File: 292-30/BCER2024-010

October 4, 2024

VIA ELECTRONIC MAIL:

Dear   :

Re: Request for Access to Records – Response
    Freedom of Information and Protection of Privacy Act **(FOIPPA)**

I am writing further regarding your request for access to records relating to the following:

1. *Documenting government decisions policy instruments (where "instrument" has the same meaning as in TBD 1/23).*
2. *Final Requests for Proposals concerning records management/freedom of information (not privacy).*
3. *Copies of checklists, forms, templates, guides, and other tools in relation to processing freedom of information requests.*
4. *Contracts and statements of work for consultant services for freedom of information/records management work.*
5. *Case management procedures (i.e. how analysts are assigned, what data is to be logged, how to notify program areas, etc.) for freedom of information requests.*
6. *Copies of any plans or assessments done in preparation for the application of the Information Management Act (e.g. Readiness Assessments for the provision relating to document government decisions).*
7. *Any previously unrequested/undisclosed records that can assist in understanding how (1) records management is practiced in your public body, or (2) how decisions about freedom of information requests are made and how they are processed (e.g. any document, including intranet file or records of another public body, that an employee references in the course of processing a request or describes how to apply exceptions, search for records, etc.).*
   [Date range: 1 January 2021 through to 21 August 2024.]

Please find attached an electronic copy of the records located in response to your request. Please note, a copy of these records will be published on the BCER's website. To find out more about proactive disclosure of requests, please access the BCER website: BC Energy Regulator (bc-er.ca).

Physical/Courier/Mailing
6534 100 Avenue
Fort St. John, BC VIJ 8C5

T: 250.794.5200
F: 250.794.5390

www.bc-er.ca

Your file is now closed. Pursuant to section 52 of the FOIPPA, you may ask the Office of the Information and Privacy Commissioner (OIPC) to review any decision, act, or failure to act with regard to your request under FOIPPA within 30 business days by writing to:

> *Information and Privacy Commissioner*
> *PO Box 9038 Stn Prov Govt*
> *4th Floor, 947 Fort Street*
> *Victoria BC V8W 9A4*
> *Phone: 250.387.5629 Fax: 250.387.1696 Email: info@oipc.bc.ca*

If you request a review, please provide the OIPC with a copy of your original request, a copy of the BCER's response, and the reasons or grounds upon which you are requesting the review. Further information on the complaint and review process can be found on the OIPC website: https://www.oipc.bc.ca. Please write FOIIntake@bc-er.ca, if you have any questions regarding your request or require any further clarification.

Sincerely,

D. Keough
BC Energy Regulator

DIRECTIVE: CRO 01-2019

SUBJECT: **Documenting Government Decisions**

AUTHORITY: This directive is issued under section 6 of the *Information Management Act.*

APPLICATION: This directive applies to all government bodies.

EFFECTIVE DATE: March 31, 2019

1

Chief Records Officer

Directive to Government Bodies
issued under section 6 of the *Information Management Act*

Under section 6 (1) of the *Information Management Act*, S.B.C. 2015, c. 27, I, Joel Fairbairn, Chief Records Officer, issue the following directive respecting documenting government decisions.

Creating an appropriate system

1. The head of a government body must, in ensuring that an appropriate system is in place within the government body for creating and maintaining government information that is an adequate record of that government body's decisions, take reasonable steps to ensure that the government body complies with this directive and is guided by any guidelines issued under section 6(1) of the *Information Management Act*.

Elements of an appropriate system

2. An appropriate system must include at least the following:
    a. recorded policies and procedures and defined roles and responsibilities for creating and maintaining, in a manner consistent with this directive and any applicable enactments and provincial government policies, adequate records of decisions that the head of the government body has determined, in accordance with this directive and any guidelines issued under section 6(1) of the *Information Management Act*, are to be recorded;
    b. appropriate recordkeeping systems that ensure the preservation and accessibility of records of decision over time;
    c. a program for ongoing training of relevant employees of the government body respecting the creation and maintenance of adequate records of decisions;
    d. a program for monitoring implementation by the government body of the system and of its compliance with applicable laws and government policies.

Determining which decisions are to be recorded

3. The head of a government body, in determining which decisions of that government body are to be recorded, must consider whether a record of decision would:
    a. inform the government body or others about the evolution of the government body's programs, policies or enactments;
    b. protect the legal or financial rights or obligations of the government body, the Crown, or any person, group of persons, government or organization that is directly and materially affected by the decision;
    c. facilitate the government body's accountability for its decisions, including through internal or external evaluation, audit or review.

2

Adequate records of decisions

4. Government information is an adequate record of the government body's decision if it can reasonably be expected that someone not familiar with the circumstances in which the decision was made could be reasonably informed about the following, as applicable:
   a. the individual who made the decision and that individual's title;
   b. when the decision was made and when it takes effect;
   c. any person, group of persons, government or organization reasonably likely to be directly and materially affected by the decision and, where practicable, the way in which they are reasonably likely to be affected by the decision;
   d. the basis for and context in which the decision was made, including, as applicable, any relevant legal, policy or factual information.
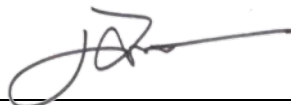
Other obligations

5. This directive does not affect any statutory or other legal obligation for a government body to create or maintain a record of decision or other government information.

This Directive is effective as of March 31, 2019. It remains in effect until rescinded or superseded.

March 21, 2019
Date   Chief Records Officer

3

CHIEF RECORDS OFFICER GUIDELINES ON DOCUMENTING GOVERNMENT DECISIONS

Purpose

These guidelines assist government bodies in meeting their obligations under the *Information Management Act* (IMA) related to documenting their decisions.

Government bodies must refer to these guidelines and CRO Directive 01-2019 (Directive) in considering whether their practices are sufficient to meet the obligations under the IMA. The Chief Records Officer (CRO) may provide further guidance on documenting decisions of government bodies, as necessary or appropriate.

Application

These guidelines apply to all British Columbia government ministries and any government agencies designated as "government bodies" under the IMA.[1]

Other government agencies not currently covered by the IMA may use these guidelines as a best-practice tool.

These guidelines do not limit any other statutory or legal requirements respecting the creation or maintenance of records of government body decisions, or any other government information.

> **Why Document Government Decisions?**
>
> - Supports openness and transparency
>
> - Facilitates effective decision making
>
> - Preserves corporate memory
>
> - Supports employees in doing their jobs effectively and providing high-quality services to the public
>
> - Supports accurate reporting of decisions to stakeholders, including other government bodies and the public
>
> - Contributes to the Province's historical record for future generations

Background

Section 19 (1.1) of the IMA requires that government bodies have an appropriate system in place for creating and maintaining government information that is an adequate record of their decisions.[2]

The Directive sets out the components of an appropriate system for creating and maintaining government information, and what constitutes an adequate record. These guidelines expand on the Directive. Together, the Directive and these guidelines provide a principle-based framework that government bodies are to operationalize in a manner suitable to their respective mandates. Government bodies should ensure that they can demonstrate compliance with the IMA, the Directive and these guidelines.

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[1] http://www.bclaws.ca/civix/document/id/loo102/loo102/109_2016

[2] Section 19 (1) of the IMA also stipulates that the head of each government body is responsible for ensuring that an appropriate system is in place within their organization for managing and securing government information. This directive does not provide information or advice about the appropriate system for managing and securing government information.

All government bodies are expected to have the appropriate combination of people, processes and technology in place to ensure that government information is created, held, transferred, archived and disposed of in accordance with the IMA. This includes adequate records of decisions.

The head of a government body must consider these guidelines and the Directive in ensuring that they have an appropriate system in place.

As part of good government and accountable public administration, government has policies, processes and procedures in place to support the appropriate creation and maintenance of government information in accordance with the IMA.

The Government Records Service (GRS) within the Corporate Information and Records Management Office (CIRMO) is available to assist government bodies in meeting their information management obligations, including those related to adequately documenting their decisions.

> **Getting Started**
>
> **Identifying and Documenting Decisions**
>
> **Step 1:** Ascertain whether the decision needs to be documented under the IMA (Appendix A)
>
> **Step 2:** Determine whether the current practice will result in an adequate record of the decision (Appendix B)
>
> **Ensuring an Appropriate System is in Place**
>
> Consider whether the prescribed elements of an "appropriate system" are in place within the government body (Appendix C)
>
> **Addressing Identified Gaps**
>
> If necessary, conduct a gap analysis and identify remedial actions

Identifying Decisions that Should Be Documented

Government bodies do not have to create and keep records of every decision made by every employee. Government bodies need to identify which decisions are to be documented by applying their judgement, in the context of their specific mandates and with consideration to the purpose and intent of the IMA, the Directive and these guidelines, and other obligations that may exist in law and policy respecting documenting decisions.

To help determine if a decision is required to be documented under the IMA, refer to the attached decision flowchart in Appendix A and to these guidelines.

A government body should document a decision where a record would serve one or more of the following purposes:

- Informing the government body or others about the evolution of the government body's programs, policies or enactments;

- Protecting the legal or financial rights or obligations of the government body, the Crown, or any person, group of persons, government or organization that is directly and materially affected by the decision;

- Facilitating the government body's accountability for its decisions, including through internal or external evaluation, audit or review.

Line of Business Decisions

In assessing which line-of-business decisions are to be adequately documented under the IMA, government bodies must bear the above purposes in mind. Government bodies also should document statutory decisions and decisions respecting a course of action that directly and materially affects a person, group of persons or organization.

Often, documenting decisions made by Senior Executive (i.e., Deputy Minister or equivalent, Assistant Deputy Minister or equivalent), members of the Executive Council, administrative tribunals or other quasi-judicial decision makers will meet the above purposes. There will, however, be circumstances where, in order to adequately document line-of-business decisions in light of the above purposes, a government body will document decisions made outside Senior Executive.

Common Corporate Decisions

Common functional areas where decisions are typically documented according to generally accepted policies and procedures include:

- Decisions related to preparing legislation;
- Decisions related to
    - strategic policies that define or change corporate direction, or
    - programs or initiatives to fulfill the government body mandate;
- Human resources (HR) decisions;
- Budget and other financial decisions; and
- Procurement decisions.

Adequate Records of Decisions

Government body employees must take reasonable steps to ensure that adequate records of decisions are created and maintained.

The Directive defines the elements of an "adequate record" of a government body's decision. Adherence to common corporate practices will generally support alignment with requirements to adequately document decisions. Those practices are to be considered, along with the following guidance.

In general, a record of decision is adequate if it can reasonably be expected that someone not familiar with the decision could be reasonably informed about the following, as applicable:

- Who made the decision and under what authority;
- When the decision was made and, if appropriate, when it takes effect;
- Who is reasonably likely to be directly and materially affected by the decision and, where practicable, the way in which they are reasonably likely to be affected by the decision; and
- What are the basis for and context in which the decision was made, including, as applicable, any relevant legal, policy or factual information.

Contextual Information

An adequate record of any key decision must include the material contextual information that informed the decision.

This information can be in many formats and will vary significantly depending on the nature of the decision.

Contextual information may typically be found in the following formats:

- A decision briefing note
- An application form
- An entry in a case management system or a case file
- Other records (e.g., memos, letters, emails) containing advice, recommendations and/or options
- Records of verbal advice
- Treasury Board Staff and Legislative Counsel advice to Cabinet
- Legal opinions
- Appendices or attachments that could include such things as: medical information, education information, employment information, income information, or other program-specific information that supports accountability, protects the rights or obligations of affected parties, or is otherwise necessary to understand the decision

Not all of these factors will apply to every decision. For example, many decisions do not affect others, so it is not necessary to document who is reasonably likely to be affected or how. Government bodies are expected to carefully consider, in the circumstances of each case, what is required to adequately document a decision. In some cases, an adequate record of a decision may be a note in a case management system or case file; in others it may comprise copies of extensive studies.

It is also important to remember that a record is required to be "adequate", not "perfect".

In addition, it is not necessary for a single record to be created that contains all of the material contextual information. The amount and type of contextual information that is adequate will vary depending on the nature of the decision.

Adequate Records of Common Corporate Decisions

Statutory Decisions

Government bodies will generally have existing policies and guidance on documenting relevant statutory decisions. In general, an adequate record of a statutory decision should include a statement setting out the specific decision in the form of a directive, order, authorization or permit, confirmation of eligibility for a benefit or service, etc. Other material contextual information (such as the decision's legal authority), and reasons for the decision, may be required.

Decisions Related to Preparing Legislation

Adequate records must be created during every step of preparing any enactment, including Bills, regulations and ministerial orders. This includes initial information gathering and analysis, developing a request for legislation, and the drafting process.

Before a government body's policy initiative can proceed to a proposal for legislation and the drafting stage, a substantial amount of information must be gathered and assessed. Cabinet Operations provides detailed information on requirements for Cabinet decision documentation, and the Office of Legislative Counsel provides information on the preparation of drafting instructions. These requirements are to be complied with.

Decisions About Government Body Policies and Programs

Decisions that establish, change or terminate corporate direction, or programs or initiatives to fulfill the government body's mandate, should be documented. Adequate records of decisions related to establishing, changing or terminating policies or programs must include a record of decision (e.g., any one or more of an approved decision note or a Cabinet or Treasury Board submission, as applicable).

HR Decisions

The BC Public Service Agency (BCPSA) maintains detailed guidance for ministries on documenting various HR decisions. This includes guidance on hiring, managing attendance, illness and injury, and taking disciplinary actions. Government bodies must comply with BCPSA guidance on documentation of HR-related decisions.

In the absence of similar policies, government bodies that are not subject to the *Public Service Act* may wish to use the BCPSA guidance as a model to determine what constitutes an adequate record of decisions related to HR matters.

Budgeting and Other Financial Decisions

The Core Policy and Procedures Manual (CPPM) Chapter 3: Planning, Budgeting and Reporting covers all aspects of government financial management, including documentation. Government bodies must comply with CPPM Chapter 3 in relation to documentation of financial management decisions.

Government bodies not subject to CPPM will generally have their own financial policies that address documentation. They may use CPPM Chapter 3 as a model to determine what constitutes an adequate record of decisions related to budgeting and financial decisions.

Procurement Decisions

Government bodies regularly make decisions regarding various types of procurement, including goods purchasing, contractor services and information management/information technology procurement. CPPM Chapter 6 covers all aspects of government procurement and states that ministries are responsible for "planning, managing and fully documenting the process to acquire goods, services and construction." Government bodies must comply with CPPM Chapter 6 in relation to documentation of procurement-related decisions.

Government bodies not subject to CPPM will generally have their own procurement policies that address documentation but may also use CPPM Chapter 6 as a model to determine what constitutes an adequate record of decisions related to procurements.

Appropriate System for Creating and Maintaining Records of Decisions

The IMA requires each government body to ensure that an "appropriate system" is in place for creating and maintaining records of decisions.

The Directive defines the elements of an appropriate system for creating and maintaining government information that is an adequate record of a government body's decisions. An appropriate system must include the components discussed below. To help determine if you have an appropriate system for creating and maintaining decisions, refer to the following guidance and to the flowchart in Appendix C.

Many aspects of an appropriate system are already addressed under the corporate information management framework, which comprises information management legislation (including the IMA, FOIPPA and their regulations), ministerial orders and ministerial or CRO directives, and, for ministries, CPPM Chapter 12: Information Management and Information Technology Management. The entirety of this information management framework should be considered when creating and administering an appropriate system consistent with the Directive and these guidelines.

> **What Is an "Appropriate System"?**
>
> An "appropriate system" for documenting government decisions is about more than technology. It includes policies, processes, roles, responsibilities and controls necessary to ensuring that adequate records of decision are created and maintained.

Defined Roles and Responsibilities

The CRO has a statutory mandate under the IMA to provide leadership, direction and oversight, and to promote effective information management across government bodies. GRS is the central organization responsible for records management, including developing policies, guidelines, standards and training to assist government bodies in identifying appropriate information schedules, establishing recordkeeping systems, and ensuring records are preserved and accessible as required and appropriate.

Section 19 (1.1) of the IMA stipulates that the head of each government body is responsible for ensuring that an appropriate system is in place within their organization for creating and maintaining, in accordance with applicable CRO directives or guidelines, government information that is an adequate record of that government body's decisions.

To support the overarching governance structure for an "appropriate system", government bodies should clearly define roles and responsibilities for information management within their respective organizations. This can include designating staff to champion and promote information management within their program areas. Such staff should be at a sufficiently senior level and have relevant knowledge and skills. They should also have clear authority, and clear, committed and ongoing Senior Executive support, respecting all aspects of information management (including documentation of decisions).

However, it is also important to recognize that employees at all levels actively manage government information in the course of their daily work. Accountabilities should be clearly articulated to assist government bodies in meeting their business goals and to ensure that legal obligations are met. All program area staff should have a clear understanding of their roles and responsibilities for documenting decisions.

Some decision making is formally or informally delegated. Some examples of formal delegations of decision making include:

- delegations to government body expense authorities;
- persons delegated any of the director's powers, duties or functions of a Minister or official under an act. (Some laws require these delegations to be in writing.)

Some responsibilities will be established more informally, such as through job descriptions, training, policies or procedures, or even through system design and workflows.

For example, a government body employee may be responsible for preparing a briefing note for decision by a Senior Executive about a significant public policy matter. They may have the delegated authority to make a decision about an individual's eligibility for a program, service or benefit. The same employee may be entitled to make spending decisions up to a certain dollar amount, and may be accountable for making and keeping records related to HR matters for their direct reports. No matter how the accountability is delegated or assigned, the government body's policies, procedures and training should make it apparent to each employee what their accountabilities are with respect to creating and maintaining adequate records of government decisions.

Documented Policies and Procedures

As noted earlier, a robust high-level information management framework already exists for ministries. This corporate framework comprises information management legislation such as the IMA, associated regulations, CRO directives, as well as CPPM Chapter 12. Non-ministry government bodies may use the existing corporate framework as a foundation for their own policies and procedures.

> **Common Types of Government Body Recordkeeping Systems**
>
> - Structured Local Area Network (LAN) with the Administrative Records Classification System (ARCS) and Operational Records Classification Systems (ORCS) applied, as appropriate
> - Enterprise Document and Records Management System (EDRMS)
>   - EDRMS Content Manager (formerly TRIM) is the government standard
> - Line of business applications (e.g., case management systems)
> - Hardcopy (paper) filing systems

Each government body knows its own lines of business best and is therefore best placed to develop organization-specific policies and procedures regarding an appropriate system for creating and maintaining information.

Government bodies create records for many different legislated, policy and operational reasons. Government bodies should consider identifying what policies, procedures, training and awareness activities, and compliance and monitoring tools are already in place with respect to documenting their decisions. This will enable them to determine if gaps exist or changes to their existing approach are needed. When changes are required, the government body is best placed to develop its own specific policies and procedures to establish and operate an appropriate system for creating and maintaining information, including adequate records of decisions.

Appropriate Recordkeeping Systems

Government information must be created and maintained in accordance with corporate records management policy and standards. This applies to the creation and maintenance of adequate records of decisions.

An appropriate recordkeeping system should:

- contain logical, organized naming conventions that can be followed by all staff;
- ensure the preservation and accessibility of records over time;
- protect against accidental or unauthorized access, alteration, copying, movement or deletion;
- minimize duplicate storage of records; and
- permit the retention requirements of information schedules to be applied accurately and efficiently.

Information schedules describe and classify government information and specify how long information must be kept. They are approved by the CRO under the IMA[3] and set out the final disposition of a record (i.e., whether it will ultimately be transferred, archived or destroyed). By law, if no information schedule applies, the information must be held until the CRO approves an information schedule or the information's transfer, archiving, or disposal. If a government body does not have an approved information schedule, it should document internal policies and procedures for ensuring information is retained as appropriate in light of the nature and content of the information.

Training and Awareness

All employees need to have a clear understanding of their responsibilities related to creating and maintaining government information, including records of decisions. At a minimum, ministries must ensure employees take mandatory information management training (e.g., IM 117: Information Management: Managing government information, privacy, access to information and security). CIRMO has also prepared materials for all government bodies to support them in complying with their obligations respecting creating and maintaining government information that is an adequate record of government body decisions. There may be also be government body- or sector-specific training appropriate to some roles and responsibilities. This includes the appendices to this directive, training, and more.

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[3] Any "record schedule" approved by the Legislative Assembly under the *Document Disposal Act* between 1936 and 2016 is continued under the IMA.

Compliance Monitoring

Government bodies should proactively monitor and assess their activities, practices and processes to ensure that they are meeting expectations respecting the creation and maintenance of government information. This includes the creation and maintenance of adequate records of decision. This will help ensure their organizational needs are met and that the government body is compliant with the Directive, these guidelines, and applicable policy and law.

CIRMO's Information Management Practice Review Program works with ministries to facilitate self-assessments of their information management practices, including the obligations in the IMA respecting documenting government decisions. CIRMO will also conduct practice reviews to assess the maturity of the information practices implemented by ministries to foster the continuous improvement of those practices. Other public bodies subject to the IMA may wish to use this tool to monitor and assess their own activities.
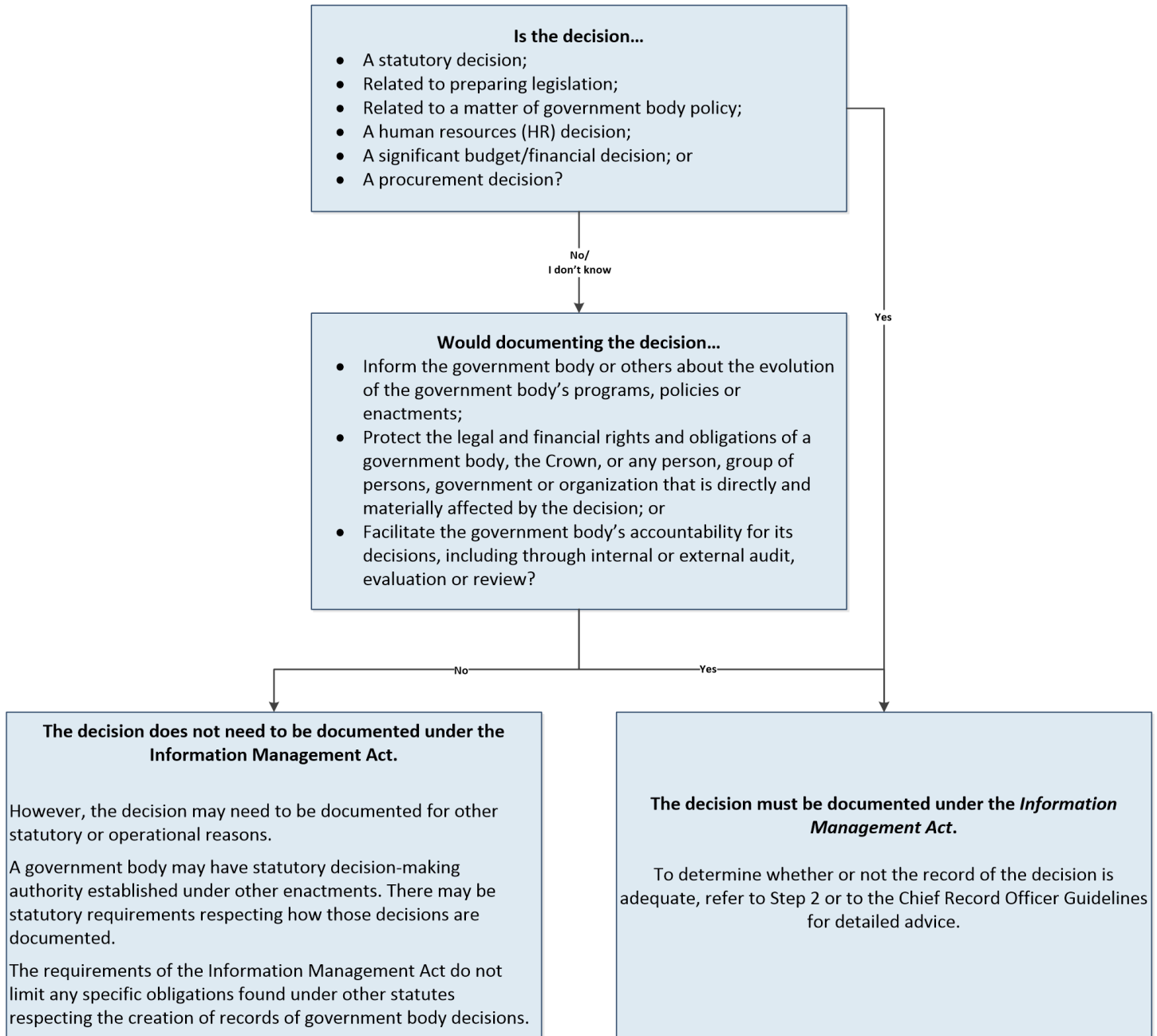
Contact Information

Government Records Service
Corporate Information and Records Management Office
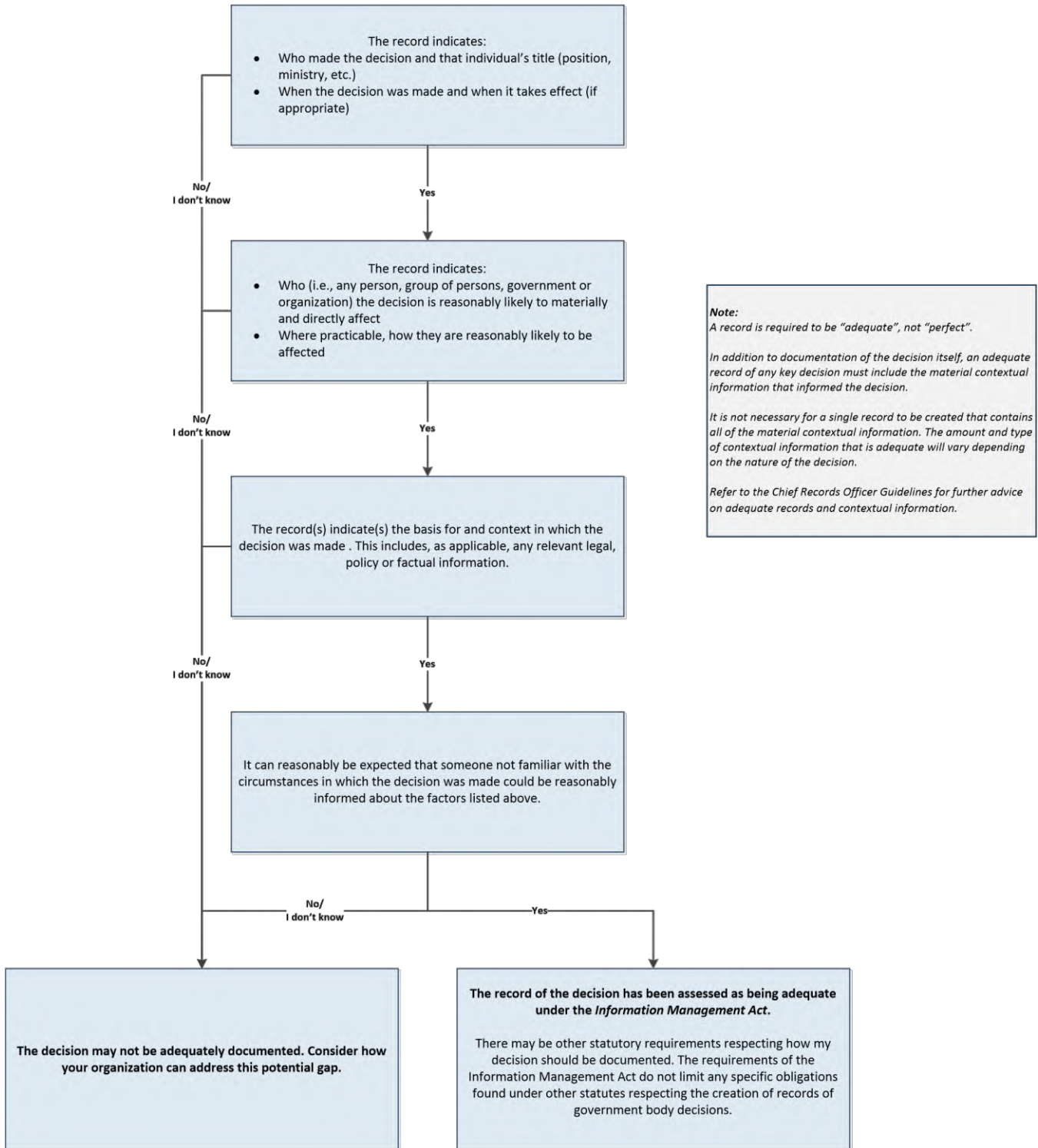Ministry of Citizens' Services

Email: GRS@gov.bc.ca

Identifying and Documenting Decisions

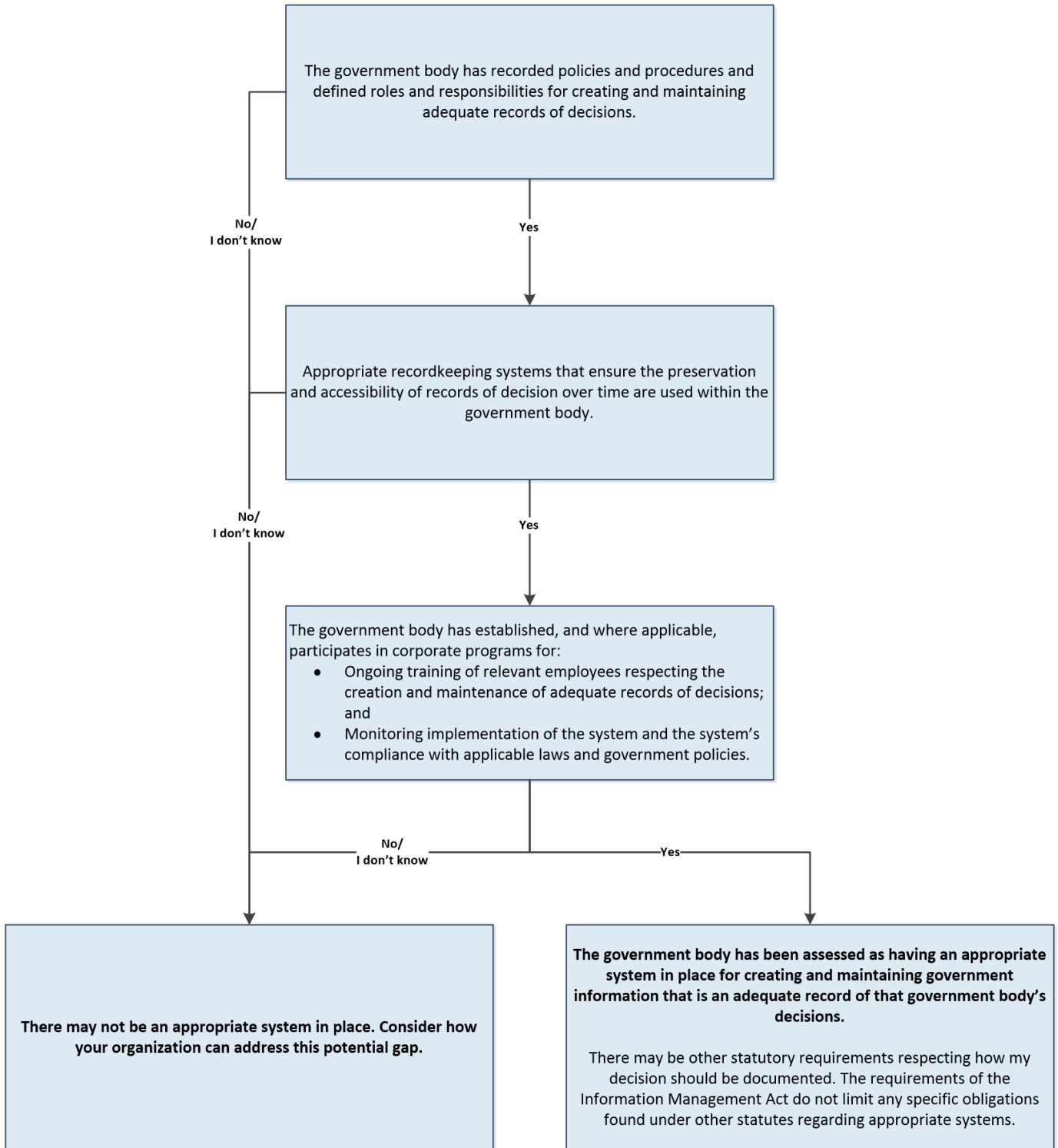### STEP 1: Does a Decision Need to Be Documented Under the *Information Management Act*?

Is the decision…
- A statutory decision;
- Related to preparing legislation;
- Related to a matter of government body policy;
- A human resources (HR) decision;
- A significant budget/financial decision; or
- A procurement decision?

No/
I don't know

Yes

Would documenting the decision…
- Inform the government body or others about the evolution of the government body's programs, policies or enactments;
- Protect the legal and financial rights and obligations of a government body, the Crown, or any person, group of persons, government or organization that is directly and materially affected by the decision; or
- Facilitate the government body's accountability for its decisions, including through internal or external audit, evaluation or review?

No

Yes

The decision does not need to be documented under the Information Management Act.

However, the decision may need to be documented for other statutory or operational reasons.

A government body may have statutory decision-making authority established under other enactments. There may be statutory requirements respecting how those decisions are documented.

The requirements of the Information Management Act do not limit any specific obligations found under other statutes respecting the creation of records of government body decisions.

The decision must be documented under the *Information Management Act*.

To determine whether or not the record of the decision is adequate, refer to Step 2 or to the Chief Record Officer Guidelines for detailed advice.

Identifying and Documenting Decisions

STEP 2: Is the Record of a Decision Adequate Under the *Information Management Act*?

The record indicates:
- Who made the decision and that individual's title (position, ministry, etc.)
- When the decision was made and when it takes effect (if appropriate)

No/ I don't know   Yes

The record indicates:
- Who (i.e., any person, group of persons, government or organization) the decision is reasonably likely to materially and directly affect
- Where practicable, how they are reasonably likely to be affected

No/ I don't know   Yes

The record(s) indicate(s) the basis for and context in which the decision was made . This includes, as applicable, any relevant legal, policy or factual information.

No/ I don't know   Yes

It can reasonably be expected that someone not familiar with the circumstances in which the decision was made could be reasonably informed about the factors listed above.

No/ I don't know   Yes

The decision may not be adequately documented. Consider how your organization can address this potential gap.

The record of the decision has been assessed as being adequate under the *Information Management Act*.

There may be other statutory requirements respecting how my decision should be documented. The requirements of the Information Management Act do not limit any specific obligations found under other statutes respecting the creation of records of government body decisions.

> **Note:**
> A record is required to be "adequate", not "perfect".
>
> In addition to documentation of the decision itself, an adequate record of any key decision must include the material contextual information that informed the decision.
>
> It is not necessary for a single record to be created that contains all of the material contextual information. The amount and type of contextual information that is adequate will vary depending on the nature of the decision.
>
> Refer to the Chief Records Officer Guidelines for further advice on adequate records and contextual information.

Is there an Appropriate System in Place?

The government body has recorded policies and procedures and defined roles and responsibilities for creating and maintaining adequate records of decisions.

No/I don't know

Yes

Appropriate recordkeeping systems that ensure the preservation and accessibility of records of decision over time are used within the government body.

No/I don't know

Yes

The government body has established, and where applicable, participates in corporate programs for:
- Ongoing training of relevant employees respecting the creation and maintenance of adequate records of decisions; and
- Monitoring implementation of the system and the system's compliance with applicable laws and government policies.

No/I don't know

Yes

There may not be an appropriate system in place. Consider how your organization can address this potential gap.

The government body has been assessed as having an appropriate system in place for creating and maintaining government information that is an adequate record of that government body's decisions.

There may be other statutory requirements respecting how my decision should be documented. The requirements of the Information Management Act do not limit any specific obligations found under other statutes regarding appropriate systems.

Appendix D: Additional Resources

- **Core Policy and Procedures Manual (CPPM)** combines government-wide financial policy, management policy and financial administration procedures into a single online resource: https://www2.gov.bc.ca/gov/content/governments/policies-for-government/core-policy

- **The Managing Government Information Policy** sets out ministry obligations for managing government information, specifically as they relate to IMA requirements: https://www2.gov.bc.ca/gov/content/governments/services-for-government/policies-procedures/government-records

- **The Records and Information Management Manual (RIMM)** provides guidance to support ministries in all aspects of managing, protecting, and accessing government information, including data and records: https://www2.gov.bc.ca/gov/content/governments/services-for-government/policies-procedures/government-records/rim-manual

- **The Appropriate Use Policy** establishes the policy requirements that all government employees must follow when accessing and managing government information and using information technology resources: https://www2.gov.bc.ca/assets/gov/british-columbians-our-governments/services-policies-for-government/policies-procedures/appropriate-use-policy/appropriate_use_policy.pdf

- **IM 117: Information Management: Managing government information, privacy, access to information and security** is a mandatory online course for all government employees available through the BC Public Service Learning Centre.

- **ARCS and ORCS User Guide 2018 (Version 3.0)**: https://www2.gov.bc.ca/assets/gov/british-columbians-our-governments/services-policies-for-government/information-management-technology/records-management/arcs_orcs_user_guide.pdf

- **ARCS**: https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules/arcs

- **ORCS**: https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules/orcs

- **Information Schedules**: https://www2.gov.bc.ca/gov/content/governments/services-for-government/information-management-technology/records-management/information-schedules

- **A Guide to Legislation and the Legislative Process in British Columbia – Part 1: The Legislative Process**: https://www.crownpub.bc.ca/Content/documents/1-LegislativeProcess_August2013.pdf

- **Hiring Documentation (BC Public Service Agency)**: https://www2.gov.bc.ca/gov/content/careers-myhr/hiring-managers/process/documentation

Documenting Commission Decisions

Mahia Frost & Josh Christensen

June 2019

BC Oil & Gas COMMISSION

Objectives of the Workshop

- Learn about legislative changes to documentation of government decisions

- Discuss how those changes apply to the Commission

- Apply tools to help you comply with the changes

- Wrap up & next steps

Who Likes Videos?
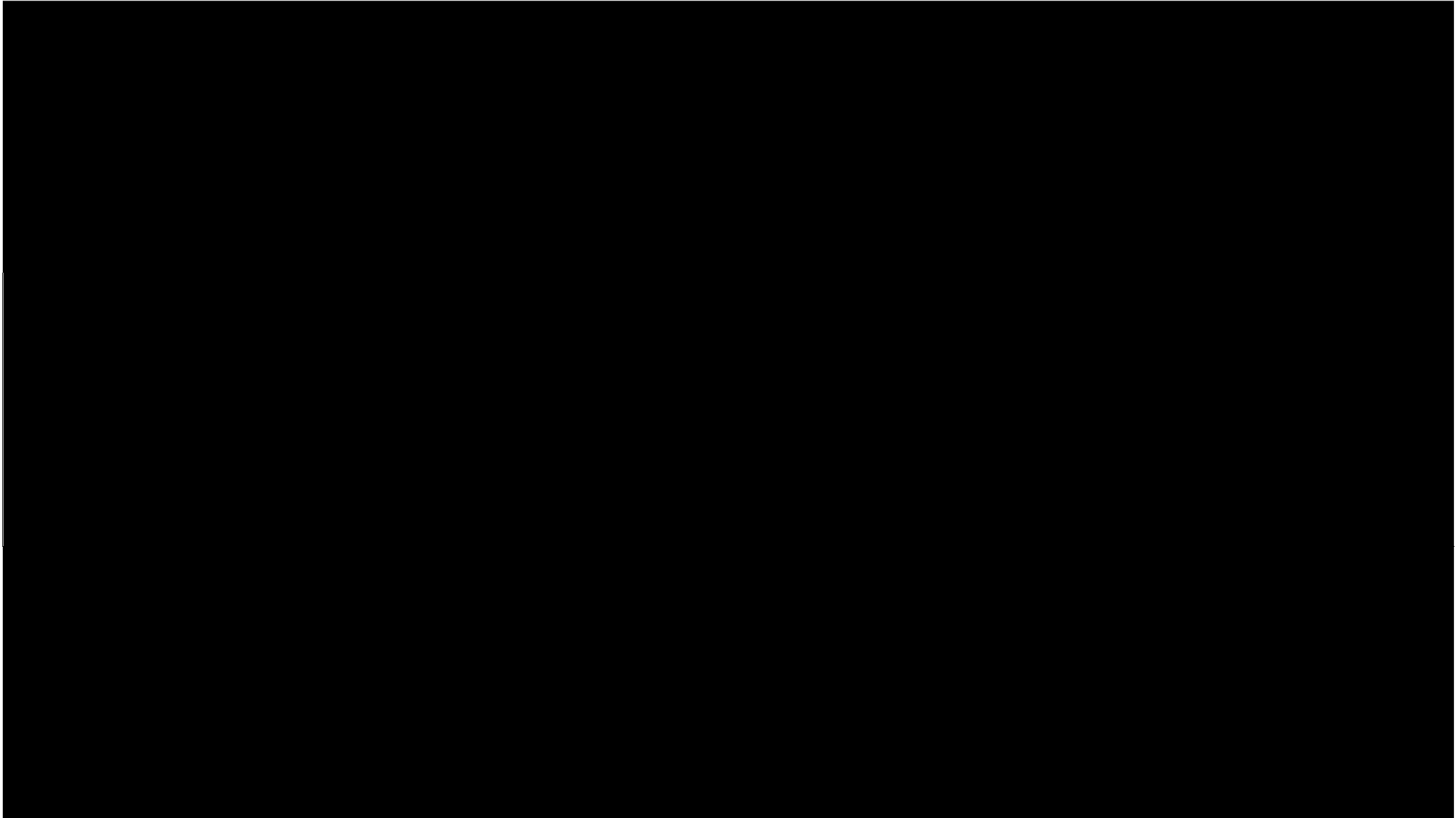
Legislative Changes

- Bill 6, *Information Management (Documenting Government Decisions) Amendment Act*, introduced in 2017

- Changes from this legislation came into force March 31, 2019

- Information Management Regulation of the IMA designates the Commission as a government body subject to it

Why Changes Apply to the Commission

According to the *Information Management Act*:

- The head of a government body (i.e. the Commissioner) is responsible for ensuring that **an appropriate system** is in place within the government body for **creating and maintaining government information that is an adequate record of that government body's decisions**
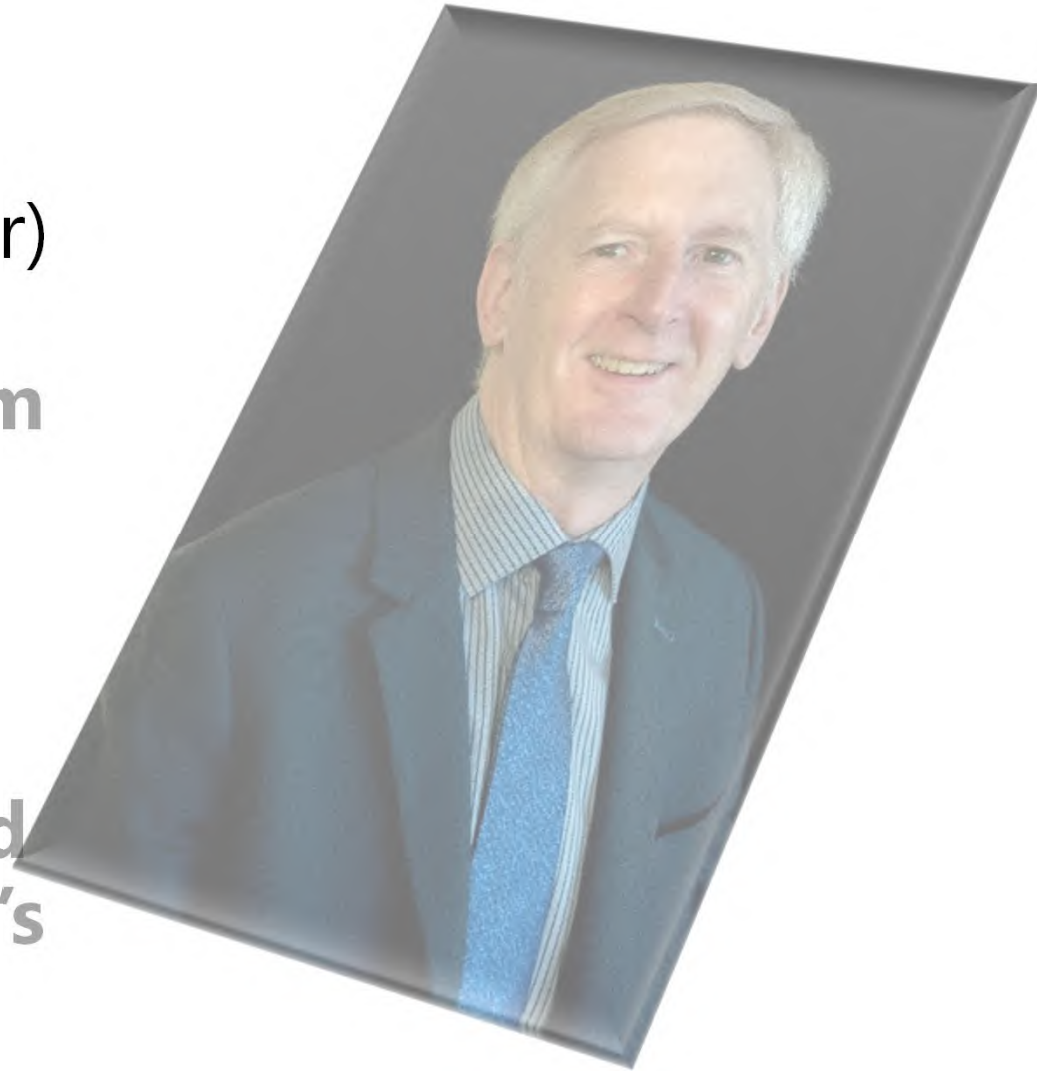
How Changes Apply to the Commission

Why Do Changes Apply to You?

Supports **openness and transparency**

Facilitates **effective decision making**

Preserves **corporate memory**

Supports employees in **doing their jobs effectively** and providing **high-quality services** to the public

Supports **accurate reporting** of decisions to stakeholders, including other government bodies and the public

Contributes to the Province's **historical record** for future generations

What to Document: A Framework

- What decisions are "key"?

- How can we make sure decisions are adequately documented?

- Where are the documents kept?

Tools that Help

- Documenting Commission Decisions Checklist: Three Steps
    1. Is it a decision that needs to be documented?
    2. Is the documentation adequate?
    3. Is there an appropriate system in place?

- Documenting Commission Decisions Process Chart
    – See posters in the room

Workshopping It

- Workshop session 1: Decision Brainstorm
  - What decisions do you make both routinely and periodically?

- Workshop session 2: Decision Analysis
  - Do you need to document the decision?

- Workshop session 3: Adequacy Analysis
  - Is the decision documented adequately?

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Welcome to a learning session on documenting decisions, presented by Records and Information Services.

Objectives

Learn about legislative requirements to document decisions

Understand how this applies to our organization
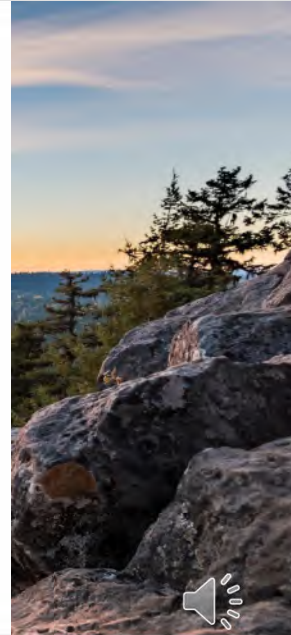
Today we are going to learn about legislative requirements to document our decisions and understand how this applies to our organization

Legislative Changes

Bill 6, *Information Management Amendment Act* (Documenting Government Decisions) came into force March 31, 2019

Information Management Regulation designates the Commission as a government body subject to it.

Why these changes apply to us

According to the *Information Management Act*: the head of a government body (i.e. the Commissioner) is responsible for ensuring that **an appropriate system** is in place within the government body for **creating and maintaining government information that is an adequate record of that government body's decisions**

In 2019 the provincial government adopted a legislated requirement under the Information Management Act (the IMA): a requirement to ensure we are adequately documenting government decisions. While this has long been considered a best practice, embedding this in legislation makes it a corporate accountability and legislative compliance matter. Key words in this slide that we are talking about today: We are going to **talk about the concept of an appropriate system**, how to identify **the decisions we need to record**, and about **what an adequate record is**. <NEXT SLIDE>

Why does this apply to you?

Supports **openness** and **transparency**

Facilitates **effective decision making**

Preserves **corporate memory**

Supports employees in **doing their jobs effectively** and **providing high-quality service** to the public

Supports **accurate reporting** of decisions to stakeholders, including other government bodies and the public

Contributes to the Province's **historical record** for future generations

It increases our understanding of our actions and how we make decisions.

4

This **is** good practice. Ensuring we keep a record of our key decisions supports our transparency initiatives, aids effective decision making, preserves our corporate memory, and helps us do our jobs more effectively. It also supports accurate reporting
to stakeholders
and provides context for our actions as a government and regulatory body.
This applies to everyone, and there are many practical reasons to document decisions – so we can understand:

- Why they decided to cancel that project
- What did we consider last time we were faced with a decision like this
- What do people need to know about how we got to this decision and
- Helps new employees know how we make decisions <NEXT SLIDE>

What to document: a framework

> What decisions are "key"?
>
> How can we make sure decisions are adequately documented?
>
> Where are the documents kept?

The documenting decisions framework is broken down into 3 steps:
1. Identify the key decisions that we need to create a record of – or, document.
2. Determine whether the record of the decision is adequate, and
3. Make sure that the people who need to refer to those decisions can find the record of them

As BC Energy Regulator employees, we make decisions every day,

some minor, some significant.

The decisions you make depend on the services you provide and the work that you do.

For example, in the Regulator, we hire people, we assess industry applications, we create external audit programs, and we develop systems that support our workflow, and we all make some sort of decisions while carrying out these functions.

The focus here is on whether we are adequately documenting our **key** decisions. We do not need to create records of every decision.

