

# STAFF REPORT

THE CORPORATION OF THE TOWN OF COBOURG



<b>Report to:</b>	Mayor and Council Members	<b>Priority:</b>	<input checked="" type="checkbox"/> High <input type="checkbox"/> Low
<b>Submitted by:</b>	Brent Larmer, Municipal Clerk/Manager of Legislative Services, <a href="mailto:blarmer@cobourg.ca">blarmer@cobourg.ca</a>	<b>Meeting Type:</b>  Open Session <input checked="" type="checkbox"/> Closed Session <input type="checkbox"/>	
<b>Meeting Date:</b>	April 19, 2021		
<b>Report No.:</b>	Corporate Services-053-21		
<a href="#">Submit comments to Council</a>			

**Subject/Title:**     **Electronic Document Management System (EDRMS) RFP  
Award for the Town's integrated Records Management System**

## RECOMMENDATION:

THAT Council receive this report from the Municipal Clerk/Manager of Legislative Services for information purposes; and

FURTHER THAT Council award the Request for Proposal Electronic Document Records Management contract to the successful bidder, StoneShare in the amount of \$156,500.00 to be funding from the Legislative Services approved 2021 Operating Budget.

## 1. STRATEGIC PLAN

This report addresses one (1) Council Strategic Plan Objective: Develop an integrated records management system.

Town of Cobourg Municipal Council's Strategic Planning Mission Statement:

The Town of Cobourg is committed to open and accountable governance and the provision of quality, accessible programs and services in a sustainable manner

Programs: The Town provides effective and efficient corporate, community, business and recreational services for its residents, business, and residents.

## 2. Develop an Integrated Records Management Plan

Desired Outcomes
<ul style="list-style-type: none"> <li>• People will be well informed, know what is going on in the Town and how to get information</li> <li>• The Town will be resilient and safe from cyber attacks</li> <li>• Information will be easier and faster to access through a variety of means</li> <li>• People will be informed with the facts</li> <li>• Information will be stored in a way that is accessible for present and future generations</li> <li>• Public trust and confidence in the Town's processes and procedures will be enhanced</li> </ul>

## 2. PUBLIC ENGAGEMENT

Not Applicable

## 3. PURPOSE

The purpose of this Staff Report is to provide information and analysis to Cobourg Council on the Electronic Document Records Management System and to award the RFP Contract to the successful bidder being StoneShare, who scored the highest and will provide a system to the needs of Cobourg.

The Town of Cobourg has contemplated an Electronic Document and Records Management Solution ("EDRMS") since 2019 and was placed as part of Council's Strategic Plan with a budget amount \$154,000, for 2020, for the implementation of such a Solution.

The Town is now ready to step forward with the implementation of an EDRMS together with a proposed partner, StoneShare. The backbone of the system is widely used and recognized software through Microsoft 365 and SharePoint the implementation of which was approved in the 2021 IT Budget.

## 4. ORIGIN AND LEGISLATION

On June 10, 2019, Municipal Council approved the following resolution #208-19: The Municipal Act, 2001 (the "Act") outlines the requirements for a municipal records retention program. Section 254 (1) provides that: a municipality shall retain and preserve the records of a municipality and its local boards in a secure and accessible manner, and if a local board is a local board of more than one municipality, the affected municipalities are jointly responsible for complying with this subsection.

Section 254 (9) addresses the requirement to retain records in a secure and accessible manner: accessible manner means that the records can be retrieved within a reasonable time and that the records are in a format that allows the content of the records to be readily ascertained by a person inspecting the records.

Additionally, recent legislation changes require that municipalities take measures to preserve records in accordance with applicable rules. These same changes also

make it an offense to willfully destroy records with the intent to deny access to records. Upon conviction, a fine of up to \$5,000 may be levied.

On February 18, 2020 Municipal Council passed the following motion:

*THAT Council authorize the preparation of a by-law to be endorsed and presented to Council for adoption at a Regular Council Meeting to approve and establish a Records Retention By-law and associated schedules for the classification, retention and destruction of records for the Town of Cobourg; and*

*FURTHER THAT Council authorize the Delegation of Authority to the Municipal Clerk for establishing and amending Retention Periods for the records of the Corporation of the Town of Cobourg; and*

*FURTHER THAT Council endorse and adopt the Town of Cobourg Records Management Program Policy, to establish the framework for the creation, implementation and maintenance of the Town of Cobourg's Record Management Program to ensure that full and accurate records are created, captured, maintained and disposed of in accordance with legislative and operational requirements.*

On February 24, 2020, Municipal Council approved By-law No.011- 2020 a by-law to provide for the classification, retention, and destruction of records for the corporation of the Town of Cobourg, to establish a records management policy and to delegate authority to the municipal clerk to establish or amend retention periods.

