

**RETURN BIDS TO:  
RETOURNER LES SOUMISSIONS À:**

Bid Receiving - PWGSC / Réception des  
soumissions - TPSGC  
Place du Portage, Phase III  
Core 0A1/Noyau 0A1  
11 Laurier St./11, rue Laurier  
Gatineau  
Québec  
K1A 0S5  
Bid Fax: (819) 997-9776

**LETTER OF INTEREST  
LETTRE D'INTÉRÊT**

Comments - Commentaires

Vendor/Firm Name and Address  
Raison sociale et adresse du  
fournisseur/de l'entrepreneur

Issuing Office - Bureau de distribution  
Shared Systems Division (XL)/Division des systèmes  
partagés (XL)  
4C1, Place du Portage Phase III  
11 Laurier St./11, rue Laurier  
Gatineau  
Québec  
K1A 0S5

<b>Title - Sujet</b> POSTING - CALL LETTER TO BUYANDSELL	
<b>Solicitation No. - N° de l'invitation</b> 24062-140032/B	<b>Date</b> 2013-08-22
<b>Client Reference No. - N° de référence du client</b> 24062-140032	<b>GETS Ref. No. - N° de réf. de SEAG</b> PW-\$\$XL-122-26346
<b>File No. - N° de dossier</b> 122xl.24062-140032	<b>CCC No./N° CCC - FMS No./N° VME</b>
<b>Solicitation Closes - L'invitation prend fin</b> <b>at - à 02:00 PM</b> <b>on - le 2013-09-26</b>	
<b>Time Zone</b> <b>Fuseau horaire</b> Eastern Daylight Saving Time EDT	
<b>F.O.B. - F.A.B.</b> <b>Plant-Usine:</b> <input type="checkbox"/> <b>Destination:</b> <input type="checkbox"/> <b>Other-Autre:</b> <input type="checkbox"/>	
<b>Address Enquiries to: - Adresser toutes questions à:</b> Gabriel, Peter	<b>Buyer Id - Id de l'acheteur</b> 122xl
<b>Telephone No. - N° de téléphone</b> (819) 956-7566 ( )	<b>FAX No. - N° de FAX</b> (819) 953-3703
<b>Destination - of Goods, Services, and Construction:</b> <b>Destination - des biens, services et construction:</b> TREASURY BOARD OF CANADA, SECRETARIAT RECEIVING ROOM P.155 300 LAURIER AVE W OTTAWA Ontario K1A0R5 Canada	

Instructions: See Herein

Instructions: Voir aux présentes

<b>Delivery Required - Livraison exigée</b> See Herein	<b>Delivery Offered - Livraison proposée</b>
<b>Vendor/Firm Name and Address</b> <b>Raison sociale et adresse du fournisseur/de l'entrepreneur</b>	
<b>Telephone No. - N° de téléphone</b> <b>Facsimile No. - N° de télécopieur</b>	
<b>Name and title of person authorized to sign on behalf of Vendor/Firm</b> <b>(type or print)</b> <b>Nom et titre de la personne autorisée à signer au nom du fournisseur/</b> <b>de l'entrepreneur (taper ou écrire en caractères d'imprimerie)</b>	
<b>Signature</b>	<b>Date</b>

Solicitation No. - N° de l'invitation

24062-140032/B

Amd. No. - N° de la modif.

Buyer ID - Id de l'acheteur

122x1

Client Ref. No. - N° de réf. du client

24062-140032

File No. - N° du dossier

122x124062-140032

CCC No./N° CCC - FMS No/ N° VME

---

Request for Information documents are included herein:



Treasury Board of Canada  
Secrétariat

Secrétariat du Conseil du Trésor  
du Canada

*Better government: with partners, for Canadians*



**Request for Information**

## **Human Resource Application Transformation Initiative**

**August 19, 2013**



**Canada**

## Contents

Executive Summary.....	1
Purpose of RFI .....	1
Background Related to RFI.....	1
PART I: REQUEST FOR INFORMATION PROCESS .....	3
1.0 INTRODUCTION .....	3
1.1 Nature of this Request for Information.....	3
2.0 INSTRUCTIONS FOR RESPONDING TO THIS REQUEST FOR INFORMATION .....	4
2.1 Terminology .....	4
2.2 Response Costs .....	4
2.3 Treatment of Responses .....	4
2.4 Follow-up Activity .....	4
2.5 Contents of the RFI .....	4
2.6 Volumetric Data.....	5
2.7 Format of Responses .....	5
2.8 Enquiries .....	5
2.9 Submission of Responses.....	6
PART II: BACKGROUND OF THE HUMAN RESOURCE APPLICATION TRANSFORMATION INITIATIVE (HRATI) .....	7
3.0 ORGANIZATIONAL OVERVIEW .....	7
3.1 Overview of HR within the Government of Canada - Current-State Model .....	7
3.2 Overview of HR Applications within the Government of Canada .....	8
3.3 Current Operating Model for PeopleSoft .....	10
3.4 HR Application Policy .....	12
3.5 The PeopleSoft Standard Configuration .....	13
4.0 BUSINESS DRIVERS AND OBJECTIVES .....	13
4.1 Business Drivers.....	13
4.2 Business Objective and Benefits.....	14
5.0 PROPOSED PROCUREMENT APPROACH .....	14
5.1 Industry Engagement Phase .....	15
5.2 Request for Responses for Evaluation Phase .....	15
5.3 Review and Refine Requirements Phase .....	16

5.4	Bid Solicitation Phase .....	16
5.5	Award Contract and Implementation Phase .....	17
6.0	TRANSFORMATION SCOPE .....	17
6.1	Service Scope .....	17
6.2	Security Scope .....	18
6.3	Privacy Scope .....	18
6.4	Current State Summary .....	18
6.5	Draft Requirements .....	18
6.6	Service Delivery .....	18
7.0	IT SECURITY RISK MANAGEMENT .....	18
PART III: DRAFT REQUIREMENTS .....		20
8.0	BUSINESS AND SERVICE REQUIREMENTS .....	20
8.1	Services .....	20
8.2	Multi-tenancy .....	22
8.3	Enabling Business Processes.....	22
8.4	Data Dissemination and Aggregation .....	22
8.5	Interoperability.....	22
8.6	Self-service.....	23
8.7	Accessible .....	23
8.8	Mobility Support.....	23
8.9	Available and Reliable.....	23
8.10	Legislative and Policy Alignment .....	23
8.11	Time Sensitive .....	23
8.12	Cost Effective .....	24
9.0	TECHNOLOGY PLATFORM REQUIREMENTS .....	25
10.0	IMPLEMENTATION AND MIGRATION REQUIREMENTS.....	26
10.1	Onboarding .....	26
11.	INFORMATION TECHNOLOGY SERVICE MANAGEMENT REQUIREMENTS.....	27
11.1	Information Technology Service Management (ITSM).....	27
12.0	SECURITY REQUIREMENTS .....	27
12.1	Multiple Levels of Security.....	27
12.2	Layered Security.....	27
12.3	Cryptographic Support.....	27

12.4	Canadian Citizenship for Support Personnel .....	28
12.5	Data Sovereignty.....	28
12.6	Supply Threats to the Government of Canada .....	28
12.7	Security Clearance .....	29
12.8	Canadian Industrial Security Directorate Security Process .....	30
12.9	Privacy .....	31
PART IV: QUESTIONS.....		32
13.0	INTRODUCTION .....	32
13.1	Service Delivery.....	32
13.2	Privacy .....	33
13.3	Implementation and Migration .....	33
13.4	Service Management and Operations .....	35
13.5	Service Continuity and Business Continuity Management.....	35
13.6	Future Supplier Agreement .....	35
13.7	Technology Platform Considerations.....	36
13.7	Security .....	36
Annex A: GLOSSARY OF TERMS .....		40
Acronyms .....		40
Definitions .....		42
Annex B: HRATI SCOPE MATRIX.....		46
Annex C: CURRENT STATE SUMMARY .....		56
Annex D: DRAFT REQUEST FOR RESPONSES FOR EVALUATION - PROCESS FOR IDENTIFICATION OF SUCCESSFUL SUPPLIERS.....		57
1.	Introduction .....	57
2.	Evaluation Procedures .....	57
3.	Conditions for the RFRE and/or RFP .....	58
3.1	Security .....	58
3.2	Financial Viability.....	58
4.	Mandatory Corporate Technical Experience Requirements .....	58
4.1.	Corporate Experience .....	58
4.2	Draft Mandatory Requirements .....	59
Annex E: STAKEHOLDER PARTNERS .....		61
Treasury Board Secretariat – Chief Information Officer Branch .....		61

Treasury Board Secretariat – Office of the Chief Human Resources Officer & Office of the Comptroller General .....	61
Public Works and Government Services Canada .....	61
Shared Services Canada .....	61
Departments and Agencies .....	61
Annex F: DRAFT SECURITY REQUIREMENTS CHECKLIST (SRCL) .....	62
Annex G: LEGISLATION AND TREASURY BOARD SECRETARIAT POLICY INSTRUMENTS .....	65
1. Policies .....	65
2. Directives .....	65
3. Standards / Guidelines .....	65





## Executive Summary

### Purpose of RFI

The Government of Canada (GC) is undertaking an initiative to transform the way in which it deploys, operates, and renews its Human Resource (HR) applications. In the new model, the private sector will operate and configure a GC version of the PeopleSoft (Enterprise Resource Planning) ERP. The operator will provide an Application Management and Maintenance Service (AMMS) to the Government of Canada. The AMMS will apply GC security standards and all operations will be within Canada, operated by Canadian citizens. All data will reside in Canada. Canada may invoke a National Security Exception (NSE) for this procurement.

The purpose of this Request for Information (RFI) is to better understand the capabilities and maturity of industry with respect to the ability of the private sector to provide an AMMS and implement this transformation initiative. The RFI will be used to clarify the GC's draft requirements and inform a Request for Response for Evaluation (RFRE). Should Canada decide to proceed, information gathered through this RFI may be used for upcoming phases of this procurement process, including a business case analyzing the cost, benefits, and risks of the initiative.

The AMMS supplier will not be involved with or be responsible for business or process transformation. GC will be responsible for the enterprise architecture (EA) with participation from the supplier. The AMMS will work with GC departments and agencies to transition applications from the current state directly to the future state. It is expected that all procurement and transition to the AMMS will be complete within 5 years.

### Background Related to RFI

The current GC HR application landscape is heterogeneous and contains approximately 70 instances of HR applications serving 113 departments; some serve multiple departments, most serve one (see: annex C). The applications being operated vary; most operating PeopleSoft version 8.9, others operating SAP, or legacy HR applications.

To transform this landscape the GC is pursuing a strategy of standardization and consolidation. This strategy will leverage the experiences and capabilities of private industry to achieve transformation.

**Standardization:** by November 2013 the GC will have completed the design and build of release 1 of a *GC Standard Configuration* of PeopleSoft version 9.1. This configuration will be the HR application standard for the GC. The evolution of the HR standard configuration will fall in scope of the services to be provided by the supplier under the direction of the GC.

**Consolidation:** Departments will transition from their existing systems to a consolidated standard configuration of PeopleSoft version 9.1 maintained by the supplier. To achieve this transformation, the GC will enter into an agreement with a private sector supplier to deploy and operate the GC Standard Configuration of PeopleSoft version 9.1. Examples of services to be offered through this supplier include;

- Application Management and Maintenance,
- Application Configuration, and
- Provision and Support of Infrastructure.

The service supplier will need to integrate with the GC IT environment. This includes deploying the solution's infrastructure as part of a virtual private cloud (see: Section 9) around which Shared Services Canada's security perimeter will be extended.<sup>1</sup>

Departments will be expected to undertake business transformation to achieve standardization. Business transformation will be the responsibility of departments and agencies and is not in scope of the services of the AMMS supplier.

---

<sup>1</sup> Security is a paramount concern to the GC. Factors that relate to security are under consideration and suppliers should be aware that security requirements will be set according to GC legislation, regulations and guidance with stakeholder input from all security partners.

## **PART I: REQUEST FOR INFORMATION PROCESS**

### **1.0 INTRODUCTION**

This is a Request for Information (RFI) pertaining to the Human Resource Applications Transformation Initiative, which is an initiative of the Treasury Board Secretariat (TBS) and its partners, to deliver a new HR Application Management and Maintenance Service to departments and agencies. Public Works and Government Services Canada (PWGSC) will manage the Program for the Government.

TBS is seeking feedback from industry on the following:

- (i) The ability to meet the draft requirements provided in Part III of this RFI;
- (ii) The questions provided in Part IV of this RFI;
- (iii) Industry's recommendations for a low risk approach that could be considered by TBS to deliver a PeopleSoft application management and maintenance service to the GC that would meet the business, timeline, and cost reduction outcomes presented throughout this document;
- (iv) The ability to meet draft evaluation criteria in Annex D, and
- (v) Industry indicative costing of this initiative, including projected timelines, milestones, and criteria for achieving cost effective service deliver.

The GC intends to use feedback from (i), (ii), (iii) and (v) to solidify its procurement approach and help determine the “way forward” for how the new Application Management and Maintenance Service should be acquired, delivered, and managed. Feedback from (iv) will help determine the mandatory and rated evaluation criteria for organizations to respond to at the next stage of the procurement process, in which Canada will identify a subset of successful suppliers.

### **1.1 Nature of this Request for Information**

This is not a bid solicitation. This RFI will not result in the award of any contract. Potential suppliers of any goods or services described in this RFI should not reserve stock or facilities, nor allocate resources, as a result of any information contained in this RFI. Nor will this RFI result in the creation of any source list. Therefore, whether or not any potential supplier responds to this RFI, it will not preclude that supplier from participating in any future procurement. Also, the procurement of any of the goods and services described in this RFI will not necessarily follow this RFI. This RFI is simply intended to solicit feedback from industry with respect to the subject matter described in this RFI.

## 2.0 INSTRUCTIONS FOR RESPONDING TO THIS REQUEST FOR INFORMATION

### 2.1 Terminology

Terms used throughout this RFI have been defined in Annex A – Glossary of Terms.

### 2.2 Response Costs

Canada will not reimburse any organization for expenses incurred in responding to this RFI.

### 2.3 Treatment of Responses

**Use of Responses:** Responses will not be formally evaluated. However, the responses received may be used by Canada to develop or modify the procurement approach, as well as any draft documentation contained in this RFI. Canada will review all responses received by the RFI closing date. Canada may, in its discretion, review responses received after the RFI closing date.

**Review Team:** A review team composed of representatives of TBS, PWGSC and other partners will review the responses. Canada reserves the right to hire any independent consultant, or use any GC resources that it considers necessary to review any response. Not all members of the review team will necessarily review all responses.

**Confidentiality:** Suppliers should mark any portions of their response that they consider proprietary or confidential. Canada will handle the responses in accordance with the Access to Information Act.

### 2.4 Follow-up Activity

Canada may, at its discretion, contact any Suppliers to follow-up with additional questions or for clarification of any aspect of a response either in writing or via RFI One-on-One meetings.

### 2.5 Contents of the RFI

This RFI contains draft mandatory requirements for a Request for Responses for Evaluation (RFRE) and drafts of certain parts of a bid solicitation. These documents remain a work in progress and Suppliers should assume that new clauses or requirements may be added to any bid solicitation that is ultimately published by Canada. Suppliers should assume that clauses or requirements will be deleted or revised. Comments regarding any aspect of the draft documents are welcome. This RFI also contains specific questions addressed to the industry.

## 2.6 Volumetric Data

The data contained within this RFI is being provided to Suppliers purely for information purposes. Although it represents the best information currently available to TBS, Canada does not guarantee that the data is complete, up-to-date, or free from error.

## 2.7 Format of Responses

**Cover Page:** If the response includes multiple volumes, Suppliers are requested to indicate on the front cover page of each volume the title of the response, the solicitation number, the volume number and the full legal name of the Supplier.

**Title Page:** The first page of each volume of the response, after the cover page, should be the title page, which should contain:

- (i) The title of the Supplier's response and the volume number;
- (ii) The name and address of the Supplier;
- (iii) The name, address and telephone number of the Supplier's contact;
- (iv) The date; and
- (v) The RFI number.

**Numbering System:** Suppliers are requested to prepare their response using a numbering system corresponding to the one in this RFI. All references to descriptive material, technical manuals and brochures included as part of the response should be referenced accordingly.

**Number of Copies:** Canada requests that suppliers submit 1 copy of their responses.

## 2.8 Enquiries

Since this is not a bid solicitation, Canada will not necessarily respond to enquiries in writing or by circulating answers to all Suppliers. However, Suppliers with questions regarding this RFI may direct their enquiries to:

Contracting Authority: Peter Gabriel  
Address: 4C1 – 24, Place du Portage, Phase III  
11 Laurier Street  
Gatineau, Quebec  
K1A 0S5

E-mail Address: [peter.gabriel@tpsgc-pwgsc.gc.ca](mailto:peter.gabriel@tpsgc-pwgsc.gc.ca)  
Telephone: (819) 956-7566  
Facsimile: (819) 953-3703

## 2.9 Submission of Responses

**Time and Place for Submission of Responses:** Organizations interested in providing a response should submit their response in unprotected PDF (e.g. no password) format by email to the Contracting Authority identified above if the size of the document is less than 6MB.

Alternatively, Canada requests that Suppliers save a copy of their PDF (2003 or later) document onto each of 2 compact discs (CD-R) or 2 digital video discs (DVD-R) and send the discs by mail to the Contracting Authority in the address identified above. PDF format is being requested to allow Suppliers to include any material (e.g. spreadsheet, white paper, brochure, etc.) with their written documentation in one file. Canada requests that Suppliers submit their responses by the time and date indicated on the front page of this document.

**Responsibility for Timely Delivery:** Each Supplier is solely responsible for ensuring its response is delivered on time, to the correct location.

**Identification of Response:** Each Supplier should ensure that its name, return address, the solicitation number and the closing date appear legibly on the outside of the response.

## PART II: BACKGROUND OF THE HUMAN RESOURCE APPLICATION TRANSFORMATION INITIATIVE (HRATI)

### 3.0 ORGANIZATIONAL OVERVIEW

#### 3.1 Overview of HR within the Government of Canada - Current-State Model

##### *Policy Framework and Accountability*

Deputy Ministers and Agency Heads are primarily responsible for human resources management within their respective organizations. They fulfill this accountability in relation to a consistent overall GC legislative and policy framework. Several central agencies are responsible for supporting the legislative and policy framework for different domains of HR management, including the Office of the Chief Human Resources Officer which has recently developed and endorsed Common Human Resources Business Processes (CHRBP) for the Government of Canada (GC). Departments and agencies have committed to implementing the CHRBP by March 31st, 2014.

