

REQUEST FOR PROPOSAL (RFP)

For

The Registry System

The development of a Registry System including associated management, administrative and accounting systems, and for managed services including support and maintenance for the period June 2017 – June 2021

Issued by:

**Resource Productivity and Recovery Authority
March 27th, 2017**

**Deadline for pre-bid meeting registration
3:00 p.m. (EST) on Friday, April 7, 2017**

**Response deadline:
3:00 p.m. (EST) on Friday, April 28, 2017**

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1. Introduction

Resource Productivity and Recovery Authority (RPRA) invites vendors to submit a proposal that describes how their firm (or joint venture or consortium) would provide a technology solution¹ for RPRA's new Registry to enable it to support all associated regulatory, business, and enforcement functions, for which RPRA is responsible. Following the evaluation of the submitted proposals, RPRA will consider entering into negotiations for a contract with the firm (or joint venture or consortium) it believes best meets the needs and expectations and offers the best overall content and value.

An integrated solution is desired with capabilities including a Registry system; dynamic, easy-to-use portal for data entry; a public-facing website; a Customer Relationship Management system (CRM); comprehensive financial and operational reporting; accounting, billing, costing and pricing functionality; case management and content management; and ultimately, versatile, self-service analytics capabilities.

In addition, the vendors will be expected to provide some form of Master Data Management (MDM) or equivalent as part of an enterprise-wide data management solution; an optimized, flexible and efficient data architecture; and the systems, scripts and support required to facilitate the migration² of historical data from RPRA internal systems, including historical data from external systems, to the new Registry.

The solution will preferably be cloud-based, commercial off-the-shelf (COTS), and must reside in a secure Canadian data centre. RPRA does not intend to build or maintain its own IT infrastructure. RPRA intends to engage trained IT technical staff. As such, the solution must also include the provision of managed services for system operations, evolution and enhancements for the period 2017-2021.

RPRA's new website must provide easy navigation for users across a variety of devices, platforms, operating systems and browsers to retrieve information and services, to provide links and to provide access to file information from the Registry (i.e., public reporting). It is RPRA's intention that the portal to the Registry would be located on this website.

The successful vendor, or successful vendors should it be a joint venture or consortium, must describe how they would satisfy RPRA's requirements in a timely, cost effective, expert phased approach. They must also be prepared to approach their proposal and the work in a collaborative, transparent manner, sharing with RPRA the details of their planning, costing, scheduling, billing, logistics, and execution in an effort to provide the most open, smoothest, least disruptive transition possible.

1.1. Resource Productivity and Recovery Authority

On June 1, 2016 the Ontario Legislature passed Bill 151, the *Waste-Free Ontario Act, 2016* (WFOA). For more information, please follow this [link](#).

The WFOA replaces *the Waste Diversion Act, 2002* (WDA) with a new producer responsibility framework that makes producers individually responsible and accountable for their products and packaging at end of life.

¹ Including help desk services (not external for stakeholders), training and documentation for RPRA staff.

² Including extract, transform and load (ETL), data cleaning, data quality, data control, data security while converting.

There are two Schedules to the WFOA:

- Schedule 1 – The Resource Recovery and Circular Economy Act, 2016 (RRCEA) which sets out the new producer responsibility framework; and
- Schedule 2 – The Waste Diversion Transition Act, 2016 (WDTA) which sets out the operation of existing waste diversion programs including their wind up.

On November 30, 2016, sections of the WFOA were proclaimed including the continuation of the former Waste Diversion Ontario (a corporation that was established under the WDA) as RPRA – a new not-for-profit, non-Crown organization responsible for registration, oversight, compliance and enforcement under the new producer responsibility regime.

In order to fulfill its mandate, RPRA must develop and operate a Registry in which regulated parties will be required to register and report information (in the Registry portal) as specified by the Minister of the Environment and Climate Change (“the Minister”) in regulations, such as sales of regulated packaging or products and recovery performance. Critical to the success of the Registry will be the smooth, secure, accurate conversion and transfer of historical data from multiple waste diversion programs to the Registry.

1.1.1. The Registry

Section 50 of the RRCEA, requires RPRA to establish, maintain and operate an electronic public registry known as the Resource Productivity and Recovery Registry (the Registry). The purpose of the Registry is to:

1. Receive information submitted to the Authority; and,
2. Provide public access to information.

The portal will enable RPRA to receive information submitted the Authority and the public-facing website will allow RPRA to provide public access to information as required in the RRCEA.

Under the WDTA, RPRA is also responsible for overseeing the interim operation of existing waste diversion programs and plans. This includes overseeing waste diversion programs wind up as obligations transition to the new producer framework. Ontario has waste diversion programs and plans for electrical and electronic equipment (“e-waste”), used tires, Blue Box material, and hazardous or special waste.

In addition to its responsibilities to operate a Registry, RPRA is also responsible for providing compliance and enforcement of the parties obligated under RRCEA and of the waste diversion programs continued under the WDTA, until these programs have been wound up.

The Minister will determine when the existing waste diversion programs will be wound up and the obligations be transitioned to RRCEA.

The Minister has determined that the used tire program, currently operated by Ontario Tire Stewardship (OTS), will be the first program to wind up, with operations ceasing on December 31, 2018.

2. Instructions to Vendors

The following section provides general instructions and guidance for vendors to submit proposals.

2.1. Invitation to Submit Proposal and Deadline

RPRa is seeking proposals for a solution for a Registry, including associated systems and managed services, for a four-year period. Proposals specifically marked “RFP for the Registry System” in the subject line must be received by the following (to be sent by email):

Carmelina Macario

Email: cmacario@rpra.ca

Proposals will be accepted until **3:00 p.m. EST on Friday April 28th, 2017**. Late proposals will not be accepted.

Each vendor shall submit its proposal on or before the submission deadline. Each vendor shall submit its proposal as set out in the RFP. For the purposes of the RFP process, the determination of whether the proposal is submitted on or before the submission deadline shall be based on the electronic time and date stamp that the proposal is received by the RPRa server.

For clarity, the time and date of an electronic submission is solely determined by the time and date the proposal is received by RPRa and without consideration as to the time or date it was sent or otherwise submitted by the vendor. A proposal received after the submission deadline, as documented by the applicable time and date stamp, will be deleted from the applicable server or otherwise not downloaded to RPRa. It is the sole responsibility of the vendor to ensure that the proposal is received by RPRa on or before the submission deadline.

2.2. RPRa Contacts

RPRa has assigned a primary contact for this RFP:

Carmelina Macario

Email: cmacario@rpra.ca

RPRa has assigned a secondary contact for this RFP:

Sarah Young

Email: syoung@rpra.ca

2.3. Fairness Monitor

RPRa has engaged p1 Consulting as a Fairness Monitor for this RFP procurement process, including vendor meetings. Any questions or comments related to fairness or the procurement process must be sent to the RPRa contacts who will engage with the Fairness Monitor.

2.4. Joint Ventures or Consortia

Multiple vendors are able to submit one proposal. Proposals submitted by multiple vendors must identify one lead vendor.

2.5. Complete Proposal Requirements

The requirements that vendors must address in their proposal submission are outlined herein. RPRa reserves the right to determine, in its sole and unfettered discretion, whether any proposal meets the mandatory requirements (section 5.1). Proposals must address all the requirements as outlined in this

RFP and may include any additional information that the vendor deems to be value-add, or exceeds the requirements.

2.6. Requests for Information

Vendors are solely responsible for ensuring that they have obtained all information necessary to prepare their proposal, and for independently verifying such information. Although all reasonable efforts have been made, RPRA does not warrant that any information provided is accurate, complete, reliable or sufficient. Vendors shall be deemed to have gathered all information necessary to perform their obligations under the RFP.

Vendors are expected to inform themselves with respect to all terms or conditions that may affect this proposal, and to ensure that they comply.

Vendors who find discrepancies or omissions in the information provided, or who have questions as to the meaning or intent of various aspects of the project, shall at once, notify the RPRA contacts identified in the RFP, who will, if necessary, post written instructions, clarifications, or explanations on [RPRA's website](#).