## **5. BACKGROUND**

Currently the Town's electronic records are stored on a variety of "directories" typically assigned by department, or operational area. The network directories are quite varied and numerous business records are stored in a very ad-hoc, unstructured basis. This means that many records are unclassified per the Town's Records Classification System. As well, some departments often have numerous directories (up to nine) in which they access records for business purposes.

The result of this current ad-hoc storage system is excessive time to find records, version accuracy issues, lost records and multiple duplicates. In addition, there is insufficient rigor regarding appropriate retention/destruction scheduling of Town records.

As reported to Council previously, the Town of Cobourg since 2019 has continued on in its quest for a total modernization of its existing Records Management Program under the leadership of the legislative Services Department.

The Records Modernization Information Management Plan can be provided in an overview below with associated actions being completed, in process or not yet started as follows:

### **Phase One (1-6 months):**

Performing record inventories with internal staff through a division and department wide audit.

Task	Action
Performing record inventories with internal staff through a division and department wide audit.	Ongoing
Develop and pass through Council a new Records Retention By-law to reflect the needs of administration and current legislation.	Complete
Perform destruction of documents through the Town's retention schedules and record destruction (4 to 6 months).	Ongoing
Develop a new standard operating procedure for destruction of records both physical and electronic.	Complete
Preparation of Existing Legacy (Permanent) and newly created records to be categorized into the new Records Retention and TOMRMS Categories	Ongoing
Preliminary findings indicate the majority of documents need to be rescanned or destroyed.	Ongoing
Staff Training on how to utilize the new Records Retention Schedule.	Ongoing

**Phase Two: Prepare for and Purchase a RMS or EDRMS Program (6 months -1.5 years):**

Task	Action
Create, Issue and Evaluate a RFP for a Program that will meet the needs and requirements of the Town of Cobourg Records Modernization program for the benefit of present and future generations of residents, staff and Council.	Complete
Purchase software and installation-TOMRMS. All information received to date indicates that TOMRMS is compatible with most Management Systems – will be part of the RFP Package. For paper records TAB labeling will still be active to allow for electronic and paper documents to coordinate and be maintained in the electronic database.	Ongoing
Create Records Management Meeting Team- Individuals will be trained and be experts with TOMRMS. It is intended that the team will meet on a monthly	Ongoing

basis during this phase, and as necessary thereafter, to discuss success and to derive solutions to challenges that they have encountered.	
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**Phase Three: Implementation of New Records Management System (1.5 - 2 years):**

<b>Task</b>	<b>Action</b>
Train all staff on TOMRMS and how to effectively utilize the new Records Management System changes.	June to Sept 2021
Inventory the vault and physical files to coordinate with TOMRMS Classification.	June to Sept 2021
Address any ongoing issues that arise during implementation.	June to Sept 2021

**Phase Four: Maintain and Update Records Management System (On-going)**

<b>Task</b>	<b>Action</b>
Once the system is operating successfully an evaluation will be conducted by the Municipal Clerk/Manager of Legislative Services to ensure continued success of the system.	September 2021

The Town of Cobourg through its Records Modernization program is now within Stage 2 of its Plan which is to implement and onboard and EDRMS for the Town of Cobourg.

EDRMS products and features can significantly improve the way in which a corporation conducts its business and how it applies the Records Information Management principles. Some of the features can:

- Automatically assign version control by type of record and, when the record attains "final" status it can be set to delete or retain all previous versions or retain a defined number of them;
- Create complex workflows that can automatically be assigned to a document type when it is received or saved into the repository. The workflows can include many parameters that can automatically notify staff when deadlines are approaching and required activities have not been completed;
- Significantly enhance collaboration between departments, project teams and external vendors/affected parties;
- Through the use of Application Programming Interfaces (APIs), access and synchronize data between applications. This creates an enterprise system where some applications are designated as the "masters" for certain record

types and other applications (slaves) access the data from the master when it is required;

- Seamlessly integrate email into the main record repository;
- Apply RIM principles such as retention periods or HOLDS to data in other applications that can be accessed through APIs;
- Apply the classification scheme and all related RIM principles automatically based on the type of document being used; and
- Provide full audit trails of all actions performed on any document.

Their use results in a much more profound and aggressive improvement in the authenticity, integrity, reliability, and standard governance across the entire organization and usability of information. They are truly transformational, allowing staff to conduct their tasks in a much more efficient and effective manner

## 6. ANALYSIS

As noted, in order to bring proper management to these records, Municipal Council approved a budget to proceed with a Request for Proposals (RFP) for an EDRMS (excerpt of Scope of RFP referenced as Attachment "A").

As a result of an RFP issued on the Town of Cobourg website and the Town's Bids and Tenders Site, in February 2021 (RFP# CO-21-08 LEG), the Town received four (4) submissions provided by a variety of consultants/vendors, by the closing date of March 9, 2021.