##### *Human Resources Management Processes*

The CHRBP, as a key enabler for the modernization of human resources, brings consistency to the delivery and management of HR services in all government organizations. It is framed by the legislative and policy framework, and incorporates leading practices from both the public and private sectors.

CHRBP describes HR management from beginning to end, represented by seven process areas as shown in the graphic below:



As the Common HR Business Process (CHRBP) website is not available to the public, the attachment titled “**COMMON HUMAN RESOURCES BUSINESS PROCESS (CHRBP); THE GOVERNMENT STANDARD FOR HR BUSINESS**” has been provided so that suppliers may become familiar with the GC’s Human Resources processes. HR Service delivery is out of scope of this initiative.

## *Delivery Model*

HR management services are fulfilled by a combination of organizations:

- Most HR services are delivered independently by each department and agency, following the CHRBP. HR procedures (more detailed level) are customized to meet their circumstances and preferences.
- PWGSC, as a common service organization, provides mandatory compensation services to all departments and agencies.
- Common services organizations providing services to other departments and agencies, such as learning services, provided by the Canada School of the Public Service, and staffing and assessment services, provided by the Public Service Commission of Canada.

## *People*

Business processes for HR management touch several roles and functions within departments, including:

- HR specialists, whose principal roles are the delivery of HR services such as classification, staffing, and compensation;
- Managers and employees, who rely on HR services and often initiate service requests which are then supported by HR specialists; and
- Senior management of departments and agencies, who rely on HR information and processes to manage resources to deliver programs and services.

## *Applications and Infrastructure*

Business processes used to deliver HR management services are enabled by various HR applications. Different processes and services are system enabled to a greater or lesser degree depending on the nature of the service and the availability of system functionality.

Currently, most departments configure, customize and support their own HR system. A list of HR applications by department is provided in Annex C – Current State Summary.

### **3.2 Overview of HR Applications within the Government of Canada**

The GC currently operates HR applications at the departmental level. In some cases departments work together in “clusters” sharing HR application resources. The Agriculture and Agri- Food Canada (AAFC) cluster is the largest in the GC with about 42,000 users. The GC’s primary HR application ERP is PeopleSoft 8.9 modified for GC requirements.



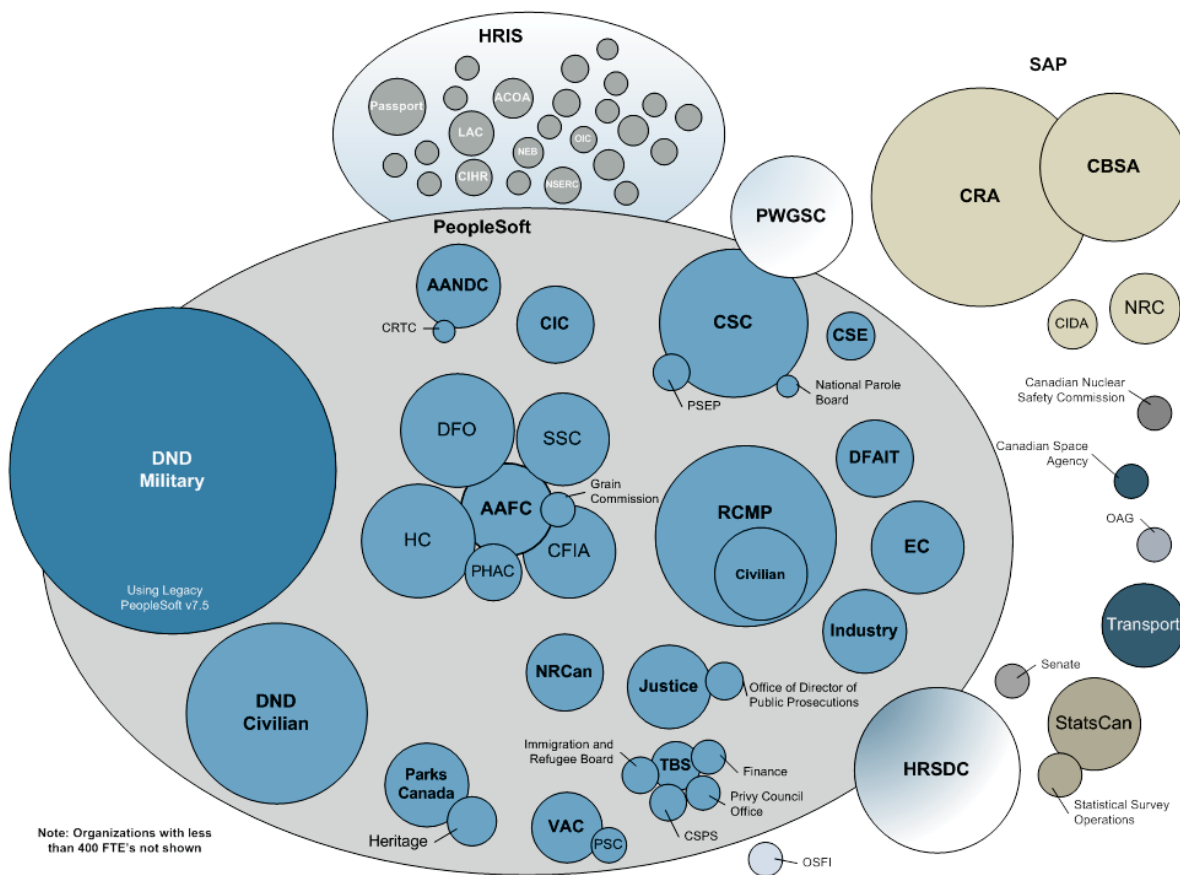
However, within the GC, departments and agencies have adopted a range of applications such as the SAP ERP and various legacy systems.

The diagram below provides a view of our current state. The grey ellipse shows departments that operate the PeopleSoft ERP. (Note: The diagram does not show organizations with populations less than 400 employees. Also circle sizes denote employee count.)

The Department of National Defence/Canadian Forces (DND/CF) is a unique case of a department operating two instances of an HR application; one for its civilian population, the other for its military population. The Canadian Forces operates PeopleSoft v7.5, while the Department of National Defence operates PeopleSoft 8.9.

Some organizations have begun the process of moving towards a PeopleSoft environment; HRSDC, PWGSC, and a group of small departments (using a custom developed application called HRIS) are migrating to PeopleSoft; the new Standard Configuration for the GC.

Canada Revenue Agency (CRA) and Canada Border Services Agency (CBSA) use the SAP ERP for HR. At this time CRA provides SAP as a service to CBSA. Although CIDA has joined DFAIT, for the time being it operates an SAP environment.



### **3.3 Current Operating Model for PeopleSoft**

The GC HR application landscape is comprised primarily of instances of PeopleSoft. 50 departments use PeopleSoft, operated by 17 departments, storing 67% of employee records in the GC.

The GC has licensed PeopleSoft since 1991 through an enterprise-wide license funded by all departments and agencies that choose to use PeopleSoft. The Shared Services Integration Branch (SSIB) Program Centre is an organization within PWGSC with the mandate of managing the enterprise-wide license of PeopleSoft.

#### ***Shared Services Integration Branch (SSIB) Program Centre***

The SSIB Program Centre, in addition to maintaining the GC's relationship with Oracle, works with its client departments to configure the commercially available PeopleSoft application to meet the common needs of its client departments.

These enhancements and configuration changes to the commercial product is known as the *GC Layer*.

The SSIB Program Centre, while providing application services to its clients, does not currently operate a production environment of PeopleSoft. The deploying of PeopleSoft and operating production instances of PeopleSoft is left to client departments and agencies.

#### ***Deploying and Operating PeopleSoft***

PeopleSoft is currently being operated in 17 instances used by a total of 50 departments and agencies. Additional users, such as PWGSC, HRSDC, and a group of small departments and agencies, have committed to migrate to PeopleSoft.

Departments that operate PeopleSoft have built teams with capacity to provide application maintenance and configuration services. Effectively, operating departments receive the GC PeopleSoft version 8.9 application from the SSIB Program Centre, deploy it on Shared Services Canada (SSC) infrastructure dedicated to their instance of PeopleSoft, and further enhance and configure the application to meet the requirements of the user base of that instance. In addition, operating departments have built the capacity to offer help desk services, user training, access controls, and database administration, amongst other services.

Departments and agencies, for the most part, deliver HR services to its employees and managers. Some small departments acquire HR service delivery from other, larger, departments to gain economies of scale.

### *Clusters*

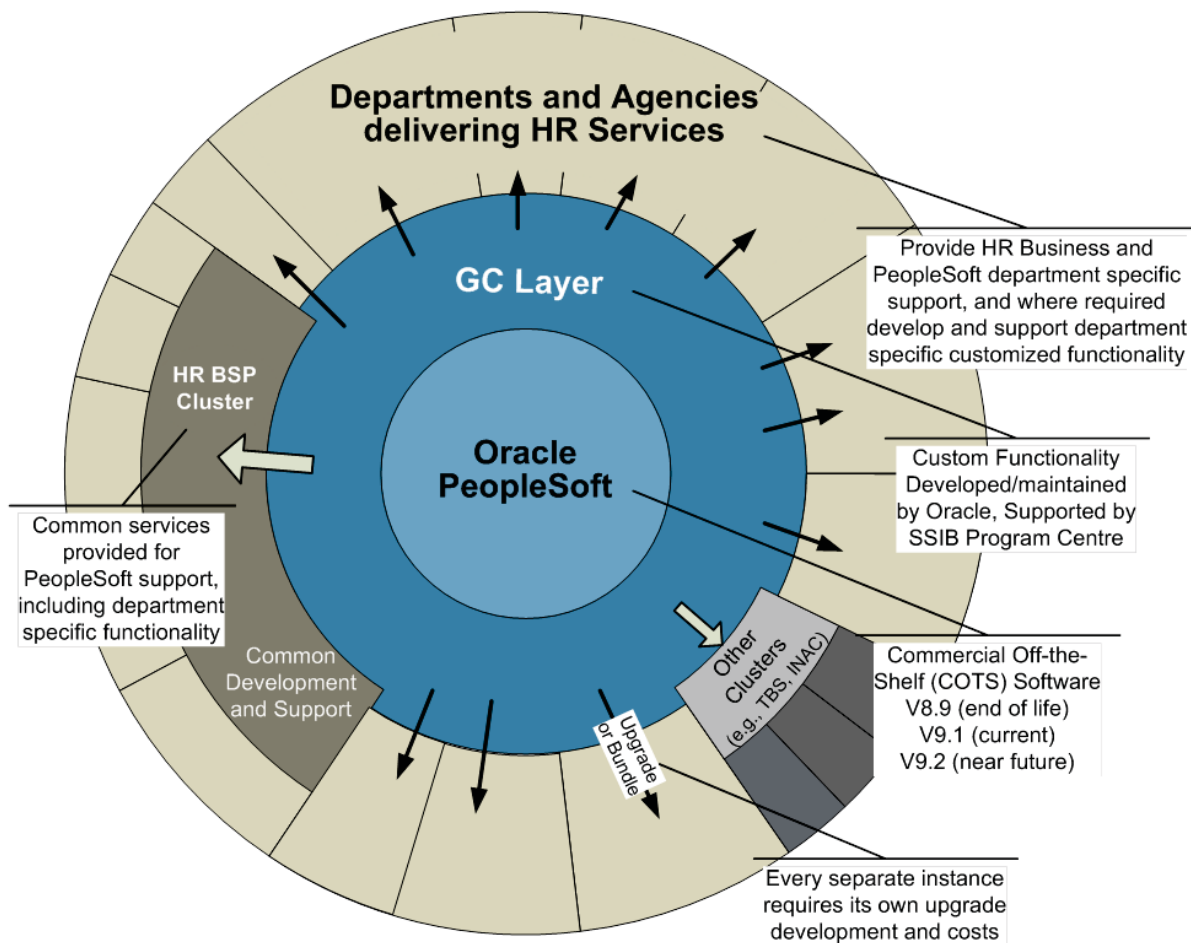
A number of departments and agencies have elected not to deploy an individual instance of PeopleSoft and have instead grouped together to form a Cluster. Under this operating model, typically, one department operates a single instance of PeopleSoft with multi-tenancy capabilities, on behalf of the Cluster departments. The other departments consume PeopleSoft as a service and thus transfer funds or people to the operating department to maintain that service.

The largest PeopleSoft cluster in the GC is the Human Resources Business Solution Pilot (HRBSP) cluster operated by Agriculture Agri-Foods Canada (AAFC) consisting of about 42,000 users across 6 medium sized departments.

There are a number of advantages to Clusters beyond economies of scale including common application development and support thus limiting the proliferation of varying instances of PeopleSoft in the GC.

### *Deploying and Operating PeopleSoft (illustrated)*

This diagram of concentric circles illustrates the deployment model for PeopleSoft in the GC. The light blue centre circle represents the commercially available PeopleSoft product. The surrounding darker blue circle represents the configuration and enhancements changes performed by the SSIB Program Centre; known as the GC Layer. This product is then deployed by individual departments and agencies to support their HR service delivery programs (gray outer ring). A number of those departments deploy the applications as clusters with a common development and support services.



### 3.4 HR Application Policy

In May of 2012, the Treasury Board Secretariat Chief Information Officer Branch published the Standard on Enterprise Resource Planning Systems (<http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=25687&section=text>) which has the objective to:

*“Ensure that investments made in ERP systems, either at the moment of initial acquisition by a department, or when departments are required to upgrade their existing systems, drive the adoption of standardized ERP product configurations in use with the common GC-wide business processes for financial, materiel and HR management.”*

This Standard basically states that PeopleSoft has been endorsed as the standard ERP for Human Resources Management and SAP for Financial Management.

### 3.5 The PeopleSoft Standard Configuration

The GC is currently developing a new standard configuration based on PeopleSoft v9.1. It contains the packages listed below and should be available to departments this coming October 2013.

Position Management	Classification	Recruitment	Employee and Job Information
Staffing	Learning / Training	Priority Management	Performance Management (for non-executives)
Manager Dashboards / Profile Manager	Absence Management	Official Languages	Labour Management (includes Grievance and Discipline)
Health and Safety	Privacy Statement	Employment Equity Self-Identification	Interface to Regional Pay System

Release (n) will be completed by GC and provided to the AMMS supplier for operation. The supplier will be responsible for the evolution of the Standard based on direction received from the GC.

## 4.0 BUSINESS DRIVERS AND OBJECTIVES

### 4.1 Business Drivers

The Government of Canada (GC) has signaled its intentions to modernize and streamline its back office information technology. The Government of Canada's Economic Action Plan 2012, "...committed to streamlining, consolidating and standardizing administrative functions and operations within and across organizations."

That commitment was subsequently reinforced by the Twentieth Annual Report to the Prime Minister on the Public Service of Canada, 2013, that stated, "by working collaboratively across our organizations and reducing duplication of effort, streamlining our processes, taking advantage of new technologies, and leveraging the Government of Canada's considerable purchasing power, we will improve our services, increase our productivity, and reduce costs."

An industry benchmarking activity has shown that there is a potential for savings through the consolidation of PeopleSoft applications to a single outsourced service supplier. That consolidation would address the service delivery inconsistencies that currently exist across GC and provide new value such as delivery via mobile devices.

A rationalized number of instances will help eliminate the complexity GC currently encounters when implementing new business processes and changes. Our current environment consists of 50 PeopleSoft based departments, 59 departments on legacy HR IT platforms and four departments that use the SAP ERP for Human Resource Management (see Annex C).

## **4.2 Business Objective and Benefits**

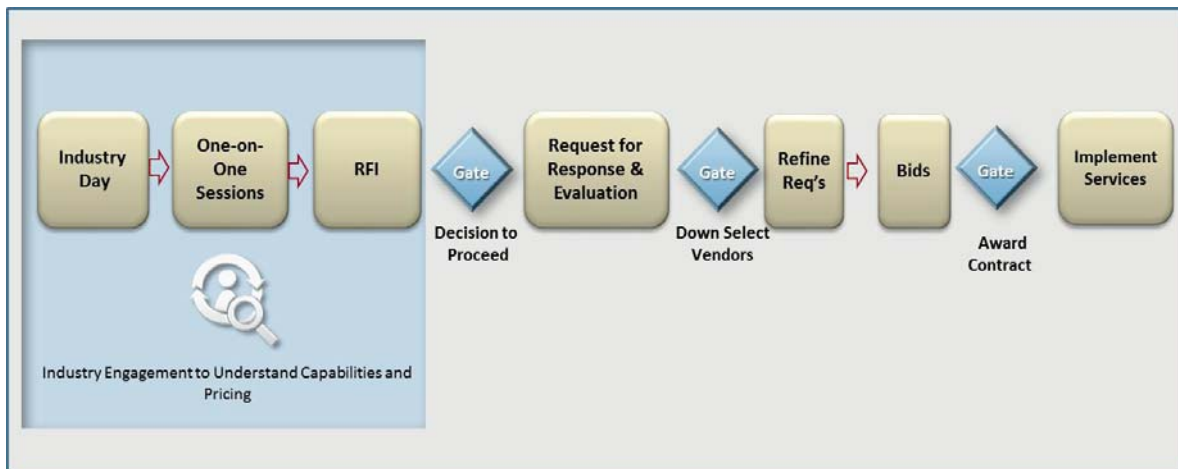
The HR Application Transformation Initiative will consolidate and modernize the GC's HR application management services to reduce costs, increase business value, and enhance program delivery to Canadian citizens and businesses. This new service is expected to be offered to GC organizations on a mandatory basis.

The HR Application Transformation Initiative (HRATI) must provide the following benefits:

- Reduction in costs to operate and renew HR applications;
- One HR application for the GC allowing a change in the business process to be implemented once at the application layer;
- Continuous improvement of business value and service delivery so that programs and services can continue to be delivered at a lower cost and reliably to Canadians;
- Improved interoperability amongst back office and front office applications;
- Ability to aggregate People Management data across the GC;
- Common service levels for all users, and
- Secure and reliable HR Application Solution.

## **5.0 PROPOSED PROCUREMENT APPROACH**

Depending on the feedback received from the Industry Engagement Phase, the procurement strategy will follow the Collaborative Procurement Solution (CPS) approach. A description of each phase of CPS is described in the following subsections.



## 5.1 Industry Engagement Phase

The first phase of the CPS is the “Industry Engagement Phase”. In this phase, Canada will set out its expectations for organizations interested in delivering an HR Application Management and Maintenance Service for the GC. The Industry Engagement Phase is designed to solicit feedback from industry on the requirements and the procurement approach. It is composed of 5 main sub-components (sub-components 1, 2 and 3 are shown above):

1. Industry Day Session (completed);
2. Industry Engagement One-on-One meetings (completed);
3. This RFI and its response; and
4. Potential RFI One-on-One meetings.<sup>2</sup>

The results of the industry engagement phase may be used by GC for the development of various documents in support of the work, including a business case and the Request for Responses for Evaluation.