We can apply our professional judgement to identify which should be documented and determine how best to prepare adequate records of those decisions. <NEXT SLIDE>

EXAMPLES OF KEY DECISIONS THAT MAY REQUIRE ADEQUATE DOCUMENTATION

1: Key Decisions

Budgeting / Financial Decisions
(budgets, major expenditures, contracts)

Statutory Decisions
(directives, orders, authorizations, and permits)

Decisions related to **HR matters**
(competitions, reclassifications, and labour agreements)

Procurement Decisions
(purchased goods, RFP process, IT procurement)

6

Let's talk about categories of decision that are Key under the Information Management Act:

The first category is the Protection of legal or financial rights or obligations. This is important because it's about protecting people's rights and financial transparency.   For the example of a grant, why we decided to grant money, or why we didn't. <NEXT SLIDE>

EXAMPLES OF KEY DECISIONS THAT MAY REQUIRE ADEQUATE DOCUMENTATION

1: Key Decisions

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(directives, orders, authorizations, and permits)

Decisions related to **HR matters**
(competitions, reclassifications, and labour agreements)

Procurement Decisions
(purchased goods, RFP process, IT procurement)

Decisions about **Commission policies, programs or initiatives**
(such as the establishment, change or termination of corporate direction)

Decisions related to **preparing board regulations**

7

The next is to document the evolution of our programs, such as why a grant is created, or the creation of our orphan program or our compliance management information system. <NEXT SLIDE>

EXAMPLES OF KEY DECISIONS THAT MAY REQUIRE ADEQUATE DOCUMENTATION

1: Key Decisions

Budgeting / Financial Decisions
(budgets, major expenditures, contracts)

Statutory Decisions
(directives, orders, authorizations, and permits)

Decisions related to **HR matters**
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Procurement Decisions
(purchased goods, RFP process, IT procurement)

Decisions about **Commission policies, programs or initiatives**
(such as the establishment, change or termination of corporate direction)

Decisions related to **preparing board regulations**

Line of business (operational) Decisions
(such as permit authorizations, exemptions, project approvals, indigenous and landowner consultations relating to authorizations, agreements)

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And to Facilitate accountability. The "Think like a citizen" consideration – what would they want us to record about why and how we created the orphan program. What will help us be accountable for our business decisions. You will see in the slide that many of our operational decisions fall under this. The IMA guidelines identify decision types common to most organizations, but then each one, ours most certainly, make many decisions under the authority of our own regulatory framework and we want to be sure we keep an adequate record of those.
A good point here is also that
Documenting decisions made by Senior Executive will often meet our purposes. <NEXT SLIDE>

2: Adequate Record

WHO made the decision and under what authority

WHEN it was made (and took effect)

WHO is affected by the decision

WHY this decision was made
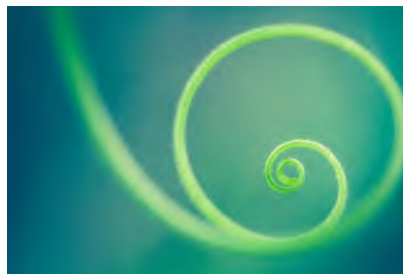
Adequate records take many forms   Adequate records require context

9

When we know what our key decisions are, we need to be sure we retain an adequate record of them. When we talk about an adequate records we simply mean – is the record enough.

A record of decision is adequate if someone who is not familiar with it could determine:

- **Who** made the decision, and under what **authority**
- **When** the decision was made (and took effect)
- **Who** is likely to be affected by the decision
- **What** is the basis for the decision, and context in which the decision was made (such as relevant legal, policy or factual information that was on hand at the time)

Not all of these factors will apply every time, but ask yourself: Could someone who wasn't familiar with the decision understand it?
There are many "persons who are unfamiliar" – this could be future you / FOI requester / Litigation teams or your team in your absence while on holidays. <NEXT SLIDE >

Examples of what an adequate record may look like.

- Briefing notes for decision
- Application forms
- Submissions from industry
- Supporting analysis, or technical reports
- Entries into a system or database (such as AMS)
- Emails, letters, etc. that have advice, recommendations or options
- Records of verbal advice (such as notes from a phone call)
- Investigation reports
- Policies and procedures
- An email which holds the entire "thread" of a conversation leading to a decision
- An "approved" tick in a payroll system

10

Here are some examples of what an adequate record may look like
<small pause>
You will notice that Adequate records take different forms, and this will vary depending on the decision. In some cases, an adequate record of a decision may be a note in a file, or a one-page form. Other decisions may be supported by thousands of pages of analysis and advice. The record of decision should be proportionate to the nature, impact and importance of the decision.

Also, adequate records include **context**.

An adequate record is more than just the "decision" itself. We want to be sure that the context for the decision is part of the record. Remember, our goal is for a person unrelated to the original decision-making process to understand who made it, why it was made, and what information it was based on. <NEXT SLIDE>

10

3: Recordkeeping systems

Structured shared drives, (with the *Administrative Records Classification System* (ARCS) and *Operational Records Classification Systems* (ORCS) applied)

Properly configured **SharePoint sites**, with ARCS and ORCS applied

Enterprise Document and Records Management System (**EDRMS**)

Line of business applications (e.g., case management systems such as AMS and IRIS)

Hardcopy (paper) filing systems

11

The third element of this requirement is that we have an appropriate system in place for creating and maintaining records of decisions. . They use the phrase an "appropriate system". This is not about technology. It is about the management system in place, which include policies, processes, clear roles and responsibilities, and the controls necessary to ensure the appropriate management of information.

You have determined you create adequate records of decision – are the records being managed? Are they in a central place for your team, so they can find them when they need them? Because this is also about findability. If they are in your F drive, your OneDrive or your outlook, nobody else can access them. Having those records in the branch recordkeeping system means if Brad is on holidays Joel can put his hands on a contract decision. And if Kathryn is away, Julie can figure out which requests are open and where they are in their process.
You may have been part of a shared drive organization project recently – this is part of the ongoing work to create centralized recordkeeping systems, so each branch knows where to find their records, where to file emails, documents, and records of decision, and to support us managing the records through their lifecycle. Namely, to meet this requirement. <NEXT SLIDE>

11

Defined Roles and Responsibilities.

Documented Policies and Procedures.

The other element of the system is to have your policies and procedures, roles and responsibilities in place, and all staff to have a clear understanding of them.

Decision making responsibilities may be formally or informally delegated. Formal delegations of decision making include expense authorities or delegated powers, duties or functions under an act.

Some responsibilities will be established more informally, such as through job descriptions, training, policies or procedures, or even through system design and workflows.

For example, a person may be responsible for preparing a briefing note for decision. They may have the delegated authority to decide about an individual's eligibility for a program, service or benefit. The same employee may be entitled to make spending decisions up to a certain dollar amount and may be accountable for making and keeping records related to HR matters for their direct reports.

No matter how the accountability is delegated or assigned, our policies, procedures and training should make it apparent to each employee what their accountabilities are with respect to creating and maintaining adequate records of government decisions. <NEXT SLIDE>

So hopefully this helps you understand the legislative requirement for us to create an adequate record of our key decisions, and ensure they are in a recordkeeping system. We have created tools to help with this

- A Checklist, which is helpful for list people who want to make a quick assessment, and a
- 2-page process chart, which is a more visual assessment tool.

These are on the Energy Exchange, on the Information Management page, where you will also find an overview. <NEXT SLIDE>

We create records for many reasons. Upholding our accountabilities and legislated requirements regarding managing those records is a best practice.

Thank you for your time.
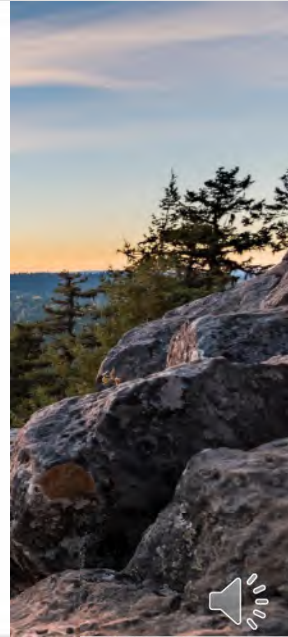
In summary, we create records for many different legislated, policy and operational reasons. Take the time to ensure we uphold our accountabilities regarding documenting and managing our records of decisions.

Thank you for your time.

DOCUMENTING GOVERNMENT DECISIONS (DGD)

The provincial government is assigning a new legislated requirement to government bodies under the *Information Management Act* (IMA): a requirement to **create and maintain adequate records of decisions.**

The Head of each government body will be responsible for ensuring their organization has an appropriate system for documenting decisions in place.

What is an "Adequate" Record of Decision?

A record of decision is <u>adequate</u> if someone who is not familiar with the decision could determine:

- Who made the decision
- When the decision was made (and took effect)
- Who is likely to be affected by the decision
- What is the basis and context in which the decision was made (e.g. relevant legal, policy or factual information)

Not all factors noted above will apply to every decision. For example, some decisions do not affect others. In some cases, an adequate record of a decision may be a note in a file. In others, it may include copies of extensive studies, or a combination of records.

The nature of the decision will determine the amount and type of contextual information necessary. An adequate record might consist of:

- Briefing notes for decision
- Application forms
- Submissions from industry
- Entries into systems/databases
- Emails, letters, etc. containing advice, recommendations or options
- Records of verbal advice
- Legal opinions
- Orders

NOTE: Part of understanding the context for decisions is having clear roles and responsibilities, or frameworks, regarding decision-making. These are often established through job descriptions, training, policies or procedures, and process mapping and documentation.

What Decisions Need to be Documented?

The Commission does not need to create records of every decision made by every employee. We can apply judgement. Typically, we should document decisions that relate to the:

Page **1** of **2**

1. Evolution of Commission programs.
2. Protection of the Commission's legal or financial rights or obligations, or those affected by a decision.
3. Facilitation of the Commission's accountability.

Specifically, this may include:

- **Line of business** (operational) decisions
- **Statutory** decisions (e.g. directives, orders, authorizations, permits)
- Decisions related to **preparing legislation** (e.g. analysis, developing a request for legislation and drafting process records)
- Decisions about **policies, programs or initiatives that fulfill the Commission's mandate** (e.g. records supporting the establishment, change or termination of corporate direction)
- Decisions about **Human Resource** (HR) matters
- **Budgeting** and **financial** decisions
- **Procurement** decisions (e.g. records of goods purchasing, contractor services, IT procurement)

NOTE: While there is a records management component to the documenting government decisions requirement, this is really about corporate accountability, transparency and ensuring best practices are in place.

Where Should Records of Decisions be Kept?

The Commission has a variety of recordkeeping systems: program folders on shared drives, databases, hardcopy files, etc.

Records of decision should be kept in a location that ensures their preservation and accessibility (by authorized staff) and appropriate retention in accordance with Commission information schedules.

Tip: See our *What is a Recordkeeping System* guide for ideas on how to manage records of decision.

Adapted from the Chief Records Officer (CRO) Guideline: Documenting Government Decisions

Step 1: Does the decision require documenting under the IMA?

First, ask whether the decision is:

- ☐ a statutory decision?
- ☐ related to preparing legislation?
- ☐ related to a matter of policy?
- ☐ an HR decision?
- ☐ a significant financial or budgetary decision?
- ☐ a procurement decision?

If the answer is **yes** to any of those questions, the decision <u>must be adequately documented</u> per the IMA.

If the answer is **no**, or you are not sure, ask yourself if documenting the decision would:

- ☐ inform others about the evolution of our programs, policies or enactments?
- ☐ protect legal or financial rights and obligations?
- ☐ facilitate accountability for our decisions, including audit, evaluation or review?
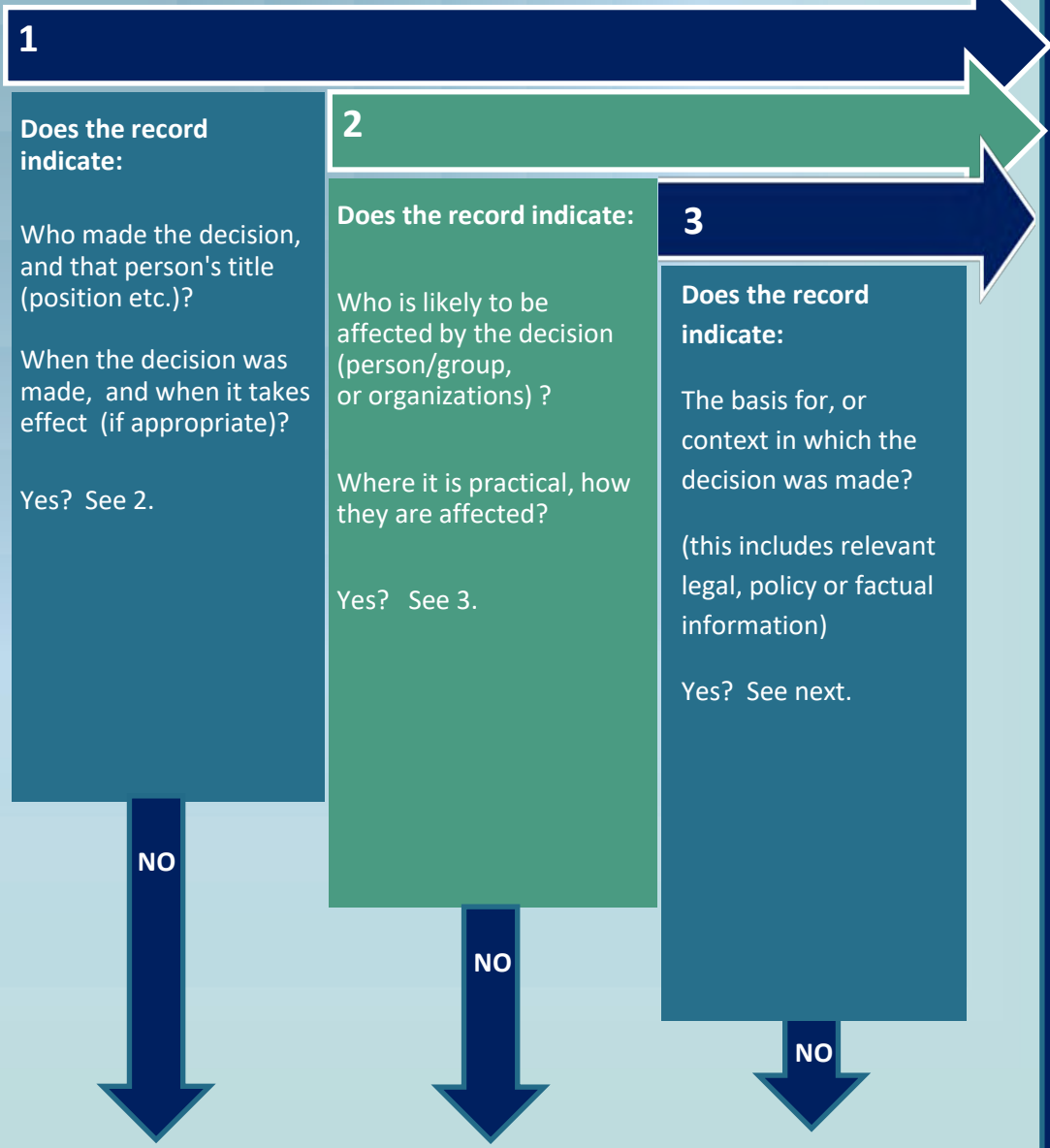
If the answer is **yes** to any of those questions, the decision <u>must be adequately documented</u> per the IMA.

If the answer is **no**, the decision <u>does not need to be documented</u> per the IMA. However, it may need to be documented for other operational or statutory reasons.

Step 2: Is the record of a decision adequate under the IMA?

There are a series of questions you can ask to determine if the record is adequate.

Does the record indicate:

- ☐ Who made the decision, and that person's title (position etc.)?
- ☐ When the decision was made, and when it takes effect (if appropriate)?
- ☐ Who is likely to be affected by the decision (person, group or organization)? Where it is practical, does it indicate how they are affected?
- ☐ The basis for or context in which the decision was made? (this includes relevant legal, policy, or factual information)
- ☐ Can someone who is not familiar with the circumstances of the decision be reasonably informed about the factors listed above?

If you answered **yes** to all of those questions - excellent! <u>The record of decision is adequate</u> under the IMA.

If the answer is **no** to any of those questions, this will require analysis to ensure we are adequately documenting our decisions.

For further clarification, please contact the Records and Information Services team.

Step 1: Does the decision require documenting under the IMA?

Is the decision:

A statutory decision?

Related to preparing legislation?

Related to a policy matter?

An HR decision?

A significant financial or budgetary decision?

A procurement decision?

No? Not sure? *See next set of questions*

Okay. Would documenting the decision:

Inform others about the evolution of our programs, policies or enactments?

Protect legal or financial rights and obligations?

Facilitate accountability for our decisions, including audit, evaluation, or review?

If the answer is no to all of the questions this decision does NOT need to be documented per the IMA.

However, it may need to be documented for other operational or statutory reasons.

YES   **YES**

If the answer is yes to any of the questions above:

This decision must be adequately documented.

See Step 2 to determine what we mean by "adequately documented".

.

Step 2: Is the record of the decision adequate under the *IMA*?

1

Does the record indicate:

Who made the decision, and that person's title (position etc.)?

When the decision was made, and when it takes effect (if appropriate)?

Yes? See 2.

2

Does the record indicate:

Who is likely to be affected by the decision (person/group, or organizations) ?

Where it is practical, how they are affected?

Yes? See 3.

3

Does the record indicate:

The basis for, or context in which the decision was made?

(this includes relevant legal, policy or factual information)

Yes? See next.

Our overarching question:

Can someone who is not familiar with the circumstances of the decision be reasonably informed about the factors previously listed?

Did you answer yes to all of those questions?

GREAT!

The record of decision is adequate under the IMA.

NO

NO

NO

If the answer is **no** to any of these questions, this may require some analysis to ensure you are adequately documenting decisions.

Documenting Commission Decisions under the *Information Management Act (IMA)*
Self-Assessment Gap Inventory

Date: _____

Team / Program Area _____

Prepared by: _____

> *This form is an optional tool for assessing our compliance with the legal obligation to document key decisions of the Commission.*
> *If you have identified an area for improvement, you may use this form to record the next steps towards compliance.*

Decision Description	Decision must be documented because (see STEP 1 flowchart)	Record of decision is not adequate because (see STEP 2 flowchart)	The system for where documentation is kept must be improved because	Next Steps
***Example*:** *Corporate Policy Update*	*Documenting the decision would inform about the evolution of XYZ policy change.*	*Records do not indicate who made the decision (position, branch, etc.)*	*Not applicable*	*Adjust template to reflect position title of decision maker*

Documenting Commission Decisions under the *Information Management Act (IMA)*
Self-Assessment Gap Analysis Template

Decision Description	Decision must be documented because (see STEP 1 flowchart)	Record of decision is not adequate because (see STEP 2 flowchart)	The system for where documentation is kept must be improved because	Next Steps

Documenting Commission Decisions

AN OVERVIEW

Records and Information Services
BC OIL AND GAS COMMISSION

DOCUMENTING COMMISSION DECISIONS

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Why are we talking about this?

On March 31, 2019, the provincial government adopted a new legislated requirement under the *Information Management Act* (IMA): a requirement to ensure we are adequately **documenting government decisions.**

While this has long been considered a best practice, embedding this requirement in legislation makes it a corporate accountability and legislative compliance matter.

This is a good thing! Ensuring we keep a record of our key decisions:

- supports openness and transparency
- facilitates effective decision making
- preserves our corporate memory
- helps us do our jobs more effectively

It also supports accurate reporting of decisions to stakeholders, and provides context for our actions as a government and regulatory body.

We make decisions every day

As Commission employees, we make decisions every day – some minor, some significant. The decisions you make depend on the services you provide and the work that you do.   For example, in the Commission, we hire people, we assess industry applications, we create external audit programs, and we develop systems that support our workflow.

The focus here is on whether we are adequately documenting our **key decisions**. We do not need to create records of every decision. We can apply our professional judgement to identify which decisions should be documented, and determine how best to prepare adequate records of those decisions. It is about being accountable and transparent.
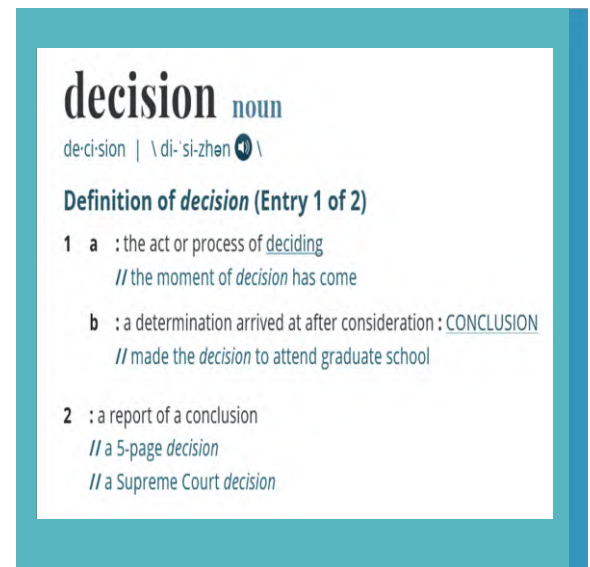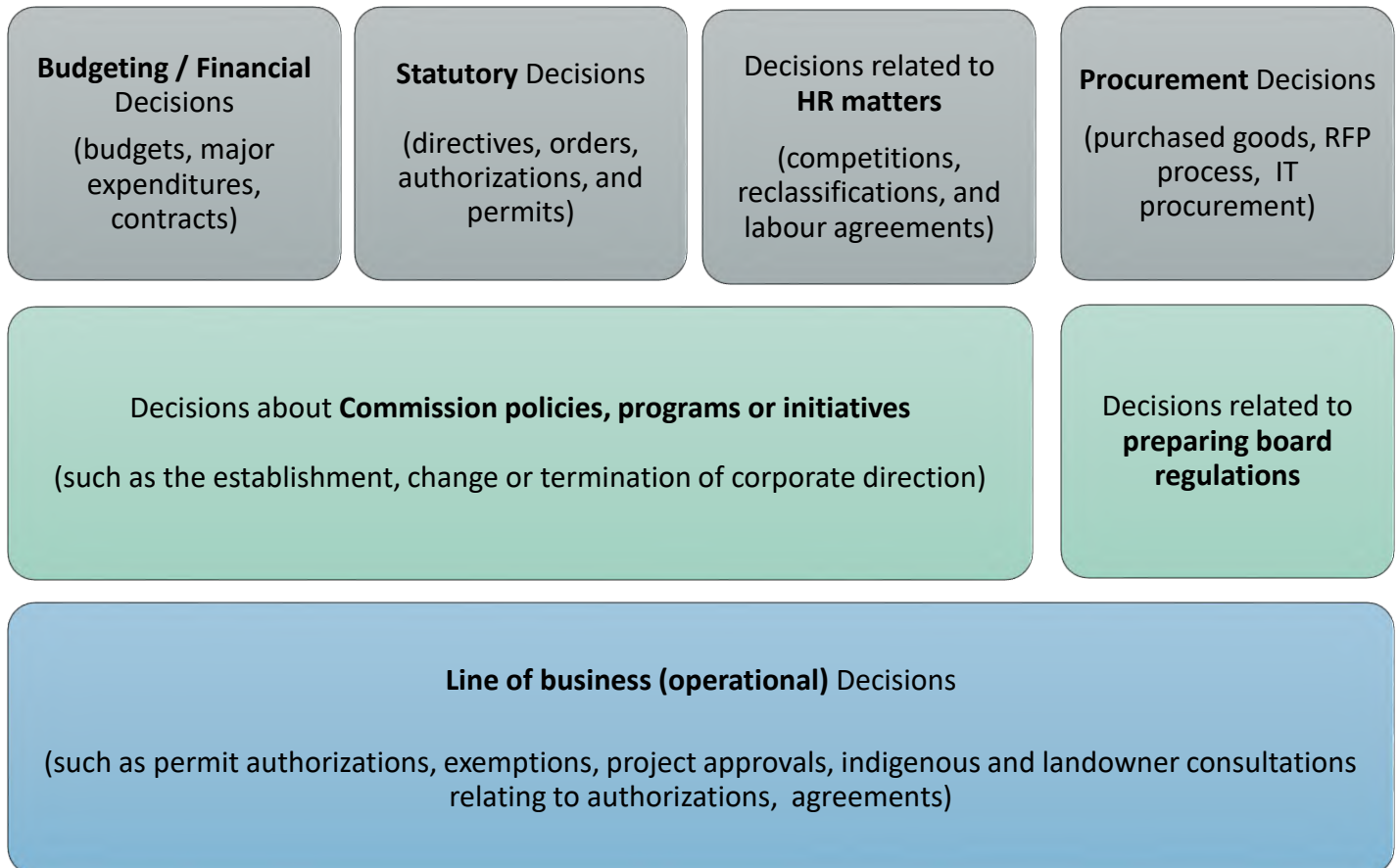
What do we mean by a key decision?

Typically, a key decision is one that supports one or more of the following:

1.   The evolution of Commission programs, policies or enactments

2.   The protection of legal or financial rights or obligations of the Commission, or of those affected by a decision

3.   The Commission's accountability for its decisions, including through internal or external evaluation, audit or review

EXAMPLES OF KEY DECISIONS THAT MAY REQUIRE ADEQUATE DOCUMENTATION

Budgeting / Financial Decisions (budgets, major expenditures, contracts)	**Statutory** Decisions (directives, orders, authorizations, and permits)	Decisions related to **HR matters** (competitions, reclassifications, and labour agreements)	**Procurement** Decisions (purchased goods, RFP process, IT procurement)

Decisions about **Commission policies, programs or initiatives** (such as the establishment, change or termination of corporate direction)	Decisions related to **preparing board regulations**

Line of business (operational) Decisions

(such as permit authorizations, exemptions, project approvals, indigenous and landowner consultations relating to authorizations, agreements)

Documenting decisions made by Senior Executive will often meet the above purposes**.**

What is an "Adequate" record of decision?

A record of decision is adequate if someone who is not familiar with the decision could determine:

- **Who** made the decision, and under what authority
- **When** the decision was made (and took effect)
- **Who** is likely to be affected by the decision
- **What** is the basis for the decision, and context in which the decision was made (e.g. relevant legal, policy or factual information)

Not all factors noted above will apply to every decision.

Adequate records take different forms

What is considered adequate can vary greatly, depending on the decision. In some cases, an adequate record of a decision may be a note in a file, or a one-page form. Other decisions may be supported by thousands of pages of analysis and advice. The record of decision should be proportionate to the nature, impact and importance of the decision.

Adequate records include context

An adequate record is more than just the "decision" itself. We want to be sure that the context for the decision is part of the record. Remember, our goal is for a person unrelated to the original decision-making process to understand who made it, why it was made, and what information it was based on.

The record of decision should be proportionate to the nature, impact and importance of the decision.

Examples of what an adequate record might include:

- Briefing notes for decision

- Application forms

- Submissions from industry

- Supporting analysis, or technical reports

- Entries into a system or database (such as AMS)

- Emails, letters, etc. that have advice, recommendations or options

- Records of verbal advice (such as notes from a phone call)

- Legal opinions

- Policies and procedures

- Orders

- An email which holds the entire "thread" of a conversation leading to a decision

- Investigation reports

So… what does this look like? Here are some Commission examples:

Putting this into practice #1: Compliance and Enforcement

*There is a reported incident on a well, to which we respond. An order is issued to address immediate concerns, and we start a compliance investigation to determine cause. When the investigation is complete, the investigator creates a contravention report, outlining the findings. A decision is made and we issue an administrative penalty. The administrative finding is **a key decision** that requires adequate documentation. **The contravention report, the order, supporting documentation gathered to support the decision, and the administrative finding document form the record of decision**.*

This is an example where multiple records support the decision.

Putting this into practice #2: Permit approval process

*An operator submits a permit application online, which is processed through AMS. The permit requires landowner consultation, indigenous consultation, and technical review. Each staff member involved in those areas of review document their results in AMS, and the Decision Maker reviews all external and internally submitted information before deciding whether to issue the permit.   **The application information, consultation notes, approved technical specifications, and the permit in AMS are all part of the record of decision.** Our governing legislation, Permit Operations and Administration Manual, and documents that outline the authority of the Decision Maker also provide context to the decision.*

This is an example where the record of decision resides in an operational system, where many people contribute to the decision, and where policy and legislation provide context.

Putting this into practice #3: Procurement / RFP process

*The Records and Information Services (RIS) team has approval to hire a consultant to help implement the newly approved ORCS on the shared drives. They put together an RFP with their requirements, and work with Finance who vets the RFP, posts it, and manages the RFP process. When the RFP closes, Finance sends the submissions to RIS, who performs a detailed review with an evaluation team, and selects the successful proponent. RIS sends the evaluation notes and decision to Finance, because Finance holds the official RFP file.   **The posted RFP document, the received submissions, the evaluation criteria and selection notes form the record of decision.***

This is an example where two program areas are part of a process, but one holds the official record.

Putting this into practice #4: Decisions made by Senior Executive

*The Orphan well program has come up with two options to resolve an arising issue. They outline the options in a Briefing Note, and attach supplemental information to it. Senior Executive discuss the issue, decide on the preferred solution and sign it off. **The signed briefing note, with the supplemental information, forms the record of decision.***

*Alternatively, an email with the two options is sent to their VP, and an email conversation ensues. The VP approves one of the options in the final email of the "thread". **That final email, containing the back and forth conversation and all attachments, forms the record of decision**.*

This is an example where Executive records document the decision, and where emails include key decisions.

DGD does not change or affect our recordkeeping systems. We continue to keep our records in our shared drives and systems, and our records retention schedules (ARCS and ORCS) still apply according to the function the decision supports.

Summary

The Documenting Government Decisions legislative requirement makes sure we know the "who, what, when and why's" of our key decisions. When you are part of an important Commission decision, consider whether the record is adequate by asking **"Could a person unrelated to the decision-making process understand this decision?"**

We invite you to check out our optional Self-Assessment Guide, which includes decision diagrams, and a template for documenting the areas where we may have room for improvement. The self-assessment exercise will help us identify any gaps, and define those areas where we can improve.

While we are confident that the Commission is already applying this best practice in most areas, an informal examination of our decision-making practices will ensure we are consistently excellent.

We hope this helps you understand the requirement to document Commission decisions.
For further clarification, please contact the Records and Information Services team.

Documenting Commission Decisions

SELF-ASSESSMENT EXERCISE: FINDING THE GAPS

Records and Information Services
BC OIL AND GAS COMMISSION

DOCUMENTING COMMISSION DECISIONS: SELF-ASSESSMENT

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The provincial government has adopted a legislated requirement under the *Information Management Act* (IMA) to **document government decisions.** This is a flexible framework to ensure we are adequately documenting our important decisions.

> Please refer to our *Documenting Commission Decisions Overview* for a full understanding of this initiative.

What do we need to do?

We need to look at our practices and ensure we have adequate documentation of our key decisions.

This will not be difficult! On the following pages, you will find some helpful documents for assessing our compliance with this requirement:

- ✓ A diagram to help assess whether the decisions you make require "adequate documentation"
- ✓ A diagram to determine "adequacy" (we are aiming for adequate, not perfect)
- ✓ A simple yes/no checklist to use when working through an evaluation
- ✓ An optional template for recording process gaps

It only takes a few steps:

1. Look at your mandated responsibilities to help identify the decisions that support them
2. Determine which of those decisions require an evaluation to ensure we have an adequate record
3. Review how those decisions are documented to assess our state of compliance
4. If you identify any gaps, you will need to take action to improve your processes

If you would like help in determining the best solution to a gap, please contact us at Records and Information Services (RIS) and we will be happy to work with you!

Step 1: Does the decision require documenting under the IMA?

Is the decision:

A statutory decision?

Related to preparing legislation?

Related to a policy matter?

An HR decision?

A significant financial or budgetary decision?

A procurement decision?

No? Not sure? *See next set of questions*

Okay. Would documenting the decision:

Inform others about the evolution of our programs, policies or enactments?

Protect legal or financial rights and obligations?

Facilitate accountability for our decisions, including audit, evaluation, or review?

If the answer is no to all of the questions this decision does NOT need to be documented per the IMA.

However, it may need to be documented for other operational or statutory reasons.

YES   **YES**

If the answer is yes to any of the questions above:

This decision must be adequately documented.

See Step 2 to determine what we mean by "adequately documented".

Step 2: Is the record of the decision adequate under the *IMA*?

1

Does the record indicate:

Who made the decision, and that person's title (position etc.)?

When the decision was made, and when it takes effect (if appropriate)?

Yes? See 2.

2

Does the record indicate:

Who is likely to be affected by the decision (person/group, or organizations) ?

Where it is practical, how they are affected?

Yes? See 3.

3

Does the record indicate:

The basis for, or context in which the decision was made?

(this includes relevant legal, policy or factual information)

Yes? See next.

Our overarching question:

Can someone who is not familiar with the circumstances of the decision be reasonably informed about the factors previously listed?

Did you answer yes to all of those questions?

GREAT!

The record of decision is adequate under the IMA.

NO

NO

NO

If the answer is **no** to any of these questions, this may require some analysis to ensure you are adequately documenting decisions.

A consideration before you begin:

Part of understanding the context for decisions is having clear roles and responsibilities, or frameworks, regarding decision-making. These may established through job descriptions, training, policies or procedures, and process maps. Consider them when determining adequacy.

Tools to help with this process (found on MyOGC)

This **yes/no checklist** may help when evaluating the adequacy of your recorded decisions.

DOCUMENTING COMMISSION DECISIONS: CHECKLIST   04/29/2019

Step 1: Does the decision require documenting under the IMA?

First, ask whether the decision is:

- ☐ a statutory decision?
- ☐ related to preparing legislation?
- ☐ related to a matter of policy?
- ☐ an HR decision?
- ☐ a significant financial or budgetary decision?
- ☐ a procurement decision?

If the answer is yes to any of those questions, the decision must be adequately documented per the IMA.

If the answer is no, or you are not sure, ask yourself if documenting the decision would:

- ☐ inform others about the evolution of our programs, policies or enactments?
- ☐ protect legal or financial rights and obligations?
- ☐ facilitate accountability for our decisions, including audit, evaluation or review?

If the answer is yes to any of those questions, the decision must be adequately documented per the IMA.

If the answer is no, the decision does not need to be documented per the IMA. However, it may need to be documented for other operational or statutory reasons.

Step 2: Is the record of a decision adequate under the IMA?

There are a series of questions you can ask to determine if the record is adequate.

Does the record indicate:

- ☐ Who made the decision, and that person's title (position etc.)?
- ☐ When the decision was made, and when it takes effect (if appropriate)?
- ☐ Who is likely to be affected by the decision (person, group or organization)? Where it is practical, does it indicate how they are affected?
- ☐ The basis for or context in which the decision was made? (this includes relevant legal, policy, or factual information)
- ☐ Can someone who is not familiar with the circumstances of the decision be reasonably informed about the factors listed above?

If you answered yes to all of those questions - excellent! The record of decision is adequate under the IMA.

If the answer is no to any of those questions, this will require analysis to ensure we are adequately documenting our decisions.

For further clarification, please contact the Records and Information Services team.

RECORDS AND INFORMATION SERVICES   1

Self-Assessment Gap Inventory
You may use this optional template to document any gaps in your processes.

Documenting Commission Decisions under the *Information Management Act (IMA)*
Self-Assessment Gap Inventory

Date:

Team / Program
Area

Prepared by:

*This form is an optional tool for assessing our compliance with the legal obligation to document key decisions of the Commission.
If you have identified an area for improvement, you may use this form to record the next steps towards compliance.*

Decision Description	Decision must be documented because (see STEP 1 flowchart)	Record of decision is not adequate because (see STEP 2 flowchart)	The system for where documentation is kept must be improved because	Next Steps
Example: Corporate Policy Update	Documenting the decision would inform about the evolution of XYZ policy change.	Records do not indicate who made the decision (position, branch, etc.)	Not applicable	Adjust template to reflect position title of decision maker

Finally, what to do with those documented decisions

A record of decision may reside in more than one place, since record keeping systems in the Commission take a few shapes. We use business systems to document decisions, such as permit approvals in AMS, or inspection notes in Kermit. We use shared drives to manage our electronic documents. In some areas, we still use paper files. Any of those options are appropriate record keeping systems, as long as you use them consistently.

This requirement does not change how you manage your records, or what ARCS/ORCS number should apply to them; it just requires you to be sure you have an adequate record of important decisions.

We hope this helps you assess your compliance with the requirement to document Commission decisions.
For further clarification, please contact the Records and Information Services team.

Request for Proposals

RFP #21221015

Defining System Requirements for Electronic Document and Records Management

Closing Time: Proposal must be received electronically **before 2:00 PM** Pacific Time on: **December 18, 2020**

Organization Overview

The BC Oil and Gas Commission (Commission) is an independent, single-window regulatory agency with responsibilities for overseeing oil and gas operations in British Columbia. Regulatory responsibility is delegated to the Commission through the *Oil and Gas* Activities *Act* and includes specified enactments under the *Forest Act, Heritage Conservation Act, Land Act, Environmental Management Act*, and *Water Act*. The operating costs of the Commission are funded through industry fees and levies on a cost recovery basis.

The Commission's core roles include reviewing and assessing applications for industry activity, consulting with First Nations, ensuring industry complies with provincial legislation and cooperating with partner agencies. The public interest is protected by ensuring public safety, protecting the environment, conserving petroleum resources and ensuring equitable participation in production.

The regulatory responsibility of the Commission extends from the exploration and development phases of oil and gas activities through to facilities operation, and ultimately decommissioning of industry projects. It is charged with balancing a broad range of environmental, economic and social considerations.

1

1. Summary of the Requirement

The BC Oil and Gas Commission (Commission) is seeking interested parties to undertake a detailed assessment of requirements for effectively managing the end-to-end life cycle of its official records in accordance with provincial legislation, policies and standards for government record-keeping.

The *Ministry of Management Services' 2001 Enterprise Document and Records Management System RFP* (see Appendices) should be referenced as a requirements benchmark, where applicable to the Commission's specific business needs and scale.

This work will provide the Commission with a clearly defined baseline for a "total" records management solution available to all employees.

2. Anticipated Schedule

The following table outlines the anticipated schedule for this RFP. All times identified in the table are in Pacific Time.

Event	Anticipated Date
Enquiries deadline	December 4, 2020
Request closing time	December 18, 2020
Interviews as required	January 4-8, 2021
Preferred Proponent selected by	January 11, 2021
Commencement of work	January 15, 2021

3. Commission Situation/Overview

The Commission is the provincial regulatory agency for permitting and overseeing oil and gas activities, from exploration and development through to operations and ultimately decommissioning of oil and gas industry projects under British Columbia jurisdiction. The Commission's current legislated mandate, regulatory framework, core activities and organizational structure are described in the 2020/21 - 2022/23 Service Plan available on the Commission's website at www.bcogc.ca.

3.1 Commission Responsibility

Oil and Gas Activities Act (OGAA):

The purposes of the Commission, outlined in Section 4 of the Oil and Gas Activities Act, are briefly summarized as follows:

(a) to regulate oil and gas activities in British Columbia in a manner that
  (i) provides for the sound development of the oil and gas sector, by fostering a healthy environment, a sound economy and social well-being,
  (ii) conserves petroleum and natural gas resources,
  (iii) ensures safe and efficient practices, and
  (iv) assists owners of petroleum and natural gas resources to participate equitably in the production of shared pools of petroleum and natural gas;
(b) to provide for effective and efficient processes for the review of applications for permits and to ensure that applications that are approved are in the public interest having regard to environmental, economic and social effects;
(c) to encourage the participation of First Nations and aboriginal peoples in processes affecting them;
(d) to participate in planning processes;
(e) to undertake programs of education and communication in order to advance safe and efficient practices and the other purposes of the commission.

Information Management Act (IMA):

The Commission is subject to the provisions of the Information Management Act (IMA), government's primary information management law. This legislation was brought into force in 2016 to modernize government practices. Compliance with the IMA requires public bodies to transition from hard copy to digital storage and information management, and implement appropriate systems to support this.

A legislative amendment in 2019 added a requirement for the head of a government body to ensure that an appropriate system is in place for creating and maintaining government information that is an adequate record of that government body's decisions.

Section 19 of the IMA defines the responsibility of the head, as follows:

Responsibility of head of government body

19 (1) The head of a government body is responsible for ensuring that an appropriate system is in place within the government body for managing and securing government information.

(1.1) Without limiting subsection (1), the head of a government body is responsible for ensuring that an appropriate system is in place within the government body for creating and maintaining, in accordance with applicable directives or guidelines issued under section 6 (1) *[directives and guidelines]*, government information that is an adequate record of that government body's decisions.

(2) The head of a government body must take reasonable steps to ensure that the government body
  (a) complies with directives issued under section 6 (1), and
  (b) is guided by guidelines issued under that section.

(3) [Repealed 2017-7-5.]

(4) The head of a government body must take reasonable steps to ensure that the government body complies with the following:
  (a) [Not in force.]
  (b) section 10 *[when information schedule applies]*;
  (c) section 13 *[information must be digitized before archiving]*.

(5) Despite subsection (4) (b), the head of a government body must ensure that no government information held by the government body is disposed of, except in accordance with an information schedule or an approval by the chief records officer under section 11 (1) (b) *[when no information schedule applies]*.

3.2 Current Situation

The BC Oil and Gas Commission (Commission) has a complex array of information with long term value to the province, and a continuously evolving business and regulatory environment. As a government body, the Commission is required to manage its records using the government standard for classification, retention and disposition, including the *Administrative Records Classification System* (ARCS), the Commission's *Operational Records Classification System* (ORCS) and other approved records schedules. An integrated software solution has been recognized as necessary for meeting this responsibility and effectively managing Commission information, regardless of media, from creation to final disposition.

To support this, the Records and Information Services and Information Systems and Technology branches initiated a two phased-approach to achieving a state of readiness. The first phase was initiated in 2017/18 and included modernization of the Commission's outdated Operational Records Classification System (ORCS), with the objective of:

- Achieving media neutrality (to ensure official records can exist in any format);
- Addressing functional gaps within the classification system (to ensure all records are covered); and
- Reviewing record retention periods for appropriateness (to ensure records are being retained long enough to meet business and legal requirements).

The second phase commenced in fiscal 2019/20, and includes the classification of electronic program records on shared drives in accordance with the Commission's amended and approved ORCS, ARCS, and other applicable schedules. Phase 2 is ongoing and recognized as a long term initiative.

The Commission is migrating to Microsoft Office 365 (M365) and Azure for enterprise usage. A subsequent gap analysis project is anticipated, which will evaluate the commission's records management and user requirements against the functionality M365 offers.

3.3 Budget/Schedule

Funding to support this project in fiscal year 2020/2021 is $30,000. Proponents are encouraged to provide their best, realistic estimate for the work that they propose to meet the Commission's requirements. The Commission welcomes innovative proposals that reduce costs or duration, or that provide added value. Proponents are invited to describe and provide separate costing for the two Phases.

Proposed timelines must target delivery of the requirements assessment by the end of fiscal year 2020/2021. Subsequent phases may be awarded at the Commission's discretion based on the success of the initial project and available funding.

Requirements

3.1   Scope of Services

The successful Proponent who enters into a written contract with the Commission is expected to provide the following services:

1. Assess and clearly define Commission records management requirements to address business needs.
2. Project schedule, communications and reporting – proponent resources must be able to define project timelines, support meetings and/or reporting at the discretion of the Commission including regular status reports to inform on progress, risks, issues, spend to date, etc.
3. Project closure – proponent resources to be available to participate in project close out activities as required.

All deliverables will require the approval of the Commission before being accepted.

The Commission's Records and Information Services Branch provides cross-organization guidance on corporate records management requirements and will serve as the primary project contact. The Branch Director, and Specialist, EDRMS & Information Management Solutions will act as project managers and work directly with the proponent as agreed to by both parties. The Director of Information Systems Branch will be involved to provide necessary oversight, system information and help facilitate contract deliverables.

3.2   Scope of Work

3.2.1   Identification of Business Needs

1. The project will involve engagement with the Commission's Records and Information Services Branch to identify business and user requirements as they relate to established information management best practices and compliance requirements.
2. Proponent will base the assessment on:
    a. BC Government records and information management policy and standards, and compliance requirements;
    b. provincial electronic document record management system requirements (Appendices E and F);
    c. an understanding of the Commission's current hybrid records and information management environment and associated processes;
    d. an understanding of the Commission's records classification and retention requirements;
    e. an understanding of the Commission's operations, objectives and business needs; and
    f. with an awareness of the Commission's current system and technological environment.

3.3   Deliverables

Project deliverables will include:
1. A records management requirements document (SRS) establishing specific criteria for the Commission, which will serve as the framework for a gap analysis against functionality implemented with Microsoft 365. A template will be provided.
2. A project schedule.
3. Status reports as required. A template will be provided.
4. Monthly invoicing.

Page **5** of **8**

3.4 Format Requirements

The following format, sequence, and instructions must be followed in order to provide consistency in Proponent response and ensure each proposal receives full consideration. With all pages consecutively numbered, the proposals should contain the following parts:

a) Table of contents with page numbers.

b) One page executive summary.

c) The body of the proposal in accordance with the content requirements.

3.5 Content Requirements

Responses should be succinct and should focus on specific products and services being proposed – please be considerate of the time it will take to review the submission.

In order to expedite a fair and unbiased proposal review process, the Commission's preference is for all proposals to use the following outline:

a) Project Approach (description the proposed approach, based on the scope described in section 4.1)

b) Costs/Schedule (including hourly rates, overall timelines and total cost) provided in Canadian dollars (CAD).

c) Overall timeline

d) Budget breakdown

e) One example of **relevant** previous work (optional)

f) Resumes (max half page each)

4. Evaluation of Proponent Response

The evaluation of responses will be conducted by a team consisting of employees and/or contractors of the Commission. All members of the team will be bound by the same standards of confidentiality.

This section details all of the mandatory and desirable criteria against which proposals will be evaluated. Proponents should ensure that they fully respond to all criteria in order to receive full consideration during the evaluation.

The lowest price or any Proposal will not necessarily be accepted. The Commission reserves the right to refuse any proposed based on quality, service, price, reputation, experience and other criteria.

The Preferred Proponent will be the Proponent scoring the most points after evaluation. The evaluation process will consist of the following stages:

- Stage One – Mandatory Criteria
- Stage Two – Desirable Criteria
- Stage Three – Informational Interviews (optional and not scored)

4.1 Mandatory Criteria

Proposals not clearly demonstrating that they meet the following mandatory criteria will be excluded from further consideration during the evaluation process:

- **The Proposal must be sent and received before the designated closing date and time.**
- **The Proposal must be in English and submitted electronically to** https://procurement.bcogc.ca/
- **The Proponent must confirm that any personal information received, collected or held over the course of the review will be stored and used only in Canada.**
- **The Proposal must contain an independence and objectivity statement confirming the Proponent is free of any actual or perceived conflict of interest and free of bias with respect to the Commission, its officers and employees.**

Failure to meet all mandatory criteria above will disqualify the Proponent's Proposal from further review.

4.2 Desirable Criteria

The Commission seeks to enter into an agreement with the Proponent who, in the opinion of the Commission, has the resources, knowledge and competence to provide the greatest value. Proposals meeting all of the mandatory criteria will be further assessed against desirable criteria.

Desirable Criteria	Weight
Proponent's Qualifications and Relevant Experience	30%
Suitability of Proposed Approach • Proposal demonstrates Proponent's understanding of government's records management policy and compliance framework. • Proposal provides a clearly defined plan to address project requirements.	45%
Pricing • Total price, hourly rate	25%

4.3 Informational Interviews

The top ranking (to a maximum of three) Proponents may be asked to attend an interview with the evaluation team. During the interview, the evaluation committee may clarify and/or verify statements made in the written Response.

The requirement for interviews is optional. The Commission reserves the right to complete the evaluation process without Proponent interviews.

5. Appendices

5.1 BC Government EDRMS RFP, Appendix E: High Level Requirements (Records Management)
5.2 BC Government EDRMS RFP, Appendix F: Desirable System Requirements

The entire BC Government RFP is available at: https://www2.gov.bc.ca/assets/gov/british-columbians-our-governments/services-policies-for-government/information-management-technology/records-management/edrms/edmsrfp.pdf

Appendix E High Level Requirements (Records Management)

File: *ARCS* 420-25/RMBR
Date: June 20, 2001

BC GOVERNMENT
RECORDS MANAGEMENT BUSINESS REQUIREMENTS

Prepared by the Records Management Business Requirements Working Group:
(ministry names reflect pre-reorganisation structure)

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Beth Pitblado, Ministry Records Officer, Ministry of Transportation
    and Highways and Records Officer responsible for BC Fisheries

BC Government Records Management Business Requirements

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BC GOVERNMENT RECORDS MANAGEMENT BUSINESS REQUIREMENTS

E1 INTRODUCTION

The *BC Government Records Management Business Requirements* were developed by a working group of ministry records officers, information technology experts, and central agency analysts. They document the functions and requirements for managing records in the BC government.

Note on terminology: The term "record" is defined broadly in the BC *Interpretation Act* (RSBC 1996, c.238) to include "books, documents, maps, drawings, photographs, letters, vouchers, papers and any other thing on which information is recorded or stored by any means whether graphic, electronic, mechanical or otherwise". This definition is used in key information management statutes such as the *Document Disposal Act* (RSBC 1996, c. 99) and the *Freedom of Information and Protection of Privacy Act* (RSBC 1996, c. 165) to ensure that the provisions of these statutes apply to all forms of recorded information. However, for the purposes of this RFP, the terms document and records are defined more precisely in order to distinguish between the general functions required to create and maintain documents and the more rigorous controls required to capture and manage documents as business records.

E1.1 What is a Record?

A *record* is a document created or received in the course of government business and maintained for action or reference by an agency as evidence of that business.
- Records exist in all media and formats.
- Email messages and attachments are records.
- If a record is copied, the copy is a new and unique record.

E1.2 Document vs. Record

A document is "recorded information which can be treated as a unit" (*ISO s. 3.10*). Any medium that contains information is a document. A document has the status of a record *only* if it is created or received in the course of government business and if it is maintained as evidence of that business. Most documents created or received by government offices are records.

The BC government must manage all documents in compliance with legal and policy requirements. The *Freedom of Information and Protection of Privacy Act* (RSBC 1996, c. 165) applies to all documents held by government ministries and agencies, whether they are records or not. In addition, all documents are subject to discovery during litigation, regardless of their record or non-record status.

The *Records Management Business Requirements* focus on records and the processes involved in their management. They do not discuss the requirements relating specifically to document management functions. However, records management and

document management are related and important components of an effective information management infrastructure.

E1.3   What is Records Management?