Unless confirmed in writing by the RPRA contacts or issued by addendum on RPRA's website, vendors shall not take into consideration any verbal instructions (including any verbal information provided at the pre-bid information meetings), comments or answers to questions which purport to modify the RFP document.

All inquiries related to this RFP shall be submitted in writing, by email, to the RPRA contacts.

2.7. Acceptance of any Proposal Not Guaranteed

RPRA reserves the right to reject any or all proposals or to accept the proposal deemed most favourable to RPRA. RPRA furthermore reserves the right to:

- Not award any contract as a result of this RFP;
- Award contracts to one vendor for the entirety of the work or multiple vendors for portions of the work;
- Modify the tasks based on negotiation with vendor(s) and/or modify the scope based on proposed costs or other operational factors; and/or
- Award a contract to the same vendor(s) for single or multiple years.

2.8. Negotiation with Vendors

The solicitation of proposals does not in any way commit RPRA to accept any proposal or to commence negotiations with any vendor.

Following the evaluation of the submitted proposals, RPRA will consider entering into negotiations for a contract with any of the vendors it believes best meet the needs and expectations of the organization, and offers the best overall content and value.

RPRA reserves the right to negotiate with any or all of the vendors, including those vendors who have submitted a proposal that does not fully comply, either in material or non-material ways, with these RFP requirements.

2.9. Proposal Costs to Vendor Account

All costs required to complete the proposal of whatsoever nature, including but not limited to documents, reproduction, travel, meetings and toll calls, are the sole responsibility of the vendor.

2.10. Implied Acceptance of Terms and Conditions

By submitting a proposal, the vendor agrees to abide by the terms and conditions outlined in this RFP.

2.11. Confidentiality

RPRA requires that each participating vendor provide a statement of no conflict of interest (Appendix A) and enter into a confidentiality undertaking with RPRA (Appendix B).

The confidentiality undertaking is intended to protect all information provided by RPRA to the vendor and its subcontractors from inappropriate or unlawful disclosure. The vendor and its subcontractors must treat and maintain any and all information provided by RPRA in connection with this RFP, including any subsequent work awarded, as confidential, unless prior written consent from RPRA is obtained to disclose such information.

In the absence of such consent, the vendor's obligations under this provision shall survive the term of the RFP and be an ongoing obligation, regardless of whether the vendor's proposal was selected and/or whether the vendor ultimately enters into a contract with RPRA.

Any material submitted by the vendor to RPRA that is confidential must be clearly marked as such, and include all applicable requested restrictions. All documentation submitted by the vendor becomes the property of RPRA, unless requested otherwise by the vendor at the time of submission.

2.12. Language Requirements

Aspects of the Registry may be required to be in both official languages of Canada, French and English. Requirements will be developed with the vendor in the scoping phase.

The proposal must be submitted in English only.

2.13. Submission of Proposal Does Not Constitute a Contract

The submission of a proposal does not constitute a legally binding agreement between RPRA and any vendor. It is part of an overall selection process intended to enable RPRA to identify successful vendors for the provision of the products and services described herein.

The goal of this RFP process is to identify vendors who offer the best delivery of service and value and demonstrate the highest degree of capability for providing and implementing the functions and objectives of the project.

Following the evaluation of the submitted proposals, RPRA will consider entering into negotiations for a contract with the firm(s) (or joint venture or consortium) it believes best meets the needs and expectations and offers the best overall content and value.

RPRA is not bound to negotiate with the lowest cost or any vendor and may, in its sole discretion, discontinue the RFP process and/or cancel the initiatives as outlined prior to the execution of the contract.

2.14. Pre-Bid Information Meetings

RPRA will hold individual pre-bid information meetings with vendors who have requested them. The objective of such meetings is to provide vendors with background material that may be useful to them in determining whether they wish to proceed with a proposal, and/or in preparing their proposal.

Vendors who would like to have a pre-bid information meeting with RPRA must send a request by email to the RPRA contact(s) by the date provided in this RFP (see section 2.16). As part of the request, the vendor (including any joint vendors) must provide RPRA with a declaration of any real or perceived conflicts of interest (completed Appendix A) and a confidential undertaking with RPRA (completed Appendix B).

Pre-bid information meetings will be held on the dates provided in this RFP (see section 2.16).

Participants will be provided the option to meet in person with RPRA. Questions and answers that are discussed during the pre-bid meetings, excluding confidential information (see Appendix B for a definition of confidential information), will be posted on RPRA's website (see table 2.16).

Vendors which participate in a pre-bid information meeting are not required to submit a proposal. Vendors which do not participate in a pre-bid information meeting may nevertheless submit a proposal.

2.15. Communication, Clarifications, Addenda

All enquiries about this RFP or proposal preparation must be forwarded in writing by email to the RPRA contact(s). Only the RPRA contact(s) are authorized to communicate with participating vendors in writing. Questions submitted after the deadline set out in section 2.16 herein may not be answered.

Under no circumstances shall a vendor rely upon any verbal information or instructions provided by RPRA, its employees or agents, nor is the accuracy, completeness or reliability of such information assured (this includes any verbal information provided at the pre-bid information meetings).

Questions and answers that are discussed during the pre-bid meetings will be published as addenda (excluding confidential information).

All RFP addenda become part of this RFP. All addenda (which include setting out any additions, alterations, deletions, written instructions, clarifications, or explanations) will be published on RPRA's website.

Vendors who have completed and submitted their conflict of interest and confidentiality undertakings will be sent any confidential information provided during the RFP process, including the pre-bid information meeting. For greater clarity, vendors who have not submitted their conflict of interest documents and confidentiality undertakings will not be provided with any confidential information, other than addenda published on RPRA's website.

2.16. Proposal Submission Schedule and Milestones

Milestone	Scheduled Dates (2017)
Release of RFP	March 27
Deadline for pre-bid meeting registration (submission of Appendices A and B)	April 7 - 3:00 PM (EST)

Milestone	Scheduled Dates (2017)
Vendor pre-bid information meetings	April 3, 5, 7
Deadline for submitting questions	April 10 - 3:00 PM (EST)
Deadline for RPRA to post addenda	April 13 - 3:00 PM (EST)
Proposals due	April 28 - 3:00 PM (EST)
Vendor contracts awarded	June 16

RPRA reserves the right to modify the schedule as circumstances may warrant.

2.17. Separate Submissions for Technical and Costs

Vendors must submit their proposals via email in two separate and distinct PDF electronic documents. One electronic document to be marked “Technical” must contain details of the proposed solution, services, and approach (i.e. no cost information or reference thereto) and the second electronic document to be marked “Financial” must contain only cost information (e.g., cost estimation model).

2.18. Fees, Costs, Taxes, Progress Billing and Payment Cycles

RPRA seeks a detailed fee and cost breakdown, and full financial transparency from its vendors.

RPRA will seek to reasonably minimize its project risk, overall lifecycle costs, ensure a smooth transition, minimize operational disruption, normalize its cash flow, exercise project control and due diligence.

All fees, costs, taxes and other financial information must be submitted in the separate Financial document in PDF format. All amounts must be stated in Canadian dollars and must include all applicable taxes. RPRA is not bound to accept the lowest cost or any proposal submitted.

2.19. Project Management and Cost Estimation Information

As an approach to minimizing project implementation risks, improving the accuracy of work estimates and minimizing overall costs, RPRA intends to work in partnership with the successful vendor to confirm project scope, milestones/work packages, resource requirements and cost estimates.

Therefore, vendors should submit a sample of their cost estimation model used to calculate project effort, timelines and cost estimates as part of their proposal. If a recognized formal cost estimation model is used (either paper-based or software) it should be specifically referenced.

Some finalization/clarification of financial estimates, milestones and work packages may occur prior to signing any contract; however, the majority of such effort is anticipated to occur on a continuing basis, throughout the contract and project life.

2.20. Duration of Contract(s) and Pricing of Contract Option Periods

As applicable to the main portions of the work, including the provision of managed services, RPRA contemplates that the initial contract(s) will be awarded for a period of four (4) years, with options exercisable at the discretion of RPRA for extensions of up to four (4) additional years (cumulatively) in one (1), two (2) or four (4) year increments.