## 5.2 Request for Responses for Evaluation Phase

As part of this phase, Canada will issue a Request for Responses for Evaluation (RFRE). The purpose of the RFRE is to identify a subset of Successful Suppliers with the demonstrated and proven necessary qualification, skills and experience in HR application management and maintenance services to implement HRATI.

---

<sup>2</sup> Following the close of the RFI, at Canada’s discretion, meetings may be held with Suppliers to seek further clarification or elaboration on their RFI response.

The proposed RFRE evaluation criteria will focus on Suppliers' capabilities and experience to deliver outsourced HR application services in a secure and timely manner, taking into consideration parameters for size, scope, and complexity. As well, financial capacity and security clearance will be mandatory corporate criteria. Suppliers must retain these criteria throughout the procurement process. Canada may, at its sole discretion, disallow Suppliers from continuing in the process, if they fail to maintain these criteria. At a high level, Part III includes draft requirements, and Annex D includes the proposed draft evaluation criteria for the RFRE Phase. Canada may consider that any point-rating assigned to the RFRE Phase be carried forward to the final RFP evaluation. These Successful Suppliers will then proceed to the "Review and Refine Requirements Phase".

### **5.3 Review and Refine Requirements Phase**

In this phase, the Successful Suppliers from the preceding phase (RFRE) will work jointly with Canada to review and finalize the technical and solicitation requirements, such as, but not limited to:

- (i) Service Level, functional, architectural, security, privacy and technical requirements of the HRATI Solution;
- (ii) Data conversion requirements;
- (iii) Transition planning requirements, to ensure that departments can seamlessly convert to the new service, without service interruption or loss of data;
- (iv) Security Assessment and Authorization requirements applicable to the design, implementation and operations of the solution, in accordance with government policies and instruments (e.g., directives, standards, and guidelines);
- (v) Systems and lifecycle management requirements; and
- (vi) Resulting terms and conditions, evaluation, pricing structure, etc.

The results of this phase will be used by Canada to finalize the requirements for the Request for Proposal (RFP) in the Bid Solicitation Phase.

### **5.4 Bid Solicitation Phase**

In the Bid Solicitation Phase, Canada will issue the formal RFP to the Successful Suppliers who have completed the Review and Refine Requirements Phase.

The RFP will then permit each Successful Supplier to formally respond to the full set of requirements. Canada may consider that any point-rating assigned in the Request for Responses for Evaluation Phase be carried forward as part of the final RFP evaluation. The process for carrying forward of any RFRE scoring will be clearly set out in the RFRE document.



Upon receipt of the proposals, Canada will conduct a comprehensive evaluation of each proposal, and select the proposal which provides the best value to Canada.

## 5.5 Award Contract and Implementation Phase

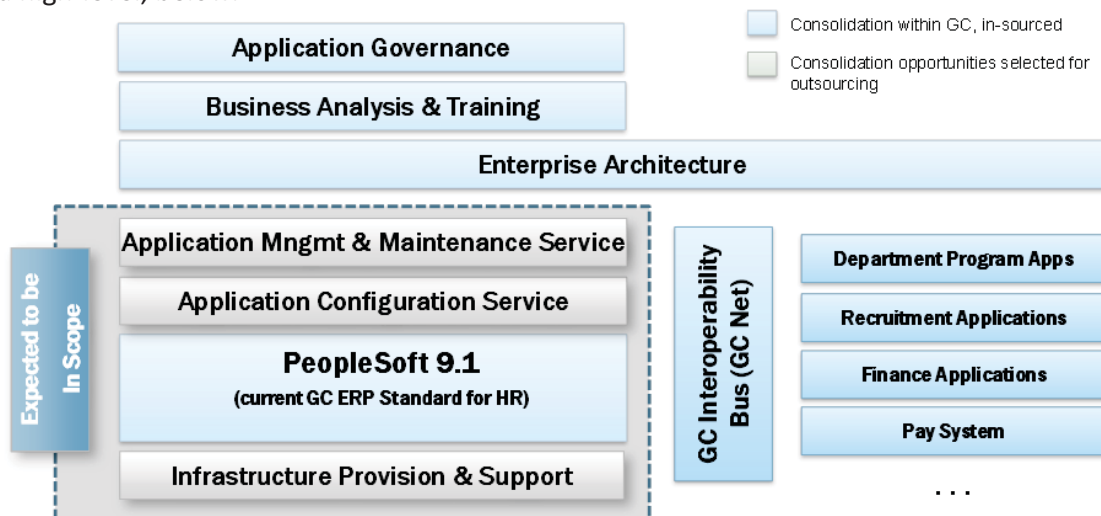
Canada estimates the period of implementation/migration for the HRATI to take up to 5 years. Canada is considering a 7-year contract plus 3 one-year optional periods. This contract period includes the implementation and migration period. Canada will officially determine the length of the contract and optional extensions in a subsequent phase of the procurement.

## 6.0 TRANSFORMATION SCOPE

### 6.1 Service Scope

The HR Application Solution must consolidate and modernize the GC mandated HR application services for the GC within the contract period specified in Part II – Background of the Human Resources Applications Transformation Initiative.

The GC will migrate to an environment where one organization manages a rationalized number of HR applications on infrastructure provided by the supplier. This environment is illustrated, at a high-level, below.



The GC is expected to retain governance, business analysis, end-user training, and enterprise architecture (EA). Section 8 provides more detailed information regarding the “in scope” service requirements.

## **6.2 Security Scope**

Security scope is found in Section 12 in part III.

## **6.3 Privacy Scope**

The service must ensure that information is accessible only to those authorized. The service must comply with the statutory obligations under the Privacy Act and Access to Information Act. The scope of the privacy requirement will be fully delineated during the requirements development activity of the Review and Refine Requirements Phase of this procurement.

## **6.4 Current State Summary**

A summary of the current Human Resource Applications, with estimated volumetric information, has been included in Annex C - Current State Summary.

## **6.5 Draft Requirements**

An overview of some draft requirements that are considered important by Canada for the Bid Solicitation Phase is included in Part III – Draft Requirements.

## **6.6 Service Delivery**

GC will outsource HR Application Management and Maintenance Services to a private sector Supplier. The service supplier would own the hardware and most software with the exception of the PeopleSoft application. The service supplier will be responsible for the provision of all professional services required to provide HR application services. Canada would contract for the service supplier to operate the GC version of PeopleSoft. The location of the service would be in data centres located in Canada (serviced by Canadian citizens), and managed by the private sector supplier. Provision of network connectivity to end user devices will be provided by SSC. Please refer to Part IV for specific questions related to the service. Annex B contains the service scope.

## **7.0 IT SECURITY RISK MANAGEMENT**

With today's dynamic threat environment and GC fiscal constraints, IT security needs to be a vital component of any major project and integrated throughout the lifecycle of an information system. Therefore, security is one of the cornerstones in the HR Applications Transformation Initiative (HRATI) initiation and planning phases.

Communications Security Establishment Canada (CSEC)'s *IT Security Risk Management: A Lifecycle Approach* issued under the Information Technology Security Guidance publication number 33 (ITSG-33) has been developed to help GC departments and agencies implement,

operate, and maintain dependable information systems. It includes processes recommended by CSEC to ensure security is considered right from the start in their IT implementations and that their systems and organizations undergo continuous improvement to evolve with environmental threats.

ITSG-33 also contains a catalogue of Security Controls structured into three classes of control families: Technical, Operational, and Management. These three classes of Security Controls together represent a holistic collection of standardized security requirements, which cover all aspects of systems and organizations.

Security documents are available at <http://www.cse-cst.gc.ca/its-sti/publications/itsg-csti/> and may be downloaded by Suppliers. Canada will contextualize and select required security controls as part of its planning phase in order to form a baseline of security requirements that properly address evaluated threats and vulnerabilities, and reduce security risks for the GC.

## PART III: DRAFT REQUIREMENTS

### 8.0 BUSINESS AND SERVICE REQUIREMENTS

#### 8.1 Services

The following services may be within the scope of this procurement. The full scope of the activity will be delineated during the requirements development activity planned within the Review and Refine Requirements Phase of the work. Annex B contains the scope matrix.

##### *8.1.1 Application Management and Maintenance Services:*

May include:

- a. Application Maintenance: This comprises the support and management of the specific PeopleSoft business application functional modules implemented.
- b. Problem Control and Resolution: Once the incident is resolved, conducting in-depth analysis to identify the root of the incident to prevent future failures.
- c. Capacity Management: Activity associated with reporting and controlling the systems usage and identifying areas of concern (reporting service).
- d. Performance Management: Activity associated with assessing the performance data for systems and business impact, continual monitoring of major and minor alarms to quickly rectify any server system problems (reporting service).
- e. Service Level Management: Service level metrics provided to the service receiver; metrics generated periodically by business group, department or location (reporting service).
- f. Security and Privacy Management: The development and implementation of organizational processes that provide for the addition of new users, including granting these authorized users the right to use a set of services, or any particular service, and the deletion of employees leaving the enterprise or being assigned to new duties in the enterprise.
- g. Contingency, Business Continuity, and Disaster Recovery Planning: Design, develop, and implement the Business Continuity Plan that provides recovery within the recovery time objective (reporting service).
- h. Implementation and/or upgrading of major and minor releases of the HR Application Solution.

### ***8.1.2 Application Configuration Services:***

May include:

- a. Change Management: All activities and disciplines surrounding the change or implementation of a new software release or service into the live environment including the evaluation, authorization (Request for Change), prioritization, planning (Change Advisory Board) and testing.
- b. Customization: Addition of functionality to the product that is not included in the base (out of the box) installation of that product.
- c. Maintain Configuration Information: Concerned with ensuring that only authorized and identifiable configuration items are accepted and recorded from receipt to disposal. It ensures that no Configuration Item (CI) is added, modified, replaced, or removed without appropriate controlling documentation (reporting service).
- d. Integration: Develop and maintain the functionality required to orchestrate processes and exchange data between multiple applications related to the HR application environment.
- e. Participate in Architecture and Planning: the service supplier will be required to attend meetings and/or to provide technical expertise as input into the development and planning of enterprise architecture relating to PeopleSoft services.
- f. Involvement in IT Policy and Practice Development: the service supplier will be required to provide consultative input into the development and documentation of key policies and practices such as Data Management, Software License Management, Application Management, Service Level Requirements, Product Evaluation & Usability Testing, etc. in relation to PeopleSoft services.

### ***8.1.3 Infrastructure Provision and Support Services:***

High availability processing capabilities to meet the demands of the GC. May include:

- a. Asset Management: Procuring products and the logistics resulting from the receipt of the procured product into a central warehouse/staging area for specific pre-installation activities to prepare the product for customer delivery and installation (reporting service).
- b. Investigate and Diagnose: 2nd / 3rd line assessment of incidents transferred from Service Desk including further details, collection and analysis of all related information and resolution (including any workaround) or a route to on-line support.
- c. Proactive Problem Management: The process of identifying, recording, appropriately communicating, resolving to client satisfaction, and reporting all issues regarding IT products and services that impact client operations.

- d. **Security Management and Operations:** Sound processes to monitor the security of the infrastructure and proactively protect against security threats (reporting service).
- e. **Monitor Infrastructure:** The examination of the entire server infrastructure for automated alerts and other changes in the status of individual components from satisfactory to a status requiring attention, and the taking of specific actions to address these including initiating an incident or problem report with the Service Desk (reporting service).
- f. **Back-up and Archive Management:** The execution and monitoring of backup and recovery procedures that are agreed to by the client (reporting service).

## **8.2 Multi-tenancy**

The supplier's service must support an HR service delivery model and accountability model that are primarily segregated along departmental and agency boundaries. In some instances, one department may provide HR service delivery for another department or agency. This is especially true for small departments and agencies (SDAs) as they lack the economies of scale to support a cost effective service delivery.

## **8.3 Enabling Business Processes**

The HR Application Solution enables the business processes (CHRBP) and business requirements of departments and agencies.

As Enterprise Resource Planning systems within the GC evolve from back office to front office integration, additional business processes may be embedded in the HR Application Solution.

## **8.4 Data Dissemination and Aggregation**

The HR Application Solution must disseminate and aggregate data captured within the HR Application Solution. While data capture and automation are important requirements for the HR Application Solution, the ability to report and aggregate data by various dimensions on an ad hoc basis through an easy to use interface (an interface requiring no classroom training) is equally important. The access controls enjoyed at the application layer should remain enforced when disseminating data.

## **8.5 Interoperability**

The HR Application Solution must interoperate with both the back office and front office technology environments. The ability to orchestrate enterprise process from end-to-end is required.

## **8.6 Self-service**

All employees of the GC will be self-service users of the HR Application Solution.

## **8.7 Accessible**

The HR Application Solution must be available to all department and agency locations in Canada, as well as in all Embassies and Missions abroad through access over the GC network infrastructure. The HR Application Solution must be available in both official languages (OL), and provide users with the ability to switch their language preference dynamically without recourse to an administrator. The HR Application Solution must meet the standards on accessibility, as defined under the TBS Accessibility Standard, and accommodate those with special needs, e.g. interoperability with applications to support visually and hearing impaired employees.

## **8.8 Mobility Support**

GC is interested in Mobile Device Management capabilities for platforms such as BlackBerry® smartphones, Apple iPhone® smartphones and iPad® and tablets, and Android™/Windows® smartphones and tablets.

## **8.9 Available and Reliable**

The HR Application Solution has a target of 99.5% uptime for users, on a 10 hours x 5 days basis.

## **8.10 Legislative and Policy Alignment**

The HR Application Solution must adhere to existing Legislation and Treasury Board Secretariat (TBS) instruments (e.g. policies, standards, guidelines). Note that: TBS is addressing any policy gaps resulting from the implementation of a “cross government” HRATI service. Refer to Annex G-- Legislative TBS and Policy Instruments for an initial list of instruments that possibly impact this project. This list is subject to change.

## **8.11 Time Sensitive**

The end date for the implementation (including migration) is four years after contract award.

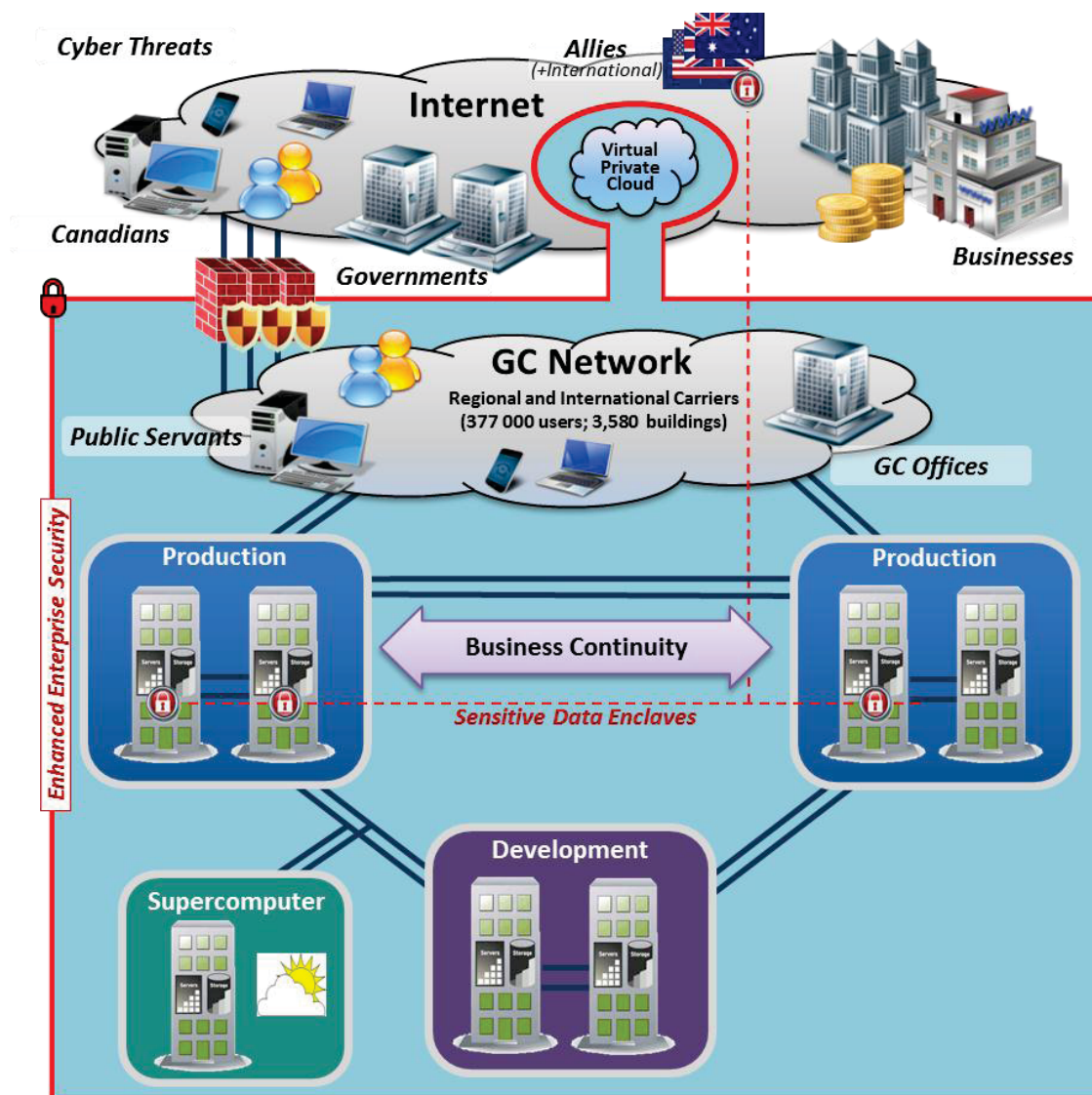
## **8.12 Cost Effective**

This initiative must enable the GC to deliver HRATI services at costs that are at par with industry.



## 9.0 TECHNOLOGY PLATFORM REQUIREMENTS

The solution will need to integrate into the GC IT environment meeting our security and privacy requirements. The Reference Model below has been developed by the GC in collaboration with Industry through our Architectural Advisory Framework Council.



Key components of this reference architecture include:

- Single enterprise-wide network with enhanced capacity and robustness;
- Ultra high-speed, no fail connectivity between data centres;
- Greater, more secure Internet connectivity;
- Streamlined and wireless telecom infrastructure inside buildings;
- Voice services (VoIP) (wired and wireless);
- More desktop videoconferencing services;
- Contact Centre Infrastructure Services ; and
- Enhanced security through consolidated security services and increased perimeter security.

As we move forward in our industry engagement we will have more opportunities to explore how Managed Application Services for HR Applications will be integrated into this framework as Virtual Private Cloud service, perhaps in a similar manner as being adopted by the Shared Services Canada Email Transformation Initiative.