Records management is the exercise of physical and intellectual control over records to ensure their integrity in support of government accountabilities and actions. Ministries establish physical control by ensuring records are identified, documented, located, retrieved, and protected from loss, physical damage or inappropriate access. Ministries establish intellectual control over their records by ensuring they are classified, retained and disposed of (destroyed or transferred to the legal custody of the BC Archives) in accordance with their values (that is, in accordance with retention and disposition schedules). Retaining records required for operational, administrative, fiscal, audit and legal purposes (while applying the final disposition to the records whose primary values have ceased) reduces on-site and off-site storage expenditures.

E1.4   Records Management Legislative and Policy Structure

Records management in the BC government is governed by legislation and policy and supported by established processes and standards.

- The *Document Disposal Act* (RSBC 1996, c. 99) governs the final disposition of government documents (records and non-records) by specifying the approvals required before they may be destroyed, transferred to the custody of the government archives or alienated from the Crown provincial.

- Responsibilities and accountabilities for managing government records are established by Treasury Board policy through the *General Management Operating Policy (GMOP)* and the *Financial Administration Operating Policy (FAOP)* manuals.

- Classification and scheduling systems, such as the government-wide *Administrative Records Classification System (ARCS)* and program-specific *Operational Records Classification Systems (ORCS)*. These systems establish classes of records and determine retention periods and final dispositions that reflect their values.

- The British Columbia Archives (BC Archives) establishes government-wide records management policy through specific guidelines, policies and standards.

- Ministry Records Officers establish ministry policies and procedures in compliance with government-wide policies.

E1.5   Structure of This Document

The *Records Management Business Requirements* cover the physical management of records and the intellectual management of the information contained in records.

Records are subject to actions and processes. They are created, identified, documented, stored, physically transferred, preserved, protected, retained and disposed of. In this document, these actions and processes are addressed in the following three sections: Section 1, "Location Management" relates to the physical management of records in order to access and use them.

Section 2, "Preservation Management" relates to the physical and intellectual maintenance of records in order to preserve the information they contain.

Section 3, "Scheduling Management" addresses how the information contained in records must be managed. Records move through a lifecycle during which they are assigned a status of active, semi-active, or inactive based on a records retention and disposition schedule. This schedule assigns a value to a record that is reflected in its retention period and final disposition. Scheduling management relates to the intellectual management of records in accordance with their values.

In addition, this document contains a glossary of terms (see Definitions, below) that serve to clarify the specific meaning of the terminology used to describe records management business requirements.

Definitions

Terms with specific meaning within the *Business Requirements* document are defined below.

- **Document** is defined as information consigned to a medium. This includes "anything on which there is writing…marks, figures [or] symbols." (*New South Wales, Australia – Evidence Act 1995).* Documents fall into one of two sub-sets:

  1) documents that are also records, or
  2) documents that are not records.

- **File** is defined as the logical entity used to organise and manage records. A file manages a group of records that together provide evidence of a complete transaction or a collection of reference material. A file is not a physical entity. Retention and disposition schedules are applied to records at the file level.

- **File Series** is defined as a collection of files that are managed under one primary-secondary classification and have the same scheduling requirements.

- **Final Disposition** is defined as an action applied to eligible files by destroying them, transferring them to the permanent custody of the government archives, or alienating them from the Crown provincial. Files are eligible for final disposition when their active and semi-active retention periods have elapsed. The records schedule designates the appropriate type of final disposition for a file.

- **Life cycle** is defined as the changes of a file's scheduling status, which moves from active to semi-active to inactive.

- **Location** is defined as the physical location of a file's volume or volumes. The location of a file's volumes does not affect the file's scheduling status.

- **Location management** is defined as managing records so they can be identified, documented, located, viewed, retrieved, copied, and secured from unauthorised access.

- **Preservation management** is defined as managing record media (paper, electronic, micrographic, photographic, cartographic, or any other media) in

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order to protect records from loss, damage or degradation. It is also defined as managing recorded information to ensure its authenticity and context as it moves from one media or carrier to another.

- **Record** is defined as "recorded information, in any form…created or received and maintained by an organisation in the transaction of business …and kept as evidence of such activity." (*Australian Standard AS 4390-1996, part 1, clause 4.21*) In the BC government, the record is the indivisible unit for records management processes.

- **Records Classification and Scheduling System** organises files into functional groupings for filing and retrieval (classification) and assigns retention periods and final dispositions to classified records (scheduling). These systems are referred to as integrated classification and scheduling systems, as opposed to systems that provide either classification or scheduling but not both. *ARCS* and *ORCS* are examples of integrated systems.

- **Retention and Disposition Schedule** is the length of time a file is to be retained and the type of final disposition that is applied to it. In an integrated classification and scheduling system (*ARCS/ORCS*), retention and disposition schedules are linked to secondary classification numbers.

- **Retention Period** is the length of time a file is retained, and is determined by the retention and disposition schedule. The file may be disposed only after the active and semi-active retention periods that apply to it have elapsed.

- **Scheduling Management** is defined as managing the retention and disposition of files in accordance with their scheduling requirements.

- **Scheduling Status** is defined as the status of a file in accordance with the retention and disposition schedule that applies to it. A file may have a scheduling status of active, semi-active, or inactive. A file is eligible for final disposition when it is inactive.

- **Volume** is defined as a component of a file. A volume contains records, and may exist in any media or format (e.g. file folder, electronic folder, microfilm roll, map drawer, and so on). Volumes are often referred to as folders, enclosures, directories, supplements, or sub-files. All these terms refer to the components of a file, and are covered by "volume" in these *Requirements*.

E2 BUSINESS REQUIREMENTS – LOCATION MANAGEMENT

Ministries must manage their records regardless of media or format or on-site or off-site storage location. Essential to the management of records is the ability to locate, view, retrieve, copy and control access to records, regardless of their scheduling status.

E2.1   Record Creation or Receipt

Upon receipt or creation, records enter the records management system. Records provide documentary evidence of the ministry's activities in performing the functions for which it is responsible.

- A record may be copied, but the act of copying creates a new and unique record.

- Records should be created or received in media or format appropriate to the way they are used and which meets the requirements of their scheduled retention and disposition. If they are not created or received in appropriate media, they must be converted or migrated to appropriate media or format.

E2.2   Identifying and Documenting Records

Records are documented so they can be identified, retrieved and managed. Records in all media and formats must be documented.

- Records must be classified in accordance with an established classification system.

- Ministries must create indexes, file lists, or other finding aids documenting the attributes of all files and their physical components (volumes) to ensure they can be retrieved and the ministry's record holdings are documented.

- Classification and indexing systems must establish and use controlled language.

- All the volumes relating to a file must be documented.

- Documentation may be amended or corrected.

- Documentation must be updated when one or more of a file's volumes are moved.

E2.3   Profile Information (Metadata)

Ministries must maintain profile information for records, volumes and files in order to ensure they can be located. Profile information identifies the unique attributes of records, volumes and files. Attributes include:

- Classification number (the primary-secondary classification)

- Classification title (the primary-secondary title)

- Code and code title, including sub-codes if applicable. Codes differentiate between files with the same classification number in the same office, or are added to a classification number to facilitate retrieval.

- Record date range (the date of the first and last record in each volume of a file, and the first record and last record dates for the entire file)

- Media and/or format (what physical format or formats are the records in?)

- Physical location (where are the records/volumes located? This will include some or all of the following: building, floor, room, shelf or other housing unit, drive, directory, storage media [CD, tape, etc.], container, accession number,

commercial storage facility, or other information relating to the physical location of records and volumes)

- Keywords (words or phrases that allow a user to search for specific files. Depending on technology, keyword searches can be performed by automated records management systems, automated document management systems, automated or manual indexing systems or other methods and tools). Effective keyword searching relies on a controlled vocabulary.

E2.4   Record Maintenance

Files, volumes and records are the components maintained through records management in the BC government.

- A file is not a physical entity. It is the classification and scheduling unit for the records linked to it.
- A volume is a physical entity. It is the physical component of a file.
- A file consists of one or more volumes.
- A volume is maintained in one location.
- Different volumes of one file may be maintained in different locations.
- A volume contains one or more records.
- A record is the indivisible unit for managing recorded information. Records management business requirements do not cover unstructured data or information.

E2.5   Searching For and Retrieving Records

Ministries search for records in order to retrieve and use them. Finding aids must be created and maintained in order to ensure records can be located and retrieved. Finding aids include file lists, box lists, keyword indexes, registers, *ARCS/ORCS* or other attribute information that leads users to the files and records they require. Finding aids may be searched manually or through the use of automated search tools.

E2.6   Access Security

Records in all media or formats must be protected from unauthorized access. This includes records maintained in government offices or on government networks and drives, records maintained in contracted records storage facilities, records maintained on internet or intranet websites, records created by members of the public accessing government services through electronic means, records created by contractors working for government, or other government records maintained in any media or location.

- Access categories must be determined and assigned to record types.
- Access must be restricted in accordance with assigned access categories.
- Designated record documentation (e.g., file lists containing identifying information) must be protected from unauthorised access.
- Records must be protected from unauthorised physical access and unauthorised access through electronic systems.
- Records are located and retrieved by authorised individuals.

E2.7   Transferring Records to Another Location

Records may be transferred from one location to another. A file's volume is the physical entity that is transferred. Hardcopy volumes are physically moved to other locations, and electronic volumes are migrated or transferred. Volumes may be moved within an office, between offices, to and from off-site storage facilities, to and from electronic drives, directories or networks, or temporarily charged out by individuals.

- The new location of a volume must be documented.
- Volumes of one file may be transferred together or individually.
- Accession information must be created and maintained so ministries can locate and access records transferred to off-site storage facilities.

E3   BUSINESS REQUIREMENTS – PRESERVATION MANAGEMENT

Records must be preserved for as long as the provincial government requires them to meet its operational, legal, audit, financial, historical, or other responsibilities. The information maintained on records must also be preserved to ensure it retains its context and authenticity for as long as the government requires the records. Preservation management relates to the physical preservation of record media and the intellectual preservation of recorded information.

E3.1   Physical Preservation of Records

Records must be maintained in a way that protects them from loss, damage, degradation, loss of information, and other threats to their physical integrity and the integrity of the information they contain.

- Records must be maintained on media and in formats that ensure they are readable and accessible for the duration of their active and semi-active retention periods.
- Records scheduled for full or selective retention by the government archives must be maintained on stable media appropriate for permanent retention.
- Records must be housed in environmental conditions that meet their preservation, retrieval and security requirements.
- The record format or media must not compromise the ministry's responsibilities or ability to use the information it contains (e.g., the use of any kind of "lossy" or destructive compression technology that permanently alters the data within the record or datafile, or utilize or introduce additional compression/decompression cycles with data formats that utilise lossy compression techniques).
- Records must be maintained in physical containers appropriate to their media or format.

E3.2   Intellectual Preservation of Records

The context and authenticity of records must be preserved for as long as the government has responsibilities for the information they carry.

- Profile information must be linked to records in a way that ensures they are identifiable and authentic, and the context of their creation and use is maintained.

- Records moved to different media or electronic records moved across carriers must maintain their context and authenticity.

E4 BUSINESS REQUIREMENTS – SCHEDULING MANAGEMENT

Ministries must manage records in accordance with their values. These values are reflected in the retention periods and final dispositions established by *ARCS, ORCS*, and other records retention and disposition schedules. Specific individuals are delegated the authority to apply scheduled retention periods and final disposition to records.

A file is linked to a scheduled retention and disposition schedule through a classification number. A file moves through its life cycle over time, its status changing from active, to semi-active to inactive. The scheduling status of a file is determined by its retention and disposition schedule.

The location of the file's volumes does not affect the file's scheduling status.

All records and volumes of a file follow the same retention period and final disposition.

E4.1   Scheduling Management – Active Records

Active status is the first phase of the file's lifecycle. The retention and disposition schedule that applies to the file determines the length of the active phase.

E4.1.1   Records Classification

A record that has been created or received is classified to a file. The file is linked to the retention and disposition schedule through its classification.

- A record is classified and added to a volume. The volume is linked to the file.

- When a file is classified, the appropriate retention and disposition schedule must be applied to it.

- A file is linked to one retention and disposition schedule.

- A classification is linked to one or more retention and disposition schedules.

- The classification function includes determining the office of primary responsibility (OPR) status of the file.

- Different retention and final disposition schedules may be applied to OPR/non-OPR files.

E4.1.2   Active Status

Active status is the first phase of a file's scheduled life cycle.

- A file is opened when the first record is created and filed.

- A file is active until the end of its scheduled active retention period.

- Active status is designated at the file level and applies to all volumes and records within the file.

- The retention and disposition schedule determines the active retention period.

- The scheduled retention and disposition assigned to a file may be changed during its active phase.

E4.1.3 End of Active Status

Files cease to be active when the scheduled active retention period elapses.

- The active retention period may end after a predetermined period of time, or upon the occurrence of a defined trigger event, or when the ministry makes a decision that the file is no longer required for current usage.

- The end of the scheduled active retention period is the "scheduling date" used to calculate when the file is eligible for final disposition.

- The date of the last record of a file may or may not be the same as the date on which the file's active retention period elapses.

- A file with a semi-active retention period of "nil" (i.e., there is no semi-active retention period) moves to the end of its active and semi-active status at the same time.

E4.2 Scheduling Management – Semi-active Records

When the active retention period elapses, a file's scheduling status changes to semi-active. Semi-active status is designated by the records retention and disposition schedule. Ministries retain their responsibilities for and legal custody of semi-active records.

E4.2.1 Applying Semi-active Retention Schedules

The date the active retention elapses and the file becomes semi-active is called the "scheduling date". This date is used to calculate how long the file is retained and when it is eligible for final disposition.

- The semi-active retention period is determined by the schedule.

- A file must be retained for the entirety of its semi-active retention period.

- A file should not be retained past the end of its semi-active retention period.

- Semi-active retention periods are applied at file level. All volumes within a file will have the same scheduling status and be retained for the same period of time.

- When files are stored in fixed containers, the semi-active retention period is the same for the entire container.

- A semi-active file may be reactivated back to active status.

- The scheduled retention and final disposition of a file can be changed while it is semi-active.

E4.2.2 *End of Semi-active Status*

Files and file volumes reach the end of their semi-active retention period.

- A file changes status from semi-active to inactive when its semi-active retention period elapses.

- All volumes within a file change status at the same time.

E4.3 Scheduling Management – Inactive Records

When the scheduled semi-active retention period has elapsed, a file reaches inactive status. An inactive file is eligible for scheduled final disposition. The type of final disposition is determined by the records retention and disposition schedule. Final disposition types are:

- destruction,

- transfer to the legal custody of the government archives, or

- alienation of the records from the Crown provincial.

E4.3.1 *Applying Final Disposition to Inactive Records*

Scheduled final disposition is applied to all volumes of a file. Final disposition should be applied to a file when it is eligible (once it has reached inactive status), unless a halt or hold to final disposition action is required.

- Final disposition actions applied to files must be documented.

- Final disposition action can be halted or deferred if the inactive file is required past its eligible disposition date for litigation or for freedom of information requests.

- A designated individual must authorised final disposition.

- When files are stored in fixed containers, final disposition is applied to the entire container.

Appendix F Desirable System Requirements

Table of Contents

F1.   Assumptions and General Requirements

The Enterprise Document and Records Management System (EDRMS) will be expected to have the basic characteristics and capabilities outlined below.

The ability of the proposed EDRMS solution to meet these general requirements and other specific requirements will be evaluated on the basis of the responses given in sections F.2 - F.12.

Proponents are asked to check each requirement that the proposed solution can meet. Where narrative responses are requested, Proponents are asked to attach explanatory information.

Note: sources used in compiling these requirements include the:

- *European Commission's Model Requirements for the Management of Electronic Records http://www.cornwell.co.uk/moreq (cited as MoReq);*

- ***Public Record Office's Functional Requirements for Electronic Records Management Systems** http://www.pro.gov.uk/recordsmanagement/eros/invest/default.htm (cited as PRO); and*

- ***Association for Information and Image Management's** Implementation Guidelines and Standards Associated with Web-Based Document Management Technologies http://stnds.aiim.wegov2.com/file_depot/0-10000000/0-10000/1462/folder/10666/AIIM+ARP1+2000.pdf (cited as AIIM).*

F1.1.   COTS Solution

The EDRMS will consist of a single suite of commercial, off the shelf applications covering required document and records management functions for both electronic and physical records, with full integration among application components.

Note: Unless otherwise indicated, the requirements specified in this appendix apply to the EDRMS as a whole. The requirements may be met with a single application or a combination of separate applications (e.g., applications for document management, management of electronic records, and management of physical records, etc.) comprising the integrated EDRMS suite.

F1.2.   Enterprise-Wide Scope

For each defined BC government organization (e.g., each ministry), the EDRMS will support integrated management of all common forms of electronic office records (e.g., MS Office and Outlook records) and all forms of hardcopy records. The EDRMS will be extensible to cover other electronic record types (images, database reports, voicemail, etc.).

The EDRMS will support easy transfer of records and records information (metadata) among organizations (e.g., from one ministry to another during government re-organizations).

The EDRMS will enable on-line searching of records information across organizations and across records repositories throughout the BC government.

F1.3. Interfaces with Other Central IM Applications

Records scheduling and classification data is expected to be maintained on a central, government-wide *ARCS/ORCS* database, external to the EDRMS. The EDRMS suite will seamlessly interface with or use the data contained in the *ARCS/ORCS* database for its records classification and scheduling functions.

Data and processes for the management of records stored in offsite facilities (BC Archives Records Centre Services) and the management of archival records will continue to be maintained in the BC Archives ARIS (Archives and Records Information System) application. The EDRMS will maintain specified data described in these requirements that will be drawn from or provided to ARIS and will have the potential for additional future integration with ARIS.

The EDRMS will provide the BC government with a common document and records management infrastructure, integrated with the current standard office applications and infrastructure and with current/emerging document-related applications.

F1.4. Integrated Management of Electronic and Physical Records

The EDRMS will support management of both electronic and physical records in accordance with the existing BC government IM governance requirements (see section 6) and the records management business requirements defined in **Appendix E**.

The EDRMS will enable the authenticity, integrity and accessibility of electronic records to be maintained over time (e.g., decades), across systems (e.g., migrations to new versions of the EDRMS software; export to other systems) and across formats (e.g., export to non-proprietary formats for archival preservation).

The EDRMS will support BC government requirements and processes for the management of physical records and the batch transfer of records containers to central offsite storage facilities and/or BC Archives archival custody.

The EDRMS will maintain standard metadata about electronic and physical files and volumes (including hybrid files consisting of both electronic and physical volumes); will maintain standard metadata about records (i.e., as records profiles); will maintain audit trails of actions taken on records; and will ensure security of records.

F2.   Classification and Scheduling System Interface

F2.1.   ARCS/ORCS Database and Legacy Systems

F2.1.1.   ☐   The EDRMS should use an external master *ARCS/ORCS* database for all records classification data (e.g., primary and secondary data elements) and scheduling data (e.g., records retention periods and disposition categories). The EDRMS should do this by:

F2.1.1.1.   ☐   interoperating with the *ARCS/ORCS* database (i.e., incorporate direct "live" connections to the *ARCS/ORCS* tables as part of the EDRMS);

F2.1.1.2.   ☐   interfacing with the *ARCS/ORCS* database and downloading required data to the EDRMS as a regular (e.g., monthly), automatic operation requiring minimal data revision in the EDRMS;

F2.1.1.3.   ☐   batch importing an initial data set, that must be revised and maintained within the EDRMS; or

F2.1.1.4.   ☐   using other means for entering and maintaining *ARCS/ORCS* data within the EDRMS (provide explanation below).

*Note: Proponents can evaluate the main types of classification and scheduling data used in ARCS by reviewing ARCS Online **http://www.bcarchives.gov.bc.ca/arcs/index.htm**. Similar data are used in ORCS and other BC government records schedules. **Appendix H** provides a brief description of the envisaged structure of the ARCS/ORCS database, planned as central application for developing, reviewing/approving, and electronically publishing the master copies of all ARCS, ORCS and other BC government continuing records schedules.*

F2.1.2.   The EDRMS should support use of:

F2.1.2.1.   ☐   multiple records classification and scheduling schemes (e.g., multiple *ORCS*) within a single record repository;

F2.1.2.2.   ☐   a single records classification and scheduling scheme (e.g., *ARCS* or a single *ORCS*) across a network of electronic record repositories. (Based on MoReq 3.1.9)

F2.1.3.   ☐   The EDRMS should support bulk importing of legacy *ARCS/ORCS* scheduling data from existing BC government automated records management systems.

ATTACH AN EXPLANATION OF THE PROPOSED APPROACH FOR MEETING THE ABOVE REQUIREMENTS; E.G.:

- **ABILITY OF THE PROPOSED EDRMS APPLICATION TO MEET THE REQUIREMENT "OUT OF THE BOX";**

- **REQUIRED APPLICATION CUSTOMIZATION;**

- **NATURE OF REQUIRED REVISIONS/MAINTENANCE OF *ARCS/ORCS* DATA WITHIN THE EDRMS;**

- **ANY DATA OR FUNCTIONAL CHARACTERISTICS OF *ARCS/ORCS* WHICH CANNOT BE READILY SUPPORTED BY THE PROPOSED SOLUTION;**

- **ABILITY TO PERFORM REQUIRED *ARCS/ORCS* DEVELOPMENT, MAINTENANCE AND PUBLICATION FUNCTIONS WITHIN THE EDRMS (I.E., ELIMINATING NEED FOR AN EXTERNAL CENTRAL DATABASE);**

- **OTHER RELEVANT CONSIDERATIONS.**

F3.   Record Creation and Use

F3.1.   Creating Files and Volumes

F3.1.1.   ☐   The EDRMS should support the management of records at the file/volume level (hard copy records organized into files/volumes, but not necessarily registered individually) or at the file/volume and record levels (electronic records and hardcopy records that are registered individually).

F3.1.2.   ☐   The EDRMS should restrict the entry of new files in the system to authorized users.

F3.1.3.   ☐   The EDRMS should support automatic creation of a volume when a file is created.

F3.1.4.   ☐   The EDRMS should permit a file to have multiple subordinate volumes.

F3.1.5.   ☐   The EDRMS should permit a file to have multiple subordinate volumes open concurrently (i.e., multiple active volumes).

F3.1.6.   ☐   The EDRMS should allow an authorised user to re-open a previously closed volume temporarily for the addition of records, and subsequently to close that volume again. (Based on MoReq 3.3.6)

F3.1.7.   ☐   The EDRMS should support automatic "roll over" of cyclical files (e.g., files that are closed at the end of a calendar or fiscal year and need to be replaced with new files for the following year covering the same subject matter).

F3.1.8.   ☐   The EDRMS should allow for the automatic creation and maintenance of a list (or "repertory") of files. *(*Based on MoReq 3.2.10)

F3.1.9.   ☐   The EDRMS should define in the file repertory physical files and volumes, and should allow the presence of physical records in these volumes to be reflected and managed in the same way as electronic records. *(*Based on MoReq 10.1.1)

F3.1.10.   ☐   The EDRMS should support the management of "hybrid" files containing electronic and physical components, and allow the components to be managed in an integrated manner. *(*Based on MoReq 10.1.2)

F3.1.11.   ☐   The EDRMS should allow a different metadata element set to be configured for physical files and electronic files; physical file metadata should include information on the physical location of the physical file. *(*Based on MoReq 10.1.4)

F3.2.   Record Creation/Receipt and Capture

F3.2.1.   The EDRMS should enable documents to be captured as records by assigning records registration numbers and establishing profile metadata for the records.

F3.2.1.1. ☐ The EDRMS should support the registration of electronic records.

F3.2.1.2. ☐ The EDRMS should support the registration of physical records.

F3.2.1.3. ☐ The EDRMS should be capable of creating profiles for electronic records.

F3.2.1.4. ☐ The EDRMS should be capable of creating profiles for physical records.

F3.2.2. The EDRMS capture process should provide the functionality to:

F3.2.2.1. ☐ register and manage all electronic records regardless of the method of encoding or other technological characteristics;

F3.2.2.2. ☐ ensure that the records are associated with a classification scheme and can be associated with one or more files;

F3.2.2.3. ☐ integrate with the application software that generates the records (where possible);

F3.2.2.4. ☐ validate and control the entry of metadata into the EDRMS. *(Based on MoReq 6.1.1).*

F3.2.3. The EDRMS should capture in the electronic records management environment:

F3.2.3.1. ☐ the content of the electronic record, including information defining its form and rendition and information defining the structure and behaviour of the electronic record, retaining its structural integrity (for example, all the components of an e-mail message with attachment(s), or of a web page, with their links);

F3.2.3.2. ☐ information about the electronic document, for example, the file name;

F3.2.3.3. ☐ the date of creation and other document metadata about the elements of the record;

F3.2.3.4. ☐ information about the context in which the electronic record was originated, created and registered, for example its business process and, originator(s), author(s);

F3.2.3.5. ☐ information about the application program, which generated the record, including its version. *(Based on MoReq 6.1.2)*

F3.2.4. ☐ The EDRMS should allow the capture acquisition of metadata elements specified at systems configuration, and retain them with the electronic record in a tightly-bound relationship at all times. *(Based on MoReq 6.1.3)*

F3.2.5. ☐ The EDRMS should ensure authorized users and administrators only can change the content of selected elements of the metadata of the electronic record. *(Based on MoReq 6.1.4)*

F3.2.6. ☐ The EDRMS should support the ability to assign the same electronic records to different electronic files, from one electronic document without physical duplication of the electronic record. *(Based on MoReq 6.1.5)*

F3.2.7. ☐ The EDRMS should support automated assistance in registration of electronic documents, by automatically extracting metadata for as many types of documents as possible, including at least the following document types:

    F3.2.7.1. ☐ office documents (e.g., word-processed letters in a standard format);

    F3.2.7.2. ☐ e-mail without attachments, both incoming and outgoing;

    F3.2.7.3. ☐ e-mail with attachments, both incoming and outgoing;

    F3.2.7.4. ☐ facsimile messages, both incoming and outgoing. *(Based on MoReq 6.1.6; 6.1.14)*

F3.2.8. ☐ The EDRMS should record the date and time of registration as metadata. *(Based on MoReq 6.1.7)*

F3.2.9. ☐ The EDRMS should ensure that every registered record has a viewable registry entry that includes metadata specified at configuration time. *(Based on MoReq 6.1.8)*

F3.2.10. ☐ The EDRMS should allow entry of further descriptive and other metadata at the time of registration and/or at a later stage of processing. *(Based on MoReq 6.1.9)*

F3.2.11. Where a document has more than one version, the EDRMS should allow users to choose at least one of the following:

    F3.2.11.1. ☐ register one version of the document as a record;

    F3.2.11.2. ☐ register each version of the document as a record;

    F3.2.11.3. ☐ register all versions of the document as one record. *(Based on MoReq 6.1.10)*

F3.2.12. ☐ The EDRMS should allow a user to pass electronic records to another user to complete the process of capture. *(Based on MoReq 6.1.12)*

F3.2.13. For electronic records that are constructed of more than one component, the EDRMS should provide the following functions:

    F3.2.13.1. ☐ handle the record as a single indivisible record, retaining the relationship between the components;

    F3.2.13.2. ☐ retain the record's structural integrity;

    F3.2.13.3. ☐ support later integrated retrieval, display, management;

    F3.2.13.4. ☐ manage disposal of all components of the electronic record as a whole unit (i.e., in one operation). *(Based on MoReq 6.1.13)*

    F3.2.13.5. ☐ The EDRMS should issue a warning if a user attempts to register a document that has already been registered in the same file. *(Based on MoReq 6.1.15)*

F3.2.14. ☐ The EDRMS should support the capture of common forms of BC government office documents as records. These include both simple and compound document format types; e.g.:

F3.2.14.1. ☐ Simple: wp documents, presentations, spreadsheets (at minimum, all MS Office document types); e-mail messages (at minimum, MS Outlook); text, images, facsimiles ;

F3.2.14.2. ☐ Compound: electronic mail with attachments, desktop publishing, web pages, graphics, "layered" documents generated from database or GIS applications. (Based on MoReq 6.3.2)

F3.2.15. ☐ The EDRMS should support the ability to capture completed forms, including both the form content and the original structure of the form at the time of data entry.

F3.2.16. ☐ The document formats supported should be extendable as new formats are introduced. (Based on MoReq 6.3.3)

F3.2.17. The EDRMS should be able to capture the following types of documents:

F3.2.17.1. ☐ electronic calendars;

F3.2.17.2. ☐ information from other computer applications e.g., Accounting, Payroll, Computer Aided Design, GIS;

F3.2.17.3. ☐ scanned paper documents;

F3.2.17.4. ☐ voice files;

F3.2.17.5. ☐ video clips;

F3.2.17.6. ☐ digital schematics and maps;

F3.2.17.7. ☐ structured data (e.g., EDI transactions);

F3.2.17.8. ☐ databases;

F3.2.17.9. ☐ multimedia documents*. (*Based on MoReq 6.3.4)

F3.2.18. ☐ The EDRMS should not impose any practical limit on the number of records, which can be captured in a file, or on the number of records, which can be stored in the EDRMS. *(*Based on MoReq 6.3.5)

F3.2.19. The EDRMS should allow a compound document to be captured in either of two ways:

F3.2.19.1. ☐ as a single compound record;

F3.2.19.2. ☐ as a series of linked simple records, one per component of the compound document*. (*Based on MoReq 6.3.6)

F3.2.20. ☐ The EDRMS should provide seamless integration with, and continued support for, existing document creation and filing tools, such as MS Word and Windows Explorer, etc.

    F3.2.20.1. ☐ For example, when using MS Word/Explorer, etc. with records in the EDRMS repository, the File Open command should result in check-out; the File Save command should result in check in.

    F3.2.20.2. ☐ The EDRMS should allow users to process and capture their incoming e-mail messages from within their e-mail system. The user should be able to process each e-mail in the inbox, from within their e-mail system, as follows:

    F3.2.20.3. ☐ view each mail message and an indication of its attachments (if any);

    F3.2.20.4. ☐ view the contents of the attachments using multi-format document viewer;

    F3.2.20.5. ☐ register the mail message and its attachments as a new record in EDRMS;

    F3.2.20.6. ☐ link the mail message and its attachments to an existing record in EDRMS. *(Based on MoReq 6.4.2).*

F3.3. Redaction (Creation of Record Extracts)

It is sometimes necessary to make available records containing sensitive information. In such cases, there may be a need to remove the sensitive information, without affecting the underlying record. The process is referred to here as redaction, and the EDRMS should store both the original record and the redacted copy, which is called an 'extract' of the record.

    F3.3.1. ☐ The EDRMS should allow authorized users to take a copy of a record, for the purposes of redaction. *(Based on MoReq 9.3.9)*

    F3.3.2. The EDRMS should provide functionality for removing or hiding sensitive information from the extract, to include at least:

    F3.3.2.1. ☐ removal of individual pages of a multi-page image record;

    F3.3.2.2. ☐ addition of opaque rectangles to obscure sensitive names or words

    F3.3.2.3. ☐ other means of hiding or extracting sensitive information;

    F3.3.2.4. ☐ any other features required for video or audio formats if present. *(Based on MoReq 9.3.10)*

    F3.3.3. ☐ If the proposed EDRMS does not provide the above functionality, it should integrate with other software packages to do so. *(Based on MoReq 9.3.10)*

    F3.3.4. ☐ The EDRMS should ensure that none of the removed or hidden information could ever be seen in the extract. *(Based on MoReq 9.3.10)*

    F3.3.5. ☐ When an extract is created, the EDRMS should record its creation in the record's metadata, including at least date, time, reason for creation and creator. *(Based on MoReq 9.3.11)*

F3.3.6. ☐ The EDRMS should prompt the creator of an extract to assign it to a file. *(Based on MoReq 9.3.12)*

F3.3.7. ☐ The EDRMS should store a cross-reference to an extract in the same file and volume as the original record, even if that file volume is closed. *(Based on MoReq 9.3.13)*

F3.4. Batch Importing

F3.4.1. The EDRMS should provide the capability for authorized individuals to bulk load, as a minimum, pre-existing:

    F3.4.1.1. ☐ file and volume records;

    F3.4.1.2. ☐ electronic records;

    F3.4.1.3. ☐ records profiles.

F3.4.2. ☐ The EDRMS should provide the ability to capture transactional documents generated by other systems. This should include:

    F3.4.2.1. ☐ supporting predefined batch file transaction imports;

    F3.4.2.2. ☐ providing edit rules to customize the automatic registration of the records;

    F3.4.2.3. ☐ maintaining data integrity validation. *(Based on MoReq 6.2.1)*

F3.4.3. ☐ The EDRMS system should provide facilities to manage input queues. *(Based on MoReq 6.2.2)*

F3.4.4. ☐ The EDRMS should be able to set up multiple input queues for different document types. *(Based on MoReq 6.2.3)*

For example, in different environments, queues might be for e-mails, scanned correspondence, documents from a department, group or individual, transactions from computer applications, or documents from other document/content management systems.

F3.5. Classifying Records

F3.5.1. ☐ The EDRMS should be capable of ensuring that all records are classified and scheduled in accordance with the established *ARCS/ORCS* classification schemes.

F3.5.2. ☐ The EDRMS should allow user determination of classifications applied to records when they are classified and registered into the system. The system should provide classification assists for users including some or all of the following:

F3.5.2.1. ☐ making subsets of classification schemes accessible to users or roles;

F3.5.2.2. ☐ storing lists of recently used classifications or files for users or roles;

F3.5.2.3. ☐ suggesting the most recently used classifications or files by users;

F3.5.2.4. ☐ suggesting classifications or files that contain related electronic records;

F3.5.2.5. ☐ suggesting classifications or files by inference drawn from record metadata elements; for example, significant words used in the document title;

F3.5.2.6. ☐ suggesting classifications or files by inference from record contents. *(*Based on MoReq 6.1.11)

F3.5.3. ☐ The EDRMS should provide an "intelligent" engine for the above classification/filing suggestions that can:

F3.5.3.1. ☐ "learn" from past choices made by the user and improve it's ability to suggest correct classifications or files

F3.5.3.2. ☐ be configured to auto-classify/auto-file records when a user-specified accuracy level is achieved (e.g., auto-classify if a specified accuracy level is possible, otherwise flag for manual classification).

F3.5.4. ☐ The EDRMS should permit users to move easily between the classification schemas (e.g., primary and secondary records) and lists of existing files when determining appropriate classifications.

F3.5.5. ☐ The EDRMS should identify any existing files under a chosen classification.

F3.5.6. ☐ The EDRMS should permit the reclassification of records or files. If a file is reclassified, the EDRMS should ensure the revised data cascades to volumes and, if required, records.

F3.5.7. ☐ The EDRMS should support the classification or reclassification of multiple files in one operation.

F3.5.8. ☐ The EDRMS should allow users to create cross-references (e.g., "see also" type links) between related files. (Based on MoReq 3.4.11)

F3.6. Metadata

F3.6.1. ☐ The EDRMS should support the designation of metadata by authorized users/administrators.

F3.6.2. ☐ The EDRMS should allow specific sets of metadata elements to be defined for different kinds of records at configuration time. *(*Based on MoReq 12.1.3)

F3.6.3. ☐ The EDRMS should restrict the ability to make changes to metadata values to authorized users.

F3.6.4. ☐ The EDRMS should support the recording of file and volume metadata when a file is created.

F3.6.5. ☐ The EDRMS should support the entry of the types of file/volume metadata specified at **Appendix G.3**.

F3.6.6. In particular, file/volume metadata should include:

F3.6.6.1. ☐ file first record date and file last record date (the date range of the file contents; ideally, cascaded up from volume date ranges);

F3.6.6.2. ☐ volume first and last record dates (the date range of the records within the volume);

F3.6.6.3. ☐ file schedule trigger date; i.e., the date from which the eligible disposition date is calculated. It should be possible for the schedule trigger date to be different than the file last record date or the file closure date.

F3.6.7. ☐ The EDRMS should support bulk updates of profile information based on specified criteria. The EDRMS should support batch input and acquisition of profile information (e.g., to a series of files, or a group of records, or multiple volumes of a file).

F3.6.8. ☐ The EDRMS should not present any practical limitation on the number of metadata elements allowed for each item (e.g., file, volume, record). *(Based on MoReq 12.1.1)*

F3.6.9. ☐ Where the contents of a metadata element can be related to the functional behavior of the EDRMS, the EDRMS should use the contents of that element to determine the functionality. *(Based on MoReq 12.1.2)*

For example, if the EDRMS stores security categories of records and also stores the security clearance of users, then it should use the latter to determine whether a user can or cannot access a record. If the EDRMS only stores the clearances and categories as text fields which are not used to control access, this requirement is not met.

F3.6.10. The EDRMS should support at least the following metadata element formats:

F3.6.10.1. ☐ alphabetic;

F3.6.10.2. ☐ alphanumeric;

F3.6.10.3. ☐ numeric;

F3.6.10.4. ☐ date;

F3.6.10.5. ☐ logical (i.e., yes/no, true/false). *(Based on MoReq 12.1.5)*.

F3.6.11. ☐ The EDRMS should support the ability to extract metadata elements automatically from records when they are captured. *(Based on MoReq 12.1.9)*

Examples are the automatic extraction of dates, titles, recipient names and reference numbers from word processed documents or structured transaction documents such as invoices.

F3.6.12. ☐ The EDRMS should allow the Administrator to define at configuration time whether each metadata element is mandatory or optional and whether it is searchable. *(Based on MoReq 12.1.4)*

F3.6.13. ☐ Where metadata element values are entered manually, the EDRMS should support persistent default values, which are user-definable. (Based on MoReq 12.1.16)

A persistent default appears as the default in the data entry field for each item in succession until a user changes it. Once changed, the new value remains, i.e., becomes persistent.

F3.6.14. ☐ The EDRMS should allow configuration such that any metadata element can be used as a search field in a non-structured search (e.g., a free text search). *(Based on MoReq 12.1.17)*

F3.6.15. The EDRMS should be able to acquire metadata from:

F3.6.15.1. ☐ the document-creating application package or operating system or network software;

F3.6.15.2. ☐ the user at the time of capture or registration;

F3.6.15.3. ☐ rules defined at configuration time for generation of metadata by the EDRMS at the time of registration. *(Based on MoReq 12.1.22)*

F3.6.16. ☐ The EDRMS should allow the values of metadata to be provided automatically from the next higher level in the classification scheme hierarchy. *(Based on MoReq 12.1.11)*

For example, for a volume, the value of some of the metadata elements should be inherited from its parent file; and for a record, the value of some metadata may be inherited from the volume into which it is stored.

F3.6.17. ☐ When changes are made to the *ARCS/ORCS* database that affect file-level information, the EDRMS should support a prompt that flags changes, and requires authorized approval to initiate the cascade.

F3.6.18. ☐ The EDRMS should support validation of metadata when users enter the metadata, or when it is imported. Validation should use at least the following mechanisms:

F3.6.18.1. ☐ format of the element contents;

F3.6.18.2. ☐ range of values;

F3.6.18.3. ☐ validation against a list of values maintained by the Administrator;

F3.6.18.4. ☐ a valid classification scheme reference. *(Based on MoReq 12.1.13)*

An example of format validation is that the contents are all numeric, or are in a date format (Based on MoReq 12.1.5)

An example of range format validation is that the contents fall in the range between 1 January 1999 and 31 December 2001. An example of validation against a list of values is verifying that an export destination is present on a list.

F3.6.19. ☐ The EDRMS should support validation of metadata elements using check digit algorithms. *(Based on MoReq 12.1.14)*

For example, files may be identified by a sixteen-digit credit card number, of which the last digit is a check digit computed from the other fifteen digits using the mod 10 algorithm. Provision of

an application program interface for this feature, allowing organisations to introduce their chosen algorithm, should normally be considered acceptable.

F3.6.20. ☐ The EDRMS should, where required, support validation of metadata using calls to another application (e.g., to a personnel system to check whether a personnel number has been assigned, or to a postal code database system). *(*Based on MoReq 12.1.15)

F3.6.21. ☐ The EDRMS should ensure that volumes and records retain their unique identification regardless of location or scheduling status. E.g.:

F3.6.21.1. ☐ volumes batched within an accession for offsite transfer should retain their individual identity in the batch and it should be possible to remove the volumes from the accession without undue effort.

F3.6.22. ☐ The EDRMS should support BC Archives records centre processes for transferring physical records to off-site storage facilities. For example, it should support the entry of the types of off-site transfer metadata specified at **Appendix G.4**.

F3.6.23. In particular, offsite transfer metadata should include:

F3.6.23.1. ☐ accession number (7 digit number assigned that identifies one or more batches of containers/volumes transferred offsite; number is generated by BC Archives ARIS system) ;

F3.6.23.2. ☐ application number (6 digit service application number identifies a particular batch of containers/files transferred offsite under an accession number; number is issued on BC Archives service application forms);

F3.6.23.3. ☐ container number (10 digit number; comprised of the 6 digit accession number followed by a 4 digit box number; e.g. 920345-0013).

F3.6.24. ☐ Once physical volumes are boxed, the EDRMS should support a simple method of recording the container number in the metadata for each boxed volume (i.e., ability to select multiple volumes and record the box number in a single operation).

F3.7. Organizational Information and Linkages

F3.7.1. ☐ The EDRMS should be able to use the ARIS name authority tables (see **Appendix H.4**) as a control source for organizational names. The EDRMS should do this by:

F3.7.1.1. ☐ interoperating with the ARIS tables;

F3.7.1.2. ☐ interfacing with the ARIS tables and downloading required data to the EDRMS as a regular (e.g., monthly), automatic operation requiring minimal data revision in the EDRMS;

F3.7.1.3. ☐ batch importing an initial data set, that must be revised and maintained within the EDRMS; or

F3.7.1.4. ☐ using other means for entering and maintaining ARIS name records within the EDRMS.

F3.7.1.5. ☐ At minimum, the EDRMS should be capable of associating ARIS name ID numbers (8 digit numeric field) with name records maintained within the EDRMS.

Note: The following requirements apply whether the EDRMS utilises ARIS name records or uses another method to maintain a controlled source of organisational names.

F3.7.2. ☐ The EDRMS should be able to identify BG government organizational units and the responsibilities/roles they hold/perform for particular records or groups of records (e.g., records legal custodian, records creator, Office of Primary Responsibility (OPR)).

F3.7.3. ☐ The EDRMS should be able to maintain/use multi-level name records for BC government organizations down to at least 8 levels; e.g., a record for each ministry, division, branch, section, unit, office, etc., ideally with each name record:

F3.7.3.1. ☐ linked to the higher and lower level name in a parent/child relationship;

F3.7.3.2. ☐ linked to predecessor and successor names to track changing organizational structures over time.

F3.7.4. ☐ The EDRMS should be able to use the organizational name records to provide the types of organizational metadata elements specified in **Appendix G**; e.g.:

F3.7.4.1. ☐ current legal custodian (owner), creator, and/or OPR names for files/volumes/records

F3.7.4.2. ☐ transferring agent names for applications/accessions (names of offices transferring batches of records to offsite storage)

F3.7.5. ☐ The EDRMS should support the assignment of files to an organizational unit (e.g., identifying the organization as having legal custody or other specified responsibility for the files).

F3.7.6. ☐ The EDRMS should enable users to specify and use generic terms (e.g., central office, field office) to identify OPRs or other organizational responsibilities, where it is not feasible to use a specific organization name.

F3.7.7. ☐ The EDRMS should support efficient bulk moves of files/volumes/records and their metadata from one organizational unit to an inheriting organizational unit.

F3.7.8. ☐ The EDRMS should support batch changes of organizational metadata (e.g., changes to the name of the current legal custodian for files/records transferred from one organization to another).

F3.7.9. ☐ If there is a change of legal custody, the EDRMS should ensure organizational metadata for files/volumes/records is updated while maintaining a history of past legal custodians.

F3.7.10. ☐ The EDRMS should allow Administrators to make changes to the organizational name records and file repertory, ensuring all metadata and audit trail data are handled correctly and completely at all times, in order to reflect the following kinds of organizational change:

F3.7.10.1. ☐ division of an organizational unit into two or more units;

F3.7.10.2. ☐ combination of two or more organizational units into one;

F3.7.10.3. ☐ movement or re-naming of an organizational unit;

F3.7.10.4. ☐ division of a whole organization into two or more organizations. *(Based on MoReq 9.1.6)*

F3.7.10.5. ☐ The EDRMS should support the movement of User IDs between organizational units, and any changes to access authority. *(Based on MoReq 9.1.7)*

F3.8. Searching and Retrieving Records

This section describes the functionality required to search for records and/or their metadata, and to display the records/metadata.

Searching

F3.8.1. The EDRMS should support enterprise-wide searching; i.e., a user with the requisite permissions should be able to conduct:

F3.8.1.1. ☐ searches of the records of an entire organizational unit

F3.8.1.2. ☐ *concurrent* searches of records across multiple organization units and/or records repositories (e.g., users do not need to conduct separate searches for each organization unit or repository but rather can search across an entire ministry or across multiple ministries).

F3.8.2. ☐ The EDRMS search mechanisms should be integrated and should, to users, appear the same for all classification levels. *(Based on MoReq 8.1.2)*

In other words, users should see the same interface, features and options whether searching for ARCS/ORCS classifications, files or records.

F3.8.3. ☐ The EDRMS should support searches of the classification system.

F3.8.4. ☐ The EDRMS should allow the metadata of any object (such as record, volume, file or primary and secondary) to be searched, using the techniques in this section. *(Based on MoReq 8.1.19)*

F3.8.5. ☐ The EDRMS should support searches of profiles of both physical and electronic records.

F3.8.6. ☐ The EDRMS should search records profiles regardless of the location (e.g., online or off-line) or scheduling status (e.g., active or semi-active) of the records. *(Based on MoReq 8.1.19)*

F3.8.7. ☐ In the case of files, the EDRMS should present seamless functionality across searches for electronic files, hybrid files and physical files. *(Based on MoReq 8.1.3)*

F3.8.8. ☐ The EDRMS should allow the user to set up a single search request with combinations of metadata and/or record content. *(Based on MoReq 8.1.6)*

F3.8.9. The EDRMS should provide searching tools that cover the following techniques:

    F3.8.9.1. ☐ free text searching of combinations of record and file metadata elements and record content;

    F3.8.9.2. ☐ Boolean searching of metadata elements. *(Based on MoReq 8.1.8)*

F3.8.10. ☐ The EDRMS should provide concept searching by the use of a thesaurus incorporated as an on-line index. *(Based on MoReq 8.1.10)*

F3.8.11. ☐ The EDRMS should provide for "wild card" searching of metadata that allows for forward, backward and embedded expansion. *(Based on MoReq 8.1.11)*

F3.8.12. ☐ The EDRMS should provide word proximity searching that can specify that a word has to appear within a given distance of another word in the record to qualify as a hit. *(Based on MoReq 8.1.12)*

F3.8.13. ☐ The EDRMS should provide browsing mechanisms that provides graphical or other display browsing techniques at the classification, file/volume and records levels (including selection, retrieval and display of electronic files and their contents). *(Based on MoReq 8.1.13)*

F3.8.14. ☐ The EDRMS should allow users to save and re-use queries. *(Based on MoReq 8.1.20)*

F3.8.15. ☐ The EDRMS should allow users to refine (i.e., narrow) searches. *(Based on MoReq 8.1.21)*

F3.8.16. ☐ The EDRMS should allow the use of named time intervals in search requests, e.g., "last week", "this month". *(Based on MoReq 8.1.22)*

F3.8.17. ☐ The EDRMS should provide relevance ranking of the search results. *(Based on MoReq 8.1.25)*

F3.8.18. ☐ When viewing or working with a record or aggregation (e.g., file or class) of records, whether as the result of a search or not, a user should be able to use EDRMS features to find information about the next-higher level of aggregation of records easily and without leaving or closing the record. *(Based on MoReq 8.1.27)*

For example, when reading a record, the user should be able to find out what volume and file it is in; if viewing file metadata, the user should be able to find out information about the primary-secondary in which it is located.

Display/Retrieval

An EDRMS may contain records with different formats and structures. The user requires generic viewing facilities that will accommodate rendering (displaying) a range of formats.

F3.8.19. ☐ The EDRMS should render records retrieved from searches. *(Based on MoReq 8.2.1).*

If the EDRMS is storing records in a proprietary application format, it may be acceptable for the rendering to be performed by an application outside the EDRMS.

F3.8.20. The EDRMS should provide display formats, configurable by users, for search results having the functions listed below. *(Based on MoReq 8.1.24)*

F3.8.20.1. ☐ select the order in which the search results are presented;

F3.8.20.2. ☐ specify the number of hits displayed on the screen per view from the search;

F3.8.20.3. ☐ set the maximum number of hits for a search;

F3.8.20.4. ☐ save the search results;

F3.8.20.5. ☐ choose which metadata fields are displayed in search result lists.

F3.8.21. ☐ The EDRMS should display the total number of hits from a search on the user's screen and should allow the user to then display the search results (the "hit list"), or refine his or her search criteria and issue another request. *(Based on MoReq 8.1.17)*

F3.8.22. ☐ The EDRMS should allow records, files etc. listed in a hit list to be selected then opened (subject to access controls) by a single click or keystroke. *(Based on MoReq 8.1.18)*

F3.8.23. ☐ The EDRMS should be able to search for and retrieve a complete electronic file, or file volume, and all its contents and contextual metadata, and render all, and only, those entries in the context of that file as a discrete group and in a single retrieval process. *(Based on MoReq 8.1.15)*

F3.8.24. ☐ The EDRMS should render records that the search request has retrieved without loading the associated application software. *(Based on MoReq 8.2.2).*

F3.8.25. ☐ The EDRMS should be able to render all the types of electronic records specified by the organization in a manner that preserves the information of the records (e.g., all the features of visual presentation and layout produced by the generating application package), and which renders all components of an electronic record together. *(Based on MoReq 8.2.3).*

F3.8.26. ☐ The EDRMS should ensure that retrieval of a hybrid file retrieves the metadata for both electronic and paper records associated with it. *(Based on MoReq 10.1.6)*

F3.9. Transferring Records to Another Location

Transferring records to another location implies the movement of file volumes on-site within or between ministries; it does not refer to transferring files to off-site storage facilities or to the custody of the BC Archives (for the latter, see Scheduling Management)

F3.9.1. ☐ The EDRMS should provide a tracking feature to monitor and record information about the location and movement of volumes, both electronic and physical. *(Based on MoReq 4.4.1).*

F3.9.2.   The tracking function should record information about movements that includes the
following:

F3.9.2.1.   ☐ unique identifier of the file or records;

F3.9.2.2.   ☐ current location as well as a user-defined number of previous locations
(locations should be user-defined);

F3.9.2.3.   ☐ date file sent/moved from location;

F3.9.2.4.   ☐ date file received at location (for transfers);

F3.9.2.5.   ☐ user responsible for the move (where appropriate). *(Based on MoReq
4.4.2).*

F3.9.3.   ☐ The EDRMS should support tracking of physical volumes by the provision of checkout,
check-in and bring forward facilities, which reflect the current location of the volume.
(Based on MoReq 10.1.5)

F3.9.4.   ☐ The EDRMS should support on-line requests to reserve file volumes for future sign out;
e.g., user or adminstrator to link bring forward criteria to a record (person requesting
bring forward, due date, action to be taken, etc.).