The criteria for evaluation was based on the following:

a) Technical Evaluation – 55 points

1. Company Introduction
2. Relevant Projects
3. Reference Letters
4. Project Team Experience
5. Proposed Solution
6. Methodology and Implementation
7. On-Going Maintenance and Support
8. Quality of Submission

b) Demonstration/ Q&A -25 Points

c) Financial – 20 Points

A staff evaluation team reviewed all submissions with one (1) submission being StoneShare achieving the highest score and in order to assist the evaluation team with its decision making the finalist was invited to present their proposed EDRMS solution to the Town of Cobourg Staff.

Participants that participated and observed the presentation provided an independent evaluation to the Municipal Clerk and through further analysis

StoneShare was selected as the preferred proponent for the Town of Cobourg EDRMS Solution.

### **Overview of Company:**

StoneShare Inc., founded in April 2007 (13+ years in business), is a privately owned Canadian corporation headquartered in Ottawa, Ontario Canada. StoneShare employs more than 30 specialized staff in the areas of Architecture, Design, Development, Migration, Administration, Information Architecture, Records Management and Support.

StoneShare possesses unique and valuable experience delivering EDRM solutions, specifically to Municipal Government entities. Premised on the learnings from those implementations, StoneShare created a pre-configured Municipal Government EDRMS, called TownSquare that combines native M365 features related to document management, information governance and compliance and workflow automation with pre-configured artifacts for provisioning sites, and standardizing metadata. Importantly, TownSquare is not licensed software with ongoing cost but rather a onetime best-practice-based solution accelerator that, when paired with M365, greatly reduces the duration, cost and risks commonly associated with implementing an EDRM solution.

StoneShare has successfully completed 18 Municipal EDRM projects to date with an additional 8 projects currently underway.

Below are some of the municipalities that have or currently worked with StoneShare on their EDRMS Projects:

- Town of Bracebridge
- City of Owen Sound
- Town of Gravenhurst
- Town of East Gwillimbury
- County of Simcoe
- City of Cambridge
- City of Brampton
- City of Kawartha Lakes
- Prescott – Russell
- District of Muskoka

The benefits of StoneShare – TownSquare EDRMS are numerous, including:

### **Tracking:**

The Solution will provide for complete, secure document management, from creation through destruction; documents will be centralized, fully searchable, and accessible through secure permissions/privileges.

### **Costs:**

The Solution will reduce printing costs and paper purchasing costs as the Solution will capture records digitally; electronic records will be fully searchable and therefore staff will have immediate access to records, including mobile devices,

immediate access coupled with work flow processes and related activities will result in time savings and increased productivity, or reallocation of staff resources.

In addition, unlike other EDRMS Solutions on the market, StoneShare does not have annual fees associated with its installation. StoneShare is not a licensed software and with on-going costs. StoneShare is a onetime best-practice-based solution accelerator that, when paired with M365, greatly reduces the duration, cost and risks commonly associated with implementing an EDRM solution.

StoneShare's proposed approach allows the Town to leverage its recent investment in Microsoft 365 and does not require the purchase of additional 3rd party software.

**Document Version Control:**

The Solution will provide version/revision control for appropriate document management; staff will be able to work on documents concurrently saving time waiting for others to complete tasks, while maintaining version control. This also be beneficial to MFIPPA Requests conducted by the Clerk's Office. The Clerk can be confident that the most final version is being disclosed.

**Improved Customer Service:**

The Solution will allow staff to reduce time spent searching in multiple locations for documents or waiting for files to be delivered from the Municipal Clerks Office or other departments; immediate access to records will assist staff to determine appropriate response times for records. This improved access of information will also be beneficial to MFIPPA Requests conducted by the Clerk's Office.

**Legislative Compliance:**

The Solution will provide rigour regarding proper storage of Municipal records, in accordance with Town of Cobourg's Records Management policies and procedures, as well as industry standards; appropriate responses to matters such as Requests for Access to Records pursuant to the Municipal Freedom of Information and Protection of Privacy Act; and it will also assist staff in the defense or pursuit of evidentiary matters.

**Reduce Risk:**

The Solution provides for appropriate enforcement of your security policies and auditing to track all documents accessed in the Solution, and activities taken place on those documents; it will provide for proper permissions and privileges to maintain proper control/security over confidential documents; as well it will provide for proper retention and destruction of Municipal records, through automated workflows.

The scope of the implementation of the EDRMS Solution will include transferring all electronic records in all network drives into a single EDRMS Solution. In addition to the above, the EDRMS Solution will, over time, require less dependency on hard copy records. This will result in no longer misplacing corporate records, reallocation of records staff to maintain the Solution and assistance to Municipal departments with general records management, and scanning the innumerable number of records stored in various Town facilities into the system for historical



purposes and "searchability". Currently, the Town has close to 1,500 boxes and cabinets of documents in its Victoria Hall alone, which is starting to meet its capacity limits. The EDRMS Solution will result in minimizing the continuous creation and storage of physical records. It will also dramatically reduce the number of times records staff must attend physical Records Storage or search through local drives with not consistent and implemented metadata to retrieve records for staff. Over time records staff will commence scanning all existing physical records in order to store them in the EDRMS Solution.