## **10.0 IMPLEMENTATION AND MIGRATION REQUIREMENTS**

### **10.1 Onboarding**

Existing employee files and related content, if deemed appropriate, must be migrated to the new service, including meeting business requirements currently supported by the GC's HR applications.

The Supplier must:

- a) Deliver impact analysis and data migration solutions that will reduce onboarding cost, complexity, and risk to Canada;
- b) Provide migration guidance that will minimize the onboarding effort, the impact on operations, and risk of loss of data and performance to departments and agencies in the integration of the HR Application Solution with their existing applications;
- c) The cost of onboarding departments and agencies onto the HR Application Solution must be factored into the fee for service pricing model.
- d) The onboarding of the GC's entire user base (currently 377,000 users in scope) must be completed in a four year timeframe.

The Supplier will only be responsible for providing the standard interfaces and people management reports, and will not be responsible for integrating the legacy applications into the HR Application Solution. Existing functionality must be in place during the transition in order to allow users to retain access to HR application services, at all times, during the transition.

## **11. INFORMATION TECHNOLOGY SERVICE MANAGEMENT REQUIREMENTS**

### **11.1 Information Technology Service Management (ITSM)**

The supplier will be required to use a recognized IT service maturity model and report on that model to the GC. The supplier will provide the GC with its methodology and provide a cross reference to a model selected by the GC. In the event that the GC adopts a “standard for government”, the supplier will work with the GC to align methodologies.

## **12.0 SECURITY REQUIREMENTS**

A Privacy Impact Assessment (PIA) has not yet been completed for this initiative. Provided in this section are anticipatory security requirements based upon the security requirement of the current HR applications landscape. It is expected that a PIA will be completed as part of the Request for Response and Evaluation (RFRE) phase.

### **12.1 Multiple Levels of Security**

The new HR Application Solution must be certified to accommodate protected employee files:

- A Secret system (which includes Classified information up to Secret and Protected information, up to Protected C) and
- A Protected system, up to and including Protected B.

### **12.2 Layered Security**

The service must support layered security controls, such as:

- Perimeter security services (e.g. firewall);
- Protection from threats to the data at rest (e.g. access control), and
- Protection for data in motion (e.g. encryption).

### **12.3 Cryptographic Support**

The supplier must be able to adapt, accommodate, support, follow and adjust to cyber and security models and practices within the Enterprise Security Architecture (ESA) program where the security maturity will evolve in the coming years. (i.e. decoupling identity from credentials, multifactor authentication, WiFi security, mobile device security best practice, etc.)

## **12.4 Canadian Citizenship for Support Personnel**

In addition to other personnel security measures, the supplier must ensure that only personnel with a Canadian citizenship can:

- a) Have access to Canada's data; and
- b) Provide engineering and technical support.

## **12.5 Data Sovereignty**

All data infrastructure components for the HR Application Solution must reside in Canada (an attestation will be required in the bid solicitation phase):

- a) All servers and data (regardless of media) must be housed in Canada;
- b) The storage of media, for purposes of backup and recovery, or historical archiving, or any other purpose, must be housed within secure approved location(s) in Canada;
- c) The HR Application Solution must contain access controls and monitors on data repositories and other computer systems, such that Canada may, at its discretion, monitor, audit and restrict access to Canada's data. These activities must include a logging, audit trail and reporting mechanism that identifies all individuals that have accessed all HRATI system components for purposes of operation and maintenance;
- d) In the event of unauthorised access to Canada's data (e.g. access that has not been expressly permitted by Canada) within the HR Application Solution, there will be no limit to the HRATI Solution supplier's liability to Canada for such unauthorised access.
- e) The Contractor must ensure that any information or data related to the Work, regardless of the media, are physically transported exclusively within Canada.

## **12.6 Supply Threats to the Government of Canada**

In addition to the threat of cyber-attack, there is a growing awareness of the risks posed by potentially vulnerable or shaped technologies that may be entering the GC communications networks and IT infrastructure through the supply chain.

The Supplier must provide the GC with a list of all hardware and software manufacturers and suppliers proposed to be used in the IT Infrastructure and services of the HR Application Solution in advance of contracting with them. Canada reserves the right to reject a hardware or software manufacturer and/or supplier for security and/or business stability reasons.

The Supplier must abide by the Technology Supply Chain Guidelines (TSCG), accessible at:

HTML: <http://www.cse-cst.gc.ca/its-sti/services/tscg-ccat/tscg-ccat01g-eng.html>

PDF: <http://www.cse-cst.gc.ca/documents/services/tscg-ccat/tscg-ccat01g-eng.pdf>

<http://www.cse-cst.gc.ca/documents/services/tscg-ccat/tscg-ccat01l-eng.pdf>

French:

HTML: <http://www.cse-cst.gc.ca/its-sti/services/tscg-ccat/tscg-ccat01g-fra.html>

PDF: <http://www.cse-cst.gc.ca/documents/services/tscg-ccat/tscg-ccat01g-fra.pdf>

<http://www.cse-cst.gc.ca/documents/services/tscg-ccat/tscg-ccat01l-fra.pdf>

## 12.7 Security Clearance

A security clearance is a certification that is granted by the Canadian Industrial Security Directorate (CISD) of PWGSC. Security requirements will be set out in the Request for Responses for Evaluation (RFRE) and the Request for Proposal (RFP).

Canada currently anticipates that Successful Suppliers and/or Bidders will require the following:

- a) Secret Clearance from Canada for any Successful Supplier and/or Bidder who will have access to any Sensitive Information;
- b) Facility Security Clearance (FSC) and Document Safeguarding Capability (DSC) from the Canadian Industrial Security Directorate (CISD) for the facility at which the Successful Supplier and/or Bidder intends to use and store Sensitive Information, and
- c) Information Technology Security capability vetted by CISD for the facility at which the successful Supplier and/or Bidder intends to use and store Sensitive Information, in order for the Successful Supplier and/or Bidder to be able to process, store or transmit Sensitive Information electronically.

Suppliers should expect that personnel assigned to participate in the work after the industry engagement phase will be required to be security cleared to Secret. Companies can expect that at the Review and Refine Requirements Phase, all bidders must satisfy all security requirements. Please refer to Annex F – Draft Security Requirements Checklist (SRCL).

Suppliers are advised that works and services, to be carried out for the HR Application Transformation Initiative, shall be accompanied by special security measures and be subject to national security constraints. Consequently, Successful Suppliers and Bidders must accept the

conditions set out in the RFRE and RFP relating to national security and national interest, which requires vetting and security checks for designated individuals involved in the HR Application Transformation Initiative. Suppliers should anticipate that there will be stringent requirements and the absolute need to comply with them, including requirements applying to the processing of Secret information.

Canada currently expects that the HR Application Transformation Initiative contract may require some or all of the following contractual obligations and restrictions:

- a) Individuals employed by the Supplier, who are required to work with the HR Application Transformation Initiative drawings/documents or visit some of the government sites, must have a Secret clearance;
- b) All Persons performing supplier duties under the HR Application Transformation Initiative must have a security clearance at the appropriate level. Accordingly, the supplier must ensure that appropriate personnel have the required security clearance levels, and the supplier must ensure that security clearances of its personnel are processed in advance to ensure that they are in place when required;
- c) Security requirements and protocols will exist to ensure that sensitive information and ownership in the control of the Supplier, the Facility, and the HR Application Transformation Initiative are not acquired by any person who does not have appropriate security clearances as a result of any assignment, transfer, or disposition by the Supplier, change in control of the Supplier, exercise of remedies by lenders, or otherwise.

## **12.8 Canadian Industrial Security Directorate Security Process**

Security clearances (issued by CISD) will allow Suppliers to work on GC premises and have access to confidential or sensitive information if/as required. GC Security Policy requires that individuals undergo a personnel-screening process if their duties or tasks necessitate access to Classified/Protected information and assets. Suppliers must be sponsored by a representative from GC in order to start the process of obtaining or upgrading a security clearance directly in support of HR Application Transformation Initiative, and can send enquiries to the following e-mail address for sponsorship:

HRIT-TIRHComm@tbs-sct.gc.ca

Early submission of all applications for security clearances is strongly encouraged. Suppliers are strongly encouraged to submit applications for security clearances for all Key Individuals and any other persons who may be required during the Review and Refine Requirements Phase to have access to sensitive information and/or access to secured sites. Procurements will not be delayed in order to provide time for suppliers to obtain required security clearances.

## 12.9 Privacy

The HRATI Solution must ensure that information is accessible only to those authorized. The HRATI Solution must comply with the statutory obligations under the Privacy Act and the Access to Information Act.

## PART IV: QUESTIONS

### 13.0 INTRODUCTION

Industry is requested to provide feedback and comments to the following questions by category for Canada's consideration as it moves forward with the HRATI. Please provide any rationale for your responses in order to give Canada basis for further consideration on the way forward. Please feel free to comment on any aspect of this RFI document as well as provide any general comments or recommendations for this initiative.

The following questions have been grouped under general themes. Suppliers are asked to answer these questions in the context of the material presented.

#### 13.1 Service Delivery

Q1: What is the best approach for establishing the price for application management and maintenance services? (Assume GC provides the PeopleSoft licence and the supplier controls all other software and related infrastructure.)

Q2: Can you provide any case studies and/or business models that could assist GC in its decision process in determining the optimal service delivery model for delivering the HRATI?

Q3: Based on your business experience and industry knowledge what would the total annual operating cost of such an application management and maintenance service be once transition has been completed? What would this cost be inclusive of? What assumptions is this operating under?

Q4: Given the heterogeneous nature of the GC environment (Annex C – Current State) year and the number of departments to transition, what is the best approach to transition? How should the GC cost this activity? Assume that the transition will be linear paced at approximately 100,000 employees on the new application, (see Annex C). How should the GC cost transition activities, and along what timeframe? What variables or criteria should the costing be mindful of if the ultimate goal is to achieve savings? Can you identify any incremental project milestones around which to structure the timeline? What residual operating capacity should the GC anticipate retaining within departments?

Q5: Do you have the capability to provide a solution within the project timeframe for both protected and classified systems? Please provide rationale in your response.

Q6: If Canada was to restrict provisioning of the HRATI Solution to a Canadian company, or a Canadian foreign subsidiary (e.g. a Canadian company, operating in Canada, which is a subsidiary of a foreign parent company), and further restrict the use of subcontractors to



Canadian companies and Canadian foreign subsidiaries, how would this affect your service offering in still meeting HRATI's service requirements? How would you suggest Canada meet its interest while taking advantage of international expertise if available?

Q7: What would you consider to be the largest risks for this kind of project and what steps would you recommend to Canada to mitigate those risks? Please list your risks from the perspectives of Planning, Migration, Implementation, and Support. Flag if these risks present potential impacts on implementation timelines or financial considerations?

Q8: What would be the best approach to the management of transition from legacy applications to the new application management and maintenance service? What would be the best approach to the management of transition at the end of the contract with the supplier to avoid losing the corporate memory and skills developed?

Q9: Do you have advice to provide on ensuring the interoperability of the HR solution provided by the supplier with other solutions used for other domains such as finance?

Q10: What type of services should be requested to ensure alignment between the business (as per the GC HR business standard, the Common HR Business Process) and the application management and maintenance service? How should those services be costed?

## 13.2 Privacy

Q11: Describe the process and procedures your organization would employ to protect personal information. Please indicate, at a high level, the roles and responsibilities, tools, resources, policies, procedures and best practices you would use to protect the personal information.

Q12: HR Applications relay, collect and retain vast amounts of personal information. An undertaking to consolidate HR Applications across Partner organizations will present unique and significant privacy risks. Describe mitigation strategies your organization would propose to address current trends in privacy threats.

## 13.3 Implementation and Migration

Q13: The consolidation of HR systems to a single application management and maintenance service supplier is a significant component of this project. Please describe your recommended considerations for implementation and migration based on lessons learned. Provide examples of lessons learned that Canada should consider with respect to application and data migration for a requirement of this size, scope, and complexity. What are your views on how GC should rate these skills in any future procurement?

Q14: With respect to transition services, how do you transition your customers from their current state to your fully-deployed Solution? What do you see as the main challenges with migrating 377,000 users from their existing HR applications to the new Solution? Would you suggest Canada do any preparation prior to the migration? How should Canada rate these capabilities in any future procurement?

Q15: What best-practices would you recommend for migrating a large number of users from one HR application service implementation to another such that:

- a) The user's experience during the migration is as seamless as possible;
- b) The business impact on the GC is minimized, and
- c) The compatibility issues with the implementation of the Solution with existing legacy applications are minimized?

Q16: What information would you require at the Review and Refine Requirements and the Bid Solicitation phases, in order to accurately estimate the costs for the migration effort? How should we rate best practices in any future procurement activity?

Q17: What are your views on the Supplier assuming the training and migration costs associated with transitioning GC departments to a new HR IT Solution from their existing platforms?

Q18: What are your views on the application integration and industry standard interface migration tools currently available in the market?

Q19: The current application integration strategy is that GC departments and agencies will be accountable for integrating their applications into standard interfaces with an integration toolkit provided by the HRATI Solution Supplier.

- a) To avoid the risks associated with dependencies with GC departments and agencies, what are the pros and cons of adjusting this strategy to make the HRATI Solution Supplier responsible for application integration?
- b) Do you have alternate strategies that the GC should consider to reduce the cost and timeline risks of application integration with the HRATI Solution? Do you have alternate strategies that the GC could consider to reduce the cost and timeline risks of reaching end state service delivery?

Q20: GC is interested in lessons learned from similar service implementations. Please provide lessons learned on HR IT projects of similar size, scope and complexity that your organization has implemented in the past. How should these lessons learned be rated in any future procurement?

### 13.4 Service Management and Operations

Q21: For a requirement of this nature, the GC typically specifies service levels. The GC will likely include a requirement so that it can satisfy itself that it is contracting with a service supplier that regularly meets or exceeds the service level commitments it has made to its customers. Do you have different service tiers? If so, please describe them. What are the key attributes that drive costs for each tier? How should the GC rate this requirement in any future procurement?

### 13.5 Service Continuity and Business Continuity Management

Q22: Providing continuity is important to the GC. Although it is possible to set service level agreements detailing the minimum amount of time systems are available, there remain a number of additional considerations.

- a) Does the supplier maintain a documented method that details the impact of a disruption?
- b) What are the RPO (recovery point objective) and RTO (recovery time objective) for services? Detail according to the criticality of the service.
- c) Are information security activities appropriately addressed in the restoration process?
- d) What are the lines of communication to end customers in the event of a disruption?
- e) Are the roles and responsibilities of teams clearly identified when dealing with a disruption?
- f) Has the supplier categorised the priority for recovery, and what would be our relative priority (the end customer) to be restored? Note: this may be a category (HIGH/MED/LOW).
- g) What dependencies relevant to the restoration process exist? Include suppliers and outsource partners.
- h) In the event of the primary site being made unavailable, what is the minimum separation for the location of the secondary site?

### 13.6 Future Supplier Agreement

Q23: How should the GC prepare for entry into this type of service arrangement? How should entry conditions be managed? In your experience what other aspects of operational preparedness should GC consider? How should the GC rate these elements in any future procurement?

Q24: In the event that GC exits from the AMMS environment (by end of contract or other means) what assistance does your company provide? Is your method consistent with industry standards? How should the GC account for this in the evaluation process?

Q25: Describe what outcomes you believe the GC should be seeking through this transformation? How should GC rate supplier responses to outcome achievement?

### 13.7 Technology Platform Considerations

Q26: What are the implications of integrating into the GC's virtual private hybrid cloud as described in Section 9? How should GC consider these implications in any proposed procurement?

Q27: The GC has expressed a vision to move PeopleSoft beyond an application serving a functional community (HR) to enable enterprise processes; integrated with other back office and front office applications, delivered at the presentation layer through a single window while putting accurate information in the hands of decision makers. Please describe your capabilities to add business value to PeopleSoft to enable this outcome? How should GC consider capabilities in any proposed procurement?

### 13.7 Security

Q28: Are there any requirements in Part III - Draft Requirements, or in ITSG-33: Information Technology Security Guidance - Security Control Catalogue (See reference on page 21) that your organization would deem as a concern to the overall implementation of the HRATI Solution? Please comment on any of the following: complexity, cost and delivery risks to the HRATI objectives, business requirements, assumptions and the conceptual model.

Q29: Describe the risk management methodology you currently employ. Include the following in your response? Consider the following in your response:

- a) Organization's security governance structure;
- b) Asset categorization process;
- c) Threat and risk assessment process, and
- d) Continuous monitoring and improvement process

Q30: Describe the information system security engineering process you currently employ (e.g. Secure System Delivery Life Cycle)? Include the following in your response:

- a) Project governance structure;
- b) Key security activities and deliverables of the process;
- c) How security would be incorporated into system development, implementation, and design decision coordination with the GC throughout the HRATI Solution contract, and
- d) Secure coding methodology (if applicable).

Q31: What conceptual (high level) security architecture for the consolidated HRATI Solution should the GC consider? Where possible include the following in your response:

- a) How this conceptual architecture addresses the threats from Part II;
- b) Identity and account management approach;
- c) Access control approach, including user authentication, authorization and remote clients and how access to client data is restricted to only that client's users and applications.
- d) Use of encryption, including any use of Public Key Infrastructure (PKI) technologies;
- e) Integrity approach, including any use of digital signature;
- f) Classification marking capabilities;
- g) Web security approach;
- h) Denial of service protection approach;
- i) Boundary protection approach; and
- j) Any other security labeling and management rights approach, including secure handling of information at rest and in-transit and integration to access control.

Q32: Describe your proposed operational processes for the HRATI Solution. Include the following in your response:

- a) Audit approach, including logging, monitoring, Intrusion Prevention System (IPS), Intrusion Detection System (IDS) incident management, and response approach;
- b) Secure configuration, and change management approach;
- c) Secure migration approaches for migration of current content from legacy;
- d) Media access, storage, transport and sanitization protection approach;
- e) Secure data deletion approach including data from memory and stored images;
- f) Backup, redundancy, and contingency safeguards including processes to prevent the unnecessary capture of sensitive data in VM images, snapshots, and backups;
- g) Physical, and environmental protection approach;
- h) Personnel security approach;
- i) Supply chain protection approach;
- j) For all previous items, any standards used; and
- k) Mechanisms in place to ensure secure operational procedures are followed.

Q33: Describe your ability to conform to third party (GC) security monitoring and audit requirements. Include the following in your response:

- a) Sharing of security audit related information, including:
  - i. Copies of all unmodified transactions, and
  - ii. Sharing and receiving of threat information;
- b) External auditor's assessment of your IT infrastructure and operational processes. (e.g. operational procedures document review, key operational personnel interviews, vulnerability assessment testing);

- c) Integration of GFE and software for the purposes of network data aggregation and monitoring;
- d) Ability to conform to GC requirements regarding handling security incidents in collaboration with the GC-designated Information Protection Centre;
- e) Ability to apply GC-provided inputs to perimeter defence safeguards (e.g., malware and intrusion signatures, IP and URL black and white lists); and
- f) Processes are in place to detect, assess, escalate, and respond to potential breaches.