F3.9.5.   ☐ The EDRMS should handle multiple bring forwards from different sources concurrently.

F3.9.6.   ☐ The EDRMS should support volume-level location controls for physical volumes.

F3.9.7.   ☐ The EDRMS should support individual or bulk updates of location profile information.

F4.   Scheduling Management

One of the primary purposes of the EDRMS is to automate the retention and disposition
of electronic records and to facilitate the retention and disposition of records in traditional
media. Retention periods and disposition decisions are identified in records schedules,
such as *ARCS* or *ORCS*.

Requirements for establishing, maintaining, and calculating retention periods are listed in
Section B.4.1. Requirements for the processes that take place at the date specified by the
retention periods are described in subsequent sections.

Requirements for review and approval processes are listed in Section B.4.2, and
requirements for transfer, export and destruction are listed in Section B.4.3.

F4.1.   Managing Records Schedules

F4.1.1.   ☐ The EDRMS should provide a function that specifies retention schedules, calculates
retention periods and eligible disposition dates, automates reporting and destruction
actions, and provides integrated facilities for exporting records and metadata. *(Based on
MoReq 5.1.1)*

F4.1.2.   ☐ Every record of a file should be governed by the retention period(s) associated with that
file.

F4.1.3. ☐ EDRMS should provide functionality to enable all components of a file to be retained and disposed of as a unit, even if volumes are maintained in different locations and/or in different media and formats, for example, "hybrid" files.

F4.1.4. For each file, the EDRMS should:

F4.1.4.1. ☐ automatically track retention periods that have been allocated to the file;

F4.1.4.2. ☐ initiate the disposal process once the end of the retention period is reached. *(Based on MoReq 5.1.8)*

F4.1.5. ☐ The EDRMS should be capable of associating more than one retention period with any secondary of the classification scheme.

For example, each secondary in ARCS/ORCS is associated with two retention periods: one for the office of primary responsibility (OPR) and one for the non-office of primary responsibility (non-OPR). In addition, there may be a special schedule (such as the Executive Records Schedule) that is associated with an organizational unit or particular category of record that will override the retention periods defined in ARCS/ORCS.

F4.1.6. ☐ The EDRMS should allow organization units to use one or more schedules simultaneously (for example, *ARCS* and one or more *ORCS*).

F4.1.7. ☐ The EDRMS should allow authorized users to change or amend any retention period allocated to any file at any point in the life of the file. *(Based on MoReq 5.1.15)*

F4.1.8. ☐ EDRMS should require determination of a file's OPR status when the file is classified.

F4.1.9. ☐ The Administrator should have the option to restrict the choice of OPR or non-OPR retention periods for specified secondaries (e.g., the Payroll office will have only the OPR option for Employee Pay Files, while all other offices will have only the non-OPR option).

F4.1.10. ☐ EDRMS should allow the Administrator to designate an org unit as governed by a special schedule or defining an aggregation of files as governed by a special schedule, regardless of classification numbers applied to file(s).

F4.1.11. ☐ When an Administrator moves files or records between secondaries of the classification scheme, the EDRMS should optionally allow the retention period of the destination secondary to replace the existing retention period(s) applying to these records. *(Based on MoReq 5.1.18)*

F4.1.12. ☐ The EDRMS should support reporting and analysis tools for the management of retention and disposition schedules by the Administrator, including the ability to:

F4.1.12.1. ☐ list all retention schedules;

F4.1.12.2. ☐ list all files to which a specified retention schedule is assigned. *(Based on MoReq 5.2.8)*

F4.1.13. ☐ The EDRMS should support retention periods that are based on time (such as a calendar year or a fiscal year), trigger events (known as "superseded or obsolete" or "SO"), or time – event retentions (superseded or obsolete plus a period of time).

F4.1.14. ☐ The EDRMS should support retention periods of time from one month to one hundred years. *(Based on MoReq 5.1.12)*

F4.1.15. ☐ The EDRMS should calculate retention period for the file based on "scheduling date". The "scheduling date" may be the date upon which a defined cycle ends (e.g., March 31), or the date upon which a trigger event occurs (e.g., Contract ends), or a decision is made (e.g., information no longer required).

F4.1.16. The EDRMS should allow at least the following decisions for each retention period:

F4.1.16.1. ☐ retain indefinitely;

F4.1.16.2. ☐ present for review at a future date, as defined below;

F4.1.16.3. ☐ destroy at a future date, as defined below;

F4.1.16.4. ☐ transfer at a future date, as defined below. *(Based on MoReq 5.1.10)*

F4.1.17. ☐ Each retention schedule should allow the retention periods to be specified for a future date, with the date being specified in at least the following ways:

F4.1.17.1. ☐ passage of a specified period of time after the file is opened;

F4.1.17.2. ☐ passage of a specified period of time after the file is closed;

F4.1.17.3. ☐ elapse of a specified interval since assignment of the last record to the file;

F4.1.17.4. ☐ elapse of a specified interval since a record was retrieved from the file;

F4.1.17.5. ☐ elapse of a specified interval since a specific event described in the schedule that results in a notification being sent to the EDRMS from the Administrator (rather than being detected automatically by the EDRMS). (Based on MoReq 5.1.11)

While the above is generally inclusive, it is possible that some kinds or records will have types of retention requirements not listed here.

F4.1.18. ☐ The EDRMS should, by default, prevent the user from adding electronic records to a closed file.

F4.1.19. ☐ The EDRMS should permit authorized users to suspend the retention period and final disposition of a file(s). The suspension ("hold") is applied at the file level and affects all components of the file.

F4.1.19.1. ☐ EDRMS should permit authorized users to lift "holds."

F4.1.19.2. ☐ EDRMS should support the placing or lifting of holds on single files and/or classes of files.

F4.2. Applying Retention Periods, Including Review and Approval

The records officer is required to review and approve any transfer or disposition actions to ensure that users are using the retention schedules correctly. The EDRMS should have

functionality to assist users in determining which records are ready for transfer or disposal, and to assist records officers in reviewing the application of records schedules.

F4.2.1. ☐ The EDRMS should support the creation of reports ("pull lists") listing all open files that have reached the end of their active retention period and are eligible for transfer or disposition. These lists should be organized to facilitate boxing of physical files, that is, by final disposition date and final disposition action (e.g., selective/full retention or destruction).

F4.2.2. ☐ The EDRMS should allow volumes to be transferred off-site even if they are still active.

F4.2.3. ☐ The EDRMS should allow for closed files/volumes in off-site storage to be reactivated, or permanently removed from a box and re-entered into the active records management system.

F4.2.4. ☐ The EDRMS should support box/container management functions, such as:

F4.2.4.1. ☐ calculating the eligible disposition date for the box/container based upon the file with the longest retention period in the box; or

F4.2.4.2. ☐ recalculating the eligible disposition date should any files be permanently removed from the box/container.

F4.2.5. ☐ The EDRMS should allow the definition of sets of processing rules to be applied as an alerting facility to specified files, prior to initiation of the disposal process. Specific requirements should include the following:

F4.2.5.1. ☐ managers and Administrators should be able to review files and contents;

F4.2.5.2. ☐ the EDRMS should notify the Administrator of files with a given security level.

F4.2.6. ☐ The EDRMS should be able to notify the Administrator regularly of all retention periods that will come into force in a specified period of time, and provide quantitative reports on the volumes and types of records. (Based on MoReq 5.2.1)

F4.2.7. ☐ The Administrator should be able to specify the frequency of a retention period report, the information reported and highlighting exceptions such as disposal overdue. (Based on MoReq 5.2.2)

F4.2.8. ☐ The EDRMS should support the review process by presenting electronic files to be reviewed, with their metadata and retention schedule information (the reason), in a manner which allows the reviewer to browse (i.e., navigate and study) the file contents and/or metadata efficiently. (Based on MoReq 5.2.3)

In practice, this implies features for navigating forward, back etc. within and between files, and from/to the metadata for files and records.

F4.2.9. ☐ The EDRMS should alert the Administrator if an electronic file/record that is due for destruction is referred to in a link from another file/record; and should pause the destruction process to allow the following remedial actions to be taken:

F4.2.9.1. ☐ confirmation by the Administrator to proceed with or cancel the process; and

F4.2.9.2. ☐ the generation of a report detailing the files or records and all references or links for which it is a destination. *(Based on MoReq 5.2.4)*

F4.2.10. The EDRMS should allow the reviewer to take at least any of the following actions for each file during review:

F4.2.10.1. ☐ mark the file for deletion;

F4.2.10.2. ☐ mark the file for transfer;

F4.2.10.3. ☐ change the retention period (or assign a different schedule) so that the file is retained and re-reviewed at a later date. *(Based on MoReq 5.2.5)*

F4.2.11. ☐ The EDRMS should allow the reviewer to enter comments into the file's metadata to record the reasons for the review decisions. *(Based on MoReq 5.2.6)*

F4.2.12. ☐ The EDRMS should alert the Administrator to files due for disposal before implementing disposal actions; and on confirmation from the Administrator the EDRMS should be capable of initiating the disposal actions. *(Based on MoReq 5.2.7)*

F4.2.13. ☐ The EDRMS should store in the audit trail all decisions taken by the reviewer during reviews. *(Based on MoReq 5.2.9)*

F4.2.14. ☐ The EDRMS should provide, or support the ability to interface with, a workflow facility to support the scheduling, review and export/transfer process, by tracking:

F4.2.14.1. ☐ progress/status of the review, such as awaiting or in-progress, details of reviewer and date;

F4.2.14.2. ☐ records awaiting disposal as a result of a review decision;

F4.2.14.3. ☐ progress of the transfer process. *(Based on MoReq 5.2.10)*

F4.2.15. ☐ The EDRMS should be able to accumulate statistics of review decisions in a given period and provide tabular and graphical reports on the activity. *(Based on MoReq 5.2.11)*

F4.3. Disposition and Transfer/Export

Disposition refers to the destruction of records or the transfer of *the legal custody* (ownership) of the records to an agency external to government (i.e., their alienation from the Crown provincial) or to the BC Archives.

Transfer/export indicates transfer of physical records to off-site storage facilities and/or transfer or export of electronic records to external systems. For example, it may be necessary to export file/volumes to another EDRMS and it will be necessary to export transfer/export selected file/volumes of records to the BC Archives for permanent preservation.

Transfer/export will include both record content and descriptive material relating to record context, such as file structure, file/volume and record metadata. To support the process of review and preparation for transfer, it may be necessary to add free-text annotations as metadata at the file/volume level, such as: the primary/secondary classifications to be used

for records transferred to a new organisation; the reasons for transfer/disposition decisions; accession numbers or other data supplied by BC Archives for use in archival finding aids; etc.

Disposition

F4.3.1. ☐ The EDRMS should permit disposition to be processed for files covered by approved records schedules only (i.e., not for files linked to draft schedules).

F4.3.2. ☐ All volumes/records associated with a file should be disposed before the disposition of the file is confirmed by the EDRMS.

F4.3.3. ☐ The EDRMS should provide orderly processes supporting the application of a records schedule's disposition instructions, including processes for:

    F4.3.3.1. ☐ review of the electronic file/volume and contents;

    F4.3.3.2. ☐ export of the electronic file/volume and contents for permanent preservation;

    F4.3.3.3. ☐ destruction of the electronic file/volume and contents. *(Based on PRO, A.3.13)*

F4.3.4. ☐ The EDRMS should require approval by a Records Officer or authorized delegate before permitting or performing destruction of any record.

F4.3.5. ☐ The EDRMS should allow individual and batch destruction action upon authorized approval and confirmation.

F4.3.6. ☐ The EDRMS should enable the total destruction of files and records that are stored on rewritable media, by completely obliterating them so that they cannot be restored by use of specialist data recovery facilities. *(Based on MoReq 5.3.13)*

F4.3.7. ☐ If records are stored on write-once media, the EDRMS should provide facilities to prevent access to them so that they cannot be restored by normal use of the EDRMS or by standard operating system utilities. *(Based on MoReq 5.3.14)*

F4.3.8. ☐ The EDRMS should support documentation of on-site records destruction of both electronic and physical records (i.e., destruction of records *not* stored in off-site storage facilities managed by BC Archives). This documentation should include lists of files/records eligible for destruction, reports documenting authorizations, and date of completed destruction.

Transfer/Export (e.g., to other EDRMS or to BC Archives)

F4.3.9. ☐ The EDRMS should provide a well-managed process to transfer records to another system or to a third party organization. *(Based on MoReq 5.3.1)*

F4.3.10. ☐ The EDRMS should be able to support the flagging of electronic files/volumes and groups of files/volumes for export to another EDRMS, or for transfer to the BC Archives for permanent preservation. *(Based on PRO A.3.25)*

F4.3.11. ☐ The EDRMS should be able to identify and list electronic files/volumes marked for permanent preservation as their disposal schedules come into force. *(Based on PRO A.3.26)*

F4.3.12.   The EDRMS should provide the ability to:

F4.3.12.1. ☐ add user-defined metadata elements (e.g., elements required for archival management purposes) to electronic file/volumes selected for transfer;

F4.3.12.2. ☐ sort electronic files/volumes selected for transfer into ordered lists according to user-defined metadata elements;

F4.3.12.3. ☐ generate user-defined forms to describe electronic files/volumes that are being exported or transferred. *(Based on MoReq 5.3.11; PRO A.3.42)*

F4.3.13. ☐ Where an EDRMS does not support the addition of metadata to electronic files/volumes selected for export or transfer, and the sorting of files/volumes into ordered lists, it should interface with an appropriate package (for example a report management package) for this purpose. *(Based on PRO A.3.29)*

F4.3.14. ☐ The EDRMS should support transfer of electronic records to BC Archives in both native and non-proprietary formats (XML preferred).

F4.3.15. ☐ The EDRMS should ensure profile information is available for files transferred to the legal custody of the BC Archives is available in standard, non-proprietary format (XML preferred).

F4.3.16. ☐ The EDRMS should provide a utility or conversion tool to support the rendition of records marked for transfer or export into specified transfer format(s), e.g.:

F4.3.16.1. ☐ extensible mark-up language (XML);

F4.3.16.2. ☐ single page TIFF images (TIFF ver 6.0 with lossless compression;

F4.3.16.3. ☐ Delimited (e.g., Comma Separated Variable Length). *(Based on MoReq 5.3.5)*

F4.3.17. ☐ Where an EDRMS does not support the rendering of records and files/volumes marked for transfer into an approved transfer format, it should interface with an appropriate package or conversion utility for this purpose. *(Based on PRO A.3.30)*

F4.3.18.   Whenever the EDRMS transfers the contents of any primary classification, file or volume, the transfer should include:

F4.3.18.1. ☐ all files in a primary class (for classes);

F4.3.18.2. ☐ all volumes below the file in the hierarchy (for files);

F4.3.18.3. ☐ all records in all these files and volumes;

F4.3.18.4. ☐ All metadata associated with the files, records and volumes. *(Based on MoReq 5.3.2)*

F4.3.19. ☐ The EDRMS should be able to export a whole electronic file or entire set of files within a primary classification in one sequence of operations, such that:

F4.3.19.1. ☐ the content and appearance of the electronic records are not degraded;

F4.3.19.2. ☐ all components of an electronic record, when the record consists of more than one component, are exported as an integral unit; for example, an e-mail message with associated file attachment;

F4.3.19.3. ☐ all metadata associated with an electronic record is linked to the record to which it belongs;

F4.3.19.4. ☐ all electronic records within a specific file/volume remain associated with that file/volume;

F4.3.19.5. ☐ all electronic file/volume metadata is exported and remains associated with that electronic file/volume. *(Based on MoReq 5.3.3; PRO A.3.27)*

F4.3.20. ☐ The EDRMS should be able to export groups of electronic files/volumes, or an entire primary of the classification scheme in one sequence of operations, such that all conditions of the above requirement are met, and:

F4.3.20.1. ☐ the relative location of each file/volume in the electronic file plan structure is maintained, so that the file/volume structure can be reconstructed;

F4.3.20.2. ☐ all file/volume metadata at higher points in the hierarchy is retained with that file/volume. *(Based on MoReq 5.3.8; PRO A.3.40)*

F4.3.21. ☐ Whenever the EDRMS transfers or exports records, the EDRMS must be able to include a copy of all the audit trail data associated with the files, volumes and records being transferred. *(Based on MoReq 5.3.4)*

F4.3.22. ☐ The EDRMS should be able to export multiple entries, where an electronic file/volume to be exported contains a pointer rather than the physical record; at a minimum, by achieving this effect through duplication of records to be exported. *(Based on PRO A.3.28)*

F4.3.23. ☐ The EDRMS should be able to export and transfer multiple entries (i.e., links between a physical record and its entry in more than one file/volume) without duplication of records. *(Based on PRO A.3.39)*

F4.3.24. ☐ The EDRMS should produce a report detailing any failure during a transfer, export or deletion. The report should identify any records destined for transfer which have generated processing errors, and any files or records and associated metadata which are not successfully transferred, exported or deleted. *(Based on MoReq 5.3.6)*

F4.3.25. ☐ The EDRMS should retain all electronic files that have been transferred, at least until confirmation of a successful transfer process. *(Based on MoReq 5.3.7)*

F4.3.26. ☐ Where hybrid files are to be transferred, exported or destroyed, the EDRMS should require the Administrator to confirm that the paper part of the same files has been transferred, exported or destroyed before transferring, exporting or destroying the electronic part. *(Based on MoReq 5.3.9)*

F4.3.27. ☐ The EDRMS should allow records to be transferred or exported more than once. *(Based on MoReq 5.3.17)*

F4.3.28. ☐ The EDRMS should have the ability to retain metadata for files and records that have been destroyed or transferred. *(Based on MoReq 5.3.15)*

F4.3.29. ☐ The EDRMS should allow the Administrator to specify a subset of file metadata that will be retained for files destroyed, transferred out or moved offline, which can be indexed and retrieved alongside metadata for existing records, to indicate the absence of sought items. *(Based on MoReq 5.3.16; PRO A.3.43)*

F4.3.30. ☐ The EDRMS should support the selection and export of electronic record and file/volume metadata, independently from record content, in a form suitable for migration to a Web-based environment. *(Based on PRO A.3.38)]*

F5.   Preservation and Ongoing Access

F5.1.1. ☐ The EDRMS should be capable of supporting the preservation of records beyond the anticipated life cycle of their source applications, by enabling the following preservation metadata to be captured in the records profiles:

F5.1.1.1. ☐ file names;

F5.1.1.2. ☐ hardware dependencies;

F5.1.1.3. ☐ operating system dependencies;

F5.1.1.4. ☐ application software dependencies (application names and versions);

F5.1.1.5. ☐ file formats;

F5.1.1.6. ☐ resolution;

F5.1.1.7. ☐ compression algorithm version and parameters;

F5.1.1.8. ☐ encoding scheme;

F5.1.1.9. ☐ rendition information. *(Based on MoReq 12.7.13)*

F5.1.2. ☐ The EDRMS should be able to retrieve records throughout their required retention periods by utilizing storage media with appropriate long-term life expectancy ratings and enabling the replacement of media, hardware, and software components to address component obsolescence. *(Based on AIIM, p.8)*

F5.1.3. ☐ The EDRMS should maintain internal integrity (relational integrity or otherwise) at all times, regardless of maintenance activities; other user actions; failure of system components. *(Based on MoReq 3.4.12)*

F5.1.4. ☐ The EDRMS should include features for the automated periodic comparison of copies of information, and the replacement of any copy found to be faulty, to guard against media degradation. *(Based on MoReq 11.7.2)*

F5.1.5. ☐ The EDRMS should allow the bulk conversion of records (with their metadata and audit trail information) to other media and/or systems in line with the standards relevant for the formats in use. *(Based on MoReq 11.7.3)*

F5.1.6. ☐ The EDRMS supplier should have a demonstrable program in place for upgrades to the EDRMS technology base that allows for the existing information to continue to be accessed without changes to the content. *(Based on MoReq 11.7.4)*

F5.1.7. ☐ The EDRMS should use only widely accepted standards that are the subject of open and publicly available specifications for encoding, storage and database structures. *(Based on MoReq 11.7.5)*

F5.1.8. ☐ If the EDRMS uses any proprietary encoding or storage or database structures, these should be fully documented, with the documentation being available to the Administrator. *(Based on MoReq 11.7.6)*

F6. Security

Security requirements include the ability to protect records from unauthorized destruction; define security categories for records; control user access to records and to system functions; maintain audit trails of system activities, and provide backup and recovery controls, including recovery of vital records.

F6.1. Deletion of Records

F6.1.1. ☐ The EDRMS should allow a default or option that prevents any record, once captured, from being deleted or moved by any Administrator or user. This means that any requirement for an Administrator to consider a record as "deleted" or "re-located" means that the record is marked appropriately; and in the case of re-location, a copy or pointer is inserted at the new location. *This requirement does not affect transfer or destruction of records in accordance with a retention schedule. (*Based on MoReq 9.3.1)

F6.1.2. ☐ The EDRMS should allow an option at configuration time, as an alternative to the deletion option specified above, that "deletion" of a record is implemented as destruction of that record. *(Based on MoReq 9.3.2)*

F6.1.3. If the EDRMS is configured so that "deletion" of a record is implemented as destruction of that record, the EDRMS should, in the event of any such deletion:

F6.1.3.1. ☐ record the deletion comprehensively in the audit trail;

F6.1.3.2. ☐ produce an exception report for the Administrator;

F6.1.3.3. ☐ delete the entire contents of a file or volume when it is deleted;

F6.1.3.4. ☐ ensure that no documents are deleted if their deletion would result in a change to another record (for example if a document forms a part of two records - one of which is being deleted);

F6.1.3.5. ☐ highlight to the Administrator any links from another file, or record to a file or volume that is about to be deleted, requesting confirmation before completing the deletion;

F6.1.3.6. ☐ maintain complete integrity of the metadata at all times. *(Based on MoReq 9.3.7)*

F6.2. Records Security Categories

F6.2.1. ☐ The Administrator should be able to change the security category of individual records. *(*Based on MoReq 9.3.3)

F6.2.2. ☐ The Administrator should be able to change the security category of all records in a file or class in one operation; the EDRMS should provide a warning if any records are having their security category lowered, and await confirmation before completing the operation. *(*Based on MoReq 9.3.4)

F6.2.3. ☐ The EDRMS should record full details of any change to security category in the metadata of the record, volume or file affected. *(*Based on MoReq 9.3.6

F6.2.4. ☐ The EDRMS should record the date on which a security classification should be reviewed. *(*Based on MoReq 12.5.19)

F6.2.5. ☐ Where files have security categories, the EDRMS should ensure that a hybrid physical file is allocated the same security category as an associated hybrid electronic file. *(*Based on MoReq 10.1.7)

F6.2.6. ☐ The EDRMS should include the ability to control access to records based on intellectual property restrictions, and generate charging data. *(*Based on MoReq 8.1.29)

F6.3. User Access/Authentication

F6.3.1. ☐ The EDRMS should integrate with security protocols, user authentication models and access control methods commonly deployed in similar government / industry environments; i.e., should:

F6.3.1.1. ☐ integrate with LDAP and Windows 2000 Active Directory;

F6.3.1.2. ☐ provide mechanisms to deal with document authentication, non-repudiation, integrity and privacy;

F6.3.1.3. ☐ provide methods to manage changing security policies.

F6.3.2. ☐ The EDRMS should integrate with common authentication services for access to existing and emerging document-related services. It should do this by:

F6.3.2.1. ☐ incorporating BC government security tables established through the BCGOV ID assigned to government employees and authorized personnel;

F6.3.2.2. ☐ provide a login that uses or is unified with that of the BC government LAN;

F6.3.2.3. ☐ allow users and groups to be imported from the operating system.

F6.3.3. ☐ The EDRMS should allow the Administrator to limit access to records, files and metadata to specified users or user groups. *(*Based on MoReq 4.1.1)

F6.3.4. ☐ The EDRMS should allow the Administrator to attach to the user profile attributes that determine the features, metadata fields, records or files to which the user has access. The attributes of the profile should:

F6.3.4.1. ☐ prohibit access to the EDRMS without an accepted authentication mechanism attributed to the user profile;

F6.3.4.2. ☐ restrict user access to specific files or records;

F6.3.4.3. ☐ restrict user access to specific parts of the classification scheme;

F6.3.4.4. ☐ restrict user access according to the user's security clearance;

F6.3.4.5. ☐ restrict user access to particular features (e.g., create, read, up-date and/or delete specific metadata fields; change records profile metadata, open/close files/volumes, register records, perform scheduling activities, dispose of physical and electronic records, etc);

F6.3.4.6. ☐ deny access after a specified date;

F6.3.4.7. ☐ allocate users to a group or groups. *(Based on MoReq 4.1.2)*

F6.3.5. ☐ The Administrator should be able to change any user-entered metadata element. Information about any such change should be stored in the audit trail

F6.3.6. ☐ The EDRMS should be able to provide the same control functions for roles as for users. *(Based on MoReq 4.1.3)*

This feature allows administrators to manage and maintain a limited set of role access rights rather than a larger number of individual users. Examples of roles might include Records Officer, Records Clerk, Database Administrator.

F6.3.7. ☐ The EDRMS should be able to set up groups of users that are associated with a set of files or records. *(Based on MoReq 4.1.4)*

Examples of groups might be Personnel, project working groups.

F6.3.8. ☐ The EDRMS should allow a user to be a member of more than one group. *(Based on MoReq 4.1.5)*

F6.3.9. ☐ The EDRMS should allow only Administrators to set up user profiles and allocate users to groups. *(Based on MoReq 4.1.6)*

F6.3.10. ☐ The EDRMS should allow a user to stipulate which other users or groups can access records for which the user is responsible. *(Based on MoReq 4.1.7)*

F6.3.11. ☐ The EDRMS should allow changes to security attributes for groups or users (such as access rights, security level, privileges, password allocation and management) to be made only by Administrators. *(Based on MoReq 4.1.8)*

F6.3.12. ☐ The EDRMS should support establishment of permissions that control scope of user searches (e.g., within specified organizational units; across specified organizational units; entire ministry).

F6.3.13. ☐ The EDRMS should not display record/volume/file information unless the user has access permissions for information. *(Based on MoReq 8.1.28)*

F6.3.14.   If a user requests access to, or searches for, a record, volume or file which he or she does not have the right to access, the EDRMS should provide one of the following responses (selectable at configuration time):

F6.3.14.1.   ☐ display title and metadata;

F6.3.14.2.   ☐ display the existence of a file or record (i.e., display its file or record number) but not its title or other metadata;

F6.3.14.3.   ☐ do not display any record information or indicate its existence in any way. *(*Based on MoReq 4.1.9)

F6.3.15.   ☐ If a user performs a full text search, the EDRMS should never include in the search result list any record that the user does not have the right to access. *(*Based on MoReq 4.1.10)

F6.3.16.   ☐ If the EDRMS allows users to make unauthorized attempts to access files, volumes or records, it should log these in the audit trail. *(*Based on MoReq 4.1.11)

It will be acceptable for this feature to be controllable so that it only applies to administrator-specified security categories.

F6.3.17.   ☐ The EDRMS should provide the capability to limit users' access to parts of the file list (as specified at configuration time). *(*Based on MoReq 4.1.12)

F6.3.18.   ☐ The EDRMS should include features to control and record access to physical files, including controls based on security category, which are comparable to the features for electronic files. *(*Based on MoReq 10.1.8)

F6.4.   Audit

F6.4.1.   The EDRMS should create an unalterable audit trail capable of automatically capturing and storing information about:

F6.4.1.1.   ☐ all the actions that are taken upon an electronic record, electronic file or classification scheme;

F6.4.1.2.   ☐ the user initiating and or carrying out the action;

F6.4.1.3.   ☐ the date and time of the event. *(*Based on MoReq 4.2.1)

The word "unalterable" is to mean that the audit trail data cannot be modified in any way or deleted by any user; it may be subject to re-organisation and copying to removable media if required by, for example, database software, so long as its contents remains unchanged.

F6.4.2.   ☐ Once the audit trail functionality has been activated, the EDRMS should track events without manual intervention, and store in the audit trail information about them. *(*Based on MoReq 4.2.2)

F6.4.3.   ☐ The EDRMS should maintain the audit trail for as long as required, which will be at least for the life of the electronic records or electronic files to which it refers. *(*Based on MoReq 4.2.3)

F6.4.4.   The EDRMS should provide an audit trail of all changes made to:

F6.4.4.1. ☐ groups of electronic files;

F6.4.4.2. ☐ individual electronic files;

F6.4.4.3. ☐ electronic volumes;

F6.4.4.4. ☐ electronic records;

F6.4.4.5. ☐ electronic documents;

F6.4.4.6. ☐ metadata associated with any of the above. *(Based on MoReq 4.2.4)*

F6.4.5. ☐ The EDRMS should provide an audit trail of all changes made to administrative parameters. *(Based on MoReq 4.2.5)*

For example, if the Administrator changes a user's access rights.

F6.4.6. The EDRMS should be capable of capturing and storing in the audit trail information about the following actions:

F6.4.6.1. ☐ the date and time of capture of all electronic records;

F6.4.6.2. ☐ re-classification of an electronic record in another electronic volume;

F6.4.6.3. ☐ re-classification of an electronic file within the classification scheme;

F6.4.6.4. ☐ any change to the retention schedule of an electronic file;

F6.4.6.5. ☐ any change made to any metadata associated with classes, electronic files or electronic records;

F6.4.6.6. ☐ date and time of creation, amendment and deletion of metadata;

F6.4.6.7. ☐ changes made to the access privileges affecting an electronic file, electronic record or user;

F6.4.6.8. ☐ export or transfer actions carried out on an electronic file;

F6.4.6.9. ☐ date and time of a rendition;

F6.4.6.10. ☐ deletion / destruction actions on an electronic file or electronic record. *(Based on MoReq 4.2.6)*

F6.4.7. ☐ The EDRMS should allow the audit trail facility to be configurable by the Administrator so that he can select the functions for which information is automatically stored; and the EDRMS should ensure that this selection and all changes to it are stored in the audit trail. *(Based on MoReq 4.2.7)*

F6.4.8. ☐ The EDRMS should ensure that audit trail data is available for inspection on request, so that a specific event can be identified and all related data made accessible, and that this can be achieved by authorized external personnel who have little or no familiarity with the system. *(Based on MoReq 4.2.8)*

F6.4.9. ☐ The EDRMS should be able to export audit trails for specified electronic records, electronic files and groups of files (without affecting the audit trail stored by the EDRMS). *(Based on MoReq 4.2.9)*

F6.4.10. ☐ The EDRMS should be able to capture and store violations (i.e., a user's attempts to access a record, volume or file to which he or she is denied access), and (where violations can validly be attempted) attempted violations, of access control mechanisms. *(Based on MoReq 4.2.10)*

F6.5. Backup and Recovery

F6.5.1. ☐ The EDRMS should provide automated backup and recovery procedures that allow for the regular backup of all or selected classification levels (e.g., primaries, secondaries), files, records, metadata and administrative attributes of the EDRMS repository. *(Based on MoReq 4.3.1)*

F6.5.2. The EDRMS should allow the Administrator to schedule backup routines by:

F6.5.2.1. ☐ specifying the frequency of backup;

F6.5.2.2. ☐ selecting classification levels (e.g., primaries, secondaries; files or records) to be backed up;

F6.5.2.3. ☐ selecting storage media, system or location for the backup (e.g., off-line storage, separate system, remote site). *(Based on MoReq 4.3.2)*

F6.6. Vital Records

F6.6.1. ☐ The EDRMS should allow users to indicate that selected records are considered to be "vital records". *(Based on MoReq 4.3.6)*

F6.6.2. ☐ The EDRMS should allow vital records and other records to be restored in distinct operations (e.g., it should be possible to recover vital records without having to achieve full recovery of all records in the same repository). *(Based on MoReq 4.3.7)*

F7. Printing and Reports

F7.1. Printing

F7.1.1. ☐ The EDRMS should provide the user with flexible ways of printing records and their relevant metadata, including the ability to print a record(s) with metadata specified by the user. *(Based on MoReq 8.3.1).*

F7.1.2. ☐ The EDRMS should allow the printing of metadata for a file. *(Based on MoReq 8.3.2).*

F7.1.3. ☐ The EDRMS should allow the user to be able to print out a summary list of selected records (e.g., the contents of a file), consisting of a user-specified subset of metadata elements (e.g., Title, Author, Creation date) for each record. *(Based on MoReq 8.3.4).*

F7.1.4. ☐ The EDRMS should allow the Administrator to specify that all printouts of records have selected metadata elements appended to them, e.g., title, registration number, date, security category. *(Based on MoReq 8.3.5).*

F7.1.5. ☐ The EDRMS should allow users to print search result hit lists. *(Based on MoReq 8.3.6).*

F7.1.6. ☐ The EDRMS should allow users to print search parameters.

F7.1.7. ☐ The EDRMS should allow the Administrator to print any and all administrative parameters. *(Based on MoReq 8.3.7).*

F7.1.8. ☐ The EDRMS should allow Administrators to print a thesaurus (e.g., schema of authorized/controlled indexing terms). *(Based on MoReq 8.3.9)*

F7.1.9. ☐ The EDRMS should allow Administrators to print file lists. *(Based on MoReq 8.3.11)*

F7.1.10. ☐ The EDRMS should allow Administrators to print audit trails. *(Based on MoReq 8.3.12).*

F7.1.11. ☐ The EDRMS should be able to print (at minimum) all common forms of BC government office records (e.g., MS Outlook and MS Office records). Printing should:

F7.1.11.1. ☐ preserve the layout produced by the generating application;

F7.1.11.2. ☐ include all (printable) components of the electronic record. *(Based on MoReq 8.3.13)*

F7.2. Reports

F7.2.1. The EDRMS should:

F7.2.1.1. ☐ provide "canned" (pre-defined) reports;

F7.2.1.2. ☐ support or link to an external application to support ad-hoc reports

F7.2.2. ☐ The EDRMS should provide the capability to produce/export reports in common and preferably non-proprietary electronic formats, including:

F7.2.2.1. ☐ XML;

F7.2.2.2. ☐ PDF.

F7.2.3. ☐ The EDRMS should support reports based on user criteria in order to perform location management functions to specified files/volumes, (i.e., inventories of holdings, box content file lists, audit reports, security reports, etc).

F7.2.4. ☐ The EDRMS should support eligibility reports (pull lists) based on user criteria to perform scheduling management actions, and organize reports as required by users. These reports should:

F7.2.4.1. ☐ identify missing or charged out files and/or volumes;

F7.2.4.2. ☐ note "holds" (or not bring up "holds") – all files should be eligible;

F7.2.4.3. ☐ arrange information in a way that facilitates the placement of volumes in boxes by final disposition date and final disposition type (like with like). The pull lists are based on profile data and classification data.

F7.2.5. ☐ The EDRMS should be able to produce standard box content file lists showing for each file/volume at minimum: the schedule, primary, secondary, file and volume numbers; primary, secondary and file titles/codes; OPR designation; and the earliest/latest record dates.

F7.2.6. ☐ The EDRMS should support management reports (statistics, usage, errors, etc) for records officer reporting.

F7.2.7. ☐ The EDRMS should support audit reports based on security parameters, use, access etc.

F7.2.8. ☐ The EDRMS should be able to produce a report listing of files and volumes, structured to reflect the classification scheme, for all or part of the classification scheme. *(Based on MoReq 9.2.4)*

F7.2.9. ☐ The EDRMS should include features for sorting and selecting report information. *(Based on MoReq 9.2.5)*

F7.2.10. ☐ The EDRMS should include features for totaling and summarizing report information. *(Based on MoReq 9.2.6)*

F7.2.11. ☐ The EDRMS should allow authorized users to request regular periodic reports and one-off reports. *(Based on MoReq 9.2.7)*

F7.3.　Labelling

F7.3.1. ☐ EDRMS should be able to generate labels for the components of a file (e.g., file folders, filebacks, binders, tapes, and other physical containers for records).

F7.3.2. The EDRMS should support:

F7.3.2.1. ☐ the printing and recognition of bar codes; and/or

F7.3.2.2. ☐ other tracking systems (e.g., to automate the data entry for tracking physical box/file movements). *(Based on MoReq 10.1.9)*

F7.3.3. ☐ An authorized user (e.g. MRO) should be able to specify content of a label (fields that will print).

F7.3.4. ☐ A user should able to specify number of labels to print (single, multiple, or batch).

F7.3.5. ☐ A user should be able to generate different formats for file labels and volume labels

F8.　Administrative Functions

F8.1.　General Systems Administration

F8.1.1. ☐ The EDRMS should allow Administrators, in a controlled manner and without undue effort, to retrieve, display and re-configure systems parameters and choices made at configuration time–for example, on elements to be indexed–and to re-allocate users and functions to user roles. *(Based on MoReq 9.1.1)*.

F8.1.2. ☐ The EDRMS should provide back-up facilities, and features to rebuild forward using restored back-ups and audit trails, while retaining system integrity. *(Based on MoReq 9.1.2)*

In other words, the EDRMS should include functionality to recreate the records and metadata to a known status, using a combination of restored back-ups and audit trails.

F8.1.3. ☐ The EDRMS should provide recovery and rollback facilities in the case of system failure or update error, and should notify Administrators of the results. *(Based on MoReq 9.1.3)*

In other words, the EDRMS should allow Administrators to "undo" a series of transactions until a status of assured database integrity is reached. This is only required when error conditions arise.

F8.1.4. ☐ The EDRMS should monitor available storage space, and notify Administrators when action is needed because available space is at a low level or because it needs other administrative attention. *(Based on MoReq 9.1.4).*

F8.1.5. ☐ The EDRMS should monitor error rates occurring on storage media, and report to the Administrator any medium or device on which the error rate is exceeding a parameter set at configuration time. *(Based on MoReq 9.1.5)*

This particularly applies to optical media.

F8.2.   Administrative Reports

F8.2.1. ☐ The EDRMS should provide flexible reporting facilities for the Administrator. They should include, at a minimum, the ability to report the following items.

F8.2.1.1. ☐ numbers of files, volumes and records;

F8.2.1.2. ☐ transaction statistics for files, volumes and records;

F8.2.1.3. ☐ activity reports by user. (Based on MoReq 9.2.1)

F8.2.2. The EDRMS should allow Administrators to enquire on and produce reports on the audit trail. These reports should include, at a minimum, reporting based on items listed below:

F8.2.2.1. ☐ classification elements (primaries and secondaries);

F8.2.2.2. ☐ files;

F8.2.2.3. ☐ volumes;

F8.2.2.4. ☐ records;

F8.2.2.5. ☐ users;

F8.2.2.6. ☐ time periods. *(Based on MoReq 9.2.2)*

F8.2.3. The EDRMS should allow Administrators to enquire on and produce audit trail reports based on the items listed below:

F8.2.3.1. ☐ security categories;

F8.2.3.2. ☐ user groups;

F8.2.3.3. ☐ other metadata. *(Based on MoReq 9.2.3)*

F8.2.4. ☐ The EDRMS should allow Administrators to restrict users' access to selected reports. *(Based on MoReq 9.2.8)*

F9. Document Management

This section provides requirements for the document management portion of the Proponent's integrated EDRMS solution. The document management portion of the EDRMS should provide a robust enterprise infrastructure for building future document-centric business applications.

F9.1. General Requirements

F9.1.1. ☐ The document management portion of the EDRMS should fully support broadly available document services used to manage documents independent of the applications used to create them. These services should include the ability to:

F9.1.1.1. ☐ check documents "in" and "out" of information repositories;

F9.1.1.2. ☐ automatically update document version numbers whenever a previously "checked-out" document is modified and returned to the document repository;

F9.1.1.3. ☐ prevent more than one person from checking documents out for modification;

F9.1.1.4. ☐ utilize a security model ensuring that only authorized users can perform the above functions;

F9.1.1.5. ☐ provide full lifecycle management capabilities for tracking of document versions /statuses;

F9.1.1.6. ☐ provide full text searching capabilities in accordance with Common Command Language(CCL) (ISO 8777);

F9.1.1.7. ☐ manage compound (virtual) documents. *(Based on AIIM, pp. 13, 21)*

F9.1.2. ☐ The document management portion of the EDRMS should support Enterprise Report Management (ERM) functionality. This is also known as Computer Output to Laser Disk (COLD) functionality.

F9.1.3. ☐ The document management portion EDRMS should provide the ability to manage annotations. In the case of CAD documents, this can be taken to mean the proposed system should provide the ability to manage redline mark ups as separate documents. These annotations should be controlled by a security mechanism that can control which users have access to annotations independently of any access controls documents to which they apply.

F9.1.4. ☐ The document management portion of the EDRMS should provide the ability to manage the components of a document. In the case of CAD documents, which often consist of "vector" components set against a "raster" background, all components of vector/raster hybrids should be associated for ease of search and retrieval.

F9.1.5. ☐ The document management portion of the EDRMS should provide the ability to automatically generate renditions of documents. This means that it should be possible for a document in one file format to have a rendition in another format associated with it.

The proposed system should be able to determine and dispatch the most appropriate rendition when a user requests a rendered document.

F9.1.6. ☐ The document management portion of the EDRMS should provide the ability to define (and redefine) document types and associated metadata. This functionality should be similar to, yet independent of, the profiling metadata of the records management portion of the EDRMS.

F9.1.7. The document management portion of the EDRMS should provide a security mechanism that has the following characteristics;

F9.1.7.1. ☐ security is set at the level of the document;

F9.1.7.2. ☐ security is managed through Access Control Lists (ACLs);

F9.1.7.3. ☐ document management security integrates with the records management security mechanisms.

F9.2. Interaction with RM Functions

Note: One intent of the following requirements is to ensure that future technology components brought into the integrated system will not defeat the records management functions of the EDRMS.

F9.2.1. ☐ The document system should be able to access the Records Management metadata, which should be protected from modifications through the document management system.

F9.2.2. ☐ The document management portion of the EDRMS should be able to capture automatically electronic documents arising in the course of business and pass them to the EDRMS records registration process. *(Based on MoReq 10.3.1)*

F9.2.3. ☐ The document management portion of the EDRMS should be able to capture an electronic record in one process OR register an electronic document that can be captured as a record at a later time. *(Based on MoReq 10.3.2)*

F9.2.4. ☐ The document management portion of the EDRMS should allow users to register a document from within the document management client software or an application integrated with the EDRMS, such as the applications of the Microsoft Office Suite. *(Based on MoReq 10.3.3)*

F9.2.5. ☐ When users are in the document management portion of the EDRMS or in an application integrated with the EDRMS, they should be able to switch adroitly to and from the records management portion of the EDRMS in order to register a document as a record. *(Based on MoReq 10.3.4)*

F9.2.6. ☐ The document management portion of the EDRMS should support automated acquisition of metadata elements and allow additional metadata elements to be completed by the user. *(Based on MoReq 10.3.5)*

F9.2.7. ☐ The document management portion of the EDRMS should be able to manage electronic documents (not registered as records) in the context of the same classification scheme and access control mechanisms as electronic records. *(Based on MoReq 10.3.7)*

F9.2.8. ☐ The document management portion of the EDRMS should be able to access the *ARCS/ORCS* classification system. *(Based on MoReq 10.3.8)*

F9.2.9. ☐ The document management portion of the Proponent's solution should have capabilities for managing versions of electronic documents as separate but related entities. It should provide capabilities for pruning unwanted versions and provide tools to automate the management of version histories. *(Based on MoReq 10.3.9)*

F9.2.10. ☐ The document management portion of the EDRMS should be configurable to restrict users to viewing either the latest version of a document, or selected versions of a document. or versions that have been captured as records. Access to this functionality should be in accordance with set security policies. *(Based on MoReq 10.3.10)*

F9.2.11. ☐ The document management portion of the EDRMS should be able to integrate with related software, including image processing and scanning systems, and workflow systems, without relinquishing control of any existing electronic records. *(Based on MoReq 10.3.11)*

F9.2.12. ☐ The document management portion of the EDRMS should be able to copy the content of an electronic record, in order to create a new electronic document, while ensuring the retention of the original record remains intact. *(Based on MoReq 10.3.12)*

F10. Other Functionality

F10.1.   Workflow

F10.1.1. ☐ The document management portion of the EDRMS should provide or link to an engine for building ad hoc or collaborative workflows that meet the standards set out by the Workflow Management Coalition (WfMC) for document-centric workflows, including support for WfMC Application Programming Interfaces (API's).

F10.1.2. ☐ The EDRMS should provide or support the construction of workflows for records scheduling, review and export/transfer processes; e.g., by enabling the tracking of:

F10.1.2.1. ☐ progress of the review - awaiting, in progress, reviewer details and date;

F10.1.2.2. ☐ awaiting disposal as a result of a review decision;

F10.1.2.3. ☐ progress of records transfer processes.

F10.1.3. ☐ The EDRMS should support workflows consisting of a number of steps, each step being (for example) movement of a record or file from one participant to another for action. *(Based on MoReq 10.4.1)*

F10.1.4. ☐ The EDRMS should not practically limit the number of steps in each workflow. *(Based on MoReq 10.4.2)*

F10.1.5. ☐ The EDRMS should provide a function to alert a user participant that documents records have been sent for attention and specify the action required. *(Based on MoReq 10.4.3)*

F10.1.6. ☐ The EDRMS should enable a user to send e-mail messages to users to notify them of records requiring their attention. *(Based on MoReq 10.4.4)*

F10.1.7. ☐ The EDRMS should allow programmed workflows to be defined and maintained by the Administrator. *(Based on MoReq 10.4.5)*

F10.1.8. ☐ The EDRMS should prevent programmed workflows from being changed by users other than the Administrator, or by approved users authorized by the Administrator. *(Based on MoReq 10.4.6)*

F10.1.9. ☐ The EDRMS should allow Administrators to designate that individual users are able to reassign tasks/actions to different users or user groups. *(Based on MoReq 10.4.7)*

F10.1.10. ☐ The EDRMS should record all changes to programmed workflows in the audit trail. *(Based on MoReq 10.4.8)*

F10.1.11. ☐ The EDRMS should record the progress of a record or file through a workflow so that users can determine the status of a record or file in the process. *(Based on MoReq 10.4.9)*

F10.1.12. ☐ The EDRMS should not practically limit the number of workflows that can be defined. *(Based on MoReq 10.4.10)*

F10.1.13. ☐ The EDRMS should support management of files and records in queues that can be examined or controlled by the Administrator and authorized users. *(Based on MoReq 10.4.11)*

F10.1.14. ☐ The EDRMS should be capable of letting participants view queues of work addressed to them and select items to be worked on. *(Based on MoReq 10.4.12)*

F10.1.15. ☐ The EDRMS should provide conditional flows depending on user input or system data. *(Based on MoReq 10.4.13)*

F10.1.16. ☐ The EDRMS should provide a reminder, or bring-forward, facility for files and records. *(Based on MoReq 10.4.14)*

F10.1.17. ☐ The EDRMS should allow users to pause or interrupt a flow (i.e., to suspend it) temporarily in order to be able to attend to other work. *(Based on MoReq 10.4.15)*

F10.1.18. ☐ The EDRMS should recognize individuals and groups as participants in a workflow. *(Based on MoReq 10.4.16)*

F10.1.19. ☐ The EDRMS should provide a facility to "load balance" by distributing incoming items to group members in rotation or based on a set of business rules defined by the Administrator. *(Based on MoReq 10.4.17)*

F10.1.20. ☐ The EDRMS should provide an ability to prioritize items in queues. *(Based on MoReq 10.4.18)*

F10.1.21. ☐ The EDRMS solution should be able to associate time limits with individual steps and/or process in each flow, and report items that are overdue according to these limits. *(Based on MoReq 10.4.20)*

F10.1.22. ☐ The EDRMS should allow the receipt of electronic documents to trigger workflows automatically. *(Based on MoReq 10.4.21)*

F10.1.23. ☐ The EDRMS should provide reporting facilities to allow management to monitor workflow volumes, performance and exceptions. *(Based on MoReq 10.4.22)*

F10.1.24. ☐ The EDRMS workflow feature should prevent pre-programmed workflows from being changed by users other than the Administrator, or by approved users authorized by the Administrator. *(Based on MoReq 10.4.6)*

F10.2. Electronic Signatures

Note: It is assumed that a digital signature will need to be verified prior to entering the record, and the details of verification recorded once it has done so. It should not be necessary to routinely verify digitally signed records once they are registered, since they will be managed within the EDRMS in a manner that ensures authenticity.