2.21. Subcontracting and Staff Replacement

In the proposal, the vendor must clearly identify if any subcontractors will be engaged to deliver the proposed solution. The vendor remains solely responsible to RPRA for the project deliverables and shall conscientiously oversee the work of the subcontractor. However, the vendor and subcontractor must

both declare that the subcontractor does not have any real or apparent conflict of interest in providing the services and the subcontractor must provide a separate confidentiality undertaking.

RPRC recognizes that subcontractors are subject to change throughout the course of the contract from those identified in the proposal. RPRC may, without reasonable cause, reject any proposed subcontractors or replacement staff. The vendor shall replace the subcontractor as soon as possible and there shall be no modification in the project schedule or deliverables as a result.

2.22. RPRC's Clarification and Verification of Proposals

RPRC may (if required by RPRC):

- require the vendor to clarify or verify the contents of its proposal or any statement made by the vendor;
- require the vendor to submit supplementary documentation clarifying or verifying any matters contained in its proposal; and,
- seek a vendor's acknowledgement of the RPRC's interpretation of the proposal or any part of the proposal.

RPRC is not obliged to seek clarification or verification of any aspect of a proposal or any statement by a vendor, including an ambiguity in a vendor or in a statement made by a vendor.

Any written information received by RPRC from a vendor pursuant to a request for clarification or verification from the vendor as part of the RFP process may, in the RPRC's sole discretion, be considered as an integral part of the applicable proposal.

3. Deliverables

This section provides a general overview of the capabilities and functionality RPRA requires to manage and operate the Registry including an overview of: solution components; other deliverables (e.g., services or non-software deliverables); and requirements of the deliverables (e.g., standards and operations, legal and administration). Vendors are cautioned that the capabilities and functionality set out hereunder are neither definitive nor exhaustive.

3.1. Solution Components – The Registry and Associated Integrated Application Environment

RPRA requires an integrated, highly configurable and scalable solution with open APIs. Such a solution must provide for a:

- Registry system (the integrated application environment and a public-facing website, including a content management system);
- Dynamic, easy-to-use portal for data entry;
- Customer Relationship Management system (CRM);
- Datacall program³;
- Ability to perform analytics on migrated historic data;
- Case management system;
- Enterprise Content Management system;
- Automated accounting, billing, costing and pricing functionality;
- Versatile, self-service descriptive and predictive analytics capability;
- Enterprise Data Management system;
- Comprehensive financial, operational and business reporting capability;
- IT infrastructure; and,
- Ability to perform data migration from all sources.

As part of its solution, the successful vendor will be expected to provide additional deliverables such as:

- Some form of Master Data Management (MDM) or equivalent⁴ including an optimized, flexible, scalable and efficient data architecture;
- Applications, scripts, support and expertise required to effect the timely migration of historical data from legacy internal systems and from stakeholder external systems to the new Registry system⁵;
- Complete and highly useable system and user documentation (possibly in the form of an internal Wiki⁶ kept up-to-date through project completion);
- User, administrator and technical training;
- Availability and performance warranties and other features/deliverables described herein; and,
- Testing and integration.

The solution must be a cloud-based, commercial off-the-shelf (COTS) application(s) and must reside in a secure Canadian data centre⁷. The solution must be expandable and able to be easily integrated, in

³ A detailed annual survey operated, maintained and verified by RPRA of participating Ontario municipalities that operate recycling programs.

⁴ As part of the vendor delivered enterprise-wide data management solution.

⁵ Includes data cleaning, data quality, data control and data security while converting.

⁶ A collaborative website detailing components and functionality of the Registry.

⁷ RPRA does not intend to build or maintain its own IT infrastructure. RPRA intends to engage trained IT technical staff.

future, with a variety of other applications such as time reporting and possibly human resources management.

The solution must generally conform with the spirit of the Government of Ontario’s best practices, including their security and privacy standards, and provide strong IT and IT operational controls, including but not limited to access controls, logging (i.e., data auditing), application and data base controls, operating system controls, data validation, error reporting, data quality, program change and maintenance controls, network controls, mobile access controls, telecommunications controls and encryption, if required.

The Transitional Operating Agreement between RPRA and the MOECC requires RPRA to “protect the information in the Registry with technological, administrative and physical safeguards that represent best efforts for the sensitivity of the information, the format in which it is held and the related privacy risks and secure such information against theft, loss and unauthorized use or disclosure”.

Lastly, the solution must include the provision of managed services for system operations, evolution and enhancements (including help desk for RPRA staff) for the period 2017 – 2021, with options to extend for up to an additional four (4) years (cumulatively).

All of the components of the solution below are required.

3.1.1. Dynamic Portal and CRM

The Registry must permit registration, payment of fees and accommodate reporting of information by regulated parties as set out in the regulations made under the RRCEA. The user interface must be simple and easy to use. A web based portal capable of accommodating the necessary and projected number of simultaneous users with above average response time and excellent availability is required.

The portal must integrate with a capable CRM platform that will allow RPRA to engage and capture ongoing and historical interactions with regulated parties. This includes, but is not limited to email integration, automated document ingestion and upload, and integrated computer-telephony capabilities. The portal must also integrate with financial and accounting, operational and regulatory systems and reporting, analytics, and other applications such as data management, inspection and compliance, audit and enforcement and enterprise-wide content management.

Capability	Description
Customizable forms	Allow for forms to be customized depending on the reporting stakeholder group (e.g., one form each set of regulated parties)
Mobile accessibility	Portal is fully viewable, useable and accessible from mobile devices
Registration and sign-on capability	Stakeholders can register, and be assigned permissions by RPRA staff, and then securely login
Social integration	Able to integrate with social media to share data, information and news
Customizable interface	Ability to easily manage content on the portal; future path to fully automated data entry from stakeholders via direct download, electronic data interchange (EDI) or other secure protocols
Payments integration	Able to integrate with payment services so stakeholders can pay registration fees

Capability	Description
Security	Portal generally conforms with the spirit of the Government of Ontario's best practices, including their security and privacy standards, and is hardened against hacking and other malicious attacks, including through mobile
Ease of use	An easy-to-use and intuitive portal that logically structures content

3.1.2. Datacall Program and Historical Data

The current Ontario Blue Box Program Plan outlines a process to determine the net cost of municipal Blue Box programs in order to calculate the funding to be provided by stewards of Blue Box materials (e.g., brand owners, importers). The process involves a detailed annual survey of participating Ontario municipalities that operate recycling programs and associations that operate such programs on their behalf. The survey is known as the Municipal Datacall⁸.

As part of this RFP, vendors are required to present a plan to replace Datacall functionality with components of the new Registry system and integrate it with Registry operations. All historical data (~ 50 gigabytes) must be converted and moved, as well. All Datacall functionality will be subsumed within the dynamic portal and CRM, and all calculations in respect of the Blue Box Programs must be fully integrated with Registry financial, accounting, operational and reporting functions. In addition RPRA will have modifications to the current existing Datacall forms and calculations.

A pilot program utilizing Datameer and Hadoop has recently been completed exploring the use of this technology to facilitate data conversion and migration for Datacall data including ability to perform analytics on migrated historic data.

Capability	Description
Current user base	~400 Ontario municipalities and First Nations delivering ~250 Blue Box programs
Customizable forms	Allow for forms to be customized depending on the reporting stakeholder group (e.g., one form for smaller municipalities)
Mobile Viewing	Final versions of reports and visualizations/analytics must be accessible via mobile form factors
Registration and sign-on capability	Stakeholders can register, and be assigned permissions by RPRA staff, and then securely login and have the correct permissions
Reporting	All system fields must be fully reportable
Customizable interface	Ability to easily manage data entry interface; future path to fully automated data entry from municipalities via direct download, EDI or other secure protocols
Calculations	Fully automated, with possibility of manual adjustment; some integration with financial and operational systems
Security	Generally conforms with the spirit of the Government of Ontario's best practices, including their security and privacy standards, and is hardened against hacking and other malicious attacks, including through mobile
Ease of use	An easy-to-use and intuitive interface that logically structures content

⁸ The current Datacall form and guide can be found at <http://www.rpra.ca/Datacall>.