Q34: Canada wishes to ensure that the HRATI Solution contains stringent privacy and security controls on all repositories of Canada's data (as described in Part III – Draft Requirements). These controls should also provide detailed logging, monitoring, auditing, and reporting of all individuals who have accessed or attempted to access Canada's HR data.

- a) What control measures (solutions, functionality, tools, processes, etc.) can you propose which would meet these requirements?
- b) How would you address sites outside of Canada (e.g. Missions)? Are there any technical limitations, service delivery and cost implications that should be considered by Canada?
- c) Do you have other thoughts or views on how Canada can safeguard its data sovereignty, and simultaneously meet the objectives as stated in Part II – Background of the HRATI? At a high level, briefly describe the different protection strategies for Protected information versus Secret information in the HRATI Solution? Have you successfully deployed a Secret HR solution, and protected B HR solutions that have been certified to standards that could meet GC standards? Are you able to provide the certification evidence and/or a reference? Please elaborate.
- d) How will you provide ongoing evidence that security controls continue to be in place and are kept up to date?

Q35: The underlying network infrastructure that supports the HR Application Solution must be built and maintained in a secure manner. Describe how you achieve this objective. Include the following in your response:

- a) How is separation between tenants assured?
- b) How are boundaries enforced between trusted (internal to the client) networks and untrusted networks (such as private sector supplier, other client, or public-facing networks)?
- c) How are shared resources (such as processing, memory, and storage) managed to ensure they cannot be manipulated—for example by overloading—in order to gain access to other client environments or data?
- d) How is isolation maintained across different layers, including between virtual machines, physical machines, networks, storage systems (e.g., storage area networks), management networks and support systems?
- e) What controls are in place to prevent data leakage between clients, and between client and Private Sector Supplier?

- f) What controls are in place to mitigate Distributed Denial-of-Service (DDoS) attacks?
  - g) What defenses are in place to protect against 'internal' attacks (originating from private sector supplier's or other client network) and "external" attacks (originating from the Internet or other public network)?
- Authentication Requirements

Q36: GC workers already have a proliferation of accounts and credentials to use in accessing government systems. Please comment on the feasibility of each of the following options for internal users authenticating to the HR Application Solution:

- a) The HR Application Solution leveraging the departmental logon credential for authenticating GC workers (e.g. an Active Directory credential, bearing in mind that there are many separate departmental logon networks at this time).
- b) The HR Application Solution leveraging the existing GC myKEY credential (currently an Entrust-based PKI certificate).
- c) The HR Application Solution leveraging an existing GC-wide LDAP directory.
- d) The HR Application Solution supporting Security Assertion Markup Language (SAML) 2.0 for authentication (please comment on both thin and thick client implementations).
- e) Other options that the GC should be considering for authenticating internal users to the HR Application Solution.

## Annex A: GLOSSARY OF TERMS

### Acronyms

Acronym	Description
AAFC	Agriculture and Agri- Food Canada
AMMS	Application Management and Maintenance Service
ATIP	Access to Information and Privacy
CBSA	Canada Border Services Agency
CHRBP	Common Human Resources Business Processes
CI	Configuration Item
CISD	Canadian Industrial Security Directorate
CPS	Collaborative Procurement Solutions
CRA	Canada Revenue Agency
CSEC	Communications Security Establishment Canada
DDOS	Distributed Denial-of-Service
DND/CF	Department of National Defence/Canadian Forces
DSC	Document Safeguarding Capability
EA	Enterprise Architecture
ESA	Enterprise Security Architecture
ETI	Email Transformation Initiative
FAA	Financial Administration Act
FSC	Facility Security Clearance
GC	Government of Canada
HRATI	Human Resource Application Transformation Initiative
HRBSP	Human Resources Business Solution Pilot
IDS	Intrusion Detection System
IPS	Intrusion Prevention System
IT	Information Technology
ITIL	Information Technology Infrastructure Library
ITSG	Information Technology Security Guidance
ITSM	IT Service Management
NSE	National Security Exception
OL	Official Languages
PAS	Population Affiliation System
PIA	Privacy Impact Assessment



PKI	Public Key Infrastructure
PWGSC	Public Works and Government Services Canada
RFI	Request for Information
RFP	Request for Proposal
RFRE	Request for Responses for Evaluation
SAML	Security Assertion Markup Language
SDA	Small Departments and Agencies
SLA	Service Level Agreement
SME	Small and Medium Enterprise
RPO	Recovery Point Objective
SRCL	Security Requirements Check List
RTO	Recovery Time Objective
SoR	Statement of Requirements
SSC	Shared Services Canada
SSIB	Shared Services Integration Branch
TBS	Treasury Board Secretariat
TSCG	Technology Supply Chain Guidance
VOIP	Voice Over Internet Protocol

## Definitions

Term	Definition
1 <sup>st</sup> , 2 <sup>nd</sup> and 3 <sup>rd</sup> line support	<p><b>1st Level Support</b> The responsibility of 1st Level Support is to register and classify received Incidents and to undertake an immediate effort in order to restore a failed IT service as quickly as possible. If no ad-hoc solution can be achieved, 1st Level Support will transfer the Incident to expert technical support groups (2nd Level Support). 1st Level Support also processes Service Requests and keeps users informed about their Incidents' status at agreed intervals.</p> <p><b>2nd Level Support</b> 2nd Level Support takes over Incidents which cannot be solved immediately with the means of 1st Level Support. If necessary, it will request external support, e.g. from software or hardware manufacturers. If no solution can be found, the 2nd Level Support passes on the Incident to 3<sup>rd</sup> level support.</p> <p><b>3rd Level Support</b> 3rd Level Support is typically interacts with hardware or software manufacturers (third-party suppliers). Its services are requested by 2nd Level Support if required for solving an Incident.</p>
Bidder	Person or entity (or, in the case of a joint venture, the persons or entities) submitting a bid to perform a contract for goods, services or both. It does not include the parent, subsidiaries or other affiliates of the bidder, or its subcontractors.
Certification	Please refer to definition for Security Assessment (below).

Classified information	<p>This relates to the national interest. It concerns the defence and maintenance of the social, political, and economic stability of Canada. There are three levels of Classified information:</p> <p>Top Secret: A very limited amount of compromised information could cause exceptionally grave injury to the national interest.</p> <p>Secret: Compromise could cause serious injury to the national interest.</p> <p>Confidential: Compromise could cause limited injury to the national interest.</p>
Collaborative Procurement Solutions	<p>Collaborative procurement approach consisting of the following Phases:</p> <ul style="list-style-type: none"> <li>(i) Industry Engagement Phase – to seek industry feedback on the project and procurement approach;</li> <li>(ii) RFRE Phase – to identify Successful Suppliers;</li> <li>(iii) Review and Refine Requirements Phase – Successful Suppliers collaborate with GC to review and refine the business and technical HRATI requirements;</li> <li>(iv) Bid Solicitation Phase – Successful Suppliers are invited to submit technical and price proposals;</li> <li>(v) Contract Award Phase – issue contract to winning Bidder(s), and</li> <li>(vi) Implementation Phase – design architecture, build and implementation of the HRATI Solution and service delivery.</li> </ul>
HR Application Solution	Application and services surrounding the HR IT.
Interested Party	An organization who wishes to participate in the Industry Engagement Phase activities associated with the HRATI.
Joint Venture	Association of two or more parties who combine their money, property, knowledge, expertise or other resources in a single joint business enterprise, sometimes referred as a consortium, to bid together on a requirement.
Outsourced Service	The definition, construction, migration, and operation of the new HRATI would be exclusively managed by a private sector supplier. The infrastructure would be owned and operated by the private sector supplier. The location of the service would be in data centres managed by the supplier.

Platform	General purpose information systems components used to process and store electronic data, such as desktop computers, servers, network devices, and mobile devices. Platforms usually contain software, such as operating systems, device drivers, and applications.
Protected Information	This refers to specific provisions of the Access to Information Act and the Privacy Act and applies to sensitive personal, private, and business information. Protected A (low-sensitive): Applies to information that, if compromised, could reasonably be expected to cause injury outside the national interest, for example, disclosure of exact salary figures. Protected B (particularly sensitive): applies to information that, if compromised, could reasonably be expected to cause serious injury outside the national interest, for example, loss of reputation or competitive advantage. Protected C (extremely sensitive): applies to the very limited amount of information that, if compromised, could reasonably be expected to cause extremely grave injury outside the national interest, for example, loss of life.
Request for Responses for Evaluation (RFRE).	Procurement instrument used to identify Successful Suppliers for the Review and Refine Requirements and Bid Solicitation Phases of the procurement approach.
Supplier	An organization that provides a written response (via electronic documentation) to the RFI and/or RFRE.
Security Assessment	The on-going process of evaluating the performance of IT security controls throughout the lifecycle of information systems to establish the extent to which the controls are implemented correctly, operating as intended, and producing the desired outcome with respect to meeting the departmental business needs for security. Security assessment supports authorization by providing the grounds for confidence in information system security.
Security Authorization	The on-going process of obtaining and maintaining official management decision by a senior organizational official to authorize operation of an information system and to explicitly accept the risk of relying on the information system to support a set of business activities based on the implementation of an agreed-upon set of security controls, and the results of continuous security assessment.

Security posture	<p>A characteristic of an information system that represents the ability of implemented security controls to satisfy the business needs for security and counter a selected threat environment.</p> <p>Note: A security posture that satisfies the business needs for security and counters a selected threat environment is deemed <i>adequate</i>. The security posture may vary over time, as threats and business needs for security evolve, and vulnerabilities are discovered. To maintain an adequate security posture requires the review and update of implemented security controls to adapt to changes.</p> <p>Note: The security posture of an information system is assessed using the same methodology as security risks assessment, and is thus a closely related concept. The adequacy of a security posture implies that the residual risks are low.</p>
Service	<p>A Service provided to one or more customers by an IT service supplier. An IT Service is based on the use of information technology and supports the customer's business processes. An IT Service is made up from a combination of people, processes and technology and should be defined in a Service Level Agreement. (ITIL v3 Glossary)</p> <p>Note: A service is a means of delivering value to customers by facilitating outcomes customers want to achieve without the ownership of specific cost and risks.</p>
Successful Supplier	<p>A Supplier who is identified by Canada to participate in the Review and Refine Requirements and Bid Solicitation phases of the procurement.</p>
Supply Chain Threat	<p>A product can be easily tampered with in the supply chain to later facilitate a cyber-attack against that product in order to exploit a network and the information the network carries. Security requirements for cyber-protection, cyber-defence and supply chain risk mitigation must be met by AMMS suppliers in order to successfully bid on GC shared IT services initiatives.</p>
System	<p>A generic term used to mean network and other devices, operating systems, computing platforms, virtualization software and applications or any combination thereof. Its use is context specific.</p>

## Annex B: HRATI SCOPE MATRIX

The high level scope is defined below. Specific scope elements and detailed requirements will be refined and documented in more detail during the Review and Refine Requirements Phase.

### SERVICE SCOPE

Reference #	Scope	IN/OUT	Comments
1.	PeopleSoft Infrastructure Support	IN	PeopleSoft Infrastructure comprises the physical (or virtual) hardware platforms and database management systems upon which PeopleSoft is run.
2.	PeopleSoft Application Management and Maintenance	IN	This comprises the support and management of the specific PeopleSoft business application functional modules implemented at the vendor site.
N/A	Application Configuration Services	IN	Enhancement and configuration; the design, build, testing, and deployment of new or changed functionality to support the GC's unique needs.
N/A	Application Modernization Services	IN	Implementation and/or upgrading of major and minor releases of the HR Application Solution.
N/A	Onboarding/Migration	IN	Ability to onboard departments and agencies into the service supplier's environment in an efficient and cost effective manner.
<b>Application Infrastructure Provision and Support - Detailed</b>			
3.	Procure IT Hardware and Software Assets ( <b>with the exception of PeopleSoft Licence</b> )	IN	The logistics management of procuring in scope IT products and services, including consumables. <b>PeopleSoft application licence is NOT IN SCOPE.</b>

4.	Stage and Deliver IT Hardware and Software Assets (related to PeopleSoft only)	IN	This delivery activity focuses on the logistics and tasks related to the delivery and acceptance of the product.
5.	Track and Report IT Hardware Assets	IN	Financial and physical asset reporting to various constituents.
6.	Track and Report IT Software Licensing	IN	Tracking software assets, maintenance arrangements and licenses.
7.	Chargeback	IN	Standard is one central invoice as per final contract.
8.	Investigate and Diagnose - PeopleSoft Infrastructure	IN	2nd / 3rd line assessment of incidents transferred from Service Desk including further details, collection and analysis of all related information and resolution (including any workaround) or a route to on-line support.
9.	Resolve Incident - PeopleSoft Infrastructure	IN	
10.	Problem Control and Resolution - PeopleSoft Infrastructure	IN	Provide analysis identifying the root cause of the incident to prevent future failures.
11.	Proactive Problem Management - PeopleSoft Infrastructure	IN	Identifying, recording, appropriately communicating, resolving to client satisfaction, and reporting all issues regarding IT products and services that impact client operations.
12.	Security Management (Infrastructure only) - Strategic Security Support	IN	Develop and maintain a consistent hierarchical framework within which security policies, procedures and guidelines can be managed in a consistent manner.
13.	Security Management (Infrastructure only) - Administer Users	IN	The development and implementation of organizational processes that provide for the addition of

			new users, including granting these authorized users the right to use a set of services, or any particular service, and the deletion of employees leaving the enterprise or being assigned to new duties in the enterprise (subject to GC legislation and guidance.)
14.	Security Management (Infrastructure only) - Manage Security Configuration	IN	Security configuration management is ensuring that the technology components used to enforce the GC's security policy are properly configured to accomplish the task at hand.
15.	Security Management (Infrastructure only) - Monitor Security Alerts and Events	IN	Monitoring gathering and reviewing the alarms, event streams, and activity logs associated with the security technology deployed to enforce the GC's security policies, including intrusion detection measures.
16.	Security Management (Infrastructure only) - Scan for Security Vulnerability	IN	Security scanning is the testing of the network perimeter, penetration testing of critical host and server security systems, and verification of the patch status of servers and associated resources
17.	Security Management (Infrastructure only) - Manage Security Response	IN	Security Response is the action planned to be taken when a security event occurs. A determination should be made before the event if the desired course of action is the collection of forensics for prosecution and/or the restoration of the affected systems and resources.
18.	Security Management	IN	Security reporting is the



	(Infrastructure only) - Generate Security Reports		periodic summarization of security events, the actions taken in response to the events, as well as reporting on key security metrics to the security and IT management team, and/or Service Desk.
19.	Manage Capacity Operations	IN	Reactive activity associated with the day-to-day operations of monitoring and responding to the server capacity needs against current baselines.
20.	Capacity Trending/Modeling	IN	Proactive activity associated with simulating and testing the impact of the identified capacity needs with the forecasted use accounting for variances in the demand. The results are then compared to the business needs and acceptance criteria.
21.	Capacity Management Reporting	IN	Activity associated with reporting and controlling the systems usage (e.g. CPU, Memory, Media, Network, etc.) and identifying areas of concern.
22.	Change Management - Impact Analysis	IN	The identification of critical business functions and the potential damage or loss that may be caused to the organization resulting from a disruption to those functions as a result of a successful or unsuccessful implementation of the change.
23.	Change Management - Manage Change Release	IN	All activities and disciplines surrounding the change or implementation of a new software release or service into the live environment

			including the evaluation, authorization (RFC), prioritization, planning (CAB) and testing. These activities are managed by 2nd / 3rd line staff rather than Service Desk.
24.	Establish Performance Monitoring Requirements	IN	Activity associated with conducting and documenting server system performance, defining performance indicators and establishing thresholds where corrective action is required reactively when necessary.
25.	Monitor Performance	IN	Activity associated with assessing the performance data for systems and business impact, continual monitoring of major and minor alarms to quickly rectify any server system problems.
26.	Analyze & Refine Performance	IN	Proactive activity associated with analyzing trends & exceptions, identifying performance areas and configuration changes for improvement and implementing and monitoring the changes to optimize utilization and performance.
27.	Availability Management - Monitor Infrastructure	IN	The examination of the entire server infrastructure for automated alerts and other changes in the status of individual components from satisfactory to a status requiring attention, and the taking of specific actions to address these including initiating an incident or

			problem report with the Service Desk.
28.	Perform Backups (incl. Backup HW)	IN	The execution and monitoring of backup and recovery procedures that are agreed with GC .
29.	Perform Restores	IN	The execution and monitoring of data restoration procedures.
30.	Off-Site Data Copy Storage	IN	supplier'sThe off-site vaulting of backup tapes and/or other storage media.
31.	Service Level Compliance Reporting	IN	The quantity and complexity of service level metrics due the service receiver: Service level metrics generated monthly by business group or department or location
32.	Service Level Management - PeopleSoft Infrastructure	IN	Service level metrics generated monthly by business group or department or location
<b>Application Management &amp; Maintenance Services - Detailed</b>			
33.	Service Level Management - PeopleSoft AM&M	IN	Service level metrics generated monthly by business group or department or location
34.	Business Continuity Planning	IN	Design, develop, and implement the Business Continuity Plan that provides recovery within the recovery time objective.
35.	Test and Verify Business Continuity Plan	IN	An exercise used to rehearse / test the disaster recovery plan's procedures that would be encountered in a real disaster to ensure viability.
36.	PeopleSoft Application Maintenance - Resolve Failed Application Runs - business process aspects	IN	Quality control for running applications and completed batch jobs to ensure proper output and production integrity, including re-runs where appropriate.

			Restricted to business process aspects of failures
37.	PeopleSoft Application Maintenance - Corrective Maintenance	IN	The maintenance which is required when an item has failed and has to go back to working order.
38.	PeopleSoft Application Maintenance - Preventative Maintenance	IN	Servicing for the purpose of maintaining the PeopleSoft system in satisfactory operating condition by providing for systematic inspection, detection, and correction of incipient failures either before they occur or before they develop into major defects.
39.	PeopleSoft Application Maintenance - Perfective Maintenance	IN	Modification of a software product after delivery to improve performance or maintainability
40.	PeopleSoft Application Maintenance - Adaptive Maintenance	IN	Modification of a software product performed after delivery to keep a software product usable in a changed or changing environment.
41.	PeopleSoft Application Maintenance - Minor Enhancements included	IN	Minor Enhancements are Modifications/Changes/Amendments that are included in the AM&M contract price. Enhancement projects exceeding the contractual limitations for minor enhancements are treated as development projects part of a configuration service.
42.	PeopleSoft Application Maintenance - Password, ID- and Access Control	IN	Business aspects (approval process) of Password, ID- and Access Control
43.	PeopleSoft Application Maintenance - User Support and Consultancy	IN	This is basically an end-user "How to support" in questions concerning the business aspects of PeopleSoft.