F10.2.1. ☐ The EDRMS should be able to retain the information relating to electronic signatures, encryption and details of related verification agencies. *(Based on MoReq 10.5.1)*

F10.2.2. ☐ The EDRMS should have a structure, which permits the easy introduction of different electronic signature technologies. *(Based on MoReq 10.5.2)*

F10.2.3. ☐ The EDRMS should be able to retain and preserve as metadata, details about the process of verification for an electronic signature, including:

F10.2.3.1. ☐ the fact that the validity of the signature was checked;

F10.2.3.2. ☐ the Certification Authority with which the signature has been validated;

F10.2.3.3. ☐ the date and time that the checking occurred. *(Based on MoReq 10.5.4)*

F10.2.4. ☐ The EDRMS should be capable of checking the validity of an electronic signature at the time of capture of the record. *(Based on MoReq 10.5.5)*

F10.2.5. ☐ The EDRMS should include features which allow the integrity of records bearing electronic signatures to be maintained (and to prove it has been maintained), even though an Administrator has changed some of its metadata, but not the content of the record, after the electronic signature was applied to the record. *(Based on MoReq 10.5.6)*

F10.2.6. The EDRMS should be able to store with the electronic record:

F10.2.6.1. ☐ the electronic signature(s) associated with that record;

F10.2.6.2. ☐ the digital certificate(s) verifying the signature;

F10.2.6.3. ☐ any confirming counter-signatures appended by the certification authority in such a way that they are capable of being retrieved in conjunction with the record, and without prejudicing the integrity of a private key. *(Based on MoReq 10.5.7)*

F10.3. Encryption

F10.3.1. ☐ Where an electronic record has been sent or received in encrypted form by a software application which interfaces with the EDRMS, the EDRMS should be capable of restricting access to that record to users listed as holding the relevant decryption key, in addition to any other access control allocated to that record. *(Based on MoReq 10.6.1)*

F10.3.2. Where an electronic record has been transmitted in encrypted form by a software application which interfaces with the EDRMS, the EDRMS should be able to keep as metadata with that record:

F10.3.2.1. ☐ the fact of encrypted transmission;

F10.3.2.2. ☐ the type of algorithm;

F10.3.2.3. ☐ the level of encryption used. *(Based on MoReq 10.6.2)*

F10.3.3. ☐ The EDRMS should be able to ensure the capture of encrypted records directly from a software application which has an encrypting capability, and restrict access to those users listed as holding the relevant decryption key. *(Based on MoReq 10.6.3)*

F10.3.4. ☐ The EDRMS should allow encryption to be removed when a record is imported or captured. *(Based on MoReq 10.6.4)*

This feature may be desired in some large-scale record archives that have a requirement for long-term access (because encryption etc. is likely to reduce the ability to read records in the long term). In this case, the organisation would rely on audit trail or similar information to prove that the encryption etc. had been present but has been removed. In other environments, this feature may be undesirable from a legal point of view.

F10.3.5. ☐ The EDRMS should have a structure that permits different encryption technologies to be introduced easily. *(Based on MoReq 10.6.5)*

F10.4. Electronic Watermarks

F10.4.1. ☐ The EDRMS should be capable of storing records bearing electronic watermarks, and of storing with them information about the watermark. *(Based on MoReq 10.7.1)*

F10.4.2. ☐ The EDRMS should be able to retrieve information stored in electronic watermarks. *(Based on MoReq 10.7.2)*

F10.4.3. ☐ The EDRMS should have a structure that permits different watermarking technologies to be introduced easily. *(Based on MoReq 10.7.3)*

F11. General Requirements

F11.1. Ease of Use

F11.1.1. ☐ The EDRMS should enable users to access electronic document services from both client workstations and remotely connected computers; with:

F11.1.1.1. ☐ a full range of services delivered to desktop clients in a familiar windows environment;

F11.1.1.2. ☐ (at minimum) search, view and download services available to remote users.

F11.1.2. ☐ The EDRMS should fully support inter/intranet web based technology, where

F11.1.2.1. ☐ web servers provide all necessary mechanisms to store and retrieve information requested by users, system level security for users and data, and system management functions;

F11.1.2.2. ☐ web browsers provide a common user interface for accessing the EDRMS applications and document repositories.

F11.1.3. ☐ The EDRMS should provide the ability of users to enable users to save information in user-selectable formats. At minimum, these should include:

F11.1.3.1. ☐ HTML;

F11.1.3.2. ☐ XML;

F11.1.3.3. ☐ PDF.

F11.1.4. The EDRMS should support web publishing by providing:

F11.1.4.1. ☐ a mechanism for authorized users to create HTML and XML templates for specific classes or types of documents;

F11.1.4.2. ☐ convert documents to the above templates for web distribution.

F11.1.5. ☐ The EDRMS should provide online help throughout the EDRMS. *(Based on MoReq 11.1.1)*

F11.1.6. ☐ The online help in the EDRMS should be context-sensitive. *(Based on MoReq 11.1.2)*

F11.1.7. ☐ All error messages produced by the EDRMS should be meaningful, so that they can be appropriately acted upon by the users who are likely to see them. *(Based on MoReq 11.1.3)*

F11.1.8. ☐ The EDRMS should employ a single set of user interface rules, or a small number of sets. These should be consistent with the operating system environment in which the EDRMS operates. *(Based on MoReq 11.1.4)*

F11.1.9. ☐ The EDRMS should be able to display several records simultaneously. *(Based on MoReq 11.1.5).*

F11.1.10. ☐ Where the EDRMS uses on-screen windows, each should be user-configurable. *(Based on MoReq 11.1.6)*

F11.1.11. ☐ The EDRMS user interface should be suitable for users with special needs; that is, compatible with specialist software that may be used and with appropriate interface guidelines (e.g., W3C Web Content Accessibility Guideline, Microsoft Official Guidelines for User Interface Developers and Designers). *(Based on MoReq 11.1.7)*

F11.1.12. ☐ Where the EDRMS includes the use of windows, it should allow users to move, re-size and modify their appearance, and to save modifications in a user profile. *(Based on MoReq 11.1.9)*

F11.1.13. ☐ The EDRMS should allow users to select sound and volume of audio alerts, and to save modifications in a user profile. *(Based on MoReq 11.1.10)*

F11.1.14. ☐ The EDRMS should allow persistent defaults for data entry where desirable. These defaults should include:

F11.1.14.1. ☐ user-definable values;

F11.1.14.2. ☐ values same as previous item;

F11.1.14.3. ☐ values derived from context, e.g., date, file reference, user identifier; as appropriate. *(Based on MoReq 11.1.11)*

F11.1.15. ☐ The EDRMS should be closely integrated with MS Outlook in order to allow users to send electronic records and files electronically without leaving the EDRMS. *(Based on MoReq 11.1.13)*

F11.1.16. ☐ The EDRMS should provide integration with MS Outlook by sending pointers to files and records rather than copies, whenever a file or record is sent to another user of the EDRMS. *(Based on MoReq 11.1.14)*

F11.1.17. Where the EDRMS employs a graphical user interface, it should allow users to customize it. Customization should include, but need not be limited to the following changes:

F11.1.17.1. ☐ menu contents;

F11.1.17.2. ☐ layout of screens;

F11.1.17.3. ☐ use of function keys;

F11.1.17.4. ☐ on-screen colours, fonts and font sizes;

F11.1.17.5. ☐ audible alerts. (Based on MoReq 11.1.15)

F11.1.18. ☐ The EDRMS should support user-programmable functions. *(Based on MoReq 11.1.16)*

For example, user-definable macros.

F11.1.19. ☐ The EDRMS should provide the capability to perform global data updates.

F11.1.20. ☐ The EDRMS should allow users to define cross-references between related records, both within the same file and in different files, allowing easy navigation between the records. *(Based on MoReq 11.1.17)*

F11.1.21. ☐ Where users have to enter metadata from images of printed documents, the EDRMS should provide features to allow the use of optical character recognition to capture metadata from the image (zoned optical character recognition). *(Based on MoReq 11.1.17)*

F11.1.22. ☐ The EDRMS should allow users to define cross-references between related records, both within the same file and in different files, allowing easy navigation between the records. *(Based on MoReq 11.1.18)*

F11.2.   Product Maturity and Currency

F11.2.1. ☐ The EDRMS should use mature components, with each component having a history of regular updates to provide: new functionality, 'bug' fixes, adherence to new standards

and technologies, and continued integration with standard office applications and with current/emerging document-related applications. Such maturity and currency should be demonstrable/verifiable for the EDRMS:

F11.2.1.1. ☐ document management component;

F11.2.1.2. ☐ records management component for electronic records;

F11.2.1.3. ☐ records management component for physical records. (Based on AIM, p. 20)

PROVIDE EVIDENCE OF THE ABILITY OF THE PROPOSED SOLUTION TO MEET THE PRODUCT MATURITY/CURRENCY REQUIREMENTS; E.G.:

- **IDENTIFY MAJOR NEW RELEASES/UPGRADES FOR EACH COMPONENT OVER THE PAST 2 YEARS**

- **IDENTIFY INTERFACES/INTEGRATION ACHIEVED OVER THE PAST 2 YEARS WITH RELATED APPLICATIONS/TECHNOLOGIES**

F11.3.   Scalability

F11.3.1. ☐ The EDRMS should be fully scaleable and should:

F11.3.1.1. ☐ NOT have any features that would preclude use in small or large organizations, with varying numbers of differently sized organizational units. *(Based on MoReq 11.2.8)*

F11.3.1.2. ☐ allow for an increase of the number of users and volumes of data without replacing primary system components (i.e., scalability in terms of increased memory, disk storage, optical storage, CPU speed and size, etc.). (AIIM p. 19)

F11.3.1.3. ☐ NOT impose limits the on numbers of classification elements, files/volumes, or records. *(Based on MoReq 3.2.9)*

F11.3.1.4. ☐ The EDRMS applications should have a high degree of modularity, allowing for implementation of additional functionality without adversely affecting the overall system (i.e., ability to add routing, OCR, automated fax services, workload distribution, form management, etc.). *(AIIM, p. 9)*

F11.3.2. The EDRMS should meet the following criteria for enterprise-wide implementation within the context of the BC government:

F11.3.2.1. ☐ ability to deploy EDRMS application(s) to every employee desktop ;

F11.3.2.2. ☐ support for large numbers of users who could require access to a single document repository or to multiple repositories;

F11.3.2.3. ☐ support for a distributed environment where multiple repositories (databases, servers, optical jukeboxes, etc.) exist in multiple, widely dispersed geographic locations;

F11.3.2.4. ☐ support replication between repositories;

F11.3.2.5. ☐ integrate with a wide range of technologies to be found within the crown corporations and ministries of the BC government;

F11.3.2.6. ☐ provide tools for monitoring and tuning system performance.

F11.3.3. ☐ All components of the EDRMS solution should be equally scalable and robust.

ATTACH A DESCRIPTION OF THE ABILITY OF THE PROPOSED SOLUTION TO MEET THE SCALABILITY REQUIREMENTS; E.G.,

- **DESCRIPTIONS OF THE LARGEST INSTALLATION/TESTING DONE TO DATE, INCLUDING NUMBER AND TYPES OF SERVERS, NUMBER OF TOTAL USERS, NUMBER OF AVERAGE CONCURRENT USERS, NUMBER OF RECORDS STORED, DATA SIZE OF RECORDS STORED (IN TERABYTES), INDEX/METADATA SIZE (IN GIGA/TERABYTES), SEARCH RESPONSE TIME, FILE ACCESS TIME, ETC.**

F11.4. Performance

F11.4.1. ☐ The EDRMS should provide adequate response times for commonly performed functions under standard conditions;

F11.4.1.1. ☐ 75% of the total user population for a particular repository/organization logged on and active (potentially several thousand concurrent users);

F11.4.1.2. ☐ users performing a mix of system functions at various rates. *(Based on MoReq 11.2.1)*

F11.4.2. ☐ The EDRMS should be able to perform a simple search within 3 seconds and a complex search (combining four terms) within 10 seconds regardless of the storage capacity or number of files and records on the system. *(Based on MoReq 11.2.2)*

In this context, performing a search means returning a result list. It does not include retrieving the records themselves.

F11.4.3. ☐ The EDRMS should be able to retrieve and display within 4 seconds the first page of a record that has been accessed within the previous 3 months, regardless of storage capacity or number of files/records on the system. *(Based on MoReq 11.2.3)*

This requirement is intended to allow for rapid retrieval of frequently used records, on the understanding that frequency of use is typically correlated with recent use.

F11.4.4. ☐ The EDRMS should be able to retrieve and display within 20 seconds the first page of a record that has not been accessed within the previous 3 months, regardless of storage capacity or number of files/records on the system. . *(Based on MoReq 11.2.4)*

This requirement is intended to allow for cases where a form of hierarchical storage management is used, where records used infrequently are stored on slower media than more active records.

F11.4.5. ☐ It should be possible to expand the EDRMS, in a controlled manner, up to at least 30 thousand users while providing effective continuity of service. *(Based on MoReq 11.2.6)*

F11.4.6. ☐ The EDRMS should support the above scalability requirements, including routine maintenance of:

F11.4.6.1. ☐ user and group data;

F11.4.6.2. ☐ access profiles;

F11.4.6.3. ☐ classification schemes;

F11.4.6.4. ☐ databases;

F11.4.6.5. ☐ retention schedules;

in the face of the anticipated levels of organisational change, without imposing undue systems/account administration overheads. *(Based on MoReq 11.2.7)*

F11.5.   Openness, Connectivity and Standards

F11.5.1. ☐ The EDRMS should utilize industry standard components (without proprietary architectures), commonly available throughout the document management, imaging and workflow industries. *(Based on AIIM, p. 13)*

F11.5.2. ☐ The EDRMS should use industry standard interfaces for any scanning interface proposed, e.g. TWIN and ISIS.

F11.5.3. ☐ The proponent should indicate which third party document scanning/conversion applications they support or have successfully integrated with.

F11.5.4. ☐ The proponent should indicate what/which storage systems are supported e.g. drives and raw access; via the file system and data files; or file system and native record objects.

F11.5.5. ☐ The document management portion of the EDRMS should meet recommended industry standards, including:

F11.5.5.1. ☐ adherence to the Association for Information and Image Management's (AIIM) Document Management Alliance Specification (DMA) for software component interoperability;

F11.5.5.2. ☐ adherence to the Open Document Management API (ODMA) specifications for application programming interfaces. *(Based on AIIM, pp. 13, 19, 28)*

F11.5.6. ☐ The document management portion of the EDRMS should provide a rich set of programming interfaces that will integrate with applications as the BC government brings them into use. The EDRMS should enable the users to write applications, either client-server or thin client that will operate on MS Windows desktops, in one or more languages such as:

F11.5.6.1. ☐ Java;

F11.5.6.2. ☐ Visual Basic;

F11.5.6.3. ☐ C++

F11.5.6.4. ☐ Proprietary scripting/development environment.

F11.5.7. ☐ The document management portion of the EDRMS should support or provide the ability to build web-based access to documents in the system. This requirement means that the proposed solution should be able to transfer/receive information, metadata and records to/from an Enterprise Portal application for inter/intranet access.

THE PROPONENT SHOULD INDICATE WHICH PORTAL SOFTWARE THE PROPOSED DOCUMENT MANAGEMENT SYSTEM HAS BEEN LINKED TO.

F11.5.8. ☐ The EDRMS should support the storage of records using file formats and encoding which are either de jure standards or which are fully documented. *(Based on MoReq 11.4.4)*

F11.5.9. ☐ The EDRMS should conform to the search and retrieval and information exchange standards, including ISO 23950, Information retrieval – application service definition and protocol specification (ANSI Z39.50). *(Based on MoReq 11.4.5)*

F11.5.10. ☐ Relational databases used by the EDRMS should conform to the SQL standard, ISO/IEC 9075, Information technology – database languages – SQL *(Based on MoReq 11.4.6)*

F11.5.11. ☐ The EDRMS should store all country names in a format compliant with ISO 3166, Codes for the representation of names of countries. *(Based on MoReq 11.4.8)*

F11.5.12. ☐ The EDRMS should store all language names in a format compliant with ISO 639, Codes for the representation of names of languages. *(Based on MoReq 11.4.9)*

F11.5.13. ☐ If the EDRMS is to manage records in multiple languages or using non-English characters, it should be capable of handling ISO 8859-1 encoding. *(Based on MoReq 11.4.10)*

F11.5.14. ☐ If the EDRMS is to manage records in multiple languages or using non-English characters, it should be capable of handling ISO 10646 encoding (Unicode). *(Based on MoReq 11.4.11)*

F12. Technical Requirements

F12.1. Ability to Operate within BC Government Technology Infrastructure

F12.1.1. ☐ The EDRMS should be capable of operating within the current BC government Technology Infrastructure as outlined in **Appendix I** of this RFP.

ATTACH AN EXPLANATION OF THE PROPOSED APPROACH FOR MEETING THE TECHNICAL REQUIREMENTS; E.G.:

- **ABILITY OF THE PROPOSED EDRMS APPLICATION TO MEET THE REQUIREMENT "OUT OF THE BOX";**

- **REQUIRED APPLICATION CUSTOMIZATION;**

- **OTHER RELEVANT CONSIDERATIONS, INCLUDING ANY PRACTICAL LIMITS ON THE SIZE OF THE ELETRONIC RECORD STORE (X TERABYTES/X MILLION RECORDS) AND NUMBER OF USERS ABLE TO CONCURRENTLY USE THE EDRMS OR A PARTICULAR REPOSITORY WITHIN THE EDRMS.**

Request for Proposals

All enquiries related to this Request for Proposals, including any requests for information and clarification, are to be submitted by **October 18, 2021** and directed, in writing, to **Bradley.Weaver@bcogc.ca**, who will respond if time permits. Information obtained from any other source is not official and should not be relied upon. Enquiries and any responses will be recorded and may be distributed to all Proponents at the Commission's option.

RFP 21222005

Electronic Document and Records Management Planning in Microsoft 365

Closing Time: Proposal must be received electronically **before** 2:00 PM Pacific Time on: **October 29, 2021**

Delivery of Proposals

Proposals must be submitted electronically.

To: https://procurement.bcogc.ca/

Organization Overview

The BC Oil and Gas Commission (Commission) is an independent, single-window regulatory agency with responsibilities for overseeing oil and gas operations in British Columbia. Regulatory responsibility is delegated to the Commission through the *Oil and Gas* Activities *Act* and includes specified enactments under the *Forest Act, Heritage Conservation Act, Land Act, Environmental Management Act*, and *Water Act*. The operating costs of the Commission are funded through industry fees and levies on a cost recovery basis.

The Commission's core roles include reviewing and assessing applications for industry activity, consulting with First Nations, ensuring industry complies with provincial legislation and cooperating with partner agencies. The public interest is protected by ensuring public safety, protecting the environment, conserving petroleum resources and ensuring equitable participation in production.

The regulatory responsibility of the Commission extends from the exploration and development phases of oil and gas activities through to facilities operation, and ultimately decommissioning of industry projects. It is charged with balancing a broad range of environmental, economic and social considerations.

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A. Definitions and Administrative Requirements

1. Definitions
Throughout this Request for Proposals, the following definitions apply:
a) "Contract" means the written agreement resulting from this Request for Proposals executed by the Commission and the Contractor;
b) "Contractor" means the successful Proponent to this Request for Proposals who enters into a written Contract with the Commission;
c) "Must", or "mandatory" means a requirement that must be met in order for a proposal to receive consideration;
d) "Proponent" means an individual or a company that submits, or intends to submit, a proposal in response to this Request for Proposals;
e) "Commission" means the Oil and Gas Commission;
f) "Request for Proposals" means the process described in this document; and
g) "Should" or "desirable" means a requirement having a significant degree of importance to the objectives of the Request for Proposals.

2. Terms and Conditions
Submitting a proposal indicates acceptance of all the terms and conditions set out in the RFP, including those that follow and that are included in all appendices and any Addenda.

A proposal must be signed by a person authorized to sign on behalf of the Proponent with the intent to bind the Proponent to the RFP and to the statements and representations in the Proponent's proposal. A scanned copy of the signed cover page of this RFP is acceptable as is a cover letter identifying the Proponent, identifying the RFP and including a signature of an authorized representative of the Proponent that confirms the Proponent's intent to be bound. For proposals submitted to an electronic proposal constitutes the signature of an authorized representative of the Proponent and is acceptable without additional signature.

3. Electronic Submissions
For electronic submissions the following applies:
   a) The Proponent is solely responsible for ensuring that the complete electronic Proposal, is received before Closing Time;
   b) The maximum size of each attachment must be 500 MB or less and uploaded in a single attachment;
   c) Proponents should submit proposal submissions in a single upload and avoid sending multiple submissions for the same opportunity;
   d) Attachments must not be compressed, must not contain a virus or malware, must not be corrupted and must be able to be opened. Proponents submitting by electronic submission are solely responsible for ensuring that any emails or attachments are not corrupted. The Commission may reject proposals that are compressed, cannot be opened or that contain viruses or malware or corrupted attachments.

4. Additional Information Regarding the Request for Proposals
All subsequent information regarding this Request for Proposals, including changes made to this document will be posted on the BC Bid website at www.bcbid.ca. It is the sole responsibility of the Proponent to check for amendments on the BC Bid website.

5. Late Proposals
Proposals will be marked with their receipt time once submitted. Only complete proposals received and marked before closing time will be considered to have been received on time. Proposals that are received late will be marked late and will not be considered or evaluated. In the event of a dispute, the proposal receipt time as recorded by the electronic date stamp shall prevail whether accurate or not.

6. Eligibility
   a) Proposals will not be evaluated if the Proponent's current or past corporate or other interests may, in the Commission's opinion, give rise to a conflict of interest in connection with the project described in this Request for Proposals. This includes, but is not limited to, involvement by a Proponent in the preparation of this Request for Proposals. If a Proponent is in doubt as to whether there might be a conflict of interest, the Proponent should consult with the Commission Contract Management Analyst prior to submitting a proposal.
   b) Proposals from not-for-profit agencies will be evaluated against the same criteria as those received from any other Proponents.

7. Evaluation
Evaluation of proposals will be by a committee formed by the Commission and may include employees and contractors of the Commission. All personnel will be bound by the same standards of confidentiality. The Commission's intent is to enter into a Contract with the Proponent who has the highest overall ranking.

8. **Negotiation Delay**

   If a written Contract cannot be negotiated within thirty days of notification of the successful Proponent, the Commission may, at its sole discretion at any time thereafter, terminate negotiations with that Proponent and either negotiate a Contract with the next qualified Proponent or choose to terminate the Request for Proposals process and not enter into a Contract with any of the Proponents.

9. **Debriefing**

   At the conclusion of the Request for Proposals process, all Proponents will be notified of the award by BCBid. Unsuccessful Proponents may request a debriefing meeting with the Commission.

10. **Alternative Solutions**

    If alternative solutions are offered, please submit the information in the same format, as a separate proposal.

11. **Changes to Proposals**

    By submission of a clear and detailed written notification, the Proponent may amend or withdraw its proposal prior to the closing date and time. Upon closing time, all proposals become irrevocable. The Proponent 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 Commission for purposes of clarification.

12. **Proponents' Expenses**

    Proponents are solely responsible for their own expenses in preparing a proposal and for subsequent negotiations with the Commission, if any. If the Commission elects to reject all proposals, the Commission will not be liable to any Proponent for any claims, whether for costs or damages incurred by the Proponent in preparing the proposal, loss of anticipated profit in connection with any final Contract, or any other matter whatsoever.

c)

13. **Limitation of Damages**

    Further to the preceding paragraph, the Proponent, by submitting a proposal, agrees that it will not claim damages, for whatever reason, relating to the Contract or in respect of the competitive process, in excess of an amount equivalent to the reasonable costs incurred by the Proponent in preparing its proposal and the Proponent, by submitting a proposal, waives any claim for loss of profits if no Contract is made with the Proponent.

14. **Proposal Validity**

    Proposals will be open for acceptance for at least 90 days after the closing date.

15. **Firm Pricing**

    Prices will be firm for the entire Contract period unless this Request for Proposals specifically states otherwise.

16. **Currency and Taxes**

    Prices quoted are to be:
    a) In Canadian dollars;
    b) Inclusive of duty, where applicable; FOB destination, delivery charges included where applicable; and
    c) Exclusive of taxes

17. **Completeness of Proposal**

    By submission of a proposal the Proponent warrants that, if this Request for Proposals is to design, create or provide a system or manage a program, all components required to operate the system or manage the program have been identified in the proposal or will be provided by the Contractor at no charge.

18. **Subcontracting**
    a) Using a subcontractor (who should be clearly identified in the proposal) is acceptable. This includes a joint submission by two Proponents having no formal corporate links. However, in this case, one of these Proponents must be prepared to take overall responsibility for successful performance of the Contract and this should be clearly defined in the proposal.
    b) Subcontracting to any firm or individual whose current or past corporate or other interests may, in the Commission's judgment, give rise to a conflict of interest in connection with the project or program described in this Request for Proposals will not be tolerated. This includes, but is not limited to, any firm or individual involved in the formulation of this Request for Proposals. If a Proponent is in doubt as to whether a proposed subcontractor gives rise to a conflict of interest, the Proponent should consult with the Commission Contact Person listed on page 1 prior to submitting a proposal.
    c) Where applicable, the names of approved sub-contractors listed in the proposal will be included in the Contract. No additional subcontractors will be added, nor other changes made, to this list in the Contract without the written consent of the Commission.

19. Acceptance of Proposals

a) This Request for Proposals should not be construed as an agreement to purchase goods or services. The Commission is not bound to enter into a Contract with the Proponent who submits the lowest priced proposal or with any Proponent. Proposals will be assessed in light of the evaluation criteria. The Commission will be under no obligation to receive further information, whether written or oral, from any Proponent.

b) Neither acceptance of a proposal nor execution of a Contract will constitute approval of any activity or development contemplated in any proposal that requires any approval, permit or license pursuant to any federal, provincial, regional district or municipal statute, regulation or by-law.

20. Definition of Contract

Notice in writing to a Proponent that it has been identified as the successful Proponent and the subsequent full execution of a written Contract will constitute a Contract for the goods or services, and no Proponent will acquire any legal or equitable rights or privileges relative to the goods or services until the occurrence of both such events.

21. Contract

By submission of a proposal, the Proponent agrees that should its proposal be successful, the Proponent will enter into a Contract with the Commission in accordance with the terms of the [Commission's General Service Agreement.](#)

22. Liability for Errors

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

23. Modification of Terms

The Commission reserves the right to modify the terms of this Request for Proposals at any time in its sole discretion. This includes the right to cancel this Request for Proposals at any time prior to entering into a Contract with the successful Proponent.

24. Ownership of Proposals

All proposals submitted to the Commission become the property of the Commission. They will be received and held in confidence by the Commission, subject to the provisions of the *Freedom of Information and Protection of Privacy Act* and this Request for Proposals.

25. Use of Request for Proposals

Any part of this document, or any information provided by the Commission in relation to this Request for Proposals may not be used or disclosed, for any purpose other than for the submission of proposals. Without limiting the generality of the foregoing, by submission of a proposal, the Proponent agrees to hold in confidence all information provided by the Commission in relation to this Request for Proposals.

26. Reciprocity

The Commission may consider and evaluate any proposals from other jurisdictions on the same basis that the Commission purchasing authorities in those jurisdictions would treat a similar proposal from a British Columbia supplier.

27. No Lobbying

Proponents must not attempt to convey directly or indirectly with any employee, contractor or representative of the Commission, including the evaluation committee and any elected officials of the Commission, or with members of the public or the media, about the project described in this Request for Proposals or otherwise in respect of the Request for Proposals, other than as expressly directed or permitted by the Commission.

1. Summary of the Requirement

The BC Oil and Gas Commission (Commission) is seeking an interested party to create a management framework for unstructured electronic information, encompassing necessary analysis, planning and recommendations for the configuration of Microsoft 365 (M365) as a corporate recordkeeping system. The goal is to effectively manage the end-to-end life cycle of official Commission records in accordance with provincial legislation, policies and standards for government recordkeeping, in the places where staff collaborate and create records.

Secondary to this, the Commission requires an assessment of any functional gaps that may exist between M365 and the Commission's system requirements for Electronic Document and Records Management (EDRM) and provincial requirements.

This work will provide the Commission with a clearly defined framework and methodology for a "total" records management solution available to all employees.

2. Anticipated Schedule

The following table outlines the anticipated schedule for this RFP. All times identified in the table are in Pacific Time.

Event	Anticipated Date
Enquiries deadline	October 18, 2021
Request closing time	October 29, 2021, before 2:00PM PST
Interviews and reference checks as required	November 1-5, 2021
Preferred Proponent selected by	November 8, 2021
Commencement of work	November 2021

3. Commission Situation/Overview

The Commission is the provincial regulatory agency for permitting and overseeing oil and gas activities, from exploration and development through to operations and ultimately decommissioning of oil and gas industry projects under British Columbia jurisdiction. The Commission's current legislated mandate, regulatory framework, core activities and organizational structure are described in the 2020/21 - 2022/23 Service Plan available on the Commission's website at www.bcogc.ca.

3.1 Commission Responsibility

Oil and Gas Activities Act (OGAA):

The purposes of the Commission, outlined in Section 4 of the Oil and Gas Activities Act, are briefly summarized as follows:
- (a) to regulate oil and gas activities in British Columbia in a manner that
    - (i) provides for the sound development of the oil and gas sector, by fostering a healthy environment, a sound economy and social well-being,
    - (ii) conserves petroleum and natural gas resources,
    - (iii) ensures safe and efficient practices, and
    - (iv) assists owners of petroleum and natural gas resources to participate equitably in the production of shared pools of petroleum and natural gas;
- (b) to provide for effective and efficient processes for the review of applications for permits and to ensure that applications that are approved are in the public interest having regard to environmental, economic and social effects;
- (c) to encourage the participation of First Nations and aboriginal peoples in processes affecting them;
- (d) to participate in planning processes;
- (e) to undertake programs of education and communication in order to advance safe and efficient practices and the other purposes of the commission.

Information Management Act (IMA):

The Commission is subject to the provisions of the Information Management Act (IMA), government's primary information management law. Compliance with the IMA requires the head of a government body to ensure that an appropriate system is in place for creating and maintaining government information that is an adequate record of that government body's decisions.

Section 19 of the IMA defines the responsibility of the head, as follows:

Responsibility of head of government body

19 (1) The head of a government body is responsible for ensuring that an appropriate system is in place within the government body for managing and securing government information.

(1.1) Without limiting subsection (1), the head of a government body is responsible for ensuring that an appropriate system is in place within the government body for creating and maintaining, in accordance with applicable directives or guidelines issued under section 6 (1) *[directives and guidelines]*, government information that is an adequate record of that government body's decisions.

(2) The head of a government body must take reasonable steps to ensure that the government body

    (a) complies with directives issued under section 6 (1), and

    (b) is guided by guidelines issued under that section.

(3) [Repealed 2017-7-5.]

(4) The head of a government body must take reasonable steps to ensure that the government body complies with the following:

    (a) [Not in force.]

    (b) section 10 *[when information schedule applies]*;

    (c) section 13 *[information must be digitized before archiving]*.

(5) Despite subsection (4) (b), the head of a government body must ensure that no government information held by the government body is disposed of, except in accordance with an information schedule or an approval by the chief records officer under section 11 (1) (b) *[when no information schedule applies]*.

3.2 Commission Overview

The BC Oil and Gas Commission (Commission) has a complex array of information with long term value to the province, and a continuously evolving business and regulatory environment. As a government body, the Commission is required to manage its records using the government standard for classification, retention and disposition, including the *Administrative Records Classification System* (ARCS), the Commission's *Operational Records Classification System* (ORCS) and other approved records schedules. An integrated software solution is necessary to meet this responsibility and effectively manage Commission information, regardless of media, from creation to final disposition.

3.2.1   Background
The Records and Information Services and Information Systems and Technology branches have initiated a multi-phased approach to achieving a state of EDRM readiness.

Phase One: Information Schedule Redesign: The first phase, initiated in 2017, included modernization of the Commission's outdated Operational Records Classification System (ORCS), with the objective of:

•	Achieving media neutrality (to ensure official records can exist in any format);
•	Addressing functional gaps within the classification system (to ensure all records are covered); and
•	Reviewing record retention periods for appropriateness (to ensure records are being retained long enough to meet business and legal requirements).

This schedule amendment was approved by the Chief Records Officer and is being implemented through the shared drive classification project (see below). A second amendment is underway to cover new functional program areas and create a data retention plan for structured data in systems. This is considered a long-term project.

Phase Two: Classification of unstructured records on shared drives. This work commenced in 2019, and includes de-duplication, addressing long file paths, permission review, organization and classification of electronic records on shared drives in accordance with the Commission's ORCS, ARCS, and other applicable schedules. A program-by-program approach is being taken. This work is ongoing and recognized as a long-term initiative.

Phase Three: EDRM Needs Assessment. Completed in the spring of 2021, the Commission engaged an external consulting company to evaluate Commission EDRM requirements, based on the BC government EDRMS Request for Proposal (RFP). The final report outlined high level Commission EDRM system criteria (refer to *Appendix A: EDRM Business Requirements Summary*).

3.2.2   Current Situation
The Commission is migrating to Microsoft Office 365 (M365) and Azure for enterprise usage and intends to use existing M365 information governance functionality to manage unstructured digital records (both content created within M365 and currently residing on shared drives). While current licensing is E3, the Commission is intending to purchase additional E5 licensing in fall of 2021.

Unstructured records in the Commission exist in various locations:
- Multiple Shared Drives
- Outlook
- Teams
- OneDrive

Teams Sites have been created for departments and projects and continue to be established on a case-by-case basis. SharePoint sites have been provided for specific purposes. A key driver of this project is the need to determine the best approach to embed RM foundations in SharePoint as it is rolled out across the Commission and provide necessary RM foundations in the entire M365 environment.

4. Budget/Schedule

Funding to support this project in fiscal year 2021/2022 is $30,000. Proponents are encouraged to provide their best, realistic estimate for the work that they propose to meet the Commission's requirements. The Commission welcomes innovative proposals that reduce costs or duration, or that provide added value.

Preferred timeline for completion of contract deliverables is by **February 28, 2022,** or sooner, if possible.

5. Requirements

5.1 Scope of Services

The successful Proponent who enters into a written contract with the Commission is expected to provide the following services:

1. Delivery of a design for end-to-end records management within M365, including, but not limited to the labelling of content as a record (e.g., retention labels), retention requirements, specific deletion settings, specific permissions for records management functions, etc.
2. Recommendations and a detailed plan for configuring M365 as a recordkeeping system that addresses Commission requirements within the BC legislative and policy framework.
3. Analysis of any gaps between M365 functionality and Commission EDRM requirements.
4. Consultation, communications, and demonstrations with appropriate stakeholders.
5. Project schedule, and reporting – Proponent resources must be able to define project timelines, support meetings and/or reporting at the discretion of the Commission including regular status reports to inform on progress, risks, issues, spend to date, etc.
6. Presentation of findings to Commission Executive, if required.
7. Project closure – Proponent resources to be available to participate in project close out activities as required.

All deliverables will require the approval of the Commission before being accepted.

The Commission's Records and Information Services Branch will serve as the primary project contact. The Branch Director, and Specialist, EDRMS & Information Management Solutions will act as the product owners and work directly with the proponent as agreed to by both parties. Key members of the Information Systems Branch will be involved to provide necessary oversight, technical information and help facilitate contract deliverables.

5.2 Scope of Work

5.2.1 Understand Commission framework and environment

The selected Proponent will be able to demonstrate an understanding of the Commission's environment and how to ensure compliance with applicable legislation, policies, and best practices. This will include:

- Reviewing relevant documentation such as records classification and retention requirements, Commission M365 interim policies, and the EDRM Needs Assessment report.
- Understanding the current state of the unstructured data environment.
- Discussing project objectives, including high level goals and desired outcomes.

5.2.2 Develop a configuration plan that, at a minimum:

- Identifies the best approach/strategy for the Commission environment.
- Focuses on managing unstructured information within the M365 environment.
- Ensures a framework that supports collaboration.
- Provides configuration guidance for policies and retention labels and how they will be applied.
- Focuses on best practices and the user experience.
- Considers future migration of unstructured information into M365 through configuration.
- Addresses baseline metadata.
- Explore options for email classification and retention.

5.2.3 Document any gaps between Commission EDRM requirements and M365.

5.3 Deliverables

Project deliverables will include:

- A customized plan for an approach and methodology to configure M365 as a recordkeeping system. It will include practical guidance and instruction.
- Documented assessment and identification of any EDRM functional gaps that could impact the Commission's ability to comply with applicable legislation and policy.
- A project schedule.
- Status reports (format to be approved by Commission).
- Monthly invoicing including detailed hours worked.
- Executive presentation, if required.

5.4 Format Requirements

The following format, sequence, and instructions must be followed to provide consistency in Proponent response and ensure each proposal receives full consideration. With all pages consecutively numbered, the proposals should contain the following parts:

a) Table of contents with page numbers.

b) Executive summary.

c) The body of the proposal in accordance with the content requirements.

5.5 Content Requirements

Responses should be succinct and should focus on specific services and deliverables being proposed – please be considerate of the time it will take to review the submission.

To expedite a fair and unbiased proposal review process, the Commission's preference is for all proposals to use the following outline:

a) Project Approach (description the proposed approach, based on the scope described in section 5.2)
b) Costs/Schedule (including hourly rates, overall timelines, and total cost) provided in Canadian dollars (CAD).
c) Overall timeline
d) Budget breakdown
e) One example of **relevant** previous work
f) Resumes (max half page each)

6. Evaluation of Proponent Response

The evaluation of responses will be conducted by a team consisting of employees and/or contractors of the Commission. All members of the team will be bound by the same standards of confidentiality.

This section details all the mandatory and desirable criteria against which proposals will be evaluated. Proponents should ensure that they fully respond to all criteria to receive full consideration during the evaluation.

The lowest price or any Proposal will not necessarily be accepted. The Commission reserves the right to refuse any proposed based on quality, service, price, reputation, experience, and other criteria.

The Preferred Proponent will be the Proponent scoring the most points after evaluation. The evaluation process will consist of the following stages:

- Stage One – Mandatory Criteria
- Stage Two – Desirable Criteria
- Stage Three – Informational Interviews (optional and not scored)

6.1 Mandatory Criteria

Proposals not clearly demonstrating that they meet the following mandatory criteria will be excluded from further consideration during the evaluation process:

- **The Proposal must be received before the designated closing date and time.**
- **The Proposal must be in English.**
- **The Proponent must confirm that any personal information received, collected or held over the course of the review will be stored and used only in Canada.**
- **The Proposal must contain an independence and objectivity statement confirming the Proponent is free of any actual or perceived conflict of interest and free of bias with respect to the Commission, its officers, and employees.**

Failure to meet all mandatory criteria above will disqualify the Proponent's Proposal from further review.

6.2 Desirable Criteria

The Commission seeks to enter into an agreement with the Proponent who, in the opinion of the Commission, has the resources, knowledge and competence to provide the greatest value. Proposals meeting all the mandatory criteria will be further assessed against desirable criteria.

Desirable Criteria	Weight
Proponent's Qualifications and Relevant Experience • Proposal demonstrates Proponent's advanced understanding of records management principles and EDRM functionality. • Proposal demonstrates Proponent's advanced knowledge of M365's Records Management / Information Governance functionality.	40%
Suitability of Proposed Approach • Proposal provides a clearly defined plan to address project requirements.	40%
Pricing • Total price, hourly rates	20%

6.3 Informational Interviews

The top ranking (to a maximum of three) Proponents may be asked to attend an interview with the evaluation team. During the interview, the evaluation committee may clarify and/or verify statements made in the written Response.

The requirement for interviews is optional. The Commission reserves the right to complete the evaluation process without Proponent interviews.

7. Appendices

7.1 *Appendix A: EDRM Business Requirements Summary*

Electronic Document and Records Management

Business Requirements Summary

October 2021

Electronic Document and Records Management (EDRM)
Business Requirements Summary

Table of Contents

Statement of Confidentiality

The recipient of this document agrees that the information contained herein is confidential and shall remain the sole and exclusive property of the BC Oil and Gas Commission (Commission). Disclosure of this information by the Commission to the recipient shall not be construed as granting or conferring, by license or otherwise, any rights in or to the confidential information.

The recipient of this document further agrees that the confidential information obtained from this document shall be held in strict confidence, to be used exclusively for the purpose intended by the Commission and shall not be imparted by the recipient to others.

1. Introduction

1.1 Purpose

The primary purpose of this document is to set the requirements for the Commission to appropriately manage its electronic records. These requirements will create a benchmark which can be used to evaluate the acquisition and implementation of an Electronic Document and Records Management (EDRM) system or solution that offers an integrated records management and document management tool set. As a result of this initiative, all employees will have the ability to manage and search electronic and physical (hard copy) documents and records in a consistent manner from their desktops or via a web browser. While not a "requirement", the overarching principle is that the Commission will prioritize user experience (i.e., user-friendliness), specifically the ability to embed EDRMS functionality into user processes as seamlessly as possible.

1.2 Background

The Commission wishes to significantly improve its capability to manage the electronic documents and records in its possession. A key objective is to establish an infrastructure for effectively managing all Commission records in a consistent, logical manner, from creation to final disposition, using a common set of tools, standards, and policies.

2 Current Process

Processes and/or workflows being addressed by the EDRM system include:

- Maintenance of the Operational Records Classification System (ORCS) and Administrative Records Classification System (ARCS) classification and retention schedules;
- Application of ORCS and ARCS retention schedules to Commission electronic and hard copy information;
- Replacement of networked shared drives for managing electronic business and program records; and
- Replacement of excel spreadsheets and hard copy file lists for tracking and searching offsite hard copy collections.

System Scope

2.1 Business and Technical Objectives

The key objective of this specification is to provide an EDRM system capable of controlling the creation, use and final disposition of electronic and hard copy records across the Commission. The EDRM must be able to schedule records using the Commission's standard system for classification, retention and disposition, including the Administrative Records Classification System (ARCS), Operational Records Classification Systems (ORCS) and other approved records schedules.

2.2 Scope

The scope of the project is the management of records stored within networked shared drives and the offsite records holdings tracked within spreadsheets and file lists.

2.3 Risks and Issues

Resources & Funding
Additional resources for FTEs and well as application and development costs may be prohibitive depending on the variances identified with existing or planned technology solutions.

Education & Training
Management of change is a risk by altering how users access and manage their information. Moving information from one form of data structure and technology application to another raises the risk that some of the information content or context will be lost therefore hindering the ability to find and work with the information. Therefore, elements such as education, training and communication must be managed as part of the overall migration to EDRM.

File Plan
Context is often provided by the position of the information in the file plan or filing structure. This can help the user understand what business purpose the information serves. Information can become unusable without this additional context. A lower-level folder titled simply with a date, for instance, tells the user very little about its contents. To maintain the context of the information in the form of its location in the original file plan or organization structure, there is a need to ensure that this contextual folder structure can be migrated alongside the content or hold this information in a metadata field or new file naming standard.

Metadata
There is a risk that the default system generated metadata will be altered upon migration to the EDRM system. Last modified date and author are two examples of metadata that may become critical pieces of metadata that will require consideration based on the records collections.

Embedded Objects and Links
There is a risk that by migrating documents to an EDRMS, embedded objects and links between documents and attachments could be lost. There is no standard way of exporting this information, which is usually created and managed internally in a way that is not designed for import into another system. Examples include spreadsheets linked to other spreadsheets within another network folder, between a document and associated charts or graphics, links to external websites and databases and directory shortcuts.

Security Classifications and Permissions
Appropriate security controls must be assigned to prevent risk of breaches of confidentiality or disclosure of sensitive information.

2.4 Constraints

Capacity to retroactively align legacy IT system are limited although future systems will be developed to ensure compliance with Commission records governance requirements.

3 Requirements

Requirements have been grouped into sections based on their business objectives. Each section contains well-defined requirements and priorities.

Legend

Legend provides details on how individual requirements are defined in this document.

Req ID	Requirements identification number
Title	Requirement title
Project Priority	Priority of each individual requirement [Mandatory, Desirable]

3.1 Functional Requirements

The requirements address the business objectives gathered from the BCOGC.

Req ID:	1.0	Title:	Basic Requirements	Project Priority
1.01 Fully integrated document and records management functions for electronic and hard copy records available on desktops and web browsers.				Mandatory
1.02 Support management of records including but not limited to MS Office, Outlook, images, voicemail, desktop publishing, graphics, facsimiles, scanned documents, voice files, video files, digital schematics and maps.				Mandatory
1.03 Enable the authenticity, integrity, stability, and accessibility of electronic records over time, across systems and across formats.				Mandatory
1.04 Maintain standard metadata about electronic documents and files.				Mandatory
1.05 Maintain audit trails of actions taken on records.				Mandatory
1.06 Maintain the classification systems, i.e. enter new classifications, flag classifications as draft, and change to approved, change a retention that is already applied to a record, office of primary responsibility (OPR/NON-OPR) tags, etc.				Mandatory

Req ID:	2.0	Title:	Identifying and Documenting Records	Project Priority
2.01 Records must be classified in accordance with the established ORCS/ARCS classification systems.				Mandatory
2.02 When classified, the appropriate retention schedule must be applied.				Mandatory
2.03 Support the determination of the office of primary responsibility (OPR).				Mandatory
2.04 Allow for inheritance of records classification through parent and child relationships of folders or document containers.				Mandatory
2.05 Support the management of hybrid files containing both hard copy and electronic components in an integrated manner.				Mandatory
2.06 Support confidential data elements for protection of classes or sub-sets of records for public release.				Mandatory
2.07 Capture all the volumes relating to a file.				Mandatory
2.08 Allow for profile information to be amended or corrected.				Mandatory
2.09 Allow for creation of cross-references or 'see also' type of links between related files.				Mandatory

Req ID:	3.0	Title:	Metadata	Project Priority
3.01 Establish mandatory profile metadata for records including: unique identifiers, classification codes, file name, create date, modified date, date range of records, author.				Mandatory
3.02 Support specific sets of metadata elements for different types of electronic records i.e. UWI for well files.				Mandatory
3.03 Support specific sets of metadata elements for physical folders i.e. location for physical records, first and last dates for a physical volume, box number, accession numbers for off-site transfers.				Mandatory
3.04 Support multiple formats for metadata including free form text, alphanumeric, numeric, dates, logical (y/n, true/false).				Mandatory
3.05 Support inherited metadata elements.				Mandatory

Req ID:	4.0	Title:	Document Management	Project Priority
4.01 Support the checking in, locking or checking out of documents for editing by multiple users.				Mandatory
4.02 Support version control - allowing the user to determine whether minor or major versions are to be captured.				Mandatory
4.03 Issue a warning if a user attempts to save a document that has already been saved in the same file.				Mandatory

Req ID:	5.0	Title:	Preservation of Records	Project Priority
5.01 Records must be maintained on media and in formats that ensure they are readable and accessible for the duration of their active and semi-active retention periods.				Mandatory
5.02 Records scheduled for full or selective retention must be maintained on stable media appropriate for permanent retention.				Mandatory
5.03 The record format or media must be stable and not compromise the Commission's responsibilities or ability to use the information.				Mandatory
5.04 Document formats supported should be extendable as new formats are introduced.				Desirable
5.05 Profile information must be linked to records in a way that ensures they are identifiable and authentic, and the context of their creation and use is maintained.				Mandatory
5.06 Records moved to different media or electronic records moved to another custodian must maintain their context and authenticity.				Mandatory

Req ID:	6.0	Title:	Retention Scheduling	Project Priority
6.01 Support retention periods based on time (calendar year, fiscal year, trigger events or event / time retentions).				Mandatory
6.02 Designate active status at the file level and apply to all volumes.				Mandatory
6.03 Allow authorized users to change disposition assigned to a file at any time during its entire lifecycle.				Mandatory
6.04 Change file status when the active retention period elapses or when a defined trigger event occurs.				Mandatory
6.05 Provide 'scheduling date' to be set at the end of the scheduled active retention period - used to calculate when the file is eligible for final disposition.				Mandatory

6.06 The date of the last record of a file may or may not be the same as the date on which the file's active retention period elapses.	Desirable
6.07 A file with a semi-active retention period of "nil" (i.e., there is no semi-active retention period) moves to the end of its active and semi-active status at the same time.	Desirable

Req ID:	7.0	Title:	Transferring Records	Project Priority
7.01 New location of a file or volume must be captured.				Mandatory
7.02 Volumes of one file may be transferred together or individually.				Mandatory
7.03 Accession information must be captured for physical off-site storage facilities.				Mandatory

Req ID:	8.0	Title:	Final Disposition	Project Priority
8.01 Support final disposition types such as Destruction, Full Retention, Selective Retention or Other Disposition.				Mandatory
8.02 Calculate retention periods and eligible disposition dates from 'scheduling date'.				Mandatory
8.03 Permit authorized users to suspend retention periods and final disposition by applying a Hold that affects all components of a file or classes of files and permit them to lift a Hold.				Mandatory
8.04 Authorize final disposition by designated individual(s).				Mandatory
8.05 Apply final disposition to the entire container when files are stored in boxes or containers.				Mandatory
8.06 Calculate disposition date for box based on file with the longest retention.				Desirable
8.07 Permit destruction of electronic files so that they cannot be restored by use of a data recovery facility.				Mandatory
8.08 Support batch destruction or transfer upon authorized approval and confirmation.				Mandatory
8.09 Export whole electronic files without degradation, with metadata and associated file volumes.				Mandatory
8.10 Retain all electronic files until confirmation of successful transfer.				Desirable
8.11 Retain selected metadata for files destroyed or transferred.				Mandatory

Req ID:	9.0	Title:	Redaction	Project Priority
9.01 Prompt the creator of a redacted document to assign it to a file and store a cross reference to the original, potentially the same file or volume as the original record - even if record is closed.				Desirable

Req ID:	10.0	Title:	Workflow	Project Priority
10.01 Support the scheduling, review and transfer process by tracking progress of review, records awaiting disposal, records awaiting transfer.				Mandatory
10.02 Support records scheduling disposition including review of records due for destruction, export of electronic files for permanent preservation and destruction of electronic file contents.				Mandatory
10.03 Initiate the disposal notification workflow to named users as specified once retention period has been reached and allow them to mark the file for deletion, transfer or change the retention period and record comments.				Mandatory

10.04 Support the construction of workflows for ad-hoc processes by authorized individuals.	Mandatory

Req ID:	*11.0*		**Title:**	*Reporting*		**Project Priority**
Ability to produce reports on multiple, user defined parameters including, but not limited to the following: • File contents, both hard copy and electronic with or without attributes • Classification and retention schedules • Files to which a specified retention schedule is assigned • Files to which a specified classification is assigned • Files to which a specified OPR is assigned • All files eligible for transfer or disposition • Frequency of retention period report, information reported and exceptions such as disposals overdue • Documents and all links for which it is a destination. • Records destruction of both electronic and physical records • Records marked for permanent preservation, export or transfer • Search parameters and results • Term stores or metadata values • Audit trails • Box content lists • Records designated for File Holds • Management reports of statistics, usage, etc.						Mandatory

Req ID:	*12.0*		**Title:**	*Searching*		**Project Priority**
12.01 Allow searching by classification codes, enterprise wide or 'from here', metadata, full text searching.						Mandatory
12.02 Include searching of electronic and hard copy collections.						Mandatory
12.03 Allow searching for free-text, Boolean, wild card, proximity, saved searches, refine searches, time intervals, full text.						Mandatory
12.04 Display or save the search results.						Mandatory
12.05 Do not display search results if the User does not have permission to see or access results.						Mandatory

Req ID:	*13.0*		**Title:**	*Migration and Bulk Loading*		**Project Priority**
13.01 Provide capability for authorized users to bulk load pre-existing hard copy file and volume records, electronic records and pre-determined metadata values.						Mandatory
13.02 Support the rendition of records marked for transfer or export in XML, TIFF or CSV formats.						Mandatory
13.03 Allow bulk conversion of records (with their metadata and audit trail information) to other media or systems in line with the standards relevant for the formats in use.						Mandatory

3.2   Non - Functional Requirements

The requirements may originate from leveraging the Commission's hardware and software. Requirements may also address the technical and business objectives gathered from the Commission.