3.1.3. Case Management

Case management must provide a comprehensive solution designed to help RPRA with all compliance activities. This includes, but is not limited to incident identification, inspections, investigations and prosecutions.

Capability	Description
Mobile accessibility	RPRA investigators and inspectors must be able to access, view, use and provide case data from mobile devices
Portal accessibility	Able to securely access case management system on internal network /VPN
Mobile off-line synchronization	New/updated information synchronization on cases can be delayed if mobile connectivity is lost; full audit trail capability
Collaboration and sharing of information	Multiple investigators/inspectors can collaborate, manage and access the same case files (collaboration need not occur simultaneously)
Data auditing	Data/information captured can be authenticated for use in legal and enforcement actions, if necessary (chain of evidence, non-repudiation, digital signature, e-discovery)
Full view of the customer	All pertinent information captured regarding the regulated party is available and accessible (identity-based data profile viewing)
Security	Generally conforms with the spirit of the Government of Ontario's best practices, including their security and privacy standards, and is hardened against hacking and other malicious attacks, including through mobile
Basic data analysis	Basic analysis of the regulated party's data to identify compliance exceptions and forensic patterns
Workflow management and file risk profiling	Workflow, escalation, compliance, approval, documentation and communication protocols, logging and support; basic risk profiling

In addition, any solution must provide for incident management, investigation cases, and charges, prosecution and disposition.

Incident Management

- Ability to track all incidents related to compliance (e.g. audit, complaint response, inspection reports, etc.) whether or not they relate to a case
- Ability to track pertinent information related to regulated parties and sites
- Ability to cross reference information in different formats (e.g. structured and unstructured data)
- Ability to link information by party, location, incident type, date, time and narrative
- Ability to create inspection reports, follow-up tasks and messages while mobile
- Ability to document and escalate compliance activity (e.g. letters of notification, failed audit, referral for investigation)

Investigation/Inspection Cases

- Ability to track investigation cases for each investigator, including status, court status, prosecution disposition, charges and defendants
- Ability to record time spent on tasks, incidents and cases

- Ability to link all pertinent documents to investigations or incidents
- Ability to manage and organize documents
- Ability to support media files (e.g. playback of audio and video files in different formats)
- Ability to track, label (e.g. barcodes, QR codes), and categorize evidence (e.g. documents, photographs)
- Ability to set automated reminders, notifications and follow up for time-sensitive tasks (e.g. dates for Interviews, court sessions, judicial proceedings)
- Workflow management (e.g. notification of case assignment, re-assignment, reviews, approvals)
- Reporting, including workload management, statistical and ad hoc reporting (e.g. past case load, investigation case status, cases closed without proceeding to prosecution)

Charges, Prosecution and Disposition

- Ability to track all charges for all defendants
- Ability to track court status, court related information and prosecution disposition
- Ability to generate an electronic Crown Brief from investigative files which meets court standards for disclosure
- Ability to generate standard court documents from investigative files (e.g. Information, Summons, Orders, Search Warrants)

3.1.4. Enterprise Content Management

Capability	Description
Capture, store, label and characterize unstructured and semi-structured data	Able to store, characterize, organize, tag and process unstructured and semi-structured data such as PDFs, documents, legacy files, images, HTML, XML and others, including with robust metadata retention
Content search	Able to search across content and content metadata
Security	Generally conforms with the spirit of the Government of Ontario's best practices, including their security and privacy standards, and is hardened against hacking and other malicious attacks, including through mobile
Content and archiving	Ability to manage content across its lifecycle and archive/destroy as necessary; privacy compliance friendly
Integration capabilities	Seamlessly integrates with other Registry applications (e.g. portals, case management, workflow management) to store, retrieve and manage documents/objects

3.1.5. Automated Payments and Billing

Capability	Description
Accept payments from regulated parties	Allow regulated parties to securely pay their fees on line, via credit card, EDI, EFT or other generally accepted payment modality; capture/confirm payments and post as appropriate within the Registry and accounting ledger(s); view account status at any time (by payor and RPRA); provide audit trail and log of all transactions
Adjust regulated parties' balances owing	In case of need to adjust regulated parties' balances or refund fees, securely post authorized credits to registrant balances and/or create appropriate accounts payable voucher(s) for cheque/payment processing via accounting system

Capability	Description
EFT capabilities	Secure, controlled, fully functional and integrated EFT capabilities for all payment transaction types, including single/dual authorization, audit trail and confirmation process
Invoicing and Calculation	Ability to automatically calculate balances owing by regulated parties based on usage and other data, and to generate draft and final invoices, including provision for the documented, authorized and secure manual modification of amounts due on an exception basis; calculation of all applicable taxes; full audit trail
Security	Generally conforms with the spirit of the Government of Ontario's best practices, including their security and privacy standards, and is hardened against hacking and other malicious attacks, including through mobile; is PCI compliant; has a two factor authentication for higher risk transactions
Flexible reporting	Preparation of regulated party statements of account (electronic or paper); easy generation of a full suite of flexible financial and operational reports by regulated party, category, timeframe, account status and other configurable parameters
Integration with accounting system and analytics	Full integration with accounting system, operational systems, financial systems; data sharing with analytics system
Excellent internal control processes	Fully configurable to provide for excellent internal control processes, financial control, fraud risk minimization, and reporting to Financial Transactions and Reports Analysis Centre of Canada (FINTRAC)

3.1.6. Self-Service Analytics⁹

Capability	Description
Access to data	Access to all relevant RPRA-held data, no matter the format, preferably via a data lake architecture (real or virtual)
3rd party data	Ability to integrate and utilize third party data, including social media data, into data models
Text analytics	Text analytics and sentiment analysis capabilities
Data mining	Ability to easily generate detailed, comprehensive descriptive analytics and reporting (deterministic), including time series and trend analysis
Predictive analytics	Ability to generate meaningful predictions using decision trees, multiple regression and neural networks; able to address probabilistic and non-deterministic data models, including black box models
Data scientist and self service capabilities	Suitable for use by data scientists, but configurable for limited functionality as a self-service application for business users
Visualization	Integrates readily with visualization software such as Tableau
Statistically robust	Performs calculations and modelling in a statistically robust fashion

⁹ Vendors may propose phased implementation of analytics capabilities, starting with traditional, structured ad hoc reporting, then moving through forecasting until true predictive analytic capabilities are achieved.

3.1.7. Enterprise Data Management

Capability	Description
ETL (extract, transform, load)	Staging raw data from all sources into a format suitable for reports or analytics consumption
Store data	Structured data is stored in an enterprise data warehouse
Batch integration	Allow for batch uploading through secure integrations (e.g. SFTP)
Business rules	Provide business users with the ability to manage business rules and processes for data validation and manipulation
Data management and governance	Manage availability, usability, integrity, security, retention, lifecycle, quality, risk classification of data in accordance with recognized framework (e.g. DAMA)
Metadata management	Manage data structures and definitions to ensure data are organized in a robust, flexible format
Data quality management	Ensure data collected are accurate through validation and other robust data quality processes
Data privacy and security	Generally conforms with the spirit of the Government of Ontario's best practices, including their security and privacy standards, and is hardened against hacking and other malicious attacks, including through mobile; is PCI compliant; has a two factor authentication for higher risk transactions; enforces proper data access permissions (e.g. identity and access management and security provisioning)
Data retention and archiving	Management of end-of-life data and archiving of information in accordance with statutory and regulatory requirements and business needs
Master data management	Ensure the streamlined definition of data across RPRA and stakeholder organizations; define appropriate data architectures; restrict access to data manipulation language and data definition language to authorized individuals

3.1.8. Financial, Operational and Business Reporting

Capability	Description
Self-serve reporting	Allow business users to manipulate and generate easy-to-interpret reports for consumption
Mobile accessibility	Access and interact with reports through mobile devices
Visualizations	Readily visualize analyzed data and variances in an easy-to-interpret manner (e.g. dashboards)
Global Information System (GIS) integration	Visualize, report and analyze GIS data
Interactive reports	Ability for end-users to interact with reports (e.g. drill downs, filtering)
Data exportability	Ability to export data from reports
Data transformation	Manipulate data through transformations into a format for reporting or visualization
Alerts	Alert appropriate business users if certain metrics drop below or exceed defined limits
Report sharing	Allow for easy sharing of reports both internally and externally through exporting as documents or publication to portal

3.1.9. IT Infrastructure

The successful vendor must provide detailed information on provisioning the RPRA IT infrastructure and environment to support the new solution.