44.	PeopleSoft Application Maintenance - Business Process support / Demand Management	IN	Support in demand management Provide analysis for the support of business process information analyses and business process workflow management.
45.	PeopleSoft Application Maintenance - Applications Documentation	IN	The service supplier provider will provide and maintain the PeopleSoft user documentations.
46.	PeopleSoft Application Maintenance - PeopleSoft continuous user documentation (technical)	IN	
47.	PeopleSoft Application Maintenance - PeopleSoft continuous user documentation (business)	IN	
48.	Miscellaneous Services - Participate in Architecture and Planning	IN	The service supplier will be required to attend meetings and/or to provide technical expertise, input into the development and planning of enterprise architecture (EA) relating to the PeopleSoft.
49.	Miscellaneous Services - Involvement in IT Policy and Practice Development	IN	The service supplier will be required to provide consultative input into the development of key policies and practices.

## FINANCIAL SCOPE

Reference #	Scope	IN/OUT	Comments
50.	PeopleSoft Infrastructure – Server Hardware	IN	Included in price – 36 month replacement cycle.
51.	PeopleSoft Infrastructure – Server Tools Hardware	IN	Included in price
52.	PeopleSoft Infrastructure – Hardware Maintenance (or Break / Fix Service)	IN	Included in price
53.	PeopleSoft Infrastructure – Storage Hardware	IN	Included in price - 36 month replacement cycle.
54.	Software Ownership – Operating System Software	IN	Included in price
55.	Software Ownership – Operating System Maintenance	IN	Included in price
56.	Software Ownership – Database Software	IN	Included in price
57.	Software Ownership – Utilities and Middleware Software	IN	Included in price
58.	Software Ownership – Tools Software	IN	Included in price
59.	Software Ownership – PeopleSoft Licences	OUT	NOT IN SCOPE
60.	Other Service Supplier Services – Facilities	IN	Included in price
61.	Other Service Supplier Services - Network Charges	IN	Included in price
62.	Other Service Supplier Services - Business Continuity Assets / Facilities (Annual Costs)	IN	Included in price High Availability Server Solution: DR/BCM requirements are covered by real-time duplication, off-site mirroring or other types of high availability server solutions
63.	Service Levels – System Support Window -	IN	50 (5x10)

	Production Systems (hours per week)		
64.	Service Levels – System Support Window - Non Production Systems (hours per week)	IN	40 (5x8)
65.	Availability - Overall System Availability - Production Systems	IN	99.5%
66.	Availability - Overall System Availability - Non Production Systems	IN	99.5%
67.	Availability - Overall PeopleSoft Availability - Production Systems	IN	99.5%
68.	Availability - Overall PeopleSoft Availability - Non Production Systems	IN	99.5%

## Annex C: CURRENT STATE SUMMARY

The following table provides a point-in-time snap-shot (May 2012) of the Government of Canada's HR application environment. The information presented in this table is variable and may evolve with time. A current listing of Government of Canada organizations and population sizes can be found within the Population Affiliation Systems (PAS) at:

<http://www.tbs-sct.gc.ca/pas-srp/index-eng.asp>

Please note that Canadian Forces, Locally Engaged Staff, and RCMP Members are excluded from the PAS. Financial Administration Act (FAA) schedules I, IV, and V are within scope of this initiative.

The following is a description of each of the columns in the table below.

*Users:* The number of employees (including Canadian Forces personnel, Locally Engaged Staff, and RCMP Members).

*Departments & Agencies:* legally defined organization as stated in the PAS.

*Instances:* Provides the number of physical installations of an HR application within the GC IT environment. Some instances serve one department or agency; others serve a Cluster of departments and/or agencies.

	<b>Users (employees)</b>	<b>Departments &amp; Agencies</b>	<b>Instances</b>
<b>PeopleSoft (v7.5 &amp; v8.9)</b>	252,344	50	17
<b>Legacy with projects underway to migrate to PeopleSoft (v9.1)</b>	46,527	35	(currently) 32 (underway) 3
<b>SAP</b>	59,985	4	3
<b>Legacy</b>	18,912	24	20
<b>Total</b>	377,768	113	69/40



## **Annex D: DRAFT REQUEST FOR RESPONSES FOR EVALUATION - PROCESS FOR IDENTIFICATION OF SUCCESSFUL SUPPLIERS**

### **1. Introduction**

In accordance with the Request for Responses for Evaluation (RFRE) Phase of this collaborative procurement approach, Canada will issue an RFRE document in the future. Based on the evaluation scores of the Suppliers to the RFRE, a subset of Suppliers will be identified by Canada to participate in the subsequent “Review & Refine Requirements” and “Bid Solicitation” phases.

This Annex contains draft mandatory criteria for the RFRE Phase to identify the Successful Suppliers. These evaluation criteria are considered essential to deliver an enterprise solution of the size, scope, and complexity of the HRATI.

These draft mandatory requirements may change depending on industry feedback.

Please refer to Part IV - Questions, for specific industry questions related to the proposed evaluation procedures and identification of Successful Suppliers.

### **2. Evaluation Procedures**

An evaluation team composed of representatives of TBS, PWGSC and SSC (along with others deemed appropriate) will evaluate the Supplier’s response to the RFRE. GC may hire any independent consultant, or use any GC resources, to evaluate the responses. Not all members of the evaluation team will necessarily participate in all aspects of the evaluation.

Suppliers must meet the Mandatory Technical Requirements to be considered as a Successful Supplier, eligible to participate in the Review & Refine Requirements Phase.

TBS has engaged a Fairness Monitor for this procurement. The Fairness Monitor will not be part of the evaluation team, but will observe the evaluation with respect to Canada's adherence to the evaluation process described in this RFRE.

### **3. Conditions for the RFRE and/or RFP**

#### **3.1 Security**

The Supplier must meet the security requirements detailed in **Part III – Draft Requirements**.

#### **3.2 Financial Capability**

The Supplier must have the financial capability to undertake this requirement. In order to demonstrate its financial capability, GC may require the submission of financial information. GC may conduct financial checks.

### **4. Mandatory Corporate Technical Experience Requirements**

Canada seeks to identify Suppliers with a proven track record in the provision of outsourced AMMS for Oracle PeopleSoft. This includes transition and onboarding services from diverse legacy environments with complex application interfaces. The supplier must understand and be able to implement interoperability solutions to ensure that existing applications supporting business continue to function correctly as described in the PART III – Draft Requirements.

Suppliers will be required to demonstrate compliance with all of the following Draft Mandatory Corporate Technical Experience Requirements and will be required to provide the necessary documentation to support compliance.

The Draft Mandatory Corporate Technical Experience Requirements listed below will be evaluated on a simple pass/fail (e.g. compliant/non-compliant) basis. Suppliers that fail to meet any of the following Draft Mandatory Corporate Technical Experience Requirements will be discarded without further consideration.

#### **4.1. Corporate Experience**

In order to address the Mandatory Corporate Technical Experience Requirements of M02, the Supplier must provide a list containing a minimum of 10 corporate customer HR Application outsourcing projects (where PeopleSoft was used) over the last 5 years, as of the issue date of this document, including the:

- (i) Name of the Corporate Customer;
- (ii) Name and a brief description of the project;
- (iii) Date and duration of the project, and
- (iv) Corporate Customer contact name, phone number and/or email address.

In order to address the Mandatory Corporate Technical Experience Requirements of M01, M03, M04, M05 and M06, the Supplier must provide detailed information about the work your organization performed, for 3 of the 10 projects in the list above.

The Supplier must demonstrate the steps taken to secure the data of its clients, including the use of methodologies, processes and audits. The supplier should describe any security incidents and the management processes taken to implement corrective solutions.

The mandatory requirements of M01 through M06 can be demonstrated using 1 or more of the 3 projects, but do not have to be the same for each mandatory requirement (M01 to M06). For this purpose, a Supplier may use their PeopleSoft system as a reference.

Canada may conduct reference validation checks in writing by email, to validate that the information provided by the Suppliers is true and accurate.

## **4.2 Draft Mandatory Requirements**

M01: The Supplier must have provided outsourced application management and maintenance services for a PeopleSoft application, for a minimum of 10 Corporate Customers over the last 5 years, as of the issue date of this document.

M02: The Supplier must currently be provisioning and operating PeopleSoft for a minimum of 10 Corporate Customers with:

- (i) A minimum of 400,000 combined users for the combined Corporate Customers;
- (ii) At least one Corporate Customer consisting of a minimum of 100,000 users, and
- (iii) At least one Corporate Customer in Canada consisting of a minimum of 25,000 users.

M03: The Supplier must have configured and operated at least one secure PeopleSoft environment, consisting of a minimum of 500 users, over the last 5 years, as of the issue date of this document.

M04: The Supplier must have been providing PeopleSoft services operating 24 hours per day, 7 days per week, and 365 days per year (99.5% availability) over at least the last 2 years, as of the issue date of this document, for a minimum of 3 Corporate Customers, consisting of a combined minimum of 100,000 users. The Supplier must have provided a bilingual (French and English) service desk for a minimum of 1 Corporate Customer. The service desk must be in Canada.

M05: The Supplier must have conducted the migration of legacy HR systems to its outsourced PeopleSoft, in the last 5 years, as of the issue date of this document, where the migration involved at least 100,000 self-services users.

M06: The Supplier must have ensured the interoperability between the outsourced PeopleSoft application and existing business applications maintained by the customer.

## **Annex E: STAKEHOLDER PARTNERS**

### **Treasury Board Secretariat – Chief Information Officer Branch**

- Lead Enterprise Rationalization Program for Back Office Applications
- Drive migration of departments to standard managed IT service environments
- Coordinate activities of dedicated project teams for each core area (HR, Finance, Web, Records Management) in collaboration with business sponsors

### **Treasury Board Secretariat – Office of the Chief Human Resources Officer & Office of the Comptroller General**

- Business functional authority
- Provide standard business models

### **Public Works and Government Services Canada**

- Participate in procurement process
- Manage vendor contracts
- Provide end user business application support to GC departments for managed back office IT applications, e.g. PeopleSoft and SAP centres of excellence

### **Shared Services Canada**

- Participate in procurement process
- Facilitate transition to managed IT infrastructure (networks and security) and provide on-going stewardship
- Provide security oversight
- Retire legacy, dated IT infrastructure

### **Departments and Agencies**

- Transition to and adopt GC standard back office applications

## Annex F: DRAFT SECURITY REQUIREMENTS CHECKLIST (SRCL)



Government of Canada  
Gouvernement du Canada

Contract Number / Numéro du contrat 24082-140052/A
Security Classification / Classification de sécurité Unclassified

### SECURITY REQUIREMENTS CHECK LIST (SRCL) LISTE DE VÉRIFICATION DES EXIGENCES RELATIVES À LA SÉCURITÉ (LVER)

<b>PART A - CONTRACT INFORMATION / PARTIE A - INFORMATION CONTRACTUELLE</b>		
1. Originating Government Department or Organization / Ministère ou organisme gouvernemental d'origine Treasury Board Secretariat	2. Branch or Directorate / Direction générale ou Direction Chief Information Officer Branch	
3. a) Subcontract Number / Numéro du contrat de sous-traitance	3. b) Name and Address of Subcontractor / Nom et adresse du sous-traitant	
4. Brief Description of Work / Brève description du travail DRAFT Human Resources Applications Transformation Initiative		
5. a) Will the supplier require access to Controlled Goods? Le fournisseur aura-t-il accès à des marchandises contrôlées? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes Non Oui		
5. b) Will the supplier require access to unclassified military technical data subject to the provisions of the Technical Data Control Regulations? Le fournisseur aura-t-il accès à des données techniques militaires non classifiées qui sont assujetties aux dispositions du Règlement sur le contrôle des données techniques? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes Non Oui		
6. Indicate the type of access required / Indiquer le type d'accès requis		
6. a) Will the supplier and its employees require access to PROTECTED and/or CLASSIFIED information or assets? Le fournisseur ainsi que les employés auront-ils accès à des renseignements ou à des biens PROTÉGÉS et/ou CLASSIFIÉS? (Specify the level of access using the chart in Question 7. c) (Préciser le niveau d'accès en utilisant le tableau qui se trouve à la question 7. c) <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes Non Oui		
6. b) Will the supplier and its employees (e.g. cleaners, maintenance personnel) require access to restricted access areas? No access to PROTECTED and/or CLASSIFIED information or assets is permitted. Le fournisseur et ses employés (p. ex. nettoyeurs, personnel d'entretien) auront-ils accès à des zones d'accès restreintes? L'accès à des renseignements ou à des biens PROTÉGÉS et/ou CLASSIFIÉS n'est pas autorisé. <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes Non Oui		
6. c) Is this a commercial courier or delivery requirement with no overnight storage? S'agit-il d'un contrat de messagerie ou de livraison commerciale sans entreposage de nuit? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes Non Oui		
7. a) Indicate the type of information that the supplier will be required to access / Indiquer le type d'information auquel le fournisseur devra avoir accès		
Canada <input checked="" type="checkbox"/>	NATO / OTAN <input type="checkbox"/>	
Foreign / Étranger <input type="checkbox"/>		
7. b) Release restrictions / Restrictions relatives à la diffusion		
No release restrictions Aucune restriction relative à la diffusion <input type="checkbox"/>	All NATO countries Tous les pays de l'OTAN <input type="checkbox"/>	
Not releasable À ne pas diffuser <input checked="" type="checkbox"/>		
Restricted to: / Limité à: <input type="checkbox"/>	Restricted to: / Limité à: <input type="checkbox"/>	
Specify country(ies): / Préciser le(s) pays:	Specify country(ies): / Préciser le(s) pays:	
7. c) Level of information / Niveau d'information		
PROTECTED A PROTÉGÉ A <input checked="" type="checkbox"/>	NATO UNCLASSIFIED <input type="checkbox"/>	PROTECTED A <input type="checkbox"/>
PROTECTED B PROTÉGÉ B <input checked="" type="checkbox"/>	NATO NON CLASSIFIÉ <input type="checkbox"/>	PROTECTED B <input type="checkbox"/>
PROTECTED C PROTÉGÉ C <input type="checkbox"/>	NATO RESTRICTED <input type="checkbox"/>	PROTECTED C <input type="checkbox"/>
CONFIDENTIAL <input type="checkbox"/>	NATO DIFFUSION RESTREINTE <input type="checkbox"/>	CONFIDENTIAL <input type="checkbox"/>
CONFIDENTIEL <input type="checkbox"/>	NATO CONFIDENTIAL <input type="checkbox"/>	CONFIDENTIEL <input type="checkbox"/>
SECRET <input type="checkbox"/>	NATO SECRET <input type="checkbox"/>	SECRET <input type="checkbox"/>
SECRET <input type="checkbox"/>	NATO SECRET <input type="checkbox"/>	SECRET <input type="checkbox"/>
TOP SECRET <input type="checkbox"/>	COSMIC TOP SECRET <input type="checkbox"/>	TOP SECRET <input type="checkbox"/>
TRÈS SECRET <input type="checkbox"/>	COSMIC TRÈS SECRET <input type="checkbox"/>	TRÈS SECRET <input type="checkbox"/>
TOP SECRET (SIGINT) <input type="checkbox"/>		TOP SECRET (SIGINT) <input type="checkbox"/>
TRÈS SECRET (SIGINT) <input type="checkbox"/>		TRÈS SECRET (SIGINT) <input type="checkbox"/>

TBS/SCS 250-103(2004/12)

Security Classification / Classification de sécurité  
Unclassified

Canada



Government  
of Canada  
Gouvernement  
du Canada

Contract Number / Numéro du contrat

24082-140032/A

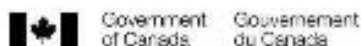
Security Classification / Classification de sécurité  
Unclassified

<b>PART A (continued) / PARTIE A (suite)</b>			
5. Will the supplier require access to PROTECTED and/or CLASSIFIED COMSEC information or assets? Le fournisseur aura-t-il accès à des renseignements ou à des biens COMSEC désignés PROTÉGÉS et/ou CLASSIFIÉS?		<input checked="" type="checkbox"/> No Non	<input type="checkbox"/> Yes Oui
If Yes, indicate the level of sensitivity: Dans l'affirmative, indiquer le niveau de sensibilité :			
6. Will the supplier require access to extremely sensitive INFOSEC information or assets? Le fournisseur aura-t-il accès à des renseignements ou à des biens INFOSEC de nature extrêmement délicate?		<input checked="" type="checkbox"/> No Non	<input type="checkbox"/> Yes Oui
Short Title(s) of material / Titre(s) abrégé(s) du matériel : Document Number / Numéro du document :			
<b>PART B - PERSONNEL (SUPPLIER) / PARTIE B - PERSONNEL (FOURNISSEUR)</b>			
10. a) Personnel security screening level required / Niveau de contrôle de la sécurité du personnel requis			
<input type="checkbox"/> RELIABILITY STATUS COTE DE FIABILITÉ	<input type="checkbox"/> CONFIDENTIAL CONFIDENTIEL	<input checked="" type="checkbox"/> SECRET SECRET	<input type="checkbox"/> TOP SECRET TRÈS SECRET
<input type="checkbox"/> TOP SECRET - SIGINT TRÈS SECRET - SIGINT	<input type="checkbox"/> NATO CONFIDENTIAL NATO CONFIDENTIEL	<input type="checkbox"/> NATO SECRET NATO SECRET	<input type="checkbox"/> COSMIC TOP SECRET COSMIC TRÈS SECRET
<input type="checkbox"/> SITE ACCESS ACCÈS AUX EMPLACEMENTS			
Special comments: Commentaires spéciaux :			
NOTE: If multiple levels of screening are identified, a Security Classification Guide must be provided. REMARQUE: Si plusieurs niveaux de contrôle de sécurité sont requis, un guide de classification de la sécurité doit être fourni.			
10. b) May unscreened personnel be used for portions of the work? Du personnel sans autorisation sécuritaire peut-il se voir confier des parties du travail?		<input type="checkbox"/> No Non	<input checked="" type="checkbox"/> Yes Oui
If Yes, will unscreened personnel be escorted? Dans l'affirmative, le personnel en question sera-t-il escorté?		<input type="checkbox"/> No Non	<input checked="" type="checkbox"/> Yes Oui
<b>PART C - SAFEGUARDS (SUPPLIER) / PARTIE C - MESURES DE PROTECTION (FOURNISSEUR)</b>			
INFORMATION / ASSETS / RENSEIGNEMENTS / BIENS			
11. a) Will the supplier be required to receive and store PROTECTED and/or CLASSIFIED information or assets on its site or premises? Le fournisseur sera-t-il tenu de recevoir et d'entreposer sur place des renseignements ou des biens PROTÉGÉS et/ou CLASSIFIÉS?		<input type="checkbox"/> No Non	<input checked="" type="checkbox"/> Yes Oui
11. b) Will the supplier be required to safeguard COMSEC information or assets? Le fournisseur sera-t-il tenu de protéger des renseignements ou des biens COMSEC?		<input checked="" type="checkbox"/> No Non	<input type="checkbox"/> Yes Oui
PRODUCTION			
11. c) Will the production (manufacture, and/or repair and/or modification) of PROTECTED and/or CLASSIFIED material or equipment occur at the supplier's site or premises? Les installations du fournisseur serviront-elles à la production (fabrication et/ou réparation et/ou modification) de matériel PROTÉGÉ et/ou CLASSIFIÉ?		<input type="checkbox"/> No Non	<input checked="" type="checkbox"/> Yes Oui
INFORMATION TECHNOLOGY (IT) MEDIA / SUPPORT RELATIF À LA TECHNOLOGIE DE L'INFORMATION (IT)			
11. d) Will the supplier be required to use its IT systems to electronically process, produce or store PROTECTED and/or CLASSIFIED information or data? Le fournisseur sera-t-il tenu d'utiliser ses propres systèmes informatiques pour traiter, produire ou stocker électroniquement des renseignements ou des données PROTÉGÉS et/ou CLASSIFIÉS?		<input type="checkbox"/> No Non	<input checked="" type="checkbox"/> Yes Oui
11. e) Will there be an electronic link between the supplier's IT systems and the government department or agency? Disposera-t-on d'un lien électronique entre le système informatique du fournisseur et celui du ministère ou de l'agence gouvernementale?		<input type="checkbox"/> No Non	<input checked="" type="checkbox"/> Yes Oui

TS/SCT 350-103 (2004/12)

Security Classification / Classification de sécurité  
Unclassified

Canada



Contract Number / Numéro du contrat
24062-140032/A
Security Classification / Classification de sécurité unclassified

**PART C - (continued) / PART C - (suite)**

For users completing the form manually use the summary chart below to indicate the category(ies) and level(s) of safeguarding required at the supplier's site(s) or premises.  
Les utilisateurs qui remplissent le formulaire manuellement doivent utiliser le tableau récapitulatif ci-dessous pour indiquer, pour chaque catégorie, les niveaux de sauvegarde requis aux installations du fournisseur.