### **Communications:**

The Communication Areas are used for publishing information to users in a modern, widescreen format that is visually appealing. TownSquare's home page (or landing page) act as the hub for all Communication Sites and can be used by all departments for the sharing news and updates. This often replaces outdated intranet sites and can improve the Town's ability to communicate across departments. Commonly each department gets a Communication Site to allow the department to share important information with the rest of the Town.

## **7. FINANCIAL IMPLICATIONS/BUDGET IMPACTS**

On March 20, 2019, Hon. Steve Clark, Minister of Municipal Affairs and Housing announced a one-time investment of \$200 million for 405 of Ontario's small and rural municipalities to improve local service delivery and efficiency. Minister Clark further advised that while the fund is "unconditional", it is intended to help modernize service delivery and reduce future costs and therefore fund initiatives should focus on service delivery reviews, shared service agreements or Information Technology (IT) solutions. The Town of Cobourg was the successful recipient of \$619,005.00.

To-date, the Ontario Government has informally proposed that investments should focus on funding Information Technology (IT) solutions, service delivery reviews, and the development of shared services agreements, all of which would help reduce future municipal costs and improve program and service delivery.

In 2019, The Legislative Services Department has put forth a program for the use of a portion of the funds that met the informal requirements of how the funding is to be used which have been referenced throughout the report which answer the following statements: Resident Value/Impact – How would the project positively impact residents? Business Efficiency and Modernization – How would the project create business efficiencies and allow for modernization within the organization? Legislative impact – Is the project impacted by legislation, thus requiring it to move forward at some point in time?

The funding that was allocated for this project was \$154,000 to start the implementation of an Electronic Document Records Management System.

As part of the RFP submission process, each bidder provided a fee for their service of the creation of an EDRMS for the Town of Cobourg. The full cost for the StoneShare Services is \$150,500.00 for the proposed solution and professional

services with \$6,000.00 for the first year of Software maintenance support for the system to assist with the change into utilizing the system to help the Town of Cobourg to transition seamlessly. Thus the total amount for the proposal is \$156,500.00 excluding HST.

Although the cost for the contract is \$2,500.00 over the budgeted amount, the Town of Cobourg did provide an end-user employee amount specification to the bidders above what the Town will be requiring to have involved in program which will reduce the costs and we believe a saving will be realized prior to the final invoice.

Municipal Council should also note that there will be various departments across corporate divisions that will need to dedicate time and resources to the implementation of the EDRMS System across the Town's organization.

This staff dedication will take the form of; meetings with departments, working with the vendor to implement a workable department page, finessing the portal categorizing and also training of all staff to utilize the system. The implementation and the continued use of this system will be critical and this will require a change management approach across the organization. The implementation of the EDRMS is considerable investment for the Town in advancement IT infrastructure and the use of an information governance approach to all municipal records that will result in cost savings in the future and also will help to alleviate staff time search and looking for historical records.

In addition, once the EDRMS is up and running, the next phase of the process will be to look after and categorize physical records across the corporation. This will need to have a specific plan developed for the future as the project of legacy files will need to have a dedicated staff focus to have effective results as there are many physical records that need to be reviewed and destroyed.

The Town within the RFP Call for submissions did provide a section for potential bidders to include a price to digitalize our existing physical records to get an understanding of the costs for a third-party to take on the project in order to not burden the already busy municipal staff. The costs submitted for this project ranged from \$150,000.00 to \$350,000.00 to complete. With these estimates, staff are not recommending any actions at this point in time. Staff will work to leverage some provincial funding opportunities in the future to help support the modern digitalization approach that Town wishes to proceed with that aligns with some of the provincial budget initiatives that were announced in March of 2021.

## **8. CONCLUSION**

The proposed EDRMS will provide opportunities for greater efficiency for staff to locate and store documents in a proper structured environment. It will provide for greater transparency, improved customer service and greater security of Town records. More importantly this sets a baseline for generations of employees for document management and provides a more robust Solution to maintain future corporate knowledge and history.

## Report Approval Details

Document Title:	Award of RFP Contract - Electronic Document Records Management System - StoneShare.docx
Attachments:	
Final Approval Date:	Apr 15, 2021

This report and all of its attachments were approved and signed as outlined below:

**Ian Davey, Treasurer / Director of Corporate Services - Apr 12, 2021 - 7:04 PM**

**Tracey Vaughan, Chief Administrative Officer - Apr 15, 2021 - 3:08 PM**