Capability	Description
Configuration	Description of all major components of the proposed configuration and environment, including hardware, software, network and premises
Availability	Guaranteed availability of the proposed systems
Bandwidth and capacity	The estimated bandwidth and capacity of the infrastructure, expressed in terms of ability to meet the processing requirement of RPRA
Redundancy	Backup and disaster recovery provisions and capabilities in Canada
Commercial status	Public or private facility; economic viability and track record; escrow and similar arrangements available
Connectivity	Reliability of the connectivity between end users and the infrastructure
Security	Generally conforms with the spirit of the Government of Ontario's best practices, including their security and privacy standards, and is hardened against hacking and other malicious attacks, including through mobile
Certification status	CSAE, SSAE, SOC, PCI, ISO 27000, ITIL, FISMA, HIPPA, other

3.1.10. RPRA Website

As part of the Registry, RPRA requires the development of a new website that provides easy navigation for users across a variety of devices, platforms, operating systems and browsers to retrieve information and services, to provide links and to provide access to file information from the Registry (i.e., public reporting). It is RPRA's intention that the portal to the Registry would be located on this website.

While further scoping of the website requirements and content will occur with the vendor, the following is needed:

- Final design must provide an easy-to-use, easy to search, and simple content management system for RPRA to manage content independent of vendor support.
- The development language must use HTML5 with open APIs for future application integration.
- Website must be fully viewable, useable and accessible from mobile devices.
- Enhanced optimized search engine and website analytics are required to enable RPRA staff to develop reports.
- Best practise programming design standards must be incorporated into the new website.
- A password protected section for RPRA Board and staff.

3.2. Additional Deliverables

The following additional deliverables must also be addressed in the proposal where noted.

3.2.1. Data Migration

Data to be migrated includes Datacall data and may include any data held by the various Industry Funding Organizations (IFOs) and Industry Stewardship Organizations (ISOs), i.e., waste diversion

program and plan operators. Although the majority of these data are expected to be structured some unstructured data will be migrated as well. RPRA requires the ability to perform analytics on all historical migrated data.

Vendors must develop an approach for data identification, cataloguing, extraction, staging, cleaning, quality assurance, verification and testing. Provision for end user testing must be made, as well.

As noted, a pilot program utilizing Datameer and Hadoop has recently been completed exploring the use of this technology to facilitate data conversion and migration for Datacall data.

3.2.2. Training and Knowledge Transfer

The successful vendor will be expected to use best efforts throughout the duration of the contract to transfer knowledge to the management and staff of RPRA. As part of this effort, formal training (user, technical) shall be delivered to RPRA with respect to the Registry¹⁰ capabilities, functionality, skilled and effective use. In addition, training with respect to report generation and analytics must be delivered.

RPRA supports the use of train the trainer methodology.

3.2.3. Documentation and Reference Material

The vendor must include in the deliverables complete and up to date documentation (e.g., Wiki) regarding the Registry and all associated components, including but not limited to the operating environment, file and data formats, configuration and functionality. It is required that this documentation will be kept up to date throughout the duration of the contract.

All documents produced to support the development, implementation, maintenance and use of the Registry systems shall become the property of RPRA.

3.2.4. Managed Services

The vendor must provide managed services for the proposed solution. Services must include, but are not limited to, operational support, bug fixes, and evolution of the implemented system through maximizing the use of application functionality and integration with other applications.

Vendor must be available and open to system enhancement work.

3.2.5. Software Refinement and Maintenance

Vendors will be expected to provide software maintenance. While the preferred solution is COTS (with no customization), should the need for customization arise, RPRA will work with the vendor to understand the implications and options when developing a custom solution.

3.2.6. Testing

The vendor must provide a testing and acceptance process for the application. As part of this process, the vendor is responsible for ensuring resolution of all testing in a manner that is satisfactory to RPRA.

¹⁰ Including all components, aspects and operations.

The vendor must develop a plan that includes two distinct phases: one for technical testing and the second for user acceptance testing. The responsibility to ensure the proper functioning and serviceability of the delivered solution shall rest with the vendor.

The vendor must also provide details of its proposed security testing and evaluation program (including penetration testing and threat risk analysis) to be executed as the capabilities of the Registry are implemented.

3.2.7. Security

The successful vendor must assist RPRA to define and establish appropriate security profiles for Registry access, tasks and functions, as well as for the vendor's own technical and support staff. This includes with respect to portal access, mobile access, internal RPRA access and public access.

3.2.8. Architectures to be developed

The vendor must provide a plan on how the Registry solution will be architected, prior to implementation. This includes all levels of architecture including enterprise, business, application, data, security and technology. In addition, the vendor should indicate the method to be utilized.

3.3. Requirements

3.3.1. Security and Privacy

Security plays a critical role in the operation of the Registry. Security solutions must meet or exceed RPRA policy guidelines as provided in the RFP (see Appendix C).

3.3.2. Usability

User experience must include, but is not limited to being, easy to learn, aesthetically pleasing, efficient to use, and open to integration with other applications.

Minimal clicks and low loading times are required.

3.3.3. Scalability and Flexibility

The proposed solution must be scalable and flexible from the system functionality and operating platform perspective. This includes but is not limited to such items as software configuration, operating system performance and data storage capability and capacity.

3.3.4. Availability

The Registry must meet at least three nines (99.9%) system availability.

3.3.5. Ownership of Intellectual Property and Work Product

RPRA will be the sole and exclusive owner of all intellectual property (IP) and work product emanating from, and developed during the course of the contract. RPRA may, at its sole discretion, enter into a licensing or other agreement with the selected vendor regarding future vendor usage of such IP and work product.

3.3.6. Warranties – Proposal

When submitting their proposal, RPRA requires that the vendor represents and warrants that all statements, representations and warranties made in their proposal are true and acknowledges that

RPRa will rely on the truth of all such statements, representations and warranties in selecting and permitting the vendor to perform the services as described in the vendor's proposal.

3.3.7. Warranties – Delivered Solution and Services

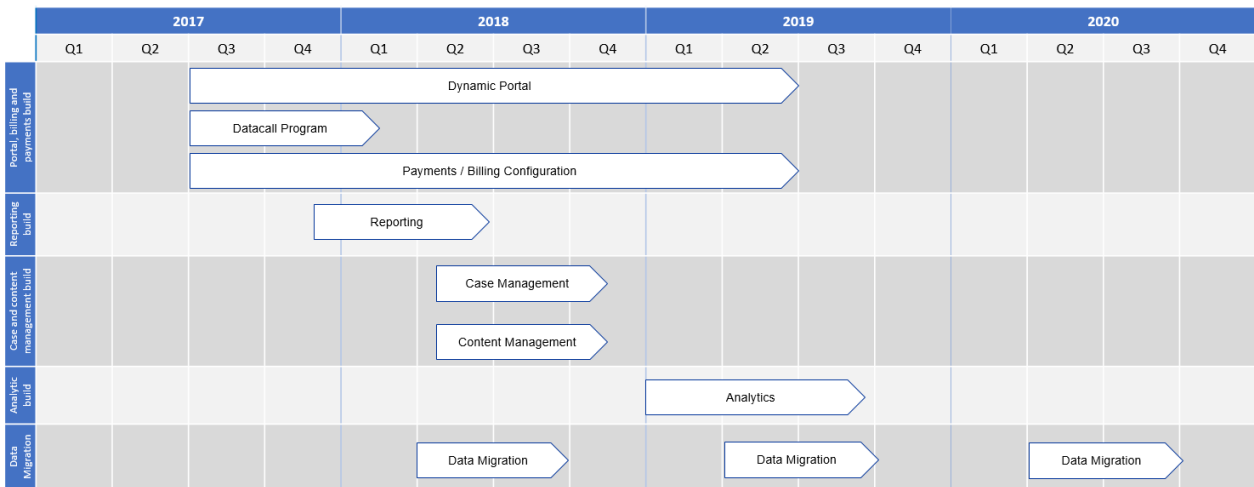
When submitting their proposal, RPRa requires that the vendor represents and warrants that all the delivered solution and managed services provided will meet or exceed RPRa's stated requirements and specifications, be fit and serviceable for the proposed usage, meet all applicable industry and government standards and best practices, and generally support achieving RPRa's statutory mandate.