For users completing the form online (via the Internet), the summary chart is automatically populated by your responses to previous questions.  
Dans le cas des utilisateurs qui remplissent le formulaire en ligne (par Internet), les réponses aux questions précédentes sont automatiquement saisies dans le tableau récapitulatif.

**SUMMARY CHART / TABLEAU RÉCAPITULATIF**

Category / Catégorie	PROTECTED / PROTÉGÉ			CLASSIFIED / CLASSIFIÉ			NATO				COMSEC						
	A	B	C	Confidential / Confidentiel	Secret	Top Secret / Très Secret	NATO Restricted / NUTD DIFFUSION Restreints	NATO Confidential / NUTD Confidentiel	NATO Secret	COMSEC Top Secret / COMSEC Très Secret	Protected / Protéger			Confidential / Confidentiel	Secret	Top Secret / Très Secret	
											A	B	C				
Information / Renseignements / Rens.		✓															
Production		✓															
IT Media / Support TI		✓															
IT Link / Lien électronique		✓															

12. a) Is the description of the work contained within this SRCL PROTECTED and/or CLASSIFIED?  
La description du travail visé par la présente LVERS est-elle de nature PROTÉGÉE et/ou CLASSIFIÉE?

☒ No / Non ☐ Yes / Oui

If Yes, classify this form by annotating the top and bottom in the area entitled "Security Classification".  
Dans l'affirmative, classer le présent formulaire en indiquant le niveau de sécurité dans la case intitulée « Classification de sécurité » au haut et au bas du formulaire.

12. b) Will the documentation attached to this SRCL be PROTECTED and/or CLASSIFIED?  
La documentation associée à la présente LVERS sera-t-elle PROTÉGÉE et/ou CLASSIFIÉE?

☒ No / Non ☐ Yes / Oui

If Yes, classify this form by annotating the top and bottom in the area entitled "Security Classification" and indicate with attachments (e.g. SECRET) with Attachments).  
Dans l'affirmative, classer le présent formulaire en indiquant le niveau de sécurité dans la case intitulée « Classification de sécurité » au haut et au bas du formulaire et indiquer qu'il y a des pièces jointes (p. ex. SECRET) avec des pièces jointes).



## **Annex G: LEGISLATION AND TREASURY BOARD SECRETARIAT POLICY INSTRUMENTS**

The policy instruments below may impact the HRATI. This list is currently under review, and is subject to change.

### **1. Policies**

Policy on Government Security
Common Services Policy
Access to Information Policy
Policy on Privacy Protection
Communications Policy
Contracting Policy
Policy Framework for the Management of Assets and Acquired Services
Policy on the Management of IT
Official Languages Policy Framework
Policy on the Duty to Accommodate persons with disabilities in the federal public service
Policy on the Management of Projects
Policy on the Use of Electronic Networks
Policy on Information Management

These policies are accessible at: <http://www.tbs-sct.gc.ca/pol/index-eng.aspx?tree=a2z>.

### **2. Directives**

Directive on Identity Management
Directive on the Management of IT
Directive on Record Keeping

These are directives accessible at: <http://www.tbs-sct.gc.ca/pol/index-eng.aspx?tree=directive>.

### **3. Standards / Guidelines**

Standard on Enterprise Resource Planning Systems
Management of Information Technology Security (MITS)
Standard on Web Accessibility/Usability

These standards and guidelines are accessible at: <http://www.tbs-sct.gc.ca/pol/index-eng.aspx?tree=standard> and <http://www.tbs-sct.gc.ca/pol/index-eng.aspx?tree=guideline>.  
Legislation information can be found at: <http://laws-lois.justice.gc.ca/eng/index.html>.

## **HR Application Transformation Initiative -- Industry Day**

### **Questions and Answers**

**Event date:** July 12th, 2013

**Document date:** July 17th, 2013

**Context:** The following are questions raised by attendees at industry day and the answers provided by the members of the HR Application Transformation Initiative team.

#### **Questions related to the Process**

1. Could you please provide us with insight/guidelines on the process?

Answer: A similar procurement process as recently used by Shared Services Canada for its Email Transformation Initiative will be followed. It will commence with a Request for Information (RFI), followed by a Request for References for Evaluation (RFRE) and a down select to vendors passing this stage, and a collaborative development of requirements leading to a Request for Proposal (RFP).

2. Can more granularity be provided on the 5 year schedule from RFI to implementation?

Answer: We have roughly allocated one year for procurement and four years to complete the transition. We expect to release the RFP before the end of the calendar year.

3. The one-on-one agenda is very aggressive for a 30 minute session. Can material be left with TBS for further consideration?

Answer: Yes, vendors can leave material. TBS will do its best to adhere to the 30 minute schedule; however, some flexibility will be possible if vendor requires additional time.

4. Who will be attending the one-on-one sessions next week?

Answer: Members of the HR Application Transformation Initiative Team, PWGSC, OCHRO and a Procurement Fairness Monitor.

#### **Questions about HR IT Application**

1. Is the roadmap defined as to what will be the order in which departments will onboard?

Answer: The roadmap is not confirmed and is still open to discussion. Factors for consideration include readiness of departments, aging systems, budgets, overall department workload, and other variables.

2. Oracle as the provider of PeopleSoft issues/sells licences to the GC. Will the vendor need licences and / or will Oracle provide support for customizations?

Answer: The GC has developed and configured a GC standard version of Oracle PeopleSoft 9.1. Our proposed approach for the purposes of this process is to provide the successful Application Management Service provider with a copy of this configuration to operate and manage on an on-going basis for the GC.

3. Will the HR Application need to integrate with Pension?

Answer: Yes, the HR Application is expected to be integrated to the GC Pay and Pension as well as other GC systems.

4. Is it mandatory to use SSC Infrastructure, or, can they use their own?

Answer: No, it is not mandatory. The successful bidder will be expected to provide their own infrastructure. Shared Services Canada will specify the security perimeter around the infrastructure that you provide. The vendor will provide the data centre (may be collocated in an SSC datacentre), servers, networking, operating system, database, etc. Details are presented on slide 18 of the deck.

5. Will the vendor be expected to backup and archive data? And will 'retention policies' be supported by the GC??

Answer: We will expect the vendor to provide data backup and archive capability. With respect to the retention policy, the GC will provide details on this requirement as part of the RFP.

## COMMON HUMAN RESOURCES BUSINESS PROCESS (CHRBP) THE GOVERNMENT STANDARD FOR HR BUSINESS

The effective management of human resources is essential to the efficiency of the Public Service of Canada and the quality of services offered by the government for Canadians.

The Office of the Chief Human Resources Officer (OCHRO) has a mandate to drive people management excellence and to ensure the appropriate degree of consistency in people management across the Public Service. OCHRO is responsible for the development of broad policy direction and standards that enable deputy heads to fulfill their primary responsibility for effective people management within their organization.

In June 2010, the Common Human Resources Business Process (CHRBP) was endorsed as the Government of Canada (GC) standard for Human Resource (HR) business by the Public Service Management Advisory Committee (PSMAC).

In January 2012, Treasury Board Ministers approved the Human Resource Service Modernization Initiative. One of the four project components of this Initiative is the implementation of the Common Human Resources Business Process. In approving the Human Resources Service Modernization Initiative, TB ministers required that the Common HR Business Process be adopted as the Government of Canada standard for Human Resources Business Process and be fully implemented by March 31, 2014.

The vision of these modernization efforts is “One HR Business Process, One HR System, and One Set of HR Data” in the Public Service of Canada. It is a future state where Human Resources Management will be more efficient and effective as a result of:

- Standardized processes
- Standardized GC system configuration and enterprise-wide system maintenance and upgrades, resulting in future cost-avoidance and economies of scale
- Interoperability between the systems and the applications
- Standardized data and common data definition

The Common HR Business Process is the start, as the foundation for efficient and modern human resources and for optimizing how HR services are delivered within departments and across government. See below for graphical illustration.



## **What is the Common HR Business Process?**

The CHRBP, as a key enabler for Public Service Renewal and the modernization of human resources, brings consistency to the delivery of HR services in all government organizations. It rests firmly at the core of the government's vision for HR Services Modernization, namely, one process, one system, and one set of HR data.

The CHRBP is the result of more than two years of extensive collaboration and consultation between with more 350 stakeholders, including subject matter experts, policy centres and managers across the Public Service. It was developed to be integrated across all HR functions, while also documenting key interaction/integration points with non-HR services such as corporate Finance, Information Technology, Security, etc. It is framed by the legislative framework, policy and incorporates leading practices from both the public and private sectors.

Simply put, common business processes are structured activities and tasks meant to be applied in a common manner across government. Developed from the manager's perspective to assist them in their people management responsibilities, the CHRBP contains seven Process Areas: Each of the seven business process areas is broken down to three more levels of detail. Levels two to four progressively provide more detail around the activities required to effectively and efficiently manage people.

## **Common HR Business Process – Value Chain**



## **Common HR Business Process – Overview of the Seven (7) Business Process Areas**

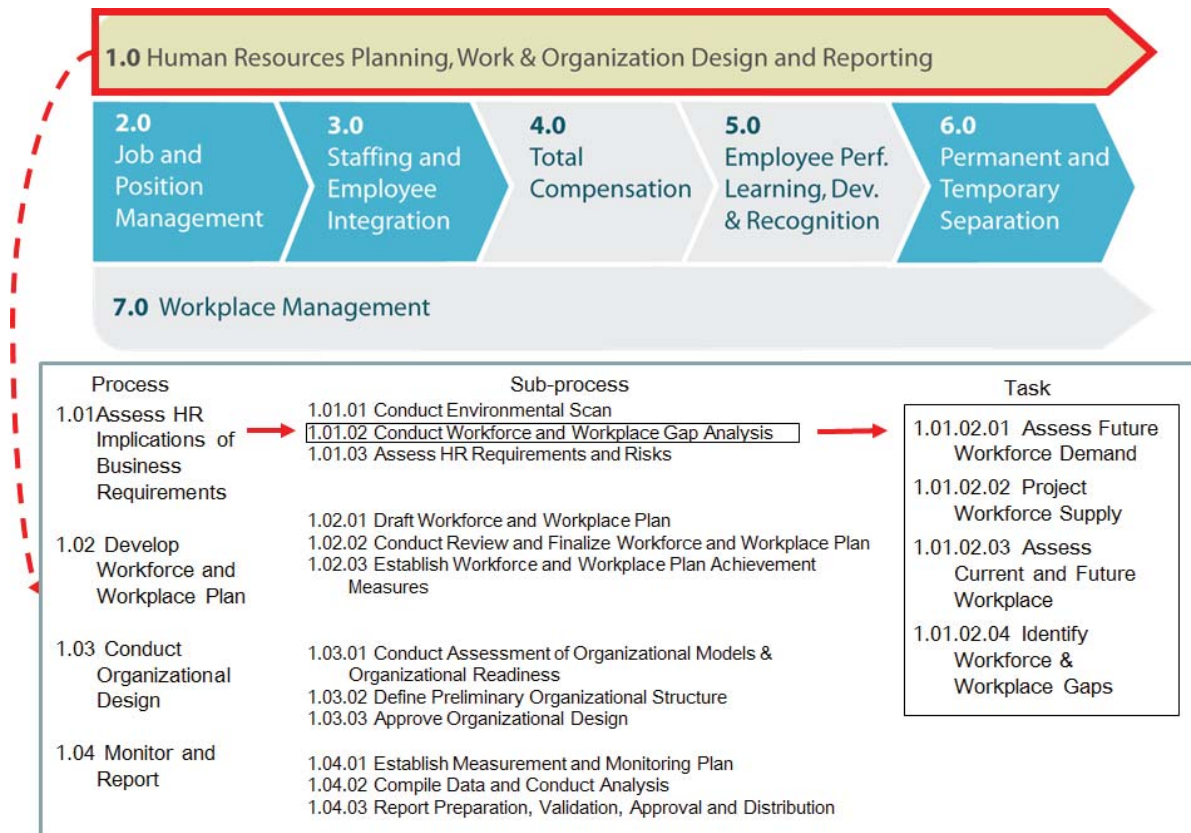
Process	Description
<b>Process 1.0: Human Resources Planning, Work &amp; Organization Design and Reporting</b>	The set of processes by which managers: <ul style="list-style-type: none"><li>• identify the different factors influencing the delivery of their services, programs and business priorities,</li><li>• determine the impacts of these factors on their workforce and workplace, and</li><li>• document these impacts in the form of a workforce and workplace plan.</li></ul> Also includes any activities associated with aligning their organizational structure to meet any change needs and setting and reporting on the performance of the organization.
<b>Process 2.0: Job and Position Management</b>	The set of processes and activities through which business/work requirements are translated into work descriptions (either through re-use of pre-classified work descriptions or new/amended work descriptions), where work is evaluated and classified, as required, and where positions are established and maintained.

<b>Process 3.0: Staffing and Employee Integration</b>	The set of processes and activities through current and future vacancies are addressed, including attracting, assessing and selecting candidates. Also includes activities associated with initiating the employee record, documenting and enrolling employees in pay and benefits, arranging for appropriate work tools and equipment and orienting employees to their new work and workplace.
<b>Process 4.0: Total Compensation</b>	The set of processes and activities through which information related to an employees work and personal circumstances are processed and transmitted to the pay service provider, as they relate to pay, benefits and insurances. Leave banks are also maintained and processed internally.
<b>Process 5.0: Employee Performance, Learning, Development &amp; Recognition</b>	The set of processes and activities associated with initiating and fulfilling of an employee performance agreement, including setting performance expectations, periodic & planned reviews of performance, planning and undertaking learning and development events. Also includes activities associated with recognizing and rewarding employees.
<b>Process 6.0: Permanent and Temporary Separation</b>	The set of processes associated with an employee's temporary or permanent departure from either a department within the public service or the public service as a whole.
<b>Process 7.0: Workplace Management</b>	The set of processes initiated by either an employee or manager as a result of events/decisions made in the workplace. This includes activities associated with initiating and approving leave and overtime, establishing work schedules, addressing health and safety events and issues in the workplace, addressing accommodation requirements, managing grievance and complaints processes, managing discipline and managing continuous employment.

The CHRBP is not static. The Office of the Chief Human Resources Officer (OCHRO) identifies and assesses the need for improvement or adjustments as a result of changes to policy, departmental experiences in its implementation, and the introduction of new programs that affect HR delivery.

## Layers of the CHRBP – Example Using Process 1.0

Each process area consists of “layers, representing the associated processes (Level 2), sub-processes (Level 3) and tasks (Level 4).



## **CHRBP Design Principles**

The Common HR Business Process is based on eight key design principles that are described in the graphic below.

<b>Design Principle</b>	<b>This principle requires that:</b>
<b>Input at the Source</b>	Information be captured once and be input at the source. For example, in updating personal information and initiating and approving transactions. This should reduce duplicate entry by providing direct access to the entry mechanism.
<b>Re-use of Collateral</b>	Information, products and assets be re-used instead of re-created. Respecting this principle means that assets are widely available (facilitated by the creation of repositories within the department and across the GoC).
<b>Standardized Capture of Process Information</b>	Information be captured in a standard manner. This implies the use of standard input forms and on-line tools to ensure complete and consistent information is provided.
<b>Direct Access to Info to Make Decisions</b>	Information (workforce information, personal information) required to support decision making (by managers or employees) be easily available, through repositories and self-service.
<b>Link with Key Integration Points</b>	Key points of interaction be recognized and highlighted between various stakeholders, between processes, and external to processes.
<b>Identify Links to FAA</b>	There be clear identification of linkages to financial decisions and authorities throughout the process.
<b>Define Process Options</b>	There be multiple paths that can be taken within a process – not just one way. Processes should highlight the options and decisions that can be made along the way.
<b>Clear Delineation of Roles</b>	There be clearly articulated roles across the various tasks within a process. Understanding who has what responsibility and who plays what role across an HR transaction is crucial.



## Overview of CHRBP Process 1.0: Human Resources Planning, Work & Organization Design and Reporting



### Description

The set of processes by which a business line manager identifies the different factors influencing the delivery of their services, programs and business priorities of their organization and the implications for workforce requirements, in effect the “current and future needs”.

Management assesses the current workforce, the labour market and the short and long term HR needs related to their organization structure, employee skills and competencies and identifies critical positions.