3.2.1 Audit Logs

These requirements will be specific to ensuring that systems can be monitored.

Req ID:	AL 1.0		Title:	Auditing Logs		Project Priority
AL 1.01 Ability to monitor system including: • Authorized Access (UserID, Date/Time, Event Type, Resource Access) • Privileged Operations (Admin accounts access, System start/stop) • Failed access alerts (logon, data access)						Mandatory
AL 1.02 Retain audit trail information for as long as required						Mandatory

3.2.2 Security Controls

These requirements will be specific to ensuring that system/data access is restricted as required, and define authentication approach.

Req ID:	SC 1.0		Title:	Security Controls		Project Priority
SC 1.01 Restrict access in the system to authorized users.						Mandatory
SC 1.02 Allow for predetermined security policies assigned to records categories.						Mandatory
SC 1.03 Access restrictions based on security group membership (functionality and data.)						Mandatory
SC 1.04 Allow users to grant access to other users or groups to allow access to records for which they are responsible.						Mandatory
SC 1.05 Do not allow a user to view or include search results for which the user does not have rights to access.						Mandatory
SC 1.06 Integration with authentication methods for access to EDRM.						Mandatory
SC 1.08 New database security groups.						Mandatory
SC 1.09 Must support authentication with M365.						Mandatory
SC 1.10 Must use SSL for all traffic.						Mandatory

3.2.3 Input Data Validations

Req ID:	ID 1.0		Title:	Input Data Validations		Project Priority
ID 1.01 These requirements will be specific to ensuring that the quality and validity of the data input into the system is enforced, for example: • Limit field to specific data ranges • Define data types • Identify if field is mandatory or non mandatory • Identify if NULL value acceptable • Where applicable, define a finite list of acceptable values						Desirable

- Verify plausibility of value where possible
- Ensure key data cannot be overwritten or edited unless required – if required, audit functionality requirements should be gathered

3.2.4 Web Interface Design Requirements

These requirements will define standard look and feel for application interfaces (not all will always apply), for example:

Req ID:	*WI 1.0*		Title:	*Web Interface*		Project Priority
WI 1.01 Must display the Commission (BCOGC) logo in the header						Desirable
WI 1.02 Must provide link to BCOGC main website in footer						Desirable
WI 1.03 Must display BCOGC Copyright in footer						Desirable
WI 1.04 Must use BCOGC color scheme of olivedrab (#679147), midnightblue (#00456a) and white (#ffffff)						Desirable
WI 1.05 Must support HTML5 compatible browsers						Desirable
WI 1.06 Must scale to support mobile-friendly browsers						Desirable

3.2.5 Confidential Data Requirements

If the system manages or presents any 'confidential data', requirements must be defined to confirm they are managed appropriately.

Req ID:	*CD 1.0*		Title:	*Confidential Data*		Project Priority
CD 1.01 Ensure confidential data (security) requirements limit access to those who should be able to view this data; or need to ensure no confidential data requirements are presented. i.e. Payroll, HR, personnel records, third party landowner information.						Mandatory

Request for Proposals

All enquiries related to this Request for Proposals, including any requests for information and clarification, are to be submitted by **November 26, 2021** and directed, in writing, to **procurement@bcogc.ca,** who will respond if time permits. Information obtained from any other source is not official and should not be relied upon. Enquiries and any responses will be recorded and may be distributed to all Proponents at the Commission's option.

RFP # 21422003

Modern Digital Workplace

Closing Time: Proposal must be received electronically before 2:00 PM Pacific Time on: December 3, 2021

Delivery of Proposals

Proposals must be submitted electronically.

To: https://procurement.bcogc.ca/

Proponent's Meeting

A Proponent's meeting will not be held.

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Organization Overview

The BC Oil and Gas Commission (Commission) is an independent, single-window regulatory agency with responsibilities for overseeing oil and gas operations in British Columbia. Regulatory responsibility is delegated to the Commission through the *Oil and Gas* Activities *Act* and includes specified enactments under the *Forest Act, Heritage Conservation Act, Land Act, Environmental Management Act*, and *Water Sustainability Act*. The operating costs of the Commission are funded through industry fees and levies on a cost recovery basis.

The Commission's core roles include reviewing and assessing applications for industry activity, consulting with First Nations, ensuring industry complies with provincial legislation and cooperating with partner agencies. The public interest is protected by ensuring public safety, protecting the environment, conserving petroleum resources and ensuring equitable participation in production.

The regulatory responsibility of the Commission extends from the exploration and development phases of oil and gas activities through to facilities operation, and ultimately decommissioning of industry projects. It is charged with balancing a broad range of environmental, economic and social considerations.

A. Definitions and Administrative Requirements

1. Definitions
Throughout this Request for Proposals, the following definitions apply:
a) "Contract" means the written agreement resulting from this Request for Proposals executed by the Commission and the Contractor;
b) "Contractor" means the successful Proponent to this Request for Proposals who enters into a written Contract with the Commission;
c) "Must", or "mandatory" means a requirement that must be met in order for a proposal to receive consideration;
d) "Proponent" means an individual or a company that submits, or intends to submit, a proposal in response to this Request for Proposals;
e) "Commission" means the Oil and Gas Commission;
f) "Request for Proposals" means the process described in this document; and
g) "Should" or "desirable" means a requirement having a significant degree of importance to the objectives of the Request for Proposals.

2. Terms and Conditions
Submitting a proposal indicates acceptance of all the terms and conditions set out in the RFP, including those that follow and that are included in all appendices and any Addenda.

A proposal must be signed by a person authorized to sign on behalf of the Proponent with the intent to bind the Proponent to the RFP and to the statements and representations in the Proponent's proposal. A scanned copy of the signed cover page of this RFP is acceptable as is a cover letter identifying the Proponent, identifying the RFP and including a signature of an authorized representative of the Proponent that confirms the Proponent's intent to be bound. For proposals submitted to an electronic proposal constitutes the signature of an authorized representative of the Proponent and is acceptable without additional signature.

3. Electronic Submissions
For electronic submissions the following applies:
a) The Proponent is solely responsible for ensuring that the complete electronic Proposal, is received before Closing Time;
b) The maximum size of each attachment must be 500 MB or less and uploaded in a single attachment;
c) Proponents should submit proposal submissions in a single upload and avoid sending multiple submissions for the same opportunity;
d) Attachments must not be compressed, must not contain a virus or malware, must not be corrupted and must be able to be opened. Proponents submitting by electronic submission are solely responsible for ensuring that any emails or attachments are not corrupted. The Commission may reject proposals that are compressed, cannot be opened or that contain viruses or malware or corrupted attachments.

4. Additional Information Regarding the Request for Proposals
All subsequent information regarding this Request for Proposals, including changes made to this document will be posted on the BC Bid website at www.bcbid.ca. It is the sole responsibility of the Proponent to check for amendments on the BC Bid website.

5. Late Proposals
Proposals will be marked with their receipt time once submit. Only complete proposals received and marked before closing time will be considered to have been received on time. Proposals that are received late will be marked late and will not be considered or evaluated. In the event of a dispute, the proposal receipt time as recorded by the electronic date stamp shall prevail whether accurate or not.

6. Eligibility
a) Proposals will not be evaluated if the Proponent's current or past corporate or other interests may, in the Commission's opinion, give rise to a conflict of interest in connection with the project described in this Request for Proposals. This includes, but is not limited to, involvement by a Proponent in the preparation of this Request for Proposals. If a Proponent is in doubt as to whether there might be a conflict of interest, the Proponent should consult with the Commission Procurement Specialist prior to submitting a proposal.
b) Proposals from not-for-profit agencies will be evaluated against the same criteria as those received from any other Proponents.

7. Evaluation
Evaluation of proposals will be by a committee formed by the Commission and may include employees and contractors of the Commission. All personnel will be bound by the same standards of confidentiality. The Commission's intent is to enter into a Contract with the Proponent who has the highest overall ranking.

8. Negotiation Delay
If a written Contract cannot be negotiated within thirty days of notification of the successful Proponent, the Commission may, at its sole discretion at any time thereafter, terminate negotiations with that Proponent and either negotiate a Contract with the next qualified Proponent or choose to terminate the Request for Proposals process and not enter into a Contract with any of the Proponents.

9. Debriefing
At the conclusion of the Request for Proposals process, all Proponents will be notified of the award by BCBid. Unsuccessful Proponents may request a debriefing meeting with the Commission.

10. Alternative Solutions
If alternative solutions are offered, please submit the information in the same format, as a separate proposal.

11. Changes to Proposals
By submission of a clear and detailed written notification, the Proponent may amend or withdraw its proposal prior to the closing date and time. Upon closing time, all proposals become irrevocable. The Proponent 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 Commission for purposes of clarification.

12. Proponents' Expenses
Proponents are solely responsible for their own expenses in preparing a proposal and for subsequent negotiations with the Commission, if any. If the Commission elects to reject all proposals, the Commission will not be liable to any Proponent for any claims, whether for costs or damages incurred by the Proponent in preparing the proposal, loss of anticipated profit in connection with any final Contract, or any other matter whatsoever.

13. Limitation of Damages
Further to the preceding paragraph, the Proponent, by submitting a proposal, agrees that it will not claim damages, for whatever reason, relating to the Contract or in respect of the competitive process, in excess of an amount equivalent to the reasonable costs incurred by the Proponent in preparing its proposal and the Proponent, by submitting a proposal, waives any claim for loss of profits if no Contract is made with the Proponent.

14. Proposal Validity
Proposals will be open for acceptance for at least 90 days after the closing date.

15. Firm Pricing
Prices will be firm for the entire Contract period unless this Request for Proposals specifically states otherwise.

16. Currency and Taxes
Prices quoted are to be:
a) In Canadian dollars;
b) Inclusive of duty, where applicable; FOB destination, delivery charges included where applicable; and
c) Exclusive of taxes

17. Completeness of Proposal
By submission of a proposal the Proponent warrants that, if this Request for Proposals is to design, create or provide a system or manage a program, all components required to operate the system or manage the program have been identified in the proposal or will be provided by the Contractor at no charge.

18. Subcontracting
a) Using a subcontractor (who should be clearly identified in the proposal) is acceptable. This includes a joint submission by two Proponents having no formal corporate links. However, in this case, one of these Proponents must be prepared to take overall responsibility for successful performance of the Contract and this should be clearly defined in the proposal.
b) Subcontracting to any firm or individual whose current or past corporate or other interests may, in the Commission's judgment, give rise to a conflict of interest in connection with the project or program described in this Request for Proposals will not be tolerated. This includes, but is not limited to, any firm or individual involved in the formulation of this Request for Proposals. If a Proponent is in doubt as to whether a proposed subcontractor gives rise to a conflict of interest, the Proponent should consult with the Commission Contact Person listed on page 1 prior to submitting a proposal.
c) Where applicable, the names of approved sub-contractors listed in the proposal will be included in the Contract. No additional subcontractors will be added, nor other changes made, to this list in the Contract without the written consent of the Commission.

19. Acceptance of Proposals
a) This Request for Proposals should not be construed as an agreement to purchase goods or services. The Commission is not bound to enter into a Contract with the Proponent who submits the lowest priced proposal or with any Proponent. Proposals will be assessed in light of the evaluation criteria. The Commission will be under no obligation to receive further information, whether written or oral, from any Proponent.
b) Neither acceptance of a proposal nor execution of a Contract will constitute approval of any activity or development contemplated in any proposal that requires any approval, permit or license pursuant to any federal, provincial, regional district or municipal statute, regulation or by-law.

20. Definition of Contract
Notice in writing to a Proponent that it has been identified as the successful Proponent and the subsequent full execution of a written Contract will constitute a Contract for the goods or services, and no Proponent will acquire any legal or equitable rights or privileges relative to the goods or services until the occurrence of both such events.

21. Contract
By submission of a proposal, the Proponent agrees that should its proposal be successful, the Proponent will enter into a Contract with the Commission in accordance with the terms of the Commission's General Service Agreement.

22. Liability for Errors
While the Commission has used considerable efforts to ensure the information in this Request for Proposals is accurate, the information contained in this Request for Proposals is supplied solely as a guideline for Proponents. The information is not guaranteed or warranted to be accurate by the Commission, nor is it necessarily comprehensive or exhaustive. Nothing in this Request for Proposals is intended to relieve Proponents from forming their own opinions and conclusions with respect to the matters addressed in this Request for Proposals.

23. Modification of Terms
The Commission reserves the right to modify the terms of this Request for Proposals at any time in its sole discretion. This includes the right to cancel this Request for Proposals at any time prior to entering into a Contract with the successful Proponent.

24. Ownership of Proposals
All proposals submitted to the Commission become the property of the Commission. They will be received and held in confidence by the Commission, subject to the provisions of the *Freedom of Information and Protection of Privacy Act* and this Request for Proposals.

25. Use of Request for Proposals
Any part of this document, or any information provided by the Commission in relation to this Request for Proposals may not be used or disclosed, for any purpose other than for the submission of proposals. Without limiting the generality of the foregoing, by submission of a proposal, the Proponent agrees to hold in confidence all information provided by the Commission in relation to this Request for Proposals.

26. Reciprocity
The Commission may consider and evaluate any proposals from other jurisdictions on the same basis that the Commission purchasing authorities in those jurisdictions would treat a similar proposal from a British Columbia supplier.

27. No Lobbying
Proponents must not attempt to convey directly or indirectly with any employee, contractor or representative of the Commission, including the evaluation committee and any elected officials of the Commission, or with members of the public or the media, about the project described in this Request for Proposals or otherwise in respect of the Request for Proposals, other than as expressly directed or permitted by the Commission.

B. Requirements and Responses

1. Summary of the Requirement

The Commission is seeking interested parties to architect and develop a high availability, collaborative and integrated digital workplace built on the M365 platform. The Commission is licensed at an E5 level. Certain foundational elements of M365 have already been implemented and this project is aimed at extending the capabilities to address collaboration, knowledge sharing, improved search, and digital socialization aspects of a modern workplace. The Commission is also seeking support in establishing and participating in a sustainable governance model, as well as establishing and implementing a user centric adoption plan.

2. Anticipated Schedule

The following table outlines the anticipated schedule for this RFP. All times identified in the table are in Pacific Time.

Event	Anticipated Date
Enquiries deadline	November 26, 2021
Request closing time	December 3, 2021
Interviews and reference checks, as required	December 6-10, 2021
Preferred Proponent selected by	December 13, 2021
Commencement of work	January 2022

3. Commission Situation/Overview

The Commission is the provincial regulatory agency for permitting and overseeing oil and gas activities, from exploration and development through to operations and ultimately decommissioning of oil and gas industry projects under British Columbia jurisdiction. The Commission's current legislated mandate, regulatory framework, core activities and organizational structure are described in the 2021/22 – 2023/24 Service Plan available on the Commission's website at www.bcogc.ca.

3.1 Commission Responsibility

The purposes of the Commission, outlined in Section 4 of the Oil and Gas Activities Act, are briefly summarized as follows:
  (a) to regulate oil and gas activities in British Columbia in a manner that
    (i) provides for the sound development of the oil and gas sector, by fostering a healthy environment, a sound economy and social well-being,
    (ii) conserves petroleum and natural gas resources,
    (iii) ensures safe and efficient practices, and
    (iv) assists owners of petroleum and natural gas resources to participate equitably in the production of shared pools of petroleum and natural gas;
  (b) to provide for effective and efficient processes for the review of applications for permits and to ensure that applications that are approved are in the public interest having regard to environmental, economic and social effects;
  (c) to encourage the participation of First Nations and aboriginal peoples in processes affecting them;
  (d) to participate in planning processes;
  (e) to undertake programs of education and communication in order to advance safe and efficient practices and the other purposes of the commission.

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3.2 Background

The Commission's current intranet, MyOGC, was created in 2012, with a "refresh" in navigation in 2014. It is built on Drupal as a traditional intranet site and is nearing end-of life. It has been a significant internal communication tool for Commission news and updates to staff, but it has more recently been repurposed to meet new needs with non-optimal results. By modern standards, MyOGC is outdated in appearance, navigation, search, functionality, ease of use, and ease of administration.

In 2020, the Commission entered into an enterprise agreement with Microsoft for M365 services. This agreement entitles the Commission to use several Microsoft products including their online cloud services. M365 provides the Commission with an opportunity to modernize its workplace and advance its enterprise maturity. The Commission has already implemented some M365 foundational elements and services to enable a collaborative and remote work force. The Commission has already implemented the following M365 services to date:
- o Identity Management
    - ▪ Azure Active Directory with multi-factor authentication
- o Office 365 Suite of apps and client software (Word, Excel, PowerPoint, One Note)
- o Exchange Online / Outlook
- o Microsoft Teams (including Team sites)
- o Security and Threat Detection (Azure ATP, Azure Sentinel)

To expand on the M365 foundations and seek a replacement for MyOGC, the Commission undertook a study to evaluate M365 services to use as an intranet replacement. The resulting recommendations were to take a holistic approach to M365 and using the platform as the next step in the evolution of the Commission's digital workplace.

3.3 Expected Project Outcomes

This initiative will be deemed successful when the following outcomes are realized. Based on staff interviews conducted during M365 evaluation, and in alignment with the Commission's Digital Workplace Program, this initiative aims to accomplish the following outcomes:
- Implement workplace tools that are user friendly and intuitive
- Ensure information is easily searchable and securely shareable
- Collaborate in real time, and remotely, in a digital environment
- Effectively manage asynchronous communication
- Socialize with other staff in a virtual environment using modern platforms
- Support communication and information access on the go securely (e.g., on mobile devices)
- Provide department ownership and control over their content
- Provide user process centric training to ensure effective adoption across staff with varied learning methods and demographics
- Ensure document libraries and migration of documents are aligned with the Commission's Electronic Document Retention and Management (EDRM) plan and recommendations
- Ensure a smooth process for complying with records management policies (e.g., applying document tags and retention policies)
- Apply governance structures that provide effective oversight to ensure a sustainable workplace implementation
- Supply a sustainable and scalable digital workplace architecture and processes to ensure effective ongoing operations
- Guarantee all services comply with the Freedom of Information and Protection of Privacy Act (FOIPPA), IT Infrastructure best practices, Commission's cybersecurity, and record management policies

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4. Requirements

4.1 Scope of Services

4.1.1 Product Scope

The integration of these M365 services might be visioned as follows:
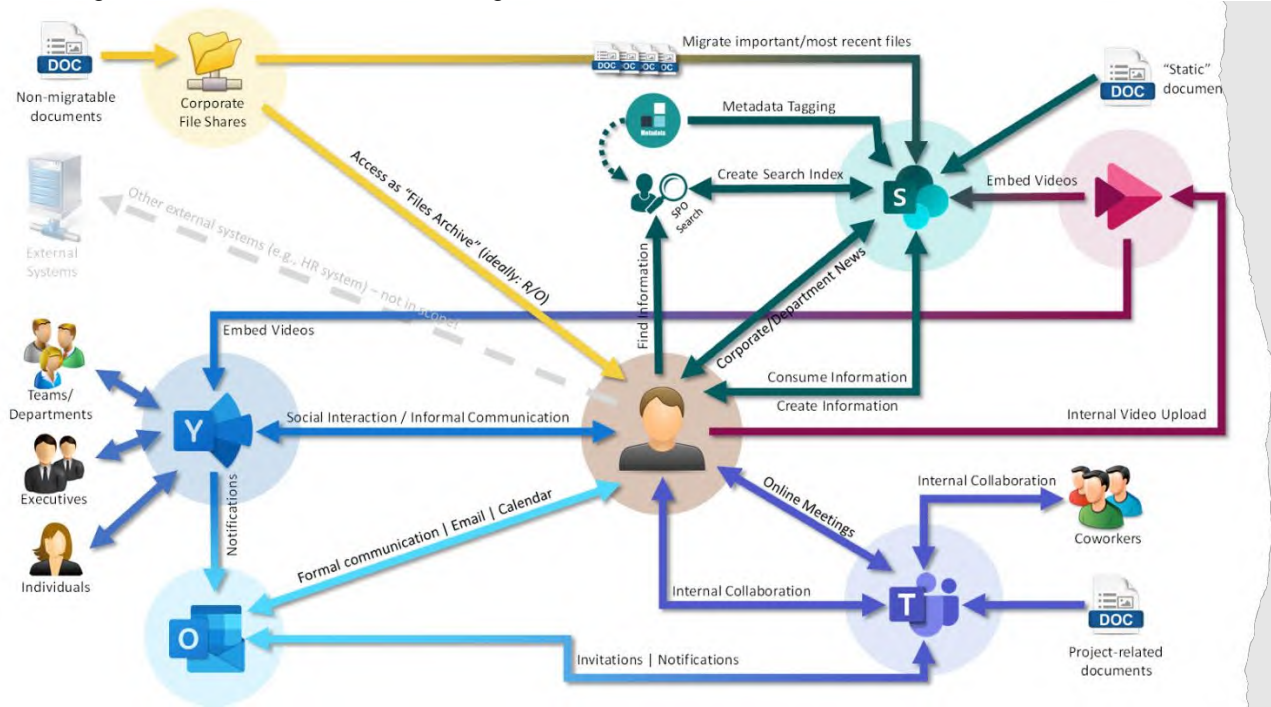
The Commission expects the following to be part of the implementation:
- Technical and Logical SharePoint structure
  - o The Commission is leaning towards a flat technical structure (i.e. not using subsites) to ensure ongoing flexibility
  - o Sites can include employee facing sites (i.e. corporate), department sites (focused on individual departments), and project sites (focused on cross department teams)
  - o An example of a department site using a flat structure might look like the image below:
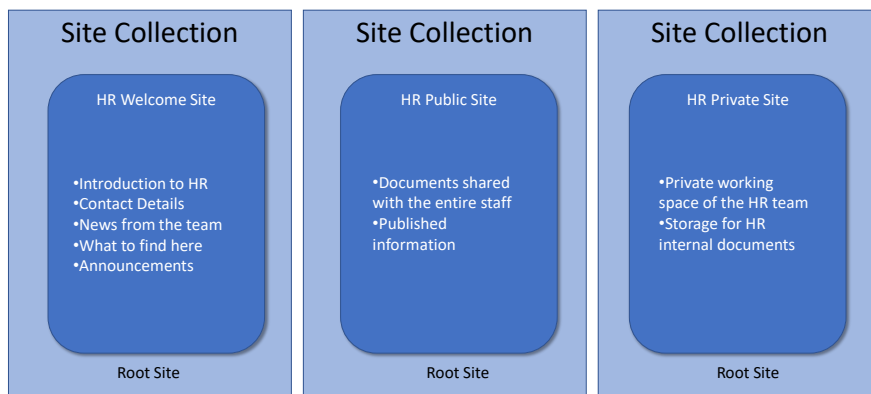
  - o The logical structure (navigation, hierarchy, etc.) will be developed in parallel using the Navigation Mega Menu. An example is shown below:

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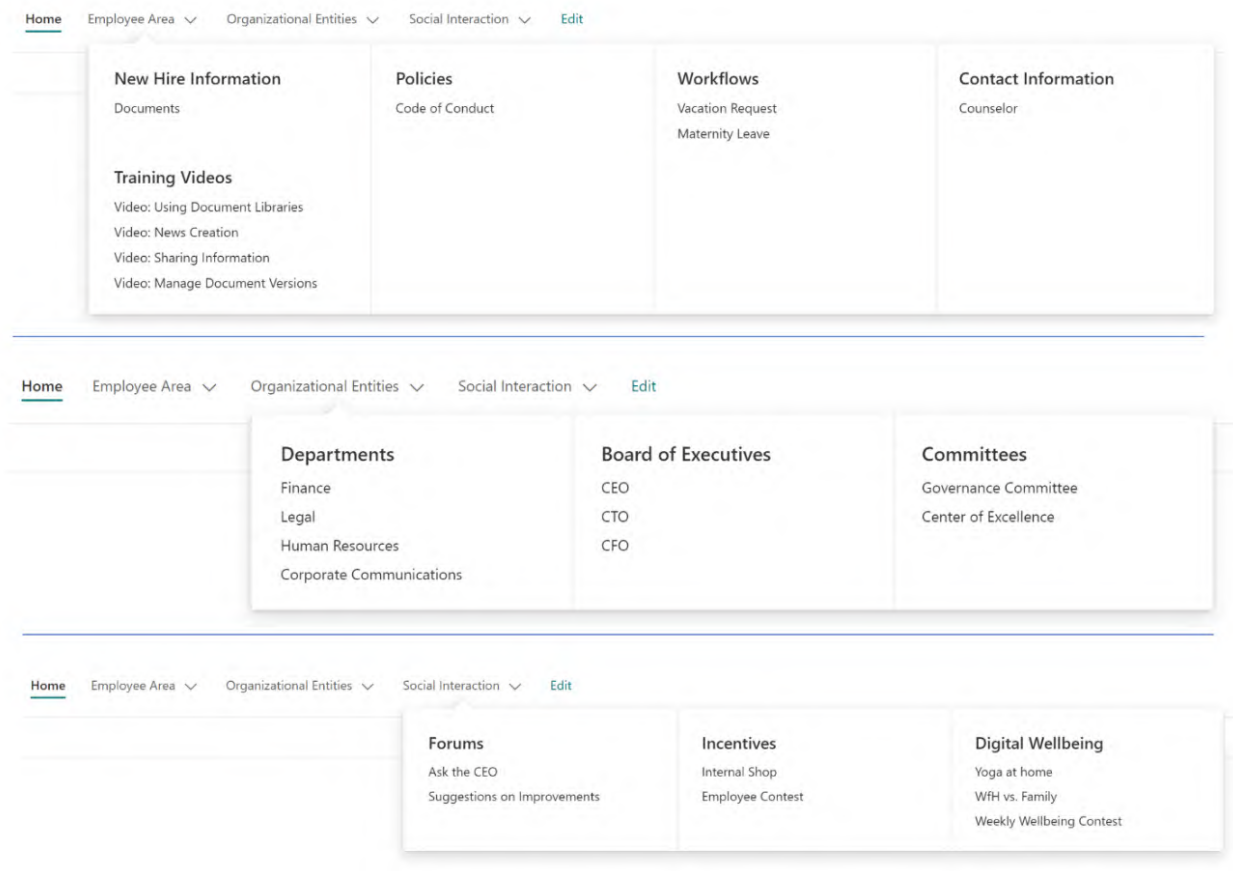
- Site Templates
  - o Develop corporate branding across all pages
    - ▪ Common navigation
    - ▪ Common theme / colours
    - ▪ Unified search
    - ▪ Roll-up of News and Events
  - o Develop standardized templates for (but not limited to)
    - ▪ Landing pages (department welcome pages, employee areas, etc.)
    - ▪ Logical subsites (e.g., department public and private pages, project pages)
    - ▪ Newsletters
    - ▪ News articles
- Multimedia management
  - o Implement any multimedia file management tools (such as Streams) to enable easy and secure sharing of multimedia files, such as videos, images
- Document management and migration
  - o Assist in migrating documents from shared drives and web servers to OneDrive or SharePoint
  - o Assist in converting documents to site pages, where appropriate
  - o Ensure records management policies are applied during migration
- Sustainable metadata usage
  - o Work with the governance team to set up content within the term store
  - o Ensure services implemented (e.g., document libraries) utilize meta data from the term store
  - o Help develop policies for meta data usage and incorporate them into the centre of excellence
- Implement search refiners to ensure efficient and relevant content searching
- Collaboration
  - o Review and refine the current Teams implementation to ensure effective use of Teams for collaboration and integration into other M365 services
- Socialization Platform
  - o Implement a social media platform, such as Yammer, to enable non-business-related conversations
  - o Assist in developing governance policies to ensure the platform follows Commission guidelines

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- Sharing Corporate Information such as
  - o News and Exec Updates
  - o Internal staff updates (corporate and department level)
  - o Newsletters (corporate and department level)
  - o Appropriate combination of tools to publish and share content
- Adoption
  - o User/Process centric training materials and adoption plan
  - o Identify and develop training materials (including but not limited to recorded training sessions, manuals, short videos, new staff handbook, etc.)
  - o Provide training to staff and other Commission trainers
  - o Create a detailed plan and execute on change management activities
- Governance and Centre of Excellence
  - o Help establish a sustainable centre of excellence and governance structure
  - o Help establish a documentation hub for centre of excellence
  - o Develop guidelines and best practices to sustainably maintain the centre of excellence
- Security
  - o Defined security roles from M365 Global Administrators to End Users
  - o A simple three-group security model for sites
    - ▪ Site Owners – Full Control
    - ▪ Site Members – Edit
    - ▪ Site Visitors – Read
  - o Company-wide security groups
  - o No external sharing of Commission information or data with the possible exception of project sites

The successful proponent is not expected to implement or re-implement:
- Any M365 services the Commission has already implemented, such as Teams
- Any setup of specific records management labels, classification, or policies

4.1.2   Project Scope

The Commission expects this to be a multi-year initiative that is delivered iteratively to realize value early, frequently, and continuously, focusing initially on the implementation of a central corporate portal. In future phases department hub sites and other sites will be introduced. Change management and adoption is expected to be a continuous and ongoing process.

The successful Proponent who enters into a written contract with the Commission is expected to provide the following:

- Project management services using industry best practices for iterative delivery
- Implementation of necessary M365 (and other integrated) services to deliver the scope, including
  - o Technical analysis
  - o UX and Design proposal
  - o Development and implementation of sites and integrations
  - o Testing and training technical staff
  - o Migration to production
  - o Ongoing go-live support
- Expert resources capable of ensuring the project meets objectives through effective and sustainable adoption of new tools
  - o Stakeholder engagement and analysis
  - o User experience considerations when designing services
  - o Provide user training
  - o Change management services to help effective adoption
  - o Collaboration with Commission staff to transition to operations
  - o Set up governance and document best practices
  - o Security and privacy consultation when developing components of the digital workplace

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The Commission will provide the following
- Collaboration to ensure the project is aligned with intended objectives
- Business and technical product owners of various components of the digital workplace
- Access to business and technical SMEs, stakeholders, and sponsor
- Licensing and necessary access to Commission's M365 tenant
- Project champions to help mediate issues and resolve blockers

4.1.3   Proponent Considerations

The Commission expects all current public health orders, including those issued by the Public Health Officer surrounding the COVID-19 pandemic, are followed. For further details, please see the Commission's website. The proponent must also be able to show proof of COVID vaccination for any on-site meetings.

The Proponent must be able to comply with the following cybersecurity measures. This list is not exhaustive and other measures may be requested during contract signing.

- Contracted project resources must be able to complete work remotely and securely.
- Proponents must be able to supply their team with the tools necessary to access Commission resources, complete project work and interact with Commission staff.
- Proponents may be required to use multi-factor authentication (Microsoft Authenticator or similar) to access Commission resources.

4.2   Content Requirements

To respond to this Request for Proposals, Proponents are required to submit the following information:

- **Qualifications, relevant experience, and proposed team:** Brief relevant experience in delivering M365 services that meets organizational objectives and delivers expected benefits.

- **Proposed Implementation Approach:** Please describe the methodology to be used to deliver scope of services and manage issues. Preference will be given to phased approaches, with timelines and pricing set at a phase level. Include project management approach proposed to manage the implementation approach

- **Adoption Approach:** Describe what methods would be used to ensure the desired project objectives are realized

- **Timelines:** An overall engagement timeline and schedule, including a kick-off date suitable to the Proponent, which is within six weeks after the Closing Date for this RFP allowing time for proposal evaluation.

- **Hourly Rates:** Provide an overall budget for this proposal and clearly state if this is a fixed price or estimated budget. This includes professional fees for each member of the team based on estimated number of hours, including hourly rate. Indicate if there are any travel expenses included in the estimate.

4.3   Format Requirements

The following format, sequence, and instructions should be followed in order to provide consistency in Proponent response and ensure each proposal receives full consideration. With all pages consecutively numbered, the proposals should contain the following parts:

a) Table of contents with page numbers.

b) One-page executive summary.

c) The body of the proposal in accordance with the above content requirements. This part is not to exceed 15 pages of combined text, tables, graphics and other written presentation in support of the content requirements.

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5. Evaluation

The evaluation of responses will be conducted by a team consisting of employees and/or contractors of the Commission. All members of the team will be bound by the same standards of confidentiality.

This section details all the mandatory and desirable criteria against which proposals will be evaluated. Proponents should ensure they fully respond to all criteria in order to receive full consideration during the evaluation.

The lowest price or any Proposal will not necessarily be accepted. The Commission reserves the right to refuse any proposal based on quality, service, price, reputation, experience and other criteria.

The Preferred Proponent will be the Proponent scoring the most points after evaluation. The evaluation process will consist of the following stages:

- Stage One – Mandatory Criteria
- Stage Two – Desirable Criteria
- Stage Three – Interviews (optional)
- Stage Four – Reference Checks

5.1 Mandatory Criteria

Proposals not clearly demonstrating they meet the following mandatory criteria will be excluded from further consideration during the evaluation process:

- **The Proposal must be sent and received before the designated closing date and time.**
- **The Proponent must confirm any personal information received, collected or held over the course of the review will be stored and used only in Canada.**
- **The Proposal must contain an independence and objectivity statement by the Proponent.**
- **The Proposal provides a high-level budget and approximate schedule.**
- **The Proposal must include acknowledgement of the following:**
    - Proponents must be able to complete all work remotely and must be able to supply their team with the tools necessary to access Commission resources, complete project work and interact with Commission staff
    - Proponents may be required to use multi-factor authentication (Microsoft Authenticator or similar) to access Commission resources
    - Proponents must be able to show proof of COVID vaccination for any on-site meetings

Failure to meet all mandatory criteria above will disqualify the Proponent's Proposal from further review.

5.2 Desirable Criteria

The Commission seeks to enter into an agreement with the Proponent who, in the opinion of the Commission, has the resources, knowledge and competence to provide the greatest value. Proposals meeting all of the mandatory criteria will be further assessed against desirable criteria.

Desirable Criteria	Weight
Qualifications, relevant experience, and proposed team	20 %
Proposed Implementation Approach	20 %
Proposed Adoption Approach	30 %
Implementation Timeline	10 %
Pricing (Hourly, blended rate – and estimated cost for each implementation phase) e.g. foundations phase, central corporate phase, each department hub/subject area	20 %

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5.3   Interviews

The top ranking (to a maximum of three) Proponents may be asked to attend an interview with the evaluation team at a Commission location nearest to the Proponent. The Proponent's team leader is to attend in person. During the interview, the evaluation committee may clarify and/or verify statements made in the written Response.

Interview Criteria	Weight
Understanding of the requirements and implementation plan	30 %
Suitability of resources, their experience, and ability to deliver on the proposed plan to meet project outcomes	30 %
Suitability of change management and adoption approach	40 %

The highest scoring Proponent (Preferred Proponent) will be selected by adding the scores from the desirable criteria and the interview.

The requirement for interviews is optional. The Commission reserves the right to complete the evaluation process without Proponent interviews.

5.4   Reference Checks

The references of the Preferred Proponent may be contacted to validate any part of their responses. The Commission reserves the right to conduct such independent reference checks or verifications as it deems necessary to clarify, test, or verify the information contained in the responses and confirm the suitability of the Proponent. The Commission will not enter into a contract with any Proponent whose references are found to be unsatisfactory.

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Request for Proposals

All enquiries related to this Request for Proposals, including any requests for information and clarification, are to be submitted by **March 18, 2022** and directed, in writing, to **procurement@bcogc.ca**, who will respond if time permits. Information obtained from any other source is not official and should not be relied upon. Enquiries and any responses will be recorded and may be distributed to all Proponents at the Commission's option.

RFP #25123001

Electronic File Structures (ARCS/ORCS) for Shared Network Folders

Closing Time: Proposal must be received electronically **before 2:00 PM** Pacific Time on: March 24, 2022

Delivery of Proposals

Proposals must be submitted electronically.

To: https://procurement.bcogc.ca/

Proponent's Meeting

A Proponent's meeting will not be held.

The BC Oil and Gas Commission (Commission) is an independent, single-window regulatory agency with responsibilities for overseeing oil and gas operations in British Columbia. Regulatory responsibility is delegated to the Commission through the *Oil and Gas* Activities *Act* and includes specified enactments under the *Forest Act, Heritage Conservation Act, Land Act, Environmental Management Act*, and *Water Act*. The operating costs of the Commission are funded through industry fees and levies on a cost recovery basis.

The Commission's core roles include reviewing and assessing applications for industry activity, consulting with First Nations, ensuring industry complies with provincial legislation and cooperating with partner agencies. The public interest is protected by ensuring public safety, protecting the environment, conserving petroleum resources and ensuring equitable participation in production.

The regulatory responsibility of the Commission extends from the exploration and development phases of oil and gas activities through to facilities operation, and ultimately decommissioning of industry projects. It is charged with balancing a broad range of environmental, economic and social considerations.

A. Definitions and Administrative Requirements

1. Definitions
Throughout this Request for Proposals, the following definitions apply:
a) "Contract" means the written agreement resulting from this Request for Proposals executed by the Commission and the Contractor;
b) "Contractor" means the successful Proponent to this Request for Proposals who enters into a written Contract with the Commission;
c) "Must", or "mandatory" means a requirement that must be met in order for a proposal to receive consideration;
d) "Proponent" means an individual or a company that submits, or intends to submit, a proposal in response to this Request for Proposals;
e) "Commission" means the Oil and Gas Commission;
f) "Request for Proposals" means the process described in this document; and
g) "Should" or "desirable" means a requirement having a significant degree of importance to the objectives of the Request for Proposals.

2. Terms and Conditions
Submitting a proposal indicates acceptance of all the terms and conditions set out in the RFP, including those that follow and that are included in all appendices and any Addenda.

A proposal must be signed by a person authorized to sign on behalf of the Proponent with the intent to bind the Proponent to the RFP and to the statements and representations in the Proponent's proposal. A scanned copy of the signed cover page of this RFP is acceptable as is a cover letter identifying the Proponent, identifying the RFP and including a signature of an authorized representative of the Proponent that confirms the Proponent's intent to be bound. For proposals submitted to an electronic proposal constitutes the signature of an authorized representative of the Proponent and is acceptable without additional signature.

3. Electronic Submissions
For electronic submissions the following applies:
a) The Proponent is solely responsible for ensuring that the complete electronic Proposal, is received before Closing Time;
b) The maximum size of each attachment must be 500 MB or less and uploaded in a single attachment;
c) Proponents should submit proposal submissions in a single upload and avoid sending multiple submissions for the same opportunity;
d) Attachments must not be compressed, must not contain a virus or malware, must not be corrupted and must be able to be opened. Proponents submitting by electronic submission are solely responsible for ensuring that any emails or attachments are not corrupted. The Commission may reject proposals that are compressed, cannot be opened or that contain viruses or malware or corrupted attachments.

4. Additional Information Regarding the Request for Proposals
All subsequent information regarding this Request for Proposals, including changes made to this document will be posted on the BC Bid website at www.bcbid.ca. It is the sole responsibility of the Proponent to check for amendments on the BC Bid website.

5. Late Proposals
Proposals will be marked with their receipt time once submitted. Only complete proposals received and marked before closing time will be considered to have been received on time. Proposals that are received late will be marked late and will not be considered or evaluated. In the event of a dispute, the proposal receipt time as recorded by the electronic date stamp shall prevail whether accurate or not.

6. Eligibility
a) Proposals will not be evaluated if the Proponent's current or past corporate or other interests may, in the Commission's opinion, give rise to a conflict of interest in connection with the project described in this Request for Proposals. This includes, but is not limited to, involvement by a Proponent in the preparation of this Request for Proposals. If a Proponent is in doubt as to whether there might be a conflict of interest, the Proponent should consult with the Commission Contract Management Analyst prior to submitting a proposal.
b) Proposals from not-for-profit agencies will be evaluated against the same criteria as those received from any other Proponents.

7. Evaluation
Evaluation of proposals will be by a committee formed by the Commission and may include employees and contractors of the Commission. All personnel will be bound by the same standards of confidentiality. The Commission's intent is to enter into a Contract with the Proponent who has the highest overall ranking.

8. Negotiation Delay
If a written Contract cannot be negotiated within thirty days of notification of the successful Proponent, the Commission may, at its sole discretion at any time thereafter, terminate negotiations with that Proponent and either negotiate a Contract with the next qualified Proponent or choose to terminate the Request for Proposals process and not enter into a Contract with any of the Proponents.

9. Debriefing
At the conclusion of the Request for Proposals process, all Proponents will be notified of the award by BCBid. Unsuccessful Proponents may request a debriefing meeting with the Commission.

10. Alternative Solutions
If alternative solutions are offered, please submit the information in the same format, as a separate proposal.

11. Changes to Proposals
By submission of a clear and detailed written notification, the Proponent may amend or withdraw its proposal prior to the closing date and time. Upon closing time, all proposals become irrevocable. The Proponent 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 Commission for purposes of clarification.

12. Proponents' Expenses
Proponents are solely responsible for their own expenses in preparing a proposal and for subsequent negotiations with the Commission, if any. If the Commission elects to reject all proposals, the Commission will not be liable to any Proponent for any claims, whether for costs or damages incurred by the Proponent in preparing the proposal, loss of anticipated profit in connection with any final Contract, or any other matter whatsoever.

13. Limitation of Damages
Further to the preceding paragraph, the Proponent, by submitting a proposal, agrees that it will not claim damages, for whatever reason, relating to the Contract or in respect of the competitive process, in excess of an amount equivalent to the reasonable costs incurred by the Proponent in preparing its proposal and the Proponent, by submitting a proposal, waives any claim for loss of profits if no Contract is made with the Proponent.

14. **Proposal Validity**
    Proposals will be open for acceptance for at least 90 days after the closing date.

15. **Firm Pricing**
    Prices will be firm for the entire Contract period unless this Request for Proposals specifically states otherwise.

16. **Currency and Taxes**
    Prices quoted are to be:
a) In Canadian dollars;
b) Inclusive of duty, where applicable; FOB destination, delivery charges included where applicable; and
c) Exclusive of taxes

17. **Completeness of Proposal**
    By submission of a proposal the Proponent warrants that, if this Request for Proposals is to design, create or provide a system or manage a program, all components required to operate the system or manage the program have been identified in the proposal or will be provided by the Contractor at no charge.

18. **Subcontracting**
a) Using a subcontractor (who should be clearly identified in the proposal) is acceptable. This includes a joint submission by two Proponents having no formal corporate links. However, in this case, one of these Proponents must be prepared to take overall responsibility for successful performance of the Contract and this should be clearly defined in the proposal.
b) Subcontracting to any firm or individual whose current or past corporate or other interests may, in the Commission's judgment, give rise to a conflict of interest in connection with the project or program described in this Request for Proposals will not be tolerated. This includes, but is not limited to, any firm or individual involved in the formulation of this Request for Proposals. If a Proponent is in doubt as to whether a proposed subcontractor gives rise to a conflict of interest, the Proponent should consult with the Commission Contact Person listed on page 1 prior to submitting a proposal.
c) Where applicable, the names of approved sub-contractors listed in the proposal will be included in the Contract. No additional subcontractors will be added, nor other changes made, to this list in the Contract without the written consent of the Commission.

19. **Acceptance of Proposals**
a) This Request for Proposals should not be construed as an agreement to purchase goods or services. The Commission is not bound to enter into a Contract with the Proponent who submits the lowest priced proposal or with any Proponent. Proposals will be assessed in light of the evaluation criteria. The Commission will be under no obligation to receive further information, whether written or oral, from any Proponent.
b) Neither acceptance of a proposal nor execution of a Contract will constitute approval of any activity or development contemplated in any proposal that requires any approval, permit or license pursuant to any federal, provincial, regional district or municipal statute, regulation or by-law.

20. **Definition of Contract**
    Notice in writing to a Proponent that it has been identified as the successful Proponent and the subsequent full execution of a written Contract will constitute a Contract for the goods or services, and no Proponent will acquire any legal or equitable rights or privileges relative to the goods or services until the occurrence of both such events.

21. **Contract**
    By submission of a proposal, the Proponent agrees that should its proposal be successful, the Proponent will enter into a Contract with the Commission in accordance with the terms of the Commission's General Service Agreement.

22. **Liability for Errors**
    While the Commission has used considerable efforts to ensure the information in this Request for Proposals is accurate, the information contained in this Request for Proposals is supplied solely as a guideline for Proponents. The information is not guaranteed or warranted to be accurate by the Commission, nor is it necessarily comprehensive or exhaustive. Nothing in this Request for Proposals is intended to relieve Proponents from forming their own opinions and conclusions with respect to the matters addressed in this Request for Proposals.

23. **Modification of Terms**
    The Commission reserves the right to modify the terms of this Request for Proposals at any time in its sole discretion. This includes the right to cancel this Request for Proposals at any time prior to entering into a Contract with the successful Proponent.

24. **Ownership of Proposals**
    All proposals submitted to the Commission become the property of the Commission. They will be received and held in confidence by the Commission, subject to the provisions of the *Freedom of Information and Protection of Privacy Act* and this Request for Proposals.

25. **Use of Request for Proposals**
    Any part of this document, or any information provided by the Commission in relation to this Request for Proposals may not be used or disclosed, for any purpose other than for the submission of proposals. Without limiting the generality of the foregoing, by submission of a proposal, the Proponent agrees to hold in confidence all information provided by the Commission in relation to this Request for Proposals.

26. **Reciprocity**
    The Commission may consider and evaluate any proposals from other jurisdictions on the same basis that the Commission purchasing authorities in those jurisdictions would treat a similar proposal from a British Columbia supplier.

27. **No Lobbying**
    Proponents must not attempt to convey directly or indirectly with any employee, contractor or representative of the Commission, including the evaluation committee and any elected officials of the Commission, or with members of the public or the media, about the project described in this Request for Proposals or otherwise in respect of the Request for Proposals, other than as expressly directed or permitted by the Commission.

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B. Requirements and Responses

1. Summary of the Requirement

The BC Oil and Gas Commission (Commission) requires a Records & Information Management (RIM) expert to organize a high volume of electronic records on a shared network drive. This organization is to be completed by developing new folder structures that conform to the requirements of the *Information Management Act* (IMA) through the implementation of the BC government's Administrative Records Classification Schedule (ARCS) framework and Commission's Operational Records Classification System (ORCS). The objective is to attain a state of Electronic Document & Records Management System (EDRMS) readiness, where the Commission's electronic records are appropriately classified in accordance with ARCS/ORCS and identified by standardized naming conventions at the folder level in preparation for future migration. The work is to be performed across the Commission on a branch by branch (business unit) basis, although simultaneous management of two or more projects may be required to maximize time and productivity. Oversight and direction will be provided by the Commission's internal Records & Information Services Branch, including the order and prioritization of projects for completion.

2. Anticipated Schedule

The following table outlines the anticipated schedule for this RFP. All times identified in the table are in Pacific Time.

Event	Anticipated Date
Enquiries deadline	March 18, 2022
Request closing time	March 24, 2022 2:00 PM PT
Reference checks, as required	March 28-April 1, 2022
Preferred Proponent selected by	April 4, 2022
Commencement of work	April, 2022

3. Commission Situation/Overview

The Commission is the provincial regulatory agency for permitting and overseeing oil and gas activities, from exploration and development through to operations and ultimately decommissioning of oil and gas industry projects under British Columbia jurisdiction. The Commission's current legislated mandate, regulatory framework, core activities and organizational structure are described in the 2021/22 – 2023/24 Service Plan available on the Commission's website at www.bcogc.ca.

3.1 Commission Responsibility

The purposes of the Commission, outlined in Section 4 of the Oil and Gas Activities Act, are briefly summarized as follows:
   (a) to regulate oil and gas activities in British Columbia in a manner that
       (i) provides for the sound development of the oil and gas sector, by fostering a healthy environment, a sound economy and social well-being,
       (ii) conserves petroleum and natural gas resources,
       (iii) ensures safe and efficient practices, and
       (iv) assists owners of petroleum and natural gas resources to participate equitably in the production of shared pools of petroleum and natural gas;
   (b) to provide for effective and efficient processes for the review of applications for permits and to ensure that applications that are approved are in the public interest having regard to environmental, economic and social effects;
   (c) to encourage the participation of First Nations and aboriginal peoples in processes affecting them;
   (d) to participate in planning processes;
   (e) to undertake programs of education and communication in order to advance safe and efficient practices and the other purposes of the commission.

3.2 Background

The Commission has modernized its Operational Records Classification System (ORCS) to reflect its current mandate, lines of business, and the records that support these. The amended records schedule (Schedule 163507, Amendment 144019) received approval by the provincial Chief Records Officer in March 2019.

Implementation of ARCS and ORCS within the Commission's unstructured electronic records environment has been identified as a critical initiative to support the organization's ongoing transition to Microsoft Office 365 (M365) and future planned migration of records from the shared drive to the new platform. The ARCS and ORCS implementation work has been initiated and completed in some branches, however, a significant number of business units have yet to be supported.

The Commission's goal is to complete implementation of ARCS and ORCS across all branches of the organization.

4. Requirements

4.1 Scope of Services

The services outlined in this Request for Proposals (RFP) are anticipated to commence April 2022 and complete on March 31, 2023 within a maximum contract amount of $75,000.00. The Commission has discretion to offer the proponent a one-year renewal of services in fiscal 2022/23.

The successful Proponent will be expected to use Microsoft Teams to support regular engagement with the Commission's Records Management team and branch staff in the various Commission offices (Victoria, Fort St. John, Kelowna, Prince George, Dawson Creek, and Terrace). Travel will not be required. All meetings with staff will be conducted remotely and project work will be completed offsite using a Commission issued user ID and laptop. An exception to the offsite arrangement might apply if the successful Proponent is located in Victoria, BC and ad hoc in-person meetings are mutually agreed upon by all parties.

The successful Proponent will be expected to comply with the Commission's COVID-19 Vaccination Policy for External Visitors/Contractors as a condition of the contract. Information on the Commission's vaccination requirements is available here.