4. Timeframe for Deliverables

A complete project roadmap must be provided with the proposal, including details of milestones and timeframes from June 19, 2017 through June 1, 2021 (sample schedule follows). RPRRA’s immediate priority is for an interim Registry with capabilities to allow for registration and collection of fees by December 1, 2017.

At present, case management and content management capabilities are required to be available in 2018, while analytic functionality should be available starting in 2019, and further evolve as additional data are captured in the system. Data migration activities should take place as per sample schedule, with Ontario Tire Stewardship (OTS) having initial priority.

Sample Capability Roadmap and Timeframe



5. The Proposal

Vendors are free to format their information content in any way, but should refer to the evaluation criteria of this RFP, the deliverables and the content sections below to ensure that they address all criteria as directly and in as much detail as possible. For ease of evaluation, proposal content should be referenced to the specific RFP subsection, where possible.

5.1. Mandatory requirements

The following is a list of documents that must be included in a proposal. Vendors who submitted these documents previously must still include these documents in their proposal. Should the vendor not provide these documents, their proposal will not be considered:

- Statement of authorization to submit a proposal
- Statement declaring the vendor has no real or apparent conflict of interest as set out in Appendix A
- Confidentiality undertaking as set out in Appendix B
- Statement that the proposed solution conforms to RPRA's information technology policies and procedures as set out in Appendix C.

Vendors must submit their proposals via email in two separate and distinct PDF electronic documents. One electronic document to be marked "Technical" must contain details of the proposed solution, services, and approach (i.e. no cost information or reference thereto) and the second electronic document to be marked "Financial" must contain only cost information (e.g., solution costing details).

The proposal must be submitted in English only.

5.2. Content of the Technical Proposal

The proposal should contain an executive summary in addition to the other requirements/expectations outlined below. The executive summary should briefly summarize key aspects of the proposal and identify the primary contact person.

The Technical proposal must provide details on the solution, approach and methodology including infrastructure and technologies, services and support, delivery method and generally to answer all areas of the RFP (except Financial).

The vendor must describe how they would satisfy RPRA's requirements in a timely, cost effective, expert phased approach. They must provide their recommended technology solution along with the proposed project management approach, key milestones and a delivery roadmap in a clear and understandable fashion. They should also be prepared to approach their proposal and the work in a collaborative and transparent manner (and to evidence this approach).

When developing the proposal it is recommended that the vendors refer to section 3 (above) on deliverables and requirements.

The Technical proposal must address the following, including but not limited to:

5.2.1. The solution (i.e., the Registry including associated environment)

- The proposed solution must be clearly identified [i.e., listing the software provider(s)] and provide for a solutions roadmap that addresses all components

required in the solution (e.g., CRM, ECM, Case Management, EDM, IT infrastructure). The Registry includes both the portal for providing information to RPRA and the public facing website for public reporting.

5.2.2. Project management approach and methodology

- The proposal must identify the lead vendor should the proposal be submitted by a joint vendor or consortium.
- Vendors must provide information on their formal process to organize and deliver the project deliverables (e.g. project charter, team composition, project management tools) and recommended project approach for each of the deliverables (e.g. Waterfall, Agile).
- Vendors must identify whether the product implementation will be done jointly, with a third party firm or internally (i.e., a subcontractor).
 - RPRA recognizes that subcontractors may change throughout the course of the contract; RPRA approval is required for such change.
- The proposal must include a proposed project communication plans (i.e., between RPRA staff and the vendor, including any subcontractors).

5.2.3. Vendor qualifications and resources

- Vendors must provide a list of all proposed personnel along with their professional qualifications and related experience. Any detailed resumes or work summaries of key resources must be included as appendices along with professional references for similar engagements.
- Each vendor must include a description of how they will manage risk associated with the project (e.g., employee turn-over).

5.2.4. Data migration

- Vendors must specify the data migration/ETL automation tools to be used and include a clear roadmap, plan and proposed approach to migrate data to the Registry from existing, legacy and stakeholder systems, including timeline estimates.

5.2.5. Training and knowledge transfer

- Vendors must provide a plan for how they would deliver training and transfer knowledge to RPRA staff (e.g., courses, webinars).

5.2.6. Documentation and reference material

- As part of the proposal, vendors must discuss and describe the documentation proposed to be provided, and the format thereof (e.g. Wiki). This includes system documentation.

5.2.7. Software refinement and maintenance

- Vendors must provide a schedule and plan to maintain software within service level parameters.
- When submitting their proposal, RPRA requires that the vendor represents and warrants that all statements, representations and warranties made in their proposal are true and acknowledges that RPRA will rely on the truth of all such statements, representations and warranties in selecting and permitting the vendor to perform the services as described in the vendor's proposal.

- When submitting their proposal, RPRA requires that the vendor represents and warrants that all the delivered solution and managed services provided will meet or exceed RPRA's stated requirements and specifications, be fit and serviceable for the proposed usage, meet all applicable industry and government standards and best practices, and generally support achieving RPRA's statutory mandate.

5.2.8. Managed services solution

- Vendors must describe their managed services solutions and capabilities. Details of service level management, including but not limited to status reports, operations alerts, problem management process, escalation process, system enhancement requests, testing and production, migration processes and change control processes should be provided.
- As part of their proposal, vendors must include a plan to address the following, at a minimum:
 - service levels to be delivered throughout the term of the project;
 - support service levels to be delivered throughout the term of the project, including incident management and escalation processes;
 - software maintenance, configuration, upgrade and enhancement services; and,
 - service reporting type and frequency of reporting that will be provided and proposed report delivery method (e.g. vendor self-serve portal).
- Vendors must provide a copy of their proposed Service Level Agreement (SLA) with the proposal. The actual SLA will be finalized during the final negotiation process.

5.2.9. Testing including sign-off process (technical, quality assurance, end-user)

- The proposal must identify any quality assurance the vendor will provide (e.g., testing sign-off process).

5.2.10. Architectures to be developed

- The proposal must indicate the method to be utilized on how the Registry solution will be architected.

5.2.11. Security

- The vendor must provide details of its proposed security testing and evaluation program (including penetration testing and threat risk analysis) to be executed as the capabilities of the Registry are implemented.
- Any requirements with respect to any deliverables, process and standards must be addressed in the proposal.

5.2.12. Usability Goals

- Vendors must provide details in the proposal on how the solution will meet usability goals (e.g., easy to learn, aesthetically pleasing, efficient to use, along with the key functions that can be used to take full advantage of inherent application capabilities).

5.2.13. Three nines (99.9%) system availability

- The proposal submission must provide details on how the solution will meet this requirement and the reporting to provide actual performance information against the final Service Level Agreement (SLA).

5.2.14. Project roadmap for implementation including timelines and key milestones (June 19, 2017 through June 2021)

- Proposals must specifically include a plan to meet RPRA's immediate priority for an interim Registry with capabilities to allow for registration and collection of fees by December 1, 2017.
- RPRA may negotiate holdbacks or other forms of financial and legal guarantees to ensure delivery of the solution and performance of the services to its entire satisfaction in accordance with the negotiated timelines. For example, liquidated damages may apply in the case of failure to meet agreed delivery dates. As part of their proposal vendors should specify the form and value of assurances they can provide to RPRA that the project will be delivered on time and on budget.

5.2.15. Product road map

- Vendors must include a product roadmap highlighting key application enhancements anticipated and an estimated timeframe. Details of any enhancements of particular interest to RPRA should be highlighted.

5.2.16. Cost Estimation Model, Delivery Method, Work Breakdown Packages (WBP), Change Request Process and Statements of Work (SOW)

Vendors should submit a sample of their cost estimation model (excluding the vendor's financial information, e.g., the solution costing details) used to calculate project effort, timelines and solution cost estimates as part of their proposal. This is to enable RPRA to understand the model's basis, derivation and usage. If a recognized formal cost estimation model is used (either paper-based or software) it should be specifically referenced.