Current and future human resources gap analysis is done, and workplace and workforce plans are developed to address the gaps and support the achievement of broader organizational objectives. Management is then able to review and measure results and progress for their organization against their annual plans. Annual plans, including the organization design, are revised and updated throughout the annual business cycle.

This process runs parallel to broader integrated planning activities and contains several check-points to ensure alignment with broader organizational planning.

## **Four (4) sub processes of Process 1.0**

### **1.01 Assess HR Implications of Business Requirements**

The set of processes in which a business line manager assesses the impact that any one of a variety of broader government or organizational changes may have on the people and skill/competency requirements for his/her business and organization. A key first step in determining an action plan for addressing the issues. This process contains check-points with the broader integrated planning activities to ensure alignment with broader organizational planning.

### **1.02 Develop Workforce & Workplace Plan**

Based on the gaps identified and the potential labour market supply, managers working with HR develop a series of plans to address workforce and workplace requirements and risks. Includes assessing the cost implications of these plans and revising as per cost constraints. Plans may include - succession plan, staffing plan, learning plan, WFA plan. These plans feed not only the consolidated internal administrative service plans (HR, Finance, IT, etc) but also inform the specific functional areas of pending actions. This process contains check-points with the broader integrated planning activities to ensure alignment with broader organizational planning.

### **1.03 Conduct Organizational Design**

If the existing organizational structure is deemed to be ineffective or requiring changes, this process entails: the selection of an appropriate existing organization model for re-use or the creation of a new organization package if no existing models are appropriate, and the approval of the effective organization structure/package, including transition approach.

### **1.04 Monitor and Report**

A series of processes related to the monitoring and reporting on HR activities and undertaken by HR. Based on the development of a monitoring framework and feed by actual HR activity information from the other HR processes in order to report on HR activity both for the purposes of preparing central agency reports but also for the purposes of reporting on departmental HR activity for managers and senior executives as well as the HR process performance strategy

*(See Annex for breakdown of Level 4 Tasks for this process area)*

## Overview of CHRBP Process 2.0: Job & Position Management



### Description

The set of processes and activities through which business/work requirements are “translated” into work descriptions and where jobs and positions are established and maintained. This includes documenting and evaluating new work descriptions (where no existing work description (generic or otherwise) is available/appropriate), documenting job and position attributes (i.e., security requirements, language requirements, location of work, tenure - term/ indeterminate, etc.) and creating, updating and inactivating/re-activating positions as required by business requirements and driven from the HR planning process and the organizational design.

The scope of this process includes not only responding to new work requirements but also undertaking reclassification responding to classification grievances that are initiated in Process 7.0. This process also includes the identification of a position as an essential service and excluded and the corresponding review with unions, in addition to assigning the relevant National Occupation Classification (NOC) and competency requirements.

## **Five (5) sub processes of Process 2.0**

### **2.01 Select & Assess Pre-Classified Work Descriptions**

In response to the creation of a new organizational structure or an amendment to an existing organizational structure, this process involves determining if, and which, pre-classified work descriptions are appropriate to use instead of creating a new work description. This process includes reviewing inventories of departmental (in cross-departmental) pre-classified work descriptions in order to select and assess their fit with the mandate of the organization and a match to the work requirements. The process results in either a selected work description for authorization (undertaken in Process 2.04) or a decision to create a new work description (undertaken in Process 2.02).

### **2.02 Develop Job (Work) Descriptions**

Based on decisions and information out of 2.01 (Select & Assess Pre-Classified WDs), this process includes the update/amendment of either existing job (work) descriptions or the creation of new job (work) description. It involves documenting the work undertaken by the particular job using a standard format, consulting on the contents of the work description with key stakeholders (including the incumbent, if the job is encumbered) and results in an approved work description, ready for classifying.

### **2.03 Classify Work Description**

Processes by which new and amended job (work) descriptions are reviewed and a job classification is established. Results of relativity reviews and on-site reviews serve as inputs to the decision making process by either a classification committee or an individual with delegated classification authority. The evaluation of a job follows a structured process to ensure neutrality and consistency, using a classification standard (appropriate to the occupational group and sub-group) as the guide for establishing the classification decision.

### **2.04 Authorize Classification**

This process involves activities associated with the verification and approval of classification decision or the use of a pre-classified work description. In addition, this process entails a manager reviewing the classification decision in order to determine what course of action he/she will take. This process also involves informing the incumbents of the classification decision and publishing the classified work description for use by others.

### **2.05 Define & Maintain Position Information**

Based on input from process 2.04, or process 1.03, this process involves initially documenting or updating of the position information. This involves activities associated with confirming key position attributes such as geographic location, security requirements, position language requirements and verifying this information with subject matter experts, as appropriate (for OL and security for instance).

Note: this process may also involve updating position information that results in changes to compensation or involve deleting a vacant or obsolete position. This process feeds key position information to PCIS.

*(See Annex for breakdown of Level 4 Tasks for this process area)*

## Overview of CHRBP Process 3.0: Staffing & Employee Integration



### Description

The set of processes by which people are matched to work. This includes looking for people (internal and external applicants), assessing candidates, selecting, appointing, enrolling, orienting and putting them to work (on-boarding and return from leave). It includes the management of priorities and the process in which employees are enrolled in pay and benefits and integrated into the workplace with a workplace assigned, and the related business equipment needed to perform their work.

## **Five (5) sub processes of Process 3.0**

### **3.01 Confirm Resourcing Approach**

The cornerstone to an effective and efficient resourcing strategy is integrated business and HR planning which includes the analysis of HR needs to meet the business needs. Typically, the strategy and subsequent processes should be proactive and based on a Workforce and Workplace Plan resulting from integrated business and HR planning.

This process includes gathering and considering all the information required (regarding the position(s) to be filled) in order to launch the process. The hiring manager and departmental HR will work together to provide this information, including the specifics about the selection requirements, choice and rationale of appointment process, area of selection and assessment approach.

### **3.02 Attract Applicant(s)**

This process is about defining the advertisement and/or attraction approach and conducting the advertisement/attraction campaign.

### **3.03 Assess Applicant(s) – Candidate(s)**

All applicants who have passed the screening stage move onto the assessment stage. The assessment process is based on the assessment approach defined in 3.01.

### **3.04 Select Candidate(s)**

This process includes identifying a selected candidate(s), completing the notification process, confirming the terms and conditions of employment, and preparing the letter of offer and candidate acceptance.

### **3.05 Document and Integrate Employee(s)**

This process covers the full documentation and orientation of the employee, whether he/she is a new GoC employee or an existing employee going to a new role in current dept. or different dept. (cross-boarding). The process includes the creation of the employee's "Employee Record", their enrolment into pay, benefits and pension, as well as the setting up of their workplace (desk, computer, equipment), and their orientation to the new job.

*(See Annex for breakdown of Level 4 Tasks for this process area)*

## Overview of CHRBP Process 4.0: Total Compensation



### Description

The set of processes and activities through which an employee's compensation (including adjustments, overtime, acting pay, etc.) are processed and transmitted to the pay service provider, and the leave transactions (e.g., maternity and parental, long-term disability, adoption, sick, vacation and compensatory leave, without pay, with income averaging, pre-retirement transition and self-funded leave) are prepared for transmission to the pay service provider, based on the approvals from Process 7.06 and pay-related calculations from Process 6.02.

### Two (2) sub processes of Process 4.0

#### **4.01 Maintain Employee Compensation Information**

Triggered by an employee or workplace event that impacts employee information, this process involves assessing the compensation implications of the change and triggering the processing of payments (in 4.02) or updating information with third party providers (insurers, PWGSC Superannuation Directorate).

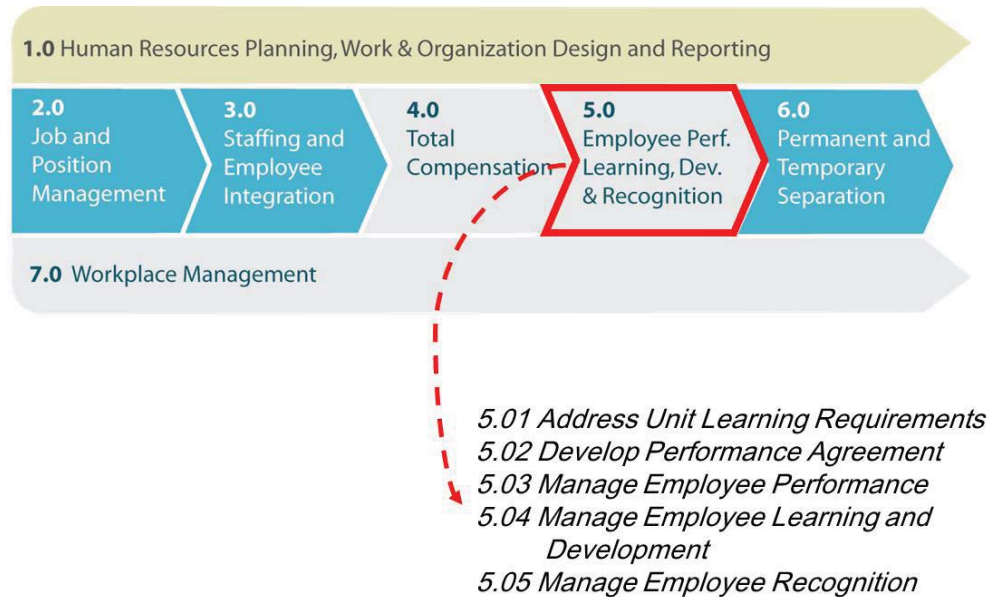
#### **4.02 Administer Pay**

Triggered by a change in employee compensation information or an HR event with pay implications (e.g., staffing, separation, performance pay), this process involves documenting the transaction and initiating the payment (through PWGSC- RPS, financial institutions). This process also involves maintaining leave balances.

*(See Annex for breakdown of Level 4 Tasks for this process area)*



## Overview of CHRBP Process 5.0: Employee Performance, Learning, Development and Recognition



### Description

The set of processes through which employees and managers set performance objectives, conduct performance assessments, develop learning/development plans, monitor progress against them, and employees undertake training, learning and development courses and/or programs, and are formally recognized and rewarded for their performance.

This process involves integrating organizational (corporate) and work-specific objectives with the career and learning aspirations of the individual to build a career and learning plan. This includes considering a diverse range of inputs including mandatory government-wide training requirements, job, position and/or occupational specific mandatory requirements (including OL training, certification training), as well as professional or career development needs (apprenticeship programs, CAP program, etc.).

This process involves establishing performance expectations/objectives and measuring employee performance against those expectations/objectives. This process also includes the management of formal employee recognition programs and involves the nomination, review of nominees and the distribution of awards. In addition, capturing and maintaining employee performance and learning data and competencies is part of this process.



## **Five (5) sub processes of Process 5.0**

### **5.01 Address Unit Learning Requirements**

Triggered by the annual performance measurement cycle, and supported with information from other HR processes, this process involves establishing the units learning requirements, determining whether there are any existing learning events within the departmental Learning Department, the Canadian School of Public Service.

### **5.02 Develop Performance Agreement**

Triggered by the annual performance measurement cycle, and supported with information from other HR processes, the manager works with the employee to develop their performance agreement. This includes the determination of performance expectations (i.e. commitments, career goals and performance measures), the identification of the employees learning and development needs based on the defined expectations and any scheduled reviews needed for coaching or monitoring. The output of this process is an approved performance agreement that addresses performance expectations and learning and development.

### **5.03 Manage Employee Performance**

Triggered by the annual performance measurement cycle, and supported with information from other HR processes, this process involves conducting performance reviews based on schedules established in the performance agreement or a performance event (an employee excelling in or not meeting objectives), the completion of the assessment the performance of an employee against commitment/objectives. Based on the results of these reviews and assessment the process covers the actions implemented to address a competency issue or performance that meets or exceeds performance expectations.

### **5.04 Manage Employee Learning and Development**

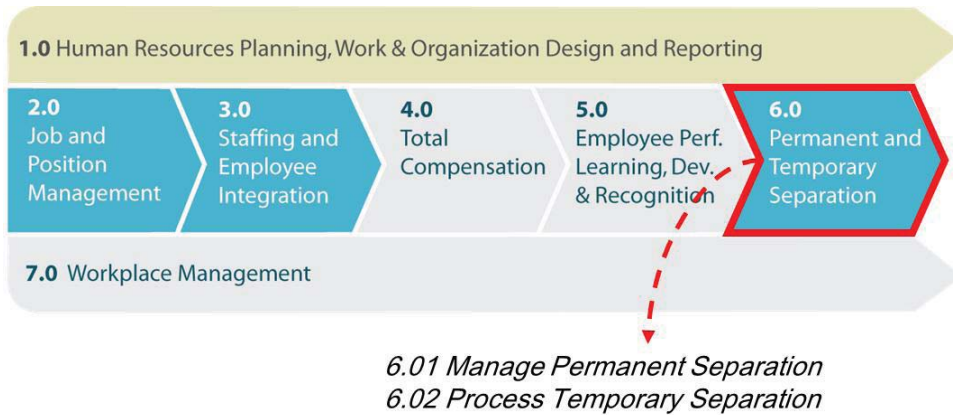
Based on the learning activities identified in the performance agreement, the employee registers for learning events, initiates developmental opportunities and education leave. This process also includes the completion of prework and post learning discussion with manager to ensure transference of knowledge and skills to the position.

### **5.05 Manage Employee Recognition**

Triggered by calls for nominations for formal recognition awards, long service awards, noteworthy performance events or merit worthy performance identified in a performance review or assessment, this process involves the activities associated with identifying, documenting and awarding employees for both formal and informal recognition.

*(See Annex for breakdown of Level 4 Tasks for this process area)*

## Overview of CHRBP Process 6.0: Permanent and Temporary Separation



### Description

The set of processes associated with an employee's temporary or permanent departure from either a department within the public service or the public service as a whole. Separation can be voluntary (e.g., transfer to another department, maternity/parental leave, retirement, educational leave, leave with or without pay) or involuntary (e.g., termination, death). This includes the request and approval of separation, if voluntary, or the notification of separation, if involuntary.

The process also includes the processing of documentation and calculations related to final payment (e.g., vacation leave, death benefit, severance payment), if a permanent separation, preparing the Record of Employment, conducting exit interviews, undertaking the recovery/transfer of security passes and assets, informing employees of any post-employment restrictions/requirements (i.e., confidentiality post-employment), and informing PWGSC Superannuation of the separation date. For a transfer from one department to another, this process would include preparing and sending the employee record (electronic, if possible, and paper record) to the receiving department.

Temporary separation: includes leaves of absence (sick leave, LTD, maternity/parental leave, leave with/without pay, self-funded etc.)

Permanent separation: includes lay-offs, termination (including for cause, end of term, move to DI), spousal relocation, resignation, retirement, death, transfer to another GOC department or agency.

## **Two (2) sub processes of Process 6.0**

### **6.01 Manage Permanent Separation**

Triggered by from Process 5.0 (Performance assessment results-probation period), Process 7.0 (workforce adjustment, disciplinary action), an employee life event (e.g. resignation, retirement, death) or corporate event (end of term), this process involves activities associated with initiating, documenting and processing a separation (to the point of calculating severance and final payments), recovering assets and conducting employee exit interviews, prior to triggering activities in Process 4.0 and informing third parties. If the permanent separation is a transfer, this process forwards employee documents to receiving department.

### **6.02 Process Temporary Separation**

Triggered from Process 7.0 (approved absence with pay, approved leave without pay, disciplinary action), Workers' Compensation Board (WCB) approved claim, or a workplace event (end of term), this process includes activities associated with documenting and processing a temporary separation (including leave with income averaging (LIA), pre-retirement transition leave (PRTL), determining pension deficiencies and insurance maintenance payments) and recovering assets, if required, prior to triggering activities in Process 4.0 and informing third parties.

*(See Annex for breakdown of Level 4 Tasks for this process area)*

## Overview of CHRBP Process 7.0: Workplace Management



### Description

The set of processes activities through which the work and the workplace are managed. This includes decisions on workforce scheduling (shift, overtime, leave), managing return to work situations (gradual or full-time), managing (and capturing) employee information (emergency contact information, name, address and marital status, work location, etc.) and administering workforce change, which includes any WFA-related changes.

This process also involves managing the workplace which includes providing a safe and healthy workplace (OSH and wellness) and addressing worker requirements including modified work arrangements (Duty to Accommodate) and EAP.

This process includes all activities related to managing redress including, complaints, grievances (both LR and classification) and recourse (staffing) including both formal and informal (ICMS) methods/approaches as well as managing disciplinary situations.

Decisions and actions are guided by the terms and conditions of employment, collective agreements and relevant statutes and legislation related to the workplace in addition to the values and ethics of the public service. Results of union-management consultation (while not specifically a process) would inform and guide decisions related to the workplace.

## **Seven (7) sub processes of Process 7.0**

### **7.01 Manage Grievances**

Triggered by a workplace event by itself, this process involves initiating a grievance, logging it, assessing it, making a decision on the grievance at the various levels, and the decision to escalate or referring it to adjudication. Once decisions are rendered there is a decision around whether to file an appeal to Federal Court for errors of law or procedure, or if a court order is required to enforce the decision.

### **7.02 Manage Complaints**

Triggered by Workplace or Employer event or an Internal Appointment related event. This process involves logging a complaint (PSLRB, CHRC, Staffing, or Harassment complaint), forwarding it to the appropriate party who assesses / investigates the complaint and may adjudicate or render a decision depending on the nature of the complaint. Once decisions are rendered there is a decision around whether to file an appeal to Federal Court for errors of law or procedure.

### **7.03 Manage Employee Discipline**

Triggered by an employee or workplace event, or a decision that misconduct may have occurred, this process involves determining the need and nature of disciplinary action, undertaking any action deemed appropriate given the circumstances of the alleged misconduct.

### **7.04 Manage Workforce Scheduling**

Triggered by the end of a period, an employee life or workplace event or a return to work situation, this process involves submission and approval/rejection of a request for a change in a work schedule, the request for a return to work, a request for leave (including leave of absence and vacation) or the submission of time and leave (including extra duty/overtime) and subsequent approval/rejection.

### **7.05 Manage Occupational Health and Safety Events**

Triggered by an employee life or workplace event, this process includes those activities associated with "Proactive Prevention" in terms of preventing hazardous occurrences. It includes recording and managing OHS events, including taking action to prevent additional events and reporting the event. Depending on the nature of the OHS event, it may involve providing the employee assistance, and may result in a WCB. Monitoring workplace safety and hazard prevention is also included in this process. Also included is the discovery of hazards in the workplace, and its potential impact of the root cause of the presence of the hazard.

### **7.06 Manage Modified Work Arrangements**

Triggered by an employee life or workplace event, this