusion of the RFQ process, Proponents will be provided with information related to the evaluation of their Submission upon written request to the Contract Administrator.