Vendors are required to provide details on their proposed delivery method and work breakdown packages (WBP) as part of the proposal. Vendors must also submit details of the proposed change request process, a suggested sample statement of work (SOW) and their proposed WBP signoff and acceptance process.

Sample WBP may include:

- Scoping and clarification activity surrounding the level of work required
- Develop basic CRM and portal registration, fee collection, and operational reporting capabilities
- Migrate the Datacall Program, including historic data
- Enhanced and mature core Registry CRM and portal solution capabilities
- Enhanced and mature operational reporting capabilities
- Implement and integrate case management solution
- Implement and integrate content management solution
- Implement and integrate self-service analytics solution, and
- Data migration activities for RPRA's historical (non Datacall data) and each external organization as it winds up.

5.2.16.1. Refining the Scope and Cost Estimates

The first WBP will be a scoping and clarification activity surrounding the level of work required (i.e. complexity) for all WBP provided in the proposal. The initial scoping of WBP will preferably be completed on a time and material basis.

RPRA envisions that the first step after awarding the contract will be to review all proposed WBP with the successful vendor to confirm high-level cost and time estimates. As the overall project progresses, cost estimates will continue to be jointly reviewed and approved for each individual WBP prior to commencement of work.

5.3. Content of the Financial Proposal

All vendor costs for the proposed solution must be provided in a separate PDF file labelled “Financial”.

The Financial proposal must include all projected software licensing costs.

5.3.1. Solution Costing Details

Below is a mandatory template to provide the solution costing details.

The one-time implementation costs for the solution must include all vendor costs associated with meeting all deliverables and requirements for the solution as outlined in section 3, including but not limited to:

- Staff time
- Testing (technical testing and user acceptance testing), including security
- Defining and establishing appropriate security profiles
- Configuration
- System set up
- Architecture
- Business process design
- Training and knowledge transfer
- Overall project management (including communications)

As part of the annual licensing costs the vendor must provide complete licensing and cost details on all software proposed to be acquired and all related supporting documentation.

Solution Costing Details Template		Y1	Y2	Y3	Y4	4-Year Total
Portal and CRM	A One-time implementation costs					
	B Annual licensing costs					
Website	A One-time implementation costs					
	B Annual licensing costs					
Datacall Program	A One-time implementation costs					
	B Annual licensing costs					
Case Management	A One-time implementation costs					
	B Annual licensing costs					
Enterprise Content Management	A One-time implementation costs					
	B Annual licensing costs					

Solution Costing Details Template		Y1	Y2	Y3	Y4	4-Year Total
Accounting, billing, costing and pricing functionality	A One-time implementation costs					
	B Annual licensing costs					
Self-Service Analytics	A One-time implementation costs					
	B Annual licensing costs					
Enterprise Data Management	A One-time implementation costs					
	B Annual licensing costs					
Financial, Operational and Business Reporting	A One-time implementation costs					
	B Annual licensing costs					
IT Infrastructure	A One-time implementation costs					
	B Annual licensing costs					
Historic Data Migration	A One-time implementation costs					
	B Annual licensing costs					
Other (specify)	A One-time implementation costs					
	B Annual licensing costs					
Other (specify)	A One-time implementation costs					
	B Annual licensing costs					
Totals						
All One-Time Implementation Total (total of all "As" for all years)						
All Software Licensing Total (total of all "Bs" for all years)						
Other Costs (Please provide details for any other costs if applicable)						
IT Budget Total (total of all A+B for all years, excluding any other costs added by the vendor)						

See attached for the RPRA RFP Budget Template.

5.3.2. Rate Cards

Vendors must also include a master rate card for all project activities listed in the deliverables (not including those the vendor has included in the solution costing details) including but not limited to:

- Training and knowledge transfer
- Creation and maintenance of documentation and reference material
- Managed services costs
- Software refinement and maintenance
- Testing (e.g., on future software refinements)
- Planning, project management, communication and administration

Vendors are able to submit multiple rate cards if they wish (e.g., total rates by staff category, different rate card for each vendor in the case of a joint venture, or value add rate cards for projects not identified in the deliverables); however, only the master rate card will be used in the evaluation.

6. Evaluation Process and Criteria

The evaluation process to determine the successful vendors will involve both qualitative and quantitative elements. As a general framework, all proposals presented by vendors will be evaluated in the context of the overall value brought to the initiative. While cost is a significant part of the evaluation criteria, it will not be the main or sole determinant.

6.1. Evaluation Process

1. **Compliance Review** – Review of mandatory vendor documents as per section 5.1.
2. **Technical Evaluation** – Details of the proposed solution, services, and approach (i.e. no cost information or reference thereto). Vendors must achieve a rating of 75% or over (a score of 60 out of 80) before RPRA will consider their Financial proposal (i.e., before proceeding to the next stage).
3. **Financial Evaluation** – Details of the cost information only (e.g., Solution Costing Details).
4. **RPRA’s Clarification and Verification of Proposals (i.e., addition information if RPRA requests it)** – RPRA is not obliged to seek clarification or verification of any aspect of a proposal or any statement by a vendor, including an ambiguity in a proposal or in a statement made by a vendor.
5. **Final Score** – Technical Score + Financial Score. Overall proposals (both Technical and Financial) be reviewed and ranked out of a 100-point total. The evaluation will be based on a vendor’s ability to meet the deliverables found in section 5.2 – Content of Technical Proposal and section 5.3 – Content of Financial Proposal.

6.2. Technical Criteria

Only those proposals that have included the mandatory criteria (section 5.1) will be evaluated.

Each criterion below may be considered for each requirement listed in section 5.2. Vendors must ensure they review the criteria when they develop each aspect of their proposal. For example, the solution (i.e., the actual Registry including associated environment) could be considered against:

- Quality and suitability of proposed solution
- Proposed delivery method and ability to meet project timelines
- Project management methodology, including management of overall project risks
- Demonstrated understanding of RPRA and its project goals
- Qualifications of project team, delivery capacity and firm’s relevant experience, including professional references and track record
- Ability to meet other project requirements, specifically security
- Flexibility, adaptability, innovation and creativity of team and approach

The Technical proposal will be evaluated first (excludes the ‘Financial’ ranking criteria, bringing the maximum score to 80). Vendors must achieve a rating of 75% or over (a score of 60 out of 80) before RPRA will consider their Financial proposal.

Technical Ranking Criteria	Percentage
Quality and suitability of proposed solution	15%
Proposed delivery method and ability to meet project timelines	15%

Technical Ranking Criteria	Percentage
Project management methodology, including management of overall project risks	15%
Demonstrated understanding of RPRA and its project goals	10%
Qualifications of project team, delivery capacity and firm's relevant experience, including professional references and track record	10%
Ability to meet other project requirements, specifically security	10%
Flexibility, adaptability, innovation and creativity of team and approach	5%
Total Technical	80%

6.3. Financial Criteria

Proposals that have achieved a rating of 75% or over (a score of 60 out of 80) on their Technical criteria will have their Financial proposal evaluated.

Financial Ranking Criteria	Percentage
IT Budget Total as per section 5.3.1	10%
Master Rate Card	10%
Total Financial	20%

Points will be awarded based on the difference between the vendor's IT Budget Total/Rate Card (master rate card only) and the lowest responsive IT Budget Total/Rate Card. The lowest responsive IT Budget Total/Rate Card will receive the full awarded points and other IT Budget Total/Rate Card will be allocated points pro-rata to the extent they exceed the lowest responsive IT Budget Total/Rate Card.

Overall proposals (both Technical and Financial) be reviewed and ranked out of a 100-point total (i.e., 80% for Technical and 20% for financial for a total score out of 100%).

APPENDIX A: Conflict of Interest Declaration

Vendors bidding on RPRA's RFP for the Registry System are required to confirm that they do not have a conflict of interest in relation to the required work.