The successful Proponent who enters into a written contract with the Commission will be responsible for the following services:

Establishment of folder structures and folder naming conventions:
- Developing accurate, standardized electronic folder structures based on Commission program records and business requirements, and applicable records schedules (ARCS/ORCS)
- Establishing and implementing standardized folder naming conventions
- Moving folders and associated records to the new folder structure (with user acceptance/permission)
- Identifying and removing transitory or duplicate records (clean-up), and other folders deemed necessary using Commission approved software (Tree Size)
- Identifying folders/files eligible for disposition
- Establishing a security matrix for the folders with established business rules related to configuration and necessary permissions

User support, training and change management:
- Effectively initiating each electronic filing project with program staff to ensure clear understanding of project scope and methodology, expectations of staff, and what support will be available
- Consulting with staff throughout the project to ensure their input results in a structure that is both intuitive and easy to follow
- Providing effective communications and guidance to ensure staff can locate records in a timely manner at any given point of the project (first point of contact)
- Educating staff to encourage transfer of any official records saved on personal drives to the new shared folder structure
- Developing user guidelines and procedures, finding/mapping aids, and delivering training (formal or desk-side) to staff on the use and maintenance of the new shared drive folder structure

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<u>Project reporting and monitoring:</u>
- Providing briefings and status updates as and when requested
- Maintaining project progress and completion metrics to support statistical reporting and final results
- Maintaining a current work plan and project schedule

4.2   Content Requirements

To respond to this Request for Proposals, Proponents are required to submit the following information:

A.   <u>Proposed Approach</u>

1) Provide a description of the methodology (approach) that will be followed to successfully develop electronic filing structures for Commission clients based on ARCS/ORCS
2) Describe how clients will be supported through the project as they transition from their old filing structure to the new structure
3) Describe how clients will be trained on using and maintaining the new filing structure once implemented (e.g. describe and/or include samples of any guidelines, training tools, aids, etc.)
4) Describe how project progress will be tracked and measured to ensure timeliness and quality of deliverables

B.   <u>Proposed Proponent, Qualifications and Hourly Rate</u>

1) Provide the name of proposed individual to complete work (1 individual only)
2) Provide a brief description of your (or named individual) qualifications and abilities relevant to the services outlined
3) Provide hourly rate for services
4) Provide two satisfied client references, including name, title, organization, phone number, email address and date that you (or named individual) worked for these clients

C.   <u>Relevant Experience</u>

Please provide answers to the following:

1) What work experience do you (or named individual) have with respect to implementing ARCS and/or ORCS schedules in a BC government setting? Include a brief description of the government organization(s), nature of work performed, when the work was completed, and in what capacity.
2) What experience do you (or named individual) have delivering electronic file structure projects? Include a brief description of a project(s) that included organizing electronic folders and/or documents on a shared drive and applying record schedules.
3) Was your (or named individual) project(s) specific to preparing electronic records for future migration to an Electronic Document & Records Management System (EDRMS) or Microsoft Office 365? Was your (or named individual) project(s) successfully completed? Include a brief description of how success was determined or measured.

4.3   Format Requirements

The following format, sequence, and instructions should be followed in order to provide consistency in Proponent response and ensure each proposal receives full consideration. With all pages consecutively numbered, the proposals should contain the following parts:

a) Table of contents with page numbers.

b) One-page executive summary.

c) The body of the proposal in accordance with the above content requirements. This part is not to exceed 10 pages of combined text, tables, graphics and other written presentation in support of the content requirements.

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5. Evaluation

The evaluation of responses will be conducted by a team consisting of employees and/or contractors of the Commission. All members of the team will be bound by the same standards of confidentiality.

This section details all of the mandatory and desirable criteria against which proposals will be evaluated. Proponents should ensure that they fully respond to all criteria in order to receive full consideration during the evaluation.

The lowest price or any Proposal will not necessarily be accepted. The Commission reserves the right to refuse any proposed based on quality, service, price, reputation, experience and other criteria.

The Preferred Proponent will be the Proponent scoring the most points after evaluation. The evaluation process will consist of the following stages:
- Stage One – Mandatory Criteria
- Stage Two – Desirable Criteria
- Stage Three – Reference Checks (optional)

5.1   Mandatory Criteria

Proposals not clearly demonstrating that they meet the following mandatory criteria will be excluded from further consideration during the evaluation process:

- **The Proposal must be sent and received before the designated closing date and time.**
- **The Proponent must confirm that any personal information received, collected or held over the course of the review will be stored and used only in Canada.**
- **The Proposal must contain an independence and objectivity statement by the Proponent.**
- **The Proposal must confirm compliance with the Commission's vaccination policy.**

Failure to meet all mandatory criteria above will disqualify the Proponent's Proposal from further review.

5.2   Desirable Criteria

The Commission seeks to enter into an agreement with the Proponent who, in the opinion of the Commission, has the resources, knowledge and competence to provide the greatest value. Proposals meeting all of the mandatory criteria will be further assessed against desirable criteria.

Desirable Criteria	Weight
Proponent's Qualifications and Relevant Experience	35%
Suitability of Proposed Approach	35%
Pricing Hourly rate for services	30%

5.3   Reference Checks

The references of the Preferred Proponent may be contacted to validate any part of their responses. The Commission reserves the right to conduct such independent reference checks or verifications as they deem necessary to clarify, test, or verify the information contained in the responses and confirm the suitability of the Proponent. The Commission will not enter into a contract with any Proponent whose references are found to be unsatisfactory.

Reference Check Criteria	Weight
Client satisfaction with Proponent services and/or verification of Proposal responses	Pass/Fail

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The BC Energy Regulator ("BCER") is requesting information from interested parties that can provide Records & Information Management (RIM) consultant services to organize a high volume of electronic records on a shared network drive. This organization is to be completed by developing new folder structures that conform to the requirements of the B.C. *Information Management Act* (IMA) through the implementation of the B.C. government's Administrative Records Classification Schedule (ARCS) framework and BCER's Operational Records Classification System (ORCS). The objective is to ensure electronic records are appropriately classified according to ARCS/ORCS and identified by standardized naming conventions at the folder level.

Project oversight and direction will be provided by the BCER's internal Records & Information Services Branch, including coordination and prioritization of projects for completion.

The process will involve use of the software tool TreeSize Professional or a comparable product to identify and support deletion of duplicate files and address long file paths. User support, training and change management are deemed integral to project success.

The work is to be performed across the organization on a branch by branch (business unit) basis. While the ARCS and ORCS implementation work has been completed in some branches, a significant number have yet to be supported. Use of Microsoft Teams will support regular engagement with the internal Records team and BCER branch staff in the various offices (Victoria, Fort St. John, Kelowna, Prince George, Dawson Creek, and Terrace). Travel would not be required.

Implementation of ARCS/ORCS within the BCER's unstructured electronic records environment has been identified as a critical initiative to support the organization's ongoing transition to Microsoft Office 365 (M365) and migration of records from the shared drive to the new platform, with SharePoint as the current EDRM solution.

Organizational Vision and Mission

The BCER regulates the full life cycle of energy resource activities in B.C., from site planning to restoration. We ensure activities are undertaken in a manner that protects public safety, safeguards the environment, supports meaningful reconciliation, and advances the public interest and contributes to B.C.'s economy. The BCER's current legislated mandate, regulatory framework, core activities and organizational structure are described in the 2023/24 - 2025/26 Service Plan available on the BCER's website at www.bc-er.ca.

The BCER mission is as follows:

We regulate the life cycle of energy resource activities in B.C. from site planning to restoration, ensuring activities are undertaken in a manner that:

- Protects public safety and the environment
- Supports reconciliation with Indigenous peoples and the transition to a low-carbon economy
- Fosters a sound economy and social well-being

RFI Objective

This RFI seeks to locate service providers that would have the resources, skills and experience to complete this specialized work at a competitive price.

Interested parties are invited to respond to this RFI by submitting a response to the BCER by **June 30, 2023**.

Respondents are requested to provide a concise and focused response to this RFI. Responses are requested in the following format:

a) brief company/consultant profile including a description of comparable projects and/or relevant qualifications (1 page maximum)
b) name of a key contact person, including telephone number, Email address and physical location
c) identification and discussion of key factors related to the scope of work as outlined
d) high-level cost and/or rate estimates
e) consultant availability
f) other required information specific to the nature of this RFI and deemed important by the respondent

This RFI may be used to pre-qualify or screen service providers for a subsequent competitive bidding process, if any.

If subsequent competitive bidding opportunities are issued, the BCER is under no obligation to advise any service provider responding to this RFI. Service providers are advised to monitor the B.C. Bid website (https://www.new.bcbid.gov.bc.ca) or the BCER's procurement page (https://procurement.bc-er.ca/) for any such opportunities, which will be open to all service providers regardless of whether or not a response to this RFI has been submitted.

All responses to this RFI become the property of the BCER and will be held in confidence, subject to the provisions of the *Freedom of Information and Protection of Privacy Act*. Respondents to this RFI consent to the BCER incorporating any submitted information (e.g., approaches or methodologies) into any planning, procurement, or contractual activities related to any aspect of the project without any obligation, liability, or consideration on the part of the BCER. The BCER will not be responsible for any costs incurred by any service provider in responding to this RFI.

Responses should be delivered to https://procurement.bc-er.ca/ **before 2:00 p.m. Pacific Time on June 30, 2023**, and should reference RFI# 21524001.

All enquiries related to this Request for Information, including any requests for clarification, are to be submitted by **June 26, 2023** and directed, by Email, to procurement@bc-er.ca, who will provide responses on https://procurement.bc-er.ca/ if time permits. Information obtained from any other source is not official and should not be relied upon. Enquiries and any responses will be recorded and may be distributed to all respondents at the BCER's option.

Request for Proposals

All enquiries related to this Request for Proposals, including any requests for information and clarification, are to be submitted by **December 14, 2022** and directed, in writing, to **procurement@bcogc.ca,** who will respond if time permits. Information obtained from any other source is not official and should not be relied upon. Enquiries and any responses will be recorded and may be distributed to all Proponents at the Commission's option.

RFP # 21523001

Document Scanning Services – Well Authorization File Conversion

Closing Time: Proposal must be received electronically **before 2:00 PM** Pacific Time on: **December 29, 2022**

Delivery of Proposals

Proposals must be submitted electronically.

To: https://procurement.bcogc.ca/

Proponent's Meeting

A Proponent's meeting will not be held.

Organization Overview

The BC Oil and Gas Commission (Commission) is the Province of B.C.'s life-cycle energy resources regulator. The Commission is a Crown agency with a mandate to ensure both the environment and public safety are protected, and those with concerns have the opportunity to have their voices heard in the sustainable development of British Columbia's energy resources.

As a cost recoverable, values driven organization, we prioritize safety, stewardship, and Indigenous interests throughout the full project lifecycle – from exploration to reclamation – and support the transition to clean energy. The Commission is committed to reconciliation with Indigenous Peoples, honouring the Provincial commitment to the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), the Declaration on the Rights of Indigenous Peoples Act, and the Truth and Reconciliation Commission's (TRC) Calls to Action. Through fostering respectful and collaborative relationships with Indigenous partners and stakeholders, the Commission delivers on Government's priorities.

The Commission has an innovative forward-thinking workplace that demonstrates our core values. Through continuous improvement and development, the Commission is agile and responsive to the rapidly changing environment in which we operate. We are diverse and inclusive, with transparency, innovation, and integrity as the foundation of our respectful culture. Secured access to Commission information and systems is a foundational consideration in the management of the Commission's infrastructure.

A. Definitions and Administrative Requirements

1. Definitions
Throughout this Request for Proposals, the following definitions apply:
"Contract" means the written agreement resulting from this Request for Proposals executed by the Commission and the Contractor;
"Contractor" means the successful Proponent to this Request for Proposals who enters into a written Contract with the Commission;
"Must", or "mandatory" means a requirement that must be met in order for a proposal to receive consideration;
"Proponent" means an individual or a company that submits, or intends to submit, a proposal in response to this Request for Proposals;
"Commission" means the Oil and Gas Commission;
"Request for Proposals" means the process described in this document; and
"Should" or "desirable" means a requirement having a significant degree of importance to the objectives of the Request for Proposals.

2. Terms and Conditions
Submitting a proposal indicates acceptance of all the terms and conditions set out in the RFP, including those that follow and that are included in all appendices and any Addenda.

A proposal must be signed by a person authorized to sign on behalf of the Proponent with the intent to bind the Proponent to the RFP and to the statements and representations in the Proponent's proposal. A scanned copy of the signed cover page of this RFP is acceptable as is a cover letter identifying the Proponent, identifying the RFP and including a signature of an authorized representative of the Proponent that confirms the Proponent's intent to be bound. For proposals submitted to an electronic proposal constitutes the signature of an authorized representative of the Proponent and is acceptable without additional signature.

3. Electronic Submissions
For electronic submissions, the following applies:
a)   The Proponent is solely responsible for ensuring that the complete electronic Proposal, is received before Closing Time;
b)   The maximum size of each attachment must be 500 MB or less and uploaded in a single attachment;
c)   Proponents should submit proposal submissions in a single upload and avoid sending multiple submissions for the same opportunity;
d)   Attachments must not be compressed, must not contain a virus or malware, must not be corrupted and must be able to be opened.
Proponents submitting by electronic submission are solely responsible for ensuring that any emails or attachments are not corrupted. The Commission may reject proposals that are compressed, cannot be opened or that contain viruses or malware or corrupted attachments.

4. Additional Information Regarding the Request for Proposals
All subsequent information regarding this Request for Proposals, including changes made to this document will be posted on the BC Bid website at www.bcbid.ca. It is the sole responsibility of the Proponent to check for amendments on the BC Bid website.

5. Late Proposals
Proposals will be marked with their receipt time once submitted. Only complete proposals received and marked before closing time will be considered to have been received on time. Proposals that are received late will be marked late and will not be considered or evaluated. In the event of a dispute, the proposal receipt time as recorded by the electronic date stamp shall prevail whether accurate or not.

6. Eligibility
a)   Proposals will not be evaluated if the Proponent's current or past corporate or other interests may, in the Commission's opinion, give rise to a conflict of interest in connection with the project described in this Request for Proposals. This includes, but is not limited to, involvement by a Proponent in the preparation of this Request for Proposals. If a Proponent is in doubt as to whether there might be a conflict of interest, the Proponent should consult with the Commission Contract Management Analyst prior to submitting a proposal.
b)   Proposals from not-for-profit agencies will be evaluated against the same criteria as those received from any other Proponents.

7. Evaluation
Evaluation of proposals will be by a committee formed by the Commission and may include employees and contractors of the Commission. All personnel will be bound by the same standards of confidentiality. The Commission's intent is to enter into a Contract with the Proponent who has the highest overall ranking.

8. Negotiation Delay
If a written Contract cannot be negotiated within thirty days of notification of the successful Proponent, the Commission may, at its sole discretion at any time thereafter, terminate negotiations with that Proponent and either negotiate a Contract with the next qualified Proponent or choose to terminate the Request for Proposals process and not enter into a Contract with any of the Proponents.

9. Debriefing
At the conclusion of the Request for Proposals process, all Proponents will be notified of the award by BCBid. Unsuccessful Proponents may request a debriefing meeting with the Commission.

10. Alternative Solutions
If alternative solutions are offered, please submit the information in the same format, as a separate proposal.

11. Changes to Proposals
By submission of a clear and detailed written notification, the Proponent may amend or withdraw its proposal prior to the closing date and time. Upon closing time, all proposals become irrevocable. The Proponent 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 Commission for purposes of clarification.

12. Proponents' Expenses
Proponents are solely responsible for their own expenses in preparing a proposal and for subsequent negotiations with the Commission, if any. If the Commission elects to reject all proposals, the Commission will not be liable to any Proponent for any claims, whether for costs or damages incurred by the Proponent in preparing the proposal, loss of anticipated profit in connection with any final Contract, or any other matter whatsoever.

13. Limitation of Damages
Further to the preceding paragraph, the Proponent, by submitting a proposal, agrees that it will not claim damages, for whatever reason, relating to the Contract or in respect of the competitive process, in excess of an amount equivalent to the reasonable costs incurred by the Proponent in preparing its proposal and the Proponent, by submitting a proposal, waives any claim for loss of profits if no Contract is made with the Proponent.

14. Proposal Validity

Proposals will be open for acceptance for at least 90 days after the closing date.

15. Firm Pricing

Prices will be firm for the entire Contract period unless this Request for Proposals specifically states otherwise.

16. Currency and Taxes

Prices quoted are to be:
a)   In Canadian dollars;
b)   Inclusive of duty, where applicable; FOB destination, delivery charges included where applicable; and
c)   Exclusive of taxes

17. Completeness of Proposal

By submission of a proposal the Proponent warrants that, if this Request for Proposals is to design, create or provide a system or manage a program, all components required to operate the system or manage the program have been identified in the proposal or will be provided by the Contractor at no charge.

18. Subcontracting

a)   Using a subcontractor (who should be clearly identified in the proposal) is acceptable. This includes a joint submission by two Proponents having no formal corporate links. However, in this case, one of these Proponents must be prepared to take overall responsibility for successful performance of the Contract and this should be clearly defined in the proposal.
b)   Subcontracting to any firm or individual whose current or past corporate or other interests may, in the Commission's judgment, give rise to a conflict of interest in connection with the project or program described in this Request for Proposals will not be tolerated. This includes, but is not limited to, any firm or individual involved in the formulation of this Request for Proposals. If a Proponent is in doubt as to whether a proposed subcontractor gives rise to a conflict of interest, the Proponent should consult with the Commission Contact Person listed on page 1 prior to submitting a proposal.
c)   Where applicable, the names of approved sub-contractors listed in the proposal will be included in the Contract. No additional subcontractors will be added, nor other changes made, to this list in the Contract without the written consent of the Commission.

19. Acceptance of Proposals

a)   This Request for Proposals should not be construed as an agreement to purchase goods or services. The Commission is not bound to enter into a Contract with the Proponent who submits the lowest priced proposal or with any Proponent. Proposals will be assessed in light of the evaluation criteria. The Commission will be under no obligation to receive further information, whether written or oral, from any Proponent.
b)   Neither acceptance of a proposal nor execution of a Contract will constitute approval of any activity or development contemplated in any proposal that requires any approval, permit or license pursuant to any federal, provincial, regional district or municipal statute, regulation or by-law.

20. Definition of Contract

Notice in writing to a Proponent that it has been identified as the successful Proponent and the subsequent full execution of a written Contract will constitute a Contract for the goods or services, and no Proponent will acquire any legal or equitable rights or privileges relative to the goods or services until the occurrence of both such events.

21. Contract

By submission of a proposal, the Proponent agrees that should its proposal be successful, the Proponent will enter into a Contract with the Commission in accordance with the terms of the Commission's General Service Agreement.

22. Liability for Errors

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

23. Modification of Terms

The Commission reserves the right to modify the terms of this Request for Proposals at any time in its sole discretion. This includes the right to cancel this Request for Proposals at any time prior to entering into a Contract with the successful Proponent.

24. Ownership of Proposals

All proposals submitted to the Commission become the property of the Commission. They will be received and held in confidence by the Commission, subject to the provisions of the *Freedom of Information and Protection of Privacy Act* and this Request for Proposals.

25. Use of Request for Proposals

Any part of this document, or any information provided by the Commission in relation to this Request for Proposals may not be used or disclosed, for any purpose other than for the submission of proposals. Without limiting the generality of the foregoing, by submission of a proposal, the Proponent agrees to hold in confidence all information provided by the Commission in relation to this Request for Proposals.

26. Reciprocity

The Commission may consider and evaluate any proposals from other jurisdictions on the same basis that the Commission purchasing authorities in those jurisdictions would treat a similar proposal from a British Columbia supplier.

27. No Lobbying

Proponents must not attempt to convey directly or indirectly with any employee, contractor or representative of the Commission, including the evaluation committee and any elected officials of the Commission, or with members of the public or the media, about the project described in this Request for Proposals or otherwise in respect of the Request for Proposals, other than as expressly directed or permitted by the Commission.

B. Requirements and Responses

1. Summary of the Requirement

The BC Oil and Gas Commission (Commission) is seeking responses from this Request for Proposal (RFP) for document scanning services. A qualified digital imaging (scanning) service provider is required to convert a large collection of Well Authorization files from paper to digital form.

Well Authorization files (well files) include historical geological and technical well information related to provincial oil and gas activities. The files date from the early 1950's to 2014 and comprise the Commission's only record copy. The information contained within the collection is critical for managing the lifecycles of BC wells and supporting future oil and gas exploration.

Physical security, safe handling and preservation of file material during all phases of scanning service delivery is of utmost importance. File integrity must be maintained as all hardcopy records will be returned to the source storage facility and retained indefinitely post-digitization.

The well files hold a range of standard (8½ x 11), legal, large and irregular size document types, each requiring specialized scanning equipment. The successful Proponent will be required to use Commission approved equipment and adhere to established imaging standards for the duration of the project.

Well files for the project are located at government contracted offsite storage facilities in Victoria, British Columbia. The successful Proponent will be located in Victoria or the southern Vancouver Island area, and all scanning services will be completed locally to limit the transport of records. Approximately 4000-4500 boxes of Commission well files require scanning. This contract will be a first step of what is recognized as a longer-term digitization initiative.

Work on this project will be initiated as soon as possible in fiscal 2022/23 and is subject to continuation through 2023/24 upon approved funding. Project oversight and direction will be provided by the Commission's Records & Information Services (RIS) Branch, including the prioritization and ordering of records boxes for scanning.

2. Anticipated Schedule

The following table outlines the anticipated schedule for this RFP. All times identified in the table are in Pacific Time.

Event	Anticipated Date
Project enquiries deadline	December 14, 2022
Site visit request/scheduling deadline	December 12, 2022
One (1) hour site visits for file viewing	December 8,12-13, 2022
Request for Proposal (RFP) closing time	December 29, 2022 2:00 PM PT
Inspection of Proponent facilities	Week of January 2-5, 2023
Reference checks (as required)	Week of January 2-5, 2023
Preferred Proponent selected by	January 5, 2023
Contract finalization / anticipated project start	Week of January 9-13, 2023

3. Commission Situation/Overview

The Commission is the provincial regulatory agency for permitting and overseeing oil and gas activities, from exploration and development through to operations and ultimately decommissioning of oil and gas industry projects under British Columbia jurisdiction. The Commission's current legislated mandate, regulatory framework, core activities and organizational structure are described in the 2021/22 – 2023/24 Service Plan available on the Commission's website at www.bcogc.ca.

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3.1 Commission Responsibility

The Commission mission is as follows:

We regulate the life cycle of energy resource activities in B.C. from site planning to restoration, ensuring activities are undertaken in a manner that:
- Protects public safety
- Safeguards the environment
- Supports meaningful reconciliation
- Advances the public interest and contributes to B.C's economy

3.2 Background

The Commission's Well Authorization files (well files) directly support the Commission's mandate to regulate and monitor the exploration and development of oil and gas activities in British Columbia (B.C.), including the management, long term protection and conservation, control and treatment of wells.

Well file records are retained for an indefinite period as well integrity issues can arise long after a well is considered remediated or "closed". In these situations, immediate access to the file is necessary to manage safety and environmental issues. Data connected with or derived from drilling, production or other work performed on a well is maintained within these files.

Within B.C., the legislative landscape for managing information assets has evolved to support the shift from paper records to those in digital format. The *Information Management Act* (IMA) provides the mandate for improved information management practices and modernization across the provincial government. The IMA requires the digitization of non-digital records (subject to specific exemptions) to make government public bodies more efficient and support digital end-to-end services that meet public needs.

Conversion of the well files from paper to digital format is a corporate priority as the Commission transitions to a digital organization. The majority of scanning work is managed by a dedicated full-time equivalent (FTE) employee within the RIS Branch (Well File Technician). Files are routinely retrieved from one of two government contracted storage facilities in Victoria (Cube Global Storage and Access Records Storage) and scanned using specialized equipment in the Commission's Victoria office location.

Through this project, valuable historical well data will become more readily accessible to our industry stakeholders and the public.

4. Requirements

4.1 Scope of Services

Eligibility:

To be eligible to respond to this RFP, the proposing service provider shall: (a) reside in Victoria, BC or one of the surrounding municipalities of Southern Vancouver Island; (b) have a minimum of 5 years experience in the conversion of hardcopy documents to digital images for computer processing.

The Commission reserves the right to request live demonstrations of the proposed services to be performed and inspect the service provider's facility in making a determination of their ability and capacity to perform the requirements of the RFP.

Contract Term:

The initial contract term is anticipated to commence in January 2023 and complete on March 31, 2023. The Commission reserves the right to continue services and extend the contract for up to an additional one (1) year term pending a budget review in April 2023 and providing all terms, conditions and specifications remain the same and both parties agree to the extension.

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In the event services are scheduled to end because of the expiration of this contract, the successful Proponent shall continue the service upon written request by the Director, Records & Information Services. The extension period shall not continue for more than ninety (90) days beyond the expiration date of the existing contract. The successful proponent will be compensated for the service at the rate in effect if this extension clause is invoked by the Commission.

Budget:

The Commission has funding available for scanning services completed in fiscal 2022/23. The objective is to digitize as many boxes of well files as possible by March 31, 2023. A subsequent budget review will be conducted in April 2023 to support a continuation of services for fiscal 2023/24.

Service Test Period:

The Commission reserves the right to require a test period (paid) to determine if the successful Proponent can perform in accordance with the requirements of the contract and to the Commission's satisfaction. Such a test period can be from thirty (30) to sixty (60) days, and will be conducted under all specifications, terms and conditions contained in the contract.

A performance evaluation will be conducted prior to the end of the test period and that evaluation will be the basis for the Commission's decision to continue with the successful Proponent or to terminate the contract and select another service provider.

Site Visits for File Viewing – COVID-19 Policy:

Proponents may request an onsite visit to preview a sampling of the Well Authorization files and documents covered in this RFP.

Visits may be scheduled on **December 8, 12 or 13** and are not to exceed one (1) hour in duration. The location for site visits is 2950 Jutland Rd., Victoria, BC. The contact for scheduling a site visit is Kathryn Smerechinskiy, Director, Records and Information Management: Kathryn.Smerechinskiy@bcogc.ca. All requests for site visits should be received by the Commission by **December 12**.

All visitors to the Victoria office will be expected to comply with the Commission's COVID-19 Vaccination Policy for External Visitors/Contractors (Policy) as a condition of the visit. Information on the Commission's vaccination and verification requirements is available here. Masks are optional. Failure to comply with any condition of the Policy will result in cancellation of the scheduled visit.

Service Requirements:

The successful Proponent who enters into a written contract with the Commission will be responsible for the following as part of contracted services:

1. Storage facility liaison
   - The Proponent will liaise with the Commission's RIS Branch contact to coordinate the retrieval and return of file boxes to/from a storage facility.
   - Facility processes and requirements for retrieving, receiving and returning boxes should be respected and adhered to.
   - All file box retrievals and returns must be done in a secure manner where Commission records are not left unattended.
   - All facility staff and associated drivers should be treated respectfully and provided clear direction related to the delivery and retrieval of boxes.
   - Box transfer/shipping documentation must be signed and retained by the Proponent as evidence of each box's physical whereabouts and current custodianship.
   - Any issue or incident related to box retrievals or returns involving a storage facility (staff or driver) should be immediately reported to the Commission for action (RIS Branch Director).

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2. Onsite box management
- Received file boxes must be maintained in a secure locked and dry environment that is free from any potential risk of damage while in the Proponent's custody.
- Proponent location/facility must have adequate fire alarm systems, fire protected areas, and response measures in place.
- Only authorized staff are to have access to Commission files.
- Careful handling of file boxes, files and documents is expected in recognition of the collection's value and age, and awareness that these comprise the Commission's only record copies.

3. Rush/priority requests for files
- Upon request, Proponent will be expected to expeditiously locate and coordinate the physical transfer of requested file(s) in their custody or prioritize data digitization for electronic transfer to the Commission.

4. Document preparation – Pre-scanning
- Preparation of files for scanning includes:
  a. removing all staples, clips and other fasteners from single and multi-page documents (through use of appropriate tools to prevent tearing or otherwise damaging the documents)
  b. checking the numerical sequence and order of pages in multi-page documents
  c. verifying that all pages/documents are facing the same direction and are right side up
  d. re-stapling/re-clipping documents in the same original order after completion of scanning
  e. removing any report binding (unbinding) and file backing sheets
  f. moving post-it notes as necessary to ensure document content isn't obscured
  g. carefully unfolding large and irregular size documents to prevent tearing
  h. photocopying torn, brittle, faint, or thin documents (when feasible based on document size) or enclosing fragile originals in protective plastic sleeves
  i. repairing any torn documents with tape

5. Document/file restoration – Post-scanning
- Post-scanning standards for returning files to offsite storage are:
  a. documents are returned to the correct file folder in the correct order
  b. file folders are returned to the correct file box
  c. files within each box are arranged in numerical order by the Well Authorization number (e.g. WA12345)

6. Data capture/images
- Each document type within a file will be scanned separately in the format required (e.g. PDF, Tiff).
- Scanning will cover single-sided and double-sided documents, as required.
- Where a document type consists of multiple pages, all pages will be scanned.
- Document pages will be rotated as needed to ensure proper orientation and maximum readability.

7. Quality control/image quality assurance (QA)
- Scanned documents will be checked for quality and conformity prior to their submittal to the Commission, for example:
  a. any pages found not oriented properly will be appropriately rotated
  b. Any distorted images will be re-digitized
  c. Any blank pages will be deleted
  d. Colour accurately compares with the original document
- Text and/or graphic images that can be read on an original document must be as readable on the scanned image.

  In the event that a source document is not clear and legible, or a clear and legible reproduction cannot be produced, the successful Proponent is required to inform the Commission Records branch contact and provide an overview of the document in question.

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8. <u>Data transfer</u>
   - File data will be submitted to the Commission through secure file transfer protocol (FTP) as directed.
   - Uploaded data to the FTP will be organized as follows:
     a. one folder created per Well Authorization file
     b. each folder will be named according to the unique Well Authorization number (e.g. WA 12345)
     c. all documentation will be saved to the appropriate well file folder (folder must include <u>all</u> documents related to the well, including those spanning multiple volumes)

9. <u>Status reporting and box/file tracking:</u>
   - Providing briefings and status updates as requested.
   - Maintaining a current work plan, schedule, and tracking tool that supports the accurate location and retrieval of a box/file at any stage of the process.
   - Maintaining project progress and completion metrics.
   - Consulting with the Commission's RIS Branch staff as necessary to support contract deliverables.

10. <u>Project meetings:</u>
   - Any meetings with Commission staff will be conducted remotely using Microsoft Teams (e.g. start up, regular engagement or status updates). An exception to the offsite arrangement may apply if an ad hoc in-person meeting is mutually agreed upon by all parties.

<u>Scanning Equipment Requirements:</u>

The successful Proponent who enters into a written contract with the Commission is expected to use scanning equipment comparable in quality and performance to **a**. and **b.** below, and is <u>required</u> to use equipment listed in **c.** below as a condition of the contract for services:

   a. Fujitsu Image Desktop scanner (Model: fi-7800)
   b. Contex SD One MF 44" wide format colour scanner
   c. **NeuraScanner** (See Well Log Scanner | Log Scanners | Large Portable Scanners (neuralog.com) and neuralog-products-solutions.pdf for details)

The Commission requires the successful Proponent to use Neuralog's **NeuraScanner** for digitizing well and formation evaluation logs. Costs incurred through the procurement (or lease, if available) of a NeuraScanner are to be solely borne by the Proponent. Contact www.neuralog.com for information:

▲ Headquarters North America - US & Canada

4800 Sugar Grove Blvd., Suite 200

Houston, TX USA
sales@neuralog.com
1-281-240-2525 Office
1-800-364-8728 Toll Free (US and Canada)

<u>Well File Overview:</u>

There are approximately 5,000 boxes of well files located in offsite storage. Of these, some 4000-4,500 boxes require digitization.

Well file boxes consist of standard size banker boxes (12"x10"x15"). Each box of files varies in the type and volume of documents. The number of individual well files in a box also varies significantly – e.g. one (1) well file may span over two (2) boxes, or one (1) box may hold twenty (20) individual files.

A typical box of well files contains:

   - An average of eight (8) files

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- Anywhere from 3-25 logs of varying size, with an average total combined length of 150-300 metres per box

An average file takes approximately 2-4 hours to scan in entirety (scanning time is dependent on file composition/number of logs). Older files typically take longer to digitize as they contain more logs, plus require careful handling due to age and increased document fragility.

The following table provides an overview of the types of documents that might be filed in a well file and the Commission's digitization requirements. A well file may not include every document type listed. Some files contain only a few of the document types, whereas others may hold many of those listed.

Well File Document Types	Document Size	Scanner Requirement	Blk & Wht/ Colour	DPI	Format PDF/Tiff
Well logs/Formation evaluation logs (includes Hef logs)*	Irregular *Scanned image file size cannot exceed 1 GB to support system uploading*	NeuraScanner	Colour	400	PDF/Tiff
Tour sheets	Irregular (square/slightly larger than 11x17 inch; some consist of coloured carbon copies)	Large/Wide Format Desktop	Colour Colour	400 400	PDF
Core Reports	Irregular, Letter or Legal	Desktop	Colour	400	PDF
Analyses (e.g. water, gas)	Letter	Desktop	Colour	400	PDF
Absolute Open Flow	Letter	Desktop	Colour	400	PDF
Packer Isolation tests, Pressure Volume tests	Irregular Letter or Legal	Desktop	Colour	400	PDF
Pressure Survey Test	Letter	Desktop	Colour	400	PDF
Well summary reports	Irregular, Letter or Legal	Desktop	Colour	400	PDF
Well & test hole amendments, revisions, exemptions	Irregular, Letter or Legal	Desktop	Colour	400	PDF
Work-Over/Completion reports	Irregular, Letter or Legal	Desktop	Colour	400	PDF
Drill Stem Tests/Drilling reports	Irregular, Letter or Legal	Desktop	Colour	400	PDF
Applications	Irregular, Letter or legal	Desktop	Colour	400	PDF
Approvals	Irregular, Letter or legal	Desktop	Colour	400	PDF
Geological reports	Letter	Desktop	Colour	400	PDF
Well name changes, transfers	Letter	Desktop	Colour	400	PDF
Correspondence	Letter	Desktop	Colour	400	PDF
Survey plans	Oversize (>than 12x18)	Large/Wide Format	Colour	= or > 400	PDF

Recent well files (dating from the mid 1990's onwards) may contain one or more Hef logs. These logs can average from 350 to 750 metres in length. Hef logs are not found in "older" well files as they are produced using newer technologies. The initial contract will focus on the Commission's collection of older well files.

4.2 Content Requirements

To respond to this RFP, Proponents are required to submit the following information:

Proponent Eligibility & Qualifications
1. Description of company eligibility.
2. Description of company qualifications and former jobs relevant to the services outlined.
3. Description of project team (number of employees, qualifications).

Location/Facility
1. Description of physical location/facility where boxes/files will be stored and scanned (may include photos).
2. Description of security measures and other protections in place to safeguard boxes/files while in the Proponent's custody and control.
3. Description of emergency response process as it applies to the management of client records.

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Scanning Equipment
1. Description of scanning equipment to be used for the project (age/make/model).
2. Verification/acceptance of NeuraScanner requirement for well logs.

Proposed Approach/Processes
1. Description of end-to-end process for the receipt, preparation, scanning, restoration and return of files/file boxes to storage.
2. The number of days per week services will be performed (e.g. 5, 6).
3. Description of quality control and QA standards/processes to ensure quality and accuracy of image deliverables.
4. Description of the data transfer process (e.g. frequency, volume, schedule, etc.).
5. Description of reporting maintained to monitor/track/convey file scanning progress, box location, completed boxes, budget spend to date, etc. (include report format samples)Description of incident reporting in the event of a loss, breach or damage to Commission property and mitigation strategy.

Costing/Rates
1. Total processing cost **per file box** (includes cost for Labour).
2. Description of invoicing process for services.

Client References
1. Two client references, including organization, contact name, title, phone number, email address and date that work was performed.

4.3 Format Requirements

The following format, sequence, and instructions should be followed to provide consistency in Proponent response and ensure each proposal receives full consideration. With all pages consecutively numbered, the proposals should contain the following parts:

a) Table of contents with page numbers.

b) One-page executive summary.

c) The body of the proposal in accordance with the above content requirements. This part is not to exceed 10 pages of combined text, tables, graphics and other written presentation in support of the content requirements.

5. Evaluation

The evaluation of responses will be conducted by a team consisting of employees of the Commission. All members of the team will be bound by the same standards of confidentiality.

This section details all of the mandatory and desirable criteria against which proposals will be evaluated. Proponents should ensure that they fully respond to all criteria in order to receive full consideration during the evaluation.

The lowest priced Proposal will not necessarily be accepted. The Commission reserves the right to refuse any Proposal based on quality, service, price, reputation, experience and other criteria.

The Preferred Proponent will be the Proponent scoring the most points after evaluation. The evaluation process will consist of the following stages:

- Stage One – Mandatory Criteria
- Stage Two – Desirable Criteria
- Stage Three – Proponent Location/Facility Inspection
- Stage Four – Reference Checks (optional)

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5.1   Mandatory Criteria

Proposals not clearly demonstrating that they meet the following mandatory criteria will be excluded from further consideration during the evaluation process:

- **The Proposal must be sent and received before the designated closing date and time.**
- **The Proposal must be in English and submitted electronically to** https://procurement.bcogc.ca/
- **The Proponent must confirm that any personal information received, collected or held over the course of the review will be stored and used only in Canada.**
- **The Proposal must contain an independence and objectivity statement by the Proponent.**
- **The Proposal must confirm compliance with the Commission's vaccination policy for externals/contractors.**
- **The Proponent must reside in Victoria, B.C. or Southern Vancouver Island and have a minimum of 5 years experience in digitizing paper documents.**

Failure to meet all mandatory criteria above will disqualify the Proponent's Proposal from further review.

5.2   Desirable Criteria

The Commission seeks to enter into an agreement with the Proponent who, in the opinion of the Commission, has the resources, knowledge and competence to provide the greatest value. Proposals meeting all of the mandatory criteria will be further assessed against desirable criteria.

Desirable Criteria	Weight
Proponent Qualifications	40%
Suitability of Location/Facility, Equipment & Proposed Approach	40%
Pricing: Cost per box/Rates for services	20%

5.3   Proponent Location/Facility Inspection

The Commission reserves the right to conduct an onsite inspection of the Preferred Proponent's physical location/facility to verify the information contained in the Proposal and confirm the suitability of the location and/or scanning equipment. The Commission will not enter into a contract with any Proponent whose location, facility or equipment is found to be unsatisfactory.

Proponent Location/Facility Criteria	Weight
Client satisfaction with Proponent location/facility and/or verification of Proposal responses	Pass/Fail

5.4   Reference Checks (Optional)

The references of the Preferred Proponent may be contacted to validate any part of their responses. The Commission reserves the right to conduct such independent reference checks or verifications as deemed necessary to clarify, test, or verify the information contained in the Proposal and confirm the suitability of the Proponent. The Commission will not enter into a contract with any Proponent whose references are found to be unsatisfactory.

Reference Check Criteria	Weight
Client satisfaction with Proponent services and/or verification of Proposal responses	Pass/Fail

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INTERNAL FOI PROCESS FLOWCHART

| Applicant submits written FOI Request | Notification of new FOI Request sent to applicable Program(s) staff

Record searches and gathering completed by Program staff | Records received and reviewed by Internal FOI for harms in accordance with FOIPPA | Draft FOI Package (records proposed for release) created and made available to Internal FOI Review Group

Notification email sent to appropriate Reviewers | Reviewers approve release of records or request edits to draft FOI Package | Internal FOI completes necessary edits

Reviewers advised of any substantive changes to FOI Package | **Sign-off by Delegated Head** (Executive VP)

Executive & Ministry Briefings (ED, Public Trust / VP, Chief Legal Counsel) | Records released to Applicant within legislated timeframe |

| Internal FOI
1 day | Program Area Search
7 days | Internal FOI
10 days | FOI Review Group
7 days | Internal FOI
1 day | Exec VP / Public Trust
3 days | Internal FOI
1 day |

Flowchart reflects a typical 30 business day processing timeline:

Searches for Records
- 5-7 business days are typically allocated for records searches and gathering by Commission program areas.
- If record volumes are significant, a time extension may be taken or Fee Estimate issued to the Applicant.

FOIPPA Review by Internal FOI
- 2-10 days is typically allocated for a line-by-line review of responsive records by Internal FOI staff.
- Exceptions under FOIPPA are applied to information deemed harmful to release.
- Draft FOI Package is created for review by the internal FOI Review Group.

Review & Approval by Leadership Group Members
- 5-7 business days are typically allocated for review and approval of a FOI Package by FOI Review Group.
- This time period may be increased for large and complex files if additional time is available.
- Time may be reduced if the package is small or the legislated date for response is approaching.

Sign-Off by Delegated Head (Executive VP)
- Executive sign-off occurs when: (1) any required changes to a FOI Package have been completed; and (2) all required Review Group approvals have been received.

Release to Applicant
- Requested records are released to the Applicant after required briefings have been completed.

WHAT IS FOI?

The Freedom of Information and Protection of Privacy Act (FOIPPA) enables the public to request and obtain copies of records held by government public bodies, when those records are not routinely available. These requests are known as "FOI Requests".

Who does FOIPPA apply to?

FOIPPA applies to **public bodies**, including all BC provincial government ministries, agencies, boards, commissions, and provincial Crown corporations. It also applies to local public bodies such as municipalities, regional districts, universities, hospitals, school boards and self-governing professional bodies (such as the College of Physicians and Surgeons). FOIPPA does not apply to private sector organizations in BC.

What are a public body's main obligations under FOI?

Under FOIPPA, public bodies:

- Have a legislated 30-business day time limit to respond to FOI requests, with specific exceptions which allow the ability to grant extensions of time in appropriate circumstances.

- Must consider all responsive records available to an applicant, and make every reasonable effort to assist.

- Should complete a line-by-line review of records identified as "responsive" to a request to determine whether any information contained within them requires protection from disclosure.

What oversight body ensures that FOI is done appropriately throughout government?

The Office of the Information and Privacy Commissioner (OIPC) provides independent oversight and enforcement of BC's access and privacy laws. The OIPC is responsible for monitoring how FOIPPA is administered, and is authorized to conduct investigations and audits to ensure compliance with any provision of FOIPPA. Applicants have the right to request formal review of a decision, act or failure to act with respect to a public body's administration of a FOI request under FOIPPA.

What is considered a "record" under FOIPPA?

A record is any information recorded or stored by any means, whether in physical (hardcopy) or electronic format. This includes emails, notebooks, correspondence, photographs, phone records and even information on post-it notes. If it was created in the course of your daily work, it is considered a record.

Are all requested records released under FOI?

No. Records are not automatically released to the public. There are exceptions to the public's information rights under FOIPPA. For example, an applicant will not get access to Cabinet confidences, someone else's personal information, or information that could harm another individual's business interests. An applicant will also not get access to records that could harm law enforcement, or the economic or financial interests of a public body, other individuals or the public. *See "FOIPPA Exceptions to Disclosure" for details.*

Are all requests for information handled formally?

No. Some requests for information can be satisfied informally through routine channels. Through our corporate website, the Commission makes select records information available to the public. Over time, additional information will be proactively released as the Commission works to identify information suitable for disclosure as part of its *Transparency Strategy*.

A formal FOI request is necessary when there may be sensitive or confidential information contained within a record. For example, information that:

- Was created by or relates to another government public body or its employees
- Was provided by or is about a third party (e.g. a company's financial or proprietary business information)
- Relates to government negotiation or consultative processes
- Includes personal information about an individual (e.g. landowner information, information relating to employees, etc.)

The Commission's FOI staff, in collaboration with program subject matter experts and management, identifies whether information is unsuitable for release.

What should I do if I receive a written request for information?

If a program area receives a request for a record(s) that is identified as routinely releasable (no harmful or sensitive/confidential information exists within the record), staff may provide the record to the applicant.

If the requested record(s) contains or may contain sensitive/confidential information, is not a record that's made available to the public or you are unsure, please contact the Commission's FOI Specialist, Dana Keough or send an enquiry to the FOI team inbox at FOIintake@bcogc.ca

FOI IN THE COMMISSION

The Commission receives requests for information from multiple applicants (e.g., media, interest groups) for a wide variety of subjects. During 2015-2017, 170 requests were received and processed formally under the *Freedom of Information and Protection of Privacy Act* (FOIPPA).

Where records are not available through routine venues, the Commission processes requests for information internally through a formal FOI process. Over time, the Commission is looking to make more information routinely available to the public which may help to reduce the number of formal requests received.

Commission FOI "At-A-Glance"

1. **Our external website features our corporate FOI inbox (FOIintake@bcogc.ca) and information for the general public on how to submit an FOI Request**

2. **We have staff dedicated to administering FOI requests and ensuring compliance:**

   - Dana Keough (FOIPP Specialist) and Kathryn Smerechinskiy (Director)
   - It requires a "small village" to do FOI effectively. We regularly consult with the Commission's communications and legal teams, plus many of you as the subject matter experts.

3. **We are establishing a new internal FOI process that includes:**

   - A single point of contact model within each program area, where one individual receives notification of new FOI requests, coordinates records searches within their team, and ensures responsive records are supplied to the Commission's internal FOI team in a timely manner.
   - An internal FOI review group comprised of VPs/Executive Directors and Program Leads to review and approve FOI packages prior to release.
   - Formal sign-off of FOI releases by the Delegated head (CFO & Executive VP, Corporate Services).

Our "Top 3" FOI Objectives

1. To build staff awareness about FOIPPA and their accountabilities under the Act.
2. To ensure adequate and thorough searches for records are conducted.
3. To promote openness and transparency while balancing the need to protect sensitive information.

What should I do if I receive a written request for information?

If a program area receives a request for a record that's identified as routinely releasable (no harmful or sensitive/confidential information exists within the record), staff may release the record to the applicant. If the requested record appears to contain sensitive/confidential information, is not a record that's typically made available to the public or you are just unsure, please contact the Commission's FOIPP Specialist or send an enquiry to the FOI team inbox at FOIintake@bcogc.ca

HARMS ASSESSMENT CHECKLIST

A guideline for identifying potentially harmful information in FOI release materials.

Use the following "checklist" as an aid for identifying information that could potentially be harmful if released:

1. Harm to other governments

- ☐ Do the records contain confidential negotiations with other governments?
- ☐ Do the records contain information that could harm our relationship with the Canadian government, another province, a municipality or regional district, an aboriginal government or international state or states?

2. Harm to the Commission

- ☐ Could release of information be harmful to our financial interests (e.g. information has monetary value)?
- ☐ Could release of information be harmful to our economic interests (e.g. could damage the economic policies/activities for which the Commission is responsible)?
- ☐ Do the records relate to administrative or personnel management plans that are not yet public?

3. Harm to 3rd party business interests

- ☐ Do the records contain information about a business's confidential negotiations with the Commission?
- ☐ Could release of information reveal the business's trade secrets?
- ☐ Was the information supplied in confidence?
- ☐ Could release of information harm the business's competitive position, result in the Commission no longer receiving the information, or result in undue financial losses or gains?

4. Legal advice

- ☐ Do the records contain legal advice?
- ☐ Was the information intended to be confidential?
- ☐ Was the record created for the purpose of seeking or giving legal advice?
- ☐ Do the records relate to a legal matter? If yes, is the matter still ongoing?
- ☐ Are the records being used in litigation?

5. Cabinet confidences

- ☐ Were the records submitted, or prepared for submission to Cabinet/Treasury Board?
- ☐ If yes, are they draft or a final submission?
- ☐ If yes, have the records gone to Cabinet, or are they pending?
- ☐ If they've gone to Cabinet, has the information been made public? Implemented?

6. Policy advice and recommendations

- ☐ Do the records contain information that is policy advice prepared for a public body or minister?
- ☐ Do the records consist of 'draft' materials / advice / recommended courses of action?

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Freedom of Information and Protection of Privacy Guidance for Contractors

The BC Energy Regulator (BCER) is required to comply with government policies and legislation related to privacy protection. In BC, our privacy protection obligations as a public body are governed by the *Freedom of Information and Protection of Privacy Act* (*FOIPPA*).

FOIPPA applies to all records in the custody or control of public bodies in British Columbia.

How does FOIPPA affect a contracted service provider?

FOIPPA requires public bodies to ensure that contractors providing services on their behalf follow the same rules for collecting, using and disclosing personal information that a public body would have to follow.

Contractors must meet strict standards for protecting personal information. This is especially true when a contractor manages sensitive personal information such as health or financial information of British Columbians.

What constitutes Personal Information?

FOIPPA defines personal information as "recorded information about an identifiable individual other than contact information". Contact information typically includes information found on an individual's business card or work email signature block. Examples of **personal information** include:

- Name, residential address, personal email address or phone number
- Age, date of birth, sex, religion, race, sexual orientation, marital/family status, fingerprints
- Assigned identification numbers (SIN, drivers' license or personal health number) or symbols

- Educational, financial, criminal or employment history
- Health care history (including a physical or mental disability), medical conditions
- Personal opinions (whether true or not), but excluding those about someone else
- Patterns of behaviour captured through electronic monitoring

What are your responsibilities regarding records in your custody?

A contract may require a contractor to collect or use personal information such as a person's name, address or opinion.

As a contractor in custody of personal information, you have an obligation to take reasonable security precautions to protect it against risks, such as unauthorized access, collection, use, disclosure, or disposal.

The amount of detail in each contract relating to records management and protection of privacy will depend on the complexity of service being provided.

Records management

Records management is the system an organization uses to effectively capture and maintain information associated with business activities and transactions. Records include both print and digital records of such items as email, documents, maps and notes.

Considerations:
- What records the contractor will have to create, use or store

- Any special conditions governing the way records are managed
- Requirements about the return or disposal of records (such as maintaining a disposal log or ensuring that confidential records are shredded)

Protection of privacy

Privacy is protected by treating personal information responsibly and lawfully. This includes ensuring personal information is collected, used, and disclosed appropriately.