Declaration

I/we conducted all necessary internal inquiries and investigations to identify and have disclosed in writing to RPRA any contracts or engagements or payments or purchase orders whether in the name of the vendor, its subcontractors or any otherwise associated entity, with an Industry Funding Organization/Industry Stewardship Organization (e.g., Stewardship Ontario, Ontario Electronic Stewardship, Ontario Tire Stewardship, Product Care Association of Canada, Automotive Materials Stewardship Inc., SodaStream) or with a national service provider to Industry Funding Organizations (e.g., Canadian Stewardship Services Alliance Inc., Electronic Products Recycling Association) for the supply of services or goods, regardless of value, from January 1, 2015 to the present.

To the best of our knowledge and belief, except as previously disclosed in writing to RPRA, there is no a) financial relationship between any of the directors or officers of RPRA and the vendor, its subcontractors or any otherwise associated entity; or b) relationship of blood or marriage between any of the directors or officers of RPRA and a partner, director or officer of the vendor, its subcontractors or any otherwise related entity.

I/we understand and agree that failure to fully disclose this information is sufficient cause for the rejection of the vendor's proposal or termination of any contract entered into with the vendor, based on or emanating from such proposal.

DATED this ____ day of ____ 2017

Name of Company: _____

By: _____

Name: _____

Title: _____

I have authority to bind the Company

APPENDIX B: Confidentiality Undertaking

TO: Resource Productivity and Recovery Authority (RPRA)

In consideration of the disclosure of the Confidential Information (as hereinafter defined) by RPRA to the undersigned (the "Recipient"), the Recipient agrees as follows:

1. The term "Recipient" means any vendor, organization or person participating in the RPRA RFP dated March 24, 2017 and entitled RFP for the Registry System ("RFP"). The Recipient's employees, agents, owners, managers, consultants, associates, subcontractors and the like are herein collectively referred to as the "Representatives".
2. The term "Confidential Information" means any information disclosed by RPRA to the Recipient at any Information Session or otherwise, in respect of the RFP.
3. The information may be in the form of draft reports, final reports, Datacall or other survey forms, data entered into a database, analysis and interpretation of data, supporting documentation, personnel information, financial information, internal memos, and documents, electronic and hard copy correspondence and all other information and verbal and/or written communications.
4. Confidential Information does not include any information which: (a) was at the time of disclosure or thereafter became part of the public domain or was readily available to the public otherwise than by reason of a breach of this Agreement; (b) at the time of disclosure by RPRA to the Recipient or thereafter, was known to or within the possession of the Recipient or was independently developed by the Recipient without the Confidential Information disclosed by RPRA; or (c) was required to be disclosed by law.
5. The Recipient shall not disclose and shall ensure that its Representatives do not disclose the Confidential Information without the prior written consent of an authorized representative of RPRA, and shall use and cause its Representatives to use the Confidential Information only for the purposes set out below.
6. The Recipient and its Representatives may use the Confidential Information to undertake the following tasks: (a) develop a proposal for RPRA's consideration with respect to the RFP; (b) develop and submit deliverables (e.g., reports) to RPRA for the project described in the RFP; (c) consult with members of RPRA, as necessary, to inform them about their deliverables.
7. The Recipient agrees that it shall use all its best efforts and exercise appropriate due diligence, to safeguard the Confidential Information from misuse, loss, theft, publication, destruction or the like, and has implemented suitable internal controls to do this.
8. This Agreement shall be governed by and interpreted in accordance with the laws of the Province of Ontario.

DATED this ____ day of ____ 2017

Name of Company: _____

By: _____

Name: _____

Title: _____

I have authority to bind the Company

APPENDIX C: IT Guidelines for Registry Development

These Guidelines have primarily been developed for the purpose of informing the development of a Registry for the Authority. The primary objective supported by this Guideline is to protect and ensure the integrity of information that is in the possession of the Authority.

Before the end of the year, the Authority will expand on this Guideline to produce a comprehensive I&IT Policy.

Information Classification

The Authority will utilize the following Government of Ontario Information Security & Privacy Classification System¹¹ to classify the type of data the Authority has and will have in its possession.

Category	General Description
High Sensitivity	Could reasonably be expected to cause extremely serious personal or enterprise injury, major political or economic impact, significant financial loss, and social hardship (e.g., medical and financial information about identifiable individuals, tax returns, personal health information).
Medium Sensitivity	Could reasonably be expected to cause serious personal or enterprise injury, loss of competitive advantage, loss of confidence, moderate financial loss (e.g., credit card fraud), damage to partnerships, relationships and reputation and loss of trade secrets or Intellectual Property.
Low Sensitivity	Could reasonably be expected to cause injury that would result in minor financial loss, embarrassment and inconvenience.
Unclassified	Will not result in any harm or injury. Information is likely in public domain.

Currently the Authority has in its possession “Low Sensitivity” or “Unclassified” information (e.g., aggregated sales data, municipal Blue Box data).

Based on the Authority’s mandate in the Waste-Free Ontario Act, 2016, it is expected that the Authority will have in its possession, at the most, “Medium Sensitivity” information once the Registry is live (e.g., company sales data, contracts).

This Guideline has been developed based on the Authority in future having in its possession “Medium Sensitivity” information.

Registry Guiding Principles

In the development of the Registry, the Authority will:

- Align the solution with the spirit of the Ontario Open Government Initiative.
- Build scalable and flexible data management and application capabilities to meet implementation timelines and future regulatory requirements.
- Ensure that applications implemented address data security and privacy requirements.
- Ensure that applications and infrastructure are implemented in the most cost effective and efficient manner.
- Utilize cloud based solutions for applications and infrastructure.
- Use commercial off-the-shelf (COTS) applications with no/minimal customization.

¹¹ As per the Office of the Chief Information and Privacy Officer.

- Explore innovative vendor contract arrangements to ensure business requirements are delivered in a shared-risk environment.
- Identify, validate and implement potential value-added services.

Management of Stored Information

Data Management

The Registry will capture data from any party identified in the Regulations under the Waste-Free Ontario Act. This may include, *but is not limited to* the following parties: Ontario manufacturers, first importers, retailers, associations, transporters, processors, generators, and municipalities.

The regulations under the Waste-Free Ontario Act will identify what information is required to be reported to the Authority to ensure compliance with the Waste-Free Ontario Act. This may include, but is not limited to data on: sales into the market, packaging composition, program costs, fees charged to obligated parties, contract and performance information and tonnages.

Data stored electronically will be subject to information lifecycle requirements and will be purged or archived after it reaches end-of-life for each of the following:

1. Business information residing in applications
2. Business information residing in documents on file servers
3. Physical documents

The retention period for each type is the minimum required by legislation (e.g., Waste-Free Ontario Act) or regulation in order to minimize potential information exposure. Information of a transactional nature or that is no longer needed is purged periodically.

Application Hosting

Business applications (e.g., the actual Registry, unstructured data, case management information, and internal financial information) are hosted and operated by third-party data centres (i.e., cloud solution providers).

The data center is located in Canada.

Security Requirements for Data Centre

The following are the minimum requirements for a data centre to be utilized by the Authority:

- Physically secure data centre: Physical control on access by data centre employees as well as customer visitors, logging of entry and exit from data centre, video surveillance.
- Data centre employees have no direct access to system.
- Employs industry-standard practices around:
 - Password management, expiry, and complexity; and
 - Change control process to manage change to customer environment.
- Intrusion Detection Services.
- Anti-Virus Services.
- Server operation, including monitoring and patching.
- Data Centre manages security incident response to security events.
- Data Centre performs an annual SSAE 16 Type II audit and provides audit results to customers.

Back-up & Recovery of Information Requirements for Data Centre

Multiple levels of backup and failover protect the integrity of the Registry. Information is regularly backed up and backups sent off-site so that data loss from hardware failure or operations failures can be recovered. The data centres each have data centre failover in case of complete loss of a data centre.

Computer servers are backed up regularly. Backups are sent to failover data centres so that backup data is physically separated from the servers being backed up. Backup data is sent by secure private networks; there is no physical backup media that could be misplaced or intercepted.

All servers are backed up daily; backup times are staggered and outside of business hours. Email servers are backed up hourly.

In the event of a failure of an entire data centre, operations will be transferred to a failover data centre. Services will resume from the failover data centre and may operate there for as long as needed.