Considerations:
- The contractor's responsibility for the actions of its employees, agents and subcontractors
- Limits on the collection, use and disclosure of personal information *(specifications will be outlined within the contract)*
- Requirements respecting storage of personal information *(specifications will be outlined within the contract)*

Security

Information security is the protection of information and information systems from unauthorized access, use, disclosure, disruption, modification, or destruction to ensure confidentiality, integrity, and availability of that information or system.
FOIPPA requires public bodies to protect personal information by using reasonable security controls. "Reasonable" security controls means that the security arrangements are appropriate for, and proportional to, the sensitivity of the information. For example, more sensitive personal information such as

health records, should be subject to more robust security controls than less sensitive personal information, such as contact information an individual has made publicly available.

Considerations:
- Security standards - technological, physical, administrative *(specifications will be outlined within the contract)*

Access to information (Freedom of Information)

Public bodies are accountable to the public for ensuring access to records under the custody or control of the public body, with limited exceptions. This includes individuals' right of access to their personal information.

Considerations:
- Records in your custody considered to be under the control of BCER can be requested under FOIPPA. These would be records about the services you provide to BCER, not about your own operations.

  Note: In the event a request for records is received by the BCER, and it is determined that you hold records responsive to such a request, your contract manager will contact you to make appropriate arrangements. These will include instructions such as searching for records, providing original records or copies, and meeting time limits for responding.

What steps must a contractor take if they receive a request for records?

As a contracted service provider, if you receive a request from an individual or organization seeking to access records in your custody that relate to the work you have been contracted to perform on behalf of the BCER, please redirect this request to BCER immediately.

Send an email to the BCER Freedom of Information Office providing all details of the request at: FOIIntake@bc-er.ca

Information Incidents/Privacy Breaches

An information incident is an event (or series of events) involving the collection, storage, access, use, disclosure or disposal of confidential or personal information that threatens privacy or information security, and/or contravenes law or policy.

An information incident that threatens privacy is called a privacy breach and includes the theft or loss of personal information, or the access, collection, use, or disclosure of personal information that is not authorized under FOIPPA. A privacy breach may be accidental or deliberate.

The most common privacy breach happens when personal information is stolen, lost or mistakenly disclosed – for example, when a computer is stolen or when personal information is mistakenly emailed to the wrong person or distribution list.

What steps must a contractor take if a privacy breach occurs?
Contractors and service providers are required to report any suspected or actual information incidents that involve personal or business confidential information.

STEP 1: Where possible, a contractor should take immediate, common-sense steps to limit and contain a breach by **stopping the action or practice that caused or contributed to the breach**. Examples may include:

- recalling an email or recovering records
- requesting a shutdown of the system that was breached
- requesting a change in system user access permissions
- requesting a user's system or computer access be revoked
- correcting a physical security weakness (e.g. locking a location).
- Each contractor must understand what constitutes a breach of personal privacy and their role and responsibilities in the breach response process.

STEP 2: Contact BCER staff who must be aware of the incident. Send an email to the BCER Privacy Officers PrivacyOfficer@bc-er.ca and cc: Your Contract Manager.

In the event of an information incident or breach of privacy, BCER will work with you to review and assess the details of what has occurred as part of their formal Privacy Breach Response.

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In summary, as a Contractor for the BC Energy Regulator, ensure you:

- ✓ Understand your FOIPPA responsibilities.

- ✓ Have a records management plan that supports confidentiality and security of information.

- ✓ Know who to contact if you have any questions or concerns.

For Privacy Advice and Support:

Contact the BC Energy Regulator's Privacy Officers at PrivacyOfficer@bc-er.ca.

To report an actual or suspected **Information Incident or Breach of Privacy** email PrivacyOfficer@bc-er.ca and cc your contract manager.

For Access to Information (FOI) and Records Support Contact the BC Energy Regulator's FOI support team at: FOIIntake@bcogc.ca:

Contact the BC Energy Regulator's FOI support team at: FOIIntake@bc-er.ca.

The Freedom of Information and Protection of Privacy Act (FOIPPA)

Sections of the Act / Exceptions to Disclosure

*FOIPPA establishes an applicant's right to access records held by a public body. There are certain exceptions to accessing records. "Severing" is applied to records in accordance with these sections. **Four** out of the 12 exceptions are* mandatory *(see sections are identified in* red *below). The other exceptions to disclosure can be applied at a public body's discretion. An organization's approach to proactive release of records should align with FOIPPA's exceptions to disclosure, as well as any other applicable legislation related to the confidentiality of information.*

Section	FOIPPA Section Title	Overview of FOIPPA Disclosure Exemptions
12	Cabinet Confidences	A provincial government public body must withhold information that would reveal Cabinet confidences (e.g. advice, recommendations, policy considerations or draft legislation/regulations submitted or prepared for submission).
13	Policy Advice, Recommendations or Draft Regulations	Covers information that would reveal advice or recommendations. This section is intended to allow for full and frank discussion of policy issues during deliberative processes.
14	Disclosure Harmful to Legal Advice	Covers communications between a public body and its legal counsel (protects solicitor client privilege).
15	Disclosure Harmful to Law Enforcement	Covers information that would harm a law enforcement matter.
16	Disclosure Harmful to Intergovernmental Relations or Negotiations	Covers matters which could harm the relations between BC's levels of government and governments from other provinces and jurisdictions (e.g. Government of Canada/Province of Canada, council of municipality, regional district board, aboriginal government, government of a foreign state, international organization of states).
17	Disclosure Harmful to Financial or Economic Harm	Covers information which, if released, would cause financial or economic harm to the public body or to the government.
18	Disclosure Harmful to Conservation of Heritage Sites	Covers information about heritage sites which would result in the exploitation, damage of, or interference with the conservation of those sites. This includes: fossil sites or anthropological sites; an endangered, threatened or vulnerable species (plants, vertebrates, invertebrates); and rare or endangered living resources.
18.1	Disclosure Harmful to Interests of an Indigenous People	Covers information that could reasonably be expected to harm the rights of an Indigenous people to maintain, control, protect or develop their cultural heritage, traditional knowledge, traditional cultural expressions, or manifestations of sciences, technologies or cultures.
19	Disclosure Harmful to Individual or Public Safety	Covers information that could result in harm to any person's safety, mental, physical or emotional health or to public safety.
20	Information That Will Be Published or Released Within 60 Days	A public body may withhold information from an applicant if it is already for sale to the public, or if the public body plans to release or publish the information within 60 days.

21	Disclosure Harmful to Business Interests of a Third Party	Public bodies are often in possession of commercial, financial, scientific or technical information of third party's and must withhold that information from an applicant if releasing it would cause harm to the business. A specific three-part test must be met in order to appropriately apply the section.
22	Disclosure Harmful to Personal Privacy	Personal information belongs to that individual and must not be disclosed if it would be an unreasonable invasion of privacy. Except in very limited circumstances, public bodies must not release an individual's information to anyone else without their consent.

HARMS ASSESSMENT CHECKLIST

Guideline for Identifying Potentially Harmful Information in FOI Release Materials

Use the following "checklist" as an aid for identifying information that could potentially be harmful if released:

1. **Harm to Other Governments**
   - ☐ Do the records contain confidential negotiations with other governments?
   - ☐ Do the records contain information that could harm our relationship with the Canadian government, another province, a municipality or regional district, an aboriginal government or international state or states?

2. **Harm to the BCER**
   - ☐ Could release of information be harmful to our financial interests (e.g. information has monetary value?)
   - ☐ Could release of information be harmful to our economic interests (e.g. could damage the economic policies/activities for which the BCER is responsible)?
   - ☐ Do the records relate to administrative or personnel management plans that are not yet public?

3. **Harm to 3rd Party Business Interests**
   - ☐ Do the records contain information about a business's confidential negotiations with the BCER?
   - ☐ Could release of information reveal the business's trade secrets?
   - ☐ Was the information supplied in confidence?
   - ☐ Could release of information harm the business's competitive position, result in the BCER no longer receiving the information, or result in undue financial losses or gains?

4. **Legal Advice**
   - ☐ Do the records contain legal advice?
   - ☐ Was the information intended to be confidential?
   - ☐ Was the record created for the purpose of seeking or giving legal advice?
   - ☐ Do the records relate to a legal matter? If yes, is the matter still ongoing?
   - ☐ Are the records being used in litigation?

5. **Cabinet Confidences**
   - ☐ Were the records submitted, or prepared for submission to Cabinet/Treasury Board?
   - ☐ If yes, are they draft or a final submission?
   - ☐ If yes, have the records gone to Cabinet, or are they pending?
   - ☐ If they've gone to Cabinet, has the information been made public? Implemented?

6. **Policy Advice and Recommendations**
   - ☐ Do the records contain information that is policy advice prepared for a public body or minister?
   - ☐ Do the records consist of 'draft' materials / advice / recommended courses of action?

SEARCH CHECKLIST

Guideline for Completing a Search for Responsive Records

Use the following "checklist" as an aid for identifying areas for searching and locating records:

1. **Outlook**
   - ☐ Outlook email box (including inbox, sent, deleted, and archived folders)
   - ☐ Shared outlook email boxes

2. **Shared/Personal Drives**
   - ☐ K: Drive (or others)
   - ☐ F: Drive
   - ☐ OneDrive
   - ☐ SharePoint Sites
   - ☐ Personal PC or hard drive

3. **Hardcopy Records**
   - ☐ Hardcopy files (other than those kept in the FSJ Records Centre or Offsite Storage)
   - ☐ Notebooks
   - ☐ Other hardcopy records

4. **Databases and Information Systems**
   - ☐ Kermit
   - ☐ IRIS
   - ☐ AMS Application
   - ☐ AMS Review (CRD)
   - ☐ CMIS
   - ☐ GIS and Spatial Data
   - ☐ Other database or information systems

Employee Signature Confirming Search:_____

From: FOI Intake
Subject: CALL FOR RECORDS: BCER-20XX-XXX (Brief Description)

Good afternoon,

The BCER has received the following new FOI request (Applicant type: Choose an item.):

Description of Request

Please forward all responsive records to: FOIIntake@bc-er.ca or directly to me by: **Date**. If you do not have responsive records, please indicate this by a reply to this email.

Provide any other relevant details.

If you believe this Call for Records should be directed to another BCER employee or program area, please advise.

Thank you.

From: FOI Intake
Subject: FOR REVIEW & APPROVAL: BCER-20XX-XXX (Brief Description)

Good afternoon,

FOI package **BCER-20XX-XXX** is ready for your review and approval. Please see the attached redline package (attach package or link to materials)

<u>Note to Reviewers:</u>

- Please refer to the attached **FOI Release Approval Form** for request details.
- ADD ANY OTHER RELEVANT DETAILS.

Please reply with your approval or comments by: <u>Date.</u>

If you have any questions, please let me know.

Thank you.

1

From: FOI Intake
Subject: FOR SIGN-OFF: BCER-20XX-XXX (Brief Description)

Good afternoon,

FOI request **BCER-20XX-XXX** is ready for your review and sign-off. Please see the attached <u>FOI Release Approval Form</u> for the request details.

Approvals have been received from: (ENTER APPROVERS NAMES).
ADD ANY OTHER RELEVANT INFORMATION.

To approve release, please add your electronic signature to the approval form. Your response would be appreciated by: **[DATE]**

If you have questions, please let me know.

1

From: FOI Intake
To:
Subject: [Name of Public Body] Consultation - BCER-[Request #] - Due: [Date]

Hello [Name of Public Body],

Re: Request for Consultation – *Freedom of Information and Protection of Privacy Act* **(FOIPPA)**

The BC Energy Regulator has received a request for information from a [applicant type] applicant:

[description of request]

The attached records gathered in response to the request, originated from or concern your agency and we would like to get the [public body's acronym] views and recommendations on disclosure. In order to meet our legislated due, we would appreciate your written response by: [due date]; however, if you do not respond back by this date, we will proceed with processing the request and release in accordance with FOIPPA. For your convenience, a copy of FOIPPA can be found online: Freedom of Information and Protection of Privacy Act (gov.bc.ca)

Please forward your written response to: FOIIntake@bc-er.ca.

Thank you,
Kind regards,

Overview of Request, Harms & Release Recommendations

Request Received: Enter Date   **Legislated Due Date:** Enter Date   **Applicant Type:** Select

Description*:* Includes wording of information request received from applicant

Comments/Background:
- Includes details on what program areas were canvassed and who responsive records were received from.
- Includes summary of severing recommendations applied to address concerns (sections of FOIPPA applied and high-level rationale).

Consultations:
- Includes details on any 3rd parties consulted (e.g. ministries, industry, etc.)
- Includes high level summary of 3rd party responses.
- Identifies whether severing any severing was applied to address concerns.

Release Recommendation: ☐ Full disclosure ☐ Partial disclosure ☐ Access denied ☐ Phased release

Website Publication Recommendation: ☐ **Suitable** for publication ☐ **Not Recommended** for publication
(When not recommended for publication, include the following exemption statement to provide rationale) This request is not recommended for publication because the records for release include: (choose applicable exemption and remove all others)
- ❖ *Personal Information or information that could lead to the identification of the Applicant or other persons.*
- ❖ *Information that may harm relations with a First Nation.*
- ❖ *Information that may harm relations with another government.*
- ❖ *Information that may harm a third party's business interests.*
- ❖ *Information that is not suitable for proactive disclosure based on a formal risk assessment that disclosure to the public may threaten the safety of a person or harm the security of any property or system.*

	Signature:	
Specialist, FOIPP & IM: Dana Keough	Signature:	Date: Click here to enter a date
Director, Records & IM: Mahia Frost	Signature:	Date: Click here to enter a date.

Executive Sign-Off - Agreement with Recommendations

EVP, People, Reconciliation & Transformation: Sara Dickinson	Signature:	Date: Click here to enter a date.

[**Date]

VIA ELECTRONIC MAIL: [email address]**

[**Name and address]

Dear [**Name]:

Thank you for consulting with the BC Energy Regulator (BCER) on the release of records relating to:

*[**details of consultation request]*

The BCER recommends partial disclosure pursuant to [**applicable sections] of FOIPPA as shown on the attached records in redline boxes. The recommended redactions are shown on the attached redline. Please note that we have only provided recommendations for those records that concern the BC Energy Regulator and have not made any further comment on records related to any third party or other government agencies.

If you have any questions, please contact: FOIIntake@bcer.ca

Sincerely,

[**Signature]
BC Energy Regulator

Physical/Courier/Mailing
6534 100 Avenue
Fort St. John, BC VIJ 8C5

T: 250.794.5200
F: 250.794.5390

www.bc-er.ca

Request BCER2024-010 - Page 207 of 234

[**Date]

VIA ELECTRONIC MAIL: [email address]**

[**Name and Address]

Dear [**Salutation]:

Re: Request for Access to Records – Confirmation
Freedom of Information and Protection of Privacy Act **(FOIPPA)**

The BC Energy Regulator (BCER) received your request for information under FOIPPA for:

[“Description of request”]

We will make every effort to provide the information available to you under FOIPPA as quickly as possible. FOIPPA allows 30 business days for us to respond to your request; therefore, we will be responding on or before [**Date].

However, you should also be aware that the Act does allow, in limited circumstances, for the 30-day time period to be extended and for fees to be charged. We will notify you as soon as possible if there will be a requirement to extend the time limit for responding to your request or to charge fees.

If you have any questions now or during the processing of your request, please contact the BCER at: FOIIntake@bc-er.ca.

Sincerely,

[**Signature]
BC Energy Regulator

Physical/Courier/Mailing
6534 100 Avenue
Fort St. John, BC VIJ 8C5

T: 250.794.5200
F: 250.794.5390

www.bc-er.ca

Request BCER2024-010 - Page 208 of 234

[**Date]

VIA ELECTRONIC MAIL: [email address]**

[**Name and Address]

Dear [**Salutation]:

Re: Request for Access to Records – Fee Estimate
    ***Freedom of Information and Protection of Privacy Act (*FOIPPA)**

The BC Energy Regulator (BCER) received your request for **[*"Summary of request".*]**

Section 75 of FOIPPA provides that we may charge a fee for certain limited costs of providing you with the requested information as outlined below. The fee for providing the records is estimated to be **$***.**

Searching & locating relevant records	
15 minutes/1" file @ $30/hour:	$***
Scanning records	
# of pages @ $0.10/page	
# of large format pages @ $4/page	$***
Preparing records for disclosure	
# Hours @ $30/hour	$***
Shipping (if applicable)	$***
Total:	$***
Deposit Required:	**$*****

Please note that you must provide the BCER with a cheque or money order representing the deposit for the above services in the amount of [$XXX] before we will continue processing your request. Kindly make this cheque payable to the Minister of Finance and return to my attention at:

BC Energy Regulator
6534 100ᵗʰ Avenue
Fort St John BC V1J 8C5

This is an estimate of the specific costs associated with processing your request. All reasonable efforts have been made to generate an accurate estimate; however, you will be required to pay the actual cost whether it is higher or lower than the estimate. We will inform you if it is determined that the actual

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Fort St. John, BC VIJ 8C5

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F: 250.794.5390

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cost will exceed the estimate prior to providing any further service. Should the final costs be less than the above quoted total, the balance will be adjusted accordingly.

FOIPPA provides that we may excuse you from paying all or part of the fee if you cannot afford to pay, or if the records relate to a matter of public interest. If you wish to request a fee waiver, please provide us with written detailed reasons why a fee waiver should apply. Once we have reviewed your submission, we will notify you of our decision. While FOIPPA imposes an obligation on us to respond to your request within 30 days, the time period that elapses while we await your deposit will not be included in the calculation of your response time. If we do not here from you by [**Date], we will consider the file closed.

You may ask the Office of the Information and Privacy Commissioner (OIPC) to review this fee estimate. FOIPPA allows you 30 days from the date of this letter to request a review by writing to:

Information & Privacy Commissioner for BC
PO Box 9038, Stn Prov Govt
4th Floor, 947 Fort Street
Victoria BC V8W 9A4
Phone: 250.387.5629 Fax: 250.387.1696
Email: info@oipc.bc.ca

If you request a review, please provide the OIPC with a copy of this letter, a copy of your original request and the reasons or grounds upon which you are requesting the review. Please contact the BCER at FOIIntake@bc-er.ca with any questions or concerns regarding this fee estimate.

Sincerely,

[**Signature**]
BC Energy Regulator

[**Date]

VIA ELECTRONIC MAIL: [email address]**

[**Name and Address]

Dear [**Salutation]:

Re: Notice to Third Party – Request for Consultation
   Freedom of Information and Protection of Privacy Act **(FOIPPA)**

The BC Energy Regulator (BCER) has received a request under FOIPPA to disclose records that may affect the business interests of your company [***describe records as they relate to the third party].

The attached records have been reviewed by the BCER and we have determined that the records contain information that might be harmful to your business interests. You may be able to provide us with additional information from your business' perspective that would help us to determine whether disclosure of these records could result in significant harm. For your convenience, I have attached an explanation of Section 21 of FOIPPA. After reviewing the attached material, please provide your views on its disclosure in writing to me by [**date].

You may:

1. Consent to the disclosure of the information,
2. Request that the BCER remove portions of the information, while disclosing the remainder, by providing us written representations as to why the information should be withheld, or
3. Make written representations explaining why you feel the records or information should not be disclosed.

The BCER must disclose the information to the applicant unless it can be shown that the records contain certain types of information (described in more detail on the attached explanatory note); the information was supplied in confidence; and the disclosure of the information could reasonably be expected to result in one of more of the harms as specified. If you wish to have any of the information pertaining to your business withheld, it is important that you provide clear and specific reasons. In your submission, please focus on the type of harm directly related to Section 21, as specified in the attachments. Your input will be considered, along with other relevant factors, in deciding whether to disclose the records. Please note if we do not receive written representations from you by the date indicated above, we are still required under FOIPPA to make a decision based on the information we have available. We will write to you by [***date] to inform you of the BCER's decision on the release of this information.

For any questions or further clarification, please contact the BCER at: FOIIntake@bc-er.ca.

Sincerely,

[**Signature]
BC Energy Regulator

Physical/Courier   **Mailing**   **T:** 250.794.5200
6534 100 Avenue   Bag 2   **F:** 250.794.5390
Fort St. John, BC VIJ 8C5   Fort St. John, BC V1J 2B0   **www.bc-er.ca**

Request BCER2024-010 - Page 211 of 234

EXPLANATORY NOTE
THIRD PARTY BUSINESS INTERESTS

Purpose of the *Freedom of Information and Protection of Privacy Act* (FOIPPA)

The *Freedom of Information and Protection of Privacy Act* balances the public's right of access to public bodies' records with the need to protect from disclosure information which would harm the interests of the public body or a third party. When a request is made for access to records, we are required to provide access to as much of the requested information as possible and may only withhold information covered by the specific exceptions provided by FOIPPA.

Request for Information which May Affect your Business Interests

We have received a request for access to records which contain information relating to your business. Section 21 of FOIPPA provides for exception to the right of access when disclosure of the information results in significant harm to a third-party's business interests. Under Section 21, the head of a public body must withhold access to the information if the information satisfies all three parts of the test set out below:

1. The information is a trade secret or commercial, financial, labour relations, scientific or technical information of the third party; **AND**
2. The information was supplied, implicitly or explicitly, in confidence. There must be evidence that the information has been consistently treated in a confidential manner; **AND**
3. One or more of the following harms will occur if the information is disclosed.
   The disclosure of the information will:
   - Harm significantly the competitive position or interfere significantly with the contractual or other negotiations of the third-party.
   - Result in similar information no longer being supplied to the BCER where it is in the public interest that similar information continues to be supplied. This does not apply where a statute or regulation requires that the information be supplied.
   - Result in undue loss or gain to any person or organization.
   - Reveal information supplied to, or the report of, an arbitrator, mediator, labour relations officer or other person or body appointed to resolve or inquire into a labour relations dispute.

Opportunity for Input

The BCER is sending you notice of this request to give you opportunity to consent to the release or express any concerns you may have regarding the disclosure of the third-party information related to your business. Your input would be valuable in helping the Commission make an informed decision on disclosing the records.

You may respond to this notice by:

1. Consenting in writing to the disclosure of all or portions of the information; or
2. Making written representations to the BCER explaining why disclosure of the information would be harmful to your business interests.

Physical/Courier
6534 100 Avenue
Fort St. John, BC VIJ 8C5

Mailing
Bag 2
Fort St. John, BC V1J 2B0

T: 250.794.5200
F: 250.794.5390

www.bc-er.ca

Request BCER2024-010 - Page 212 of 234

Written Representations

If you choose to make written representations, your representations will be one of the factors that the BCER considers in deciding whether to disclose the requested information. Your reasons should be clear and as specific as possible to help the BCER decide whether the records can be disclosed. Please include detailed, factual, and objective evidence that will assist us to answer the following questions:

- Is the information a trade secret? Is it financial, commercial, labour relations, scientific or technical information?
- Was the information in your view supplied to the BCER in confidence?
- Can the release of the information reasonably be expected to cause one or more of the harms listed above?

In making your representations:

- Direct your comments only to the question of whether the specified information that relates to your business interests should or should not be disclosed.
- Identify the exact portions of the records that you wish us to withhold. (You may highlight information on the electronic copies that you feel should not be disclosed.)

Notification of Decision and Right of Appeal

The BCER will consider your representations in deciding on disclosure of the requested information. If we decide to disclose all or some of the information, we will notify you before the information is disclosed so that you may have an opportunity to request a review of the decision. Under Section 52 of FOIPPA, you may ask the Office of the Information and Privacy Commissioner (OIPC) to review the decision of the BCER regarding the release of this information. You have 20 days from the receipt of the BCER's decision to request a review by writing to:

> Information & Privacy Commissioner for BC
> PO Box 9038 Stn Prov Govt
> 4th Floor, 947 Fort Street
> Victoria BC V8W 9A4
> Phone: 250.387.5629   Facsimile: 250.387.1696
> Email: info@oipc.bc.ca

If you request a review, please provide the OIPC with your contact information along with copies of your written representations, the BCER's decision letter; and the reasons or grounds upon which you are requesting the review.

Detailed information on requesting a review can be found on the OIPC's website: https://www.oipc.bc.ca/

Physical/Courier
6534 100 Avenue
Fort St. John, BC VIJ 8C5

Mailing
Bag 2
Fort St. John, BC V1J 2B0

T: 250.794.5200
F: 250.794.5390

www.bc-er.ca

Request BCER2024-010 - Page 213 of 234

[**Date]

VIA ELECTRONIC MAIL: [email address]**

[**Name and Address]

Dear [**Salutation]:

Re: Notice of Additional Time Extension
Freedom of Information and Protection of Privacy Act **(FOIPPA)**

I am writing further regarding your request for access to records relating to **[**summary of request**].**

My letter of [**first extension date] advised that the BCER required a 30-day extension in order to process your request. Further to this, and to allow the BCER time to complete the consultation process; we have requested and received and additional **XX**-day extension from the Office of the Information and Privacy Commissioner of BC (OIPC) under section **[quote section 10(1)(b)(c)(d)]** of FOIPPA. Our due date will now be [**Date]. We will make every attempt to provide this information to you sooner if possible.

If you feel this time extension is unjustified, you may ask the OIPC to review this decision. You have 30 days from receipt of this notice to request a review by writing to:

Information & Privacy Commissioner for BC
PO Box 9038 Stn Prov Govt
4th Floor, 947 Fort Street
Victoria BC V8W 9A4
Phone: 250.387.5629 Fax: 250.387.1696
Email: info@oipc.bc.ca

If you wish to request a review, please provide the OIPC with a copy of this letter, a copy of your original request and the reasons or grounds upon which you are requesting the review. Please contact FOIIntake@bc-er.ca if you have any questions.

Sincerely,

[**Signature**]
BC Energy Regulator

Physical/Courier/Mailing
6534 100 Avenue
Fort St. John, BC VIJ 8C5

T: 250.794.5200
F: 250.794.5390

www.bc-er.ca

Request BCER2024-010 - Page 214 of 234

[**Date]

VIA ELECTRONIC MAIL: [email address]**

[**Name and Address]

Dear [**Salutation]:

Re: Request for Access to Records – Notice of Decision Subsection 24
       ***Freedom of Information and Protection of Privacy Act* (FOIPPA)**

The BC Energy Regulator (BCER) has reached a decision regarding your request for information under FOIPPA.

After considering all relevant factors, including the representations received from the third party whose interests could be affected by disclosure, the BCER has decided to grant access to the records.

The third party has 20 days to request the Information and Privacy Commissioner review this decision. If the third party does not request a review, we will provide you access to the records on [**Date].

Please write FOIIntake@bc-er.ca if you have any questions or require any further clarification.

Sincerely,

[**Signature**]
BC Energy Regulator

Physical/Courier/Mailing
6534 100 Avenue
Fort St. John, BC VIJ 8C5

T: 250.794.5200
F: 250.794.5390

www.bc-er.ca
Request BCER2024-010 - Page 215 of 234

[**Date]

VIA ELECTRONIC MAIL: [email address]**

[**Name and Address]

Dear [**Salutation]:

Re: Request for Access to Records – Notice of Decision
Freedom of Information and Protection of Privacy Act (FOIPPA)

The BC Energy Regulator (BCER) has reached a decision regarding your request for information under FOIPPA. After considering all relevant factors, including the representations received from the third party whose interests could be affected by disclosure, the BCER has decided to refuse access to the records based on [**insert specific sections of FOIPPA]. A complete copy of the Act is available online at: [Freedom of Information and Protection of Privacy Act (gov.bc.ca)](gov.bc.ca)

Under Section 52 of FOIPPA, you may ask the Office of the Information and Privacy Commissioner (OIPC) to review this decision. You have 30 days from receipt of this notice to request a review by writing to:

Information & Privacy Commissioner for BC
PO Box 9038, Stn Prov Govt
4th Floor, 947 Fort Street
Victoria BC V8W 9A4
Phone: 250.387.5629 Fax: 250.387.1696
Email: info@oipc.bc.ca

If you wish to request a review, please provide the OIPC with a copy of this letter, a copy of your original request and the reasons or grounds upon which you are requesting a review. Please write FOIIntake@bc-er.ca if you have any questions regarding this decision or require further clarification.

Sincerely,

[**Signature]
BC Energy Regulator

Physical/Courier/Mailing
6534 100 Avenue
Fort St. John, BC VIJ 8C5

T: 250.794.5200
F: 250.794.5390

www.bc-er.ca

Request BCER2024-010 - Page 216 of 234

[**Date]

VIA ELECTRONIC MAIL: [email address]**

[**Name and Address]

Dear [**Salutation]:

Re: Notice of Third-Party Review
      ***Freedom of Information and Protection of Privacy Act** (FOIPPA)*

The BC Energy Regulator (BCER) herby gives notice that the processing of your request for access to information has been delayed by a review by the Office of the Information and Privacy Commissioner (OIPC). The review was requested by a third party who has an interest in the requested information.

The records you have requested contain information that may harm the business interests of the third party if disclosed. For further information regarding your rights during this review, please contact:

> *Information & Privacy Commissioner for BC*
> *PO 9038 Stn Prov Govt*
> *4th Floor, 947 Fort Street*
> *Victoria BC V8W 9A4*
> *Phone: 250.387.5629 Fax: 250.387.1696*
> *Email: info@oipc.bc.ca*

The BCER will resume processing your request as soon as the OIPC has made a decision in relation to the review requested by the third party. If you have any questions regarding this delay, please write FOIIntake@bc-er.ca.

Sincerely,

[**Signature]
BC Energy Regulator

Physical/Courier/Mailing
6534 100 Avenue
Fort St. John, BC VIJ 8C5

T: 250.794.5200
F: 250.794.5390

www.bc-er.ca

Request BCER2024-010 - Page 217 of 234

[**Date]

VIA ELECTRONIC MAIL: [email address]**

[**Name and Address]

Dear [**Salutation]:

Re: Notice of Third-Party Consultation Subsection 23(4)
       ***Freedom of Information and Protection of Privacy Act* (FOIPPA)**

I am writing regarding your request for access to records held by the BC Energy Regulator (BCER).

The requested records contain information that may affect the interests of another business, pursuant to Section 21(1) of FOIPPA. To assist us in determining whether we may disclose this information, we are giving that third party an opportunity to make written representations concerning the disclosure. FOIPPA allows 30 business days from the date of this notice; therefore, we will notify you of our decision regarding the disclosure of the records by [**date].

Consultation will allow the BCER to provide you with a complete response to your request. If you have any questions, please write FOIIntake@bc-er.ca.

Sincerely,

[**Signature]
BC Energy Regulator

Physical/Courier/Mailing
6534 100 Avenue
Fort St. John, BC VIJ 8C5

T: 250.794.5200
F: 250.794.5390

www.bc-er.ca
Request BCER2024-010 - Page 218 of 234

[**Date]

VIA ELECTRONIC MAIL: [email address]**

[**Name and Address]

Dear [**Salutation]:

Re: Request for Access to Records – Notice of Time Extension
    ***Freedom of Information and Protection of Privacy Act* (FOIPPA)**

I am writing further regarding your request for access to records relating to [**brief summary of request].

The BCER normally responds to requests for information within 30 days after receiving the request; however, in limited circumstances FOIPPA provides that we may extend this time limit when necessary. We are extending the response date by an additional 30 days under Section 10(1)(**a, b or c) [**quote section]. This will enable the BCER to provide you with a complete response by [**date].

If you feel this time extension is unjustified, you may ask the Office of the Information and Privacy Commissioner (OIPC) to review this decision within 30 days from receipt of this notice by writing to:

Information & Privacy Commissioner for BC
PO Box 9038 Stn Prov Govt
4th Floor, 947 Fort Street
Victoria BC V8W 9A4
Telephone: 250.387.5629 Fax: 250.387.1696
Email: info@oipc.bc.ca

If you wish to request a review, please provide the OIPC with a copy of this letter, a copy of your original request and the reasons or grounds upon which you are requesting the review. If you have any questions regarding this time extension, please write FOIIntake@bc-er.ca.

Sincerely,

[**Signature]
BC Energy Regulator

Physical/Courier/Mailing
6534 100 Avenue
Fort St. John, BC VIJ 8C5

T: 250.794.5200
F: 250.794.5390

www.bc-er.ca
Request BCER2024-010 - Page 219 of 234

[**Date]

VIA ELECTRONIC MAIL: [email address]**

[**Name and Address]

Dear [**Salutation]:

Re: Notice of Decision for Fee Waiver Request
 ***Freedom of Information and Protection of Privacy Act* (FOIPPA)**

I am writing in response to your letter requesting a waiver of the fees estimated in response to your request for [**brief summary of request**].

We have fully assessed your request and [**decision and reasoning**].

You may ask the Office of the Information and Privacy Commissioner (OIPC) to review our decision to [**accept or decline**] your request to waive the fees related to your request. FOIPPA allows you 30 days from the date of this letter to request a review by writing to:

> *Information & Privacy Commissioner for BC*
> *PO Box 9038 Stn Prov Govt*
> *4th Floor, 947 Fort Street*
> *Victoria BC V8W 9A4*
> *Phone: 250.387.5629 Fax: 250.387.1696*
> *Email:* *info@oipc.bc.ca*

If you wish to request a review, please provide the OIPC with a copy of this letter, a copy of your original request and the reasons or grounds upon which you are requesting the review. Please write FOIIntake@bc-er.ca if you have any questions regarding this decision or require further clarification.

Sincerely,

[**Signature]
BC Energy Regulator

Physical/Courier/Mailing
6534 100 Avenue
Fort St. John, BC VIJ 8C5

T: 250.794.5200
F: 250.794.5390

www.bc-er.ca

[**Date]

VIA ELECTRONIC MAIL: [email address]**

[**Name and Address]

Dear [**Salutation]:

Re: Notice of Decision Subsection 23(3)
Freedom of Information and Protection of Privacy Act (FOIPPA)

Thank you for your views on the disclosure of [**describe requested records as they relate to third party]. The BC Energy Regulator (BCER) is writing to inform you of its decision.

After considering all relevant factors, including your representations on why these records should not be disclosed, the BCER has decided to grant the applicant access to these records. Our decision is based on the following: [**insert explanation of why Section 21 or 22 does not apply].

Under Section 24 of FOIPPA, you may ask the Office of the Information and Privacy Commissioner (OIPC) to review the decision to disclose these records. You have 20 days from the date of this notice to request a review by writing to:

Information & Privacy Commissioner for BC
PO Box 9038 Stn Prov Govt
4th Floor, 947 Fort Street
Victoria BC V8W 9A4
Phone: 250.387.5629 Fax: 250.387.1696
Email: info@oipc.bc.ca

If no request for review is made within 20 days, the applicant will be given access to the records. Please write FOIIntake@bc-er.ca if you have questions regarding the BCER's decision or require further clarification.

Sincerely,

[**Signature]
BC Energy Regulator

Physical/Courier/Mailing
6534 100 Avenue
Fort St. John, BC VIJ 8C5

T: 250.794.5200
F: 250.794.5390

www.bc-er.ca

Request BCER2024-010 - Page 221 of 234

[**Date]

VIA ELECTRONIC MAIL: [email address]**

[**Name and Address]

Dear [**Salutation]:

Re: Notice of Decision
Freedom of Information and Protection of Privacy Act **(FOIPPA)**

Thank you for your views on the disclosure of [**describe requested records as they relate to third party]. After considering your representations on why these records should not be disclosed and all other relevant factors, the BC Energy Regulator has decided to refuse the applicant access to these records. This decision is based on [**insert specific sections of FOIPPA].

The applicant has the right to ask the Office of the Information and Privacy Commissioner (OIPC) to review this decision.

If you have any further questions or concerns, please write FOIIntake@bc-er.ca.

Sincerely,

[**Signature]
BC Energy Regulator

Physical/Courier/Mailing
6534 100 Avenue
Fort St. John, BC VIJ 8C5

T: 250.794.5200
F: 250.794.5390

www.bc-er.ca
Request BCER2024-010 - Page 222 of 234

[**Date]

VIA ELECTRONIC MAIL: [email address]**

[**Name and Address]

Dear [**Salutation]:

Re: Notice of Receipt of Transferred Request
     ***Freedom of Information and Protection of Privacy Act* (FOIPPA)**

Your request for: **[**Details of request]** was transferred from [**name of public body] under Section 11 of FOIPPA to the BC Energy Regulator (BCER). It was transferred because {[**choose one of more of the following] the responsive records were produced by or for the BCER, the BCER was the first to obtain the records, or the records are in the custody or under the control of the BCER}.

FOIPPA allows 30 business days for us to respond to your request; therefore, we will respond on or before [**date]. We will make every effort to respond sooner if possible; however, you should also be aware that the Act does allow, in limited circumstances, for the 30-day time period to be extended and for fees to be charged. We will notify you as soon as possible if there is a requirement to extend the time limit for responding to your request or to charge fees.

If you have any questions, please write FOIIntake@bc-er.ca.

Sincerely,

[**Signature]
BC Energy Regulator

Physical/Courier/Mailing
6534 100 Avenue
Fort St. John, BC VIJ 8C5

T: 250.794.5200
F: 250.794.5390

www.bc-er.ca

Request BCER2024-010 - Page 223 of 234

[**Date]

VIA ELECTRONIC MAIL: [email address]**

[**Name and Address]

Dear [**Salutation]:

Re: Request for Access to Records – Response
Freedom of Information and Protection of Privacy Act **(FOIPPA)**

I am writing further regarding your request for access to records relating to [**brief description of records].

Please be advised that in accordance with Section [**section #] of FOIPPA, the BCER is unable to disclose the requested records. The information is excepted from disclosure under Section [**quote section]. A complete copy of FOIPPA is available online at: Freedom of Information and Protection of Privacy Act (gov.bc.ca)

Pursuant to section 52 of FOIPPA, you may ask the Office of the Information and Privacy Commissioner (OIPC) to review any decision, act, or failure to act with regard to your request. You have 30 business days from the date of this letter to request a review by writing to:

> *Information & Privacy Commissioner of BC*
> *PO Box 9038 Stn Prov Govt*
> *4th Floor, 947 Fort Street*
> *Victoria BC V8W 9A4*
> *Phone: 250.387.5629 Fax: 250.387.1696*
> *Email: info@oipc.bc.ca*

If you request a review, please provide the OIPC with a copy of this letter, a copy of your original request and the reasons or grounds upon which you are requesting the review. Please write FOIIntake@bc-er.ca if you have any questions regarding your request or require any further clarification.

Sincerely,

[**Signature]
BC Energy Regulator

Physical/Courier/Mailing
6534 100 Avenue
Fort St. John, BC VIJ 8C5

T: 250.794.5200
F: 250.794.5390

www.bc-er.ca

Request BCER2024-010 - Page 224 of 234

[**Date]

VIA ELECTRONIC MAIL: [email address]**

[**Name & Address]

Dear [Salutation]:

Re: Request for Access to Records – Response
   Freedom of Information and Protection of Privacy Act **(FOIPPA)**

I am writing further regarding your request for access to records relating to *[**Brief description of request]*

Please find attached an electronic copy of the records located in response to your request. **OR** The records located in response to your request will be delivered through the BCER's secure file transfer site Web Transfer Client (bc-er.ca). Your access credentials will be provided to you in a separate self-destructing message. The records will be available for 14 days from the date of this letter; therefore, it is recommended you download or transfer files to your desired personal location.

*[**Use website publication note, if applicable]* Please note, a copy of these records will be published on the BCER's website within a minimum of five business days after release. To find out more about proactive disclosure of requests, please access the BCER website: BC Energy Regulator (bc-er.ca). Your file is now closed. Pursuant to section 52 of the FOIPPA, you may ask the Office of the Information and Privacy Commissioner (OIPC) to review any decision, act, or failure to act with regard to your request under FOIPPA within 30 business days by writing to:

> *Information and Privacy Commissioner*
> *PO Box 9038 Stn Prov Govt*
> *4th Floor, 947 Fort Street*
> *Victoria BC V8W 9A4*
> *Phone: 250.387.5629 Fax: 250.387.1696*
> *Email: info@oipc.bc.ca*

If you request a review, please provide the OIPC with a copy of your original request, a copy of the BCER's response, and the reasons or grounds upon which you are requesting the review. Further information on the complaint and review process can be found on the OIPC website: https://www.oipc.bc.ca. Please write FOIIntake@bc-er.ca, if you have any questions regarding your request or require any further clarification.

Sincerely,

[**Signature]
BC Energy Regulator

Physical/Courier/Mailing
6534 100 Avenue
Fort St. John, BC VIJ 8C5

T: 250.794.5200
F: 250.794.5390

www.bc-er.ca

[**Date]

VIA ELECTRONIC MAIL: [email address]**

[**Name and Address]

Dear [**Salutation]:

Re: Request for Access to Records – No Records Located
    ***Freedom of Information and Protection of Privacy Act* (FOIPPA)**

I am writing further regarding your request received by the BC Energy Regulator (BCER) for: ***[** summary of request].*** Although a thorough search was conducted, no records were located in response to your request. Your file is now closed.

Pursuant to section 52 of FOIPPA, you may ask the Office of the Information and Privacy Commissioner (OIPC) to review any decision, act, or failure to act with regard to your request under FOIPPA. Please note that you have 30 business days to file your review with the OIPC by writing to:

> *Information and Privacy Commissioner for BC*
> *PO Box 9038 Stn Prov Govt*
> *4th Floor, 947 Fort Street*
> *Victoria BC V8W 9A4*
> *Phone: 250.387.5629 Fax: 250.387.1696*
> *Email: info@oipc.bc.ca*

If you request a review, please provide the OIPC with a copy of your original request, a copy of the BCER's response and any other related correspondence; and the reasons or grounds upon which you are requesting the review. Further information on the complaint and review process, can be found on the OIPC website: https://www.oipc.bc.ca. If you have any questions regarding your request or require any further clarification, please write FOIIntake@bc-er.ca.

Sincerely,

[**Signature]
BC Energy Regulator

Physical/Courier/Mailing
6534 100 Avenue
Fort St. John, BC VIJ 8C5

T: 250.794.5200
F: 250.794.5390

www.bc-er.ca

Request BCER2024-010 - Page 226 of 234

[**Date]

VIA ELECTRONIC MAIL: [email address]**

[**Name and address]

Dear [Salutation]:

Re: Request for Access to Records – Response
Freedom of Information and Protection of Privacy Act **(FOIPPA)**

I am writing further regarding your request for access to records relating to ***[**details of request].***

The records located in response to your request [are attached **[OR]** will be delivered through the BCER's secure file transfer site: Web Transfer Client (bc-er.ca). Your access credentials will be provided in a separate self-destructing message. The records will be available for 14 days from the date of this letter; therefore, it is recommended that you download or transfer files to your desired personal location.] Some information has been withheld pursuant to section(s): ***[**list applicable sections].*** A complete copy of FOIPPA is available online at: Freedom of Information and Protection of Privacy Act (gov.bc.ca).

[Use website publication note if applicable]**: Please note, a copy of these records will be published on the BCER's website within five business days after release. To find out more about proactive disclosure of requests, please access the BCER website: foi-proactive-disclosure-policy.pdf (bc-er.ca). Your file is now closed. Pursuant to section 52 of the FOIPPA, you may ask the Office of the Information and Privacy Commissioner (OIPC) to review any decision, act, or failure to act with regard to your request under FOIPPA within 30 business days by writing to:

> *Information and Privacy Commissioner*
> *PO Box 9038 Stn Prov Govt*
> *4th Floor, 947 Fort Street*
> *Victoria BC V8W 9A4*
> *Phone: 250.387.5629 Fax: 250.387.1696 Email: info@oipc.bc.ca*

If you request a review, please provide the OIPC with a copy of your original request, a copy of the BCER's response, and the reasons or grounds upon which you are requesting the review. Further information on the complaint and review process can be found on the OIPC website: https://www.oipc.bc.ca. Please write FOIIntake@bc-er.ca, if you have any questions regarding your request or require any further clarification.

Sincerely,

 [**Signature]
BC Energy Regulator

Physical/Courier/Mailing
6534 100 Avenue
Fort St. John, BC VIJ 8C5

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www.bc-er.ca

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Time Extension Application Form – section 10(1)(d)
Freedom of Information and Protection of Privacy Act (FIPPA)

Note: *This form is for any time extension application under section 10(2)(a) based on:*

- *section 10(1)(d) consent*

Please attach written proof of the applicant's consent.

Please submit this form **at least 3 business days** before the due date, and ensure that all information is complete and accurate.

Section 1 – Public body background *(required: all fields)*

OIPC file # of previous extension (if applicable):

Public body (full name): BC Energy Regulator
Public body File #:
Public body Contact Name: Dana Keough
Contact Direct Line: 250-794-5295
Contact Email Address: Dana.Keough@bc-er.ca

Please provide a brief description of the original request:

Date request for records received (m/d/yyyy):
Original due date of request (m/d/yyyy):

Was a fee estimate sent?   ☐Yes   ■No
Date fee estimate sent (m/d/yyyy):
Date deposit or full fee paid (m/d/yyyy):
Date of fee waiver decision (m/d/yyyy):

Current request due date (m/d/yyyy):
Number of business days requested for this extension:
Proposed due date (m/d/yyyy):

1

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Has the public body already taken a time extension under section 10(1)?
■ Yes ☐ No

If so, please indicate:
Date of time extension (m/d/yyyy):
Number of days extended:
Basis for time extension:
☐s. 10(1)(a) ☐s. 10(1)(b) ☐s. 10(1)(c) ☐s. 10(1)(d)
Date of letter notifying applicant of the extension (m/dd/yyyy):
Has the applicant complained to the OIPC about this time extension?
☐Yes ■No

Section 2 – Proof of applicant consent *(required: attachment)*
*Please **attach** written proof of the applicant's consent to the time extension. Emails are an acceptable form of proof.*

Forms missing proof of applicant's consent will not be processed.

(Please refer to page 9 of the Time extension guidelines for public bodies for more information.)

Click to

Submit Form

2

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Time Extension Application Form – First Request
Freedom of Information and Protection of Privacy Act (FIPPA)

Note: *This form is for time extension applications to the OIPC:*

Under section 10(2)(a) based on:
• *section 10(1)(a) insufficient detail*
• *section 10(1)(b) large volume*
• *section 10(1)(c) consultation*

Under section 10(2)(b):
• *If the commissioner otherwise considers that it is fair and reasonable to extend the time for responding*

Do <u>not</u> use this form for applications based on section 10(1)(d) consent.

Please submit this form **at least 3 business days** before the due date, and ensure that all information is complete and accurate.

Section 1 – Public body background *(required: all fields)*

Public body (full name): BC Energy Regulator
Public body File #:
Public body Contact Name: Dana Keough
Contact Direct Line: 250-795-5295
Contact Email Address: Dana.Keough@bc-er.ca

Please provide a brief description of the original request:

Date request received (m/d/yyyy):
Original due date of request (m/d/yyyy):

Was a fee estimate sent?   ☐Yes   ☑No
       If yes,
       Date fee estimate sent (m/d/yyyy):
       Date deposit or full fee paid (m/d/yyyy):
       Date of fee waiver decision (m/d/yyyy):

Current request due date (m/d/yyyy):
Number of business days requested for this extension:
Proposed due date (m/d/yyyy):

1

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Has the public body already taken a time extension under section 10(1)?
■ Yes ☐ No

If so, please indicate:
Date of time extension (m/d/yyyy):
Number of days extended:
Basis for previous time extension:
☐ s. 10(1)(a) ☐ s. 10(1)(b) ☐ s. 10(1)(c) ☐ s. 10(1)(d)
Date of letter notifying applicant of the extension (m/d/yyyy):
Has the applicant complained to the OIPC about this time extension?
☐ Yes ■No

Section 2 - Grounds for Current Extension Application *(required: choose all that apply)*

☐ **Section 10(2)(a)**
   ☐ s. 10(1)(a) (insufficient detail)
   ☐ s. 10(1)(b) (volume of records)
   ☐ s. 10(1)(c) (consultation)

☐ **Section 10(2)(b)**

Section 3 – Additional information *(required for each selection made in section 2)*

10(1)(a) Insufficient detail *(required: all fields)*
Please include the following with your submission:
- A complete copy of the original request.

Explain how the original request does not provide sufficient detail:

Explain why satisfactory clarification from the applicant was not obtained within 60 business days (or 30 business days if the public body's own time extension was not taken):

2

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10(1)(b) Volume of records *(required: either volume of records requested or volume of records searched or both, and an explanation regarding unreasonable interference).*
(Please refer to pages 6-7 of the Time extension guidelines for public bodies for more information)

LARGE VOLUME OF RECORDS REQUESTED
Approximate number of pages of responsive records:

LARGE VOLUME OF RECORDS SEARCHED
Number of pages searched:
Number of program areas searched:
Total amount of time spent performing search:

UNREASONABLE INTERFERENCE WITH THE OPERATIONS OF THE PUBLIC BODY
Explain how meeting the time limit would unreasonably interfere with the operations of the public body:

Current status
Please describe the current status of processing this request and any other relevant information:

10(1)(c) Time for consultation *(required: all fields, for each public body/third party consulted)*
(Please refer to page 8 of the Time extension guidelines for public bodies for more information)
Full name of the public body or third party:
Number of pages sent or to be sent for consultation:
Date consultation was sent or will be sent (m/d/yyyy):
Why is consultation necessary to make a decision about access:

3

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What is the third party or public body's interest in the record:

Current status of the consultation, including efforts made to obtain a response
to the consultation and expected return date (m/d/yyyy):

10(2)(b) *(required: circumstances and explanation) (See pages 9-10 of the time extension guidelines.
Please note the need for exceptional circumstances, such as forest fires, flooding, court involvement, and
unforeseeable issues)*

Explain why it would be fair and reasonable for the Commissioner to grant a time
extension. Include a chronology of the processing of the request and an explanation
for any delays:

Section 4 – Additional comments

Please provide any additional comments or details that will assist in the decision on this
request:

Click to

[ ]

Submit Form

For additional information, check out: Time extension guidelines for public bodies   4

Additional External Resources Used by the BCER

[Table of Contents - Freedom of Information and Protection of Privacy Act (gov.bc.ca)](#)

[FOIPPA Policy & Procedures Manual - Province of British Columbia (gov.bc.ca)](#)

[Records Management Guides and Learning - Province of British Columbia (gov.bc.ca)](#)

[Records Management - Province of British Columbia (gov.bc.ca)](#)

[Privacy & Personal Information in the Public Sector - Province of British Columbia (gov.bc.ca)](#)

[FOIPPA Foundations (mytrainingbc.ca)](#)

[Administrative Records Classification System - Province of British Columbia (gov.bc.ca)](#)

[Guidance Documents – Office of the Information and Privacy Commissioner for BC (oipc.bc.ca)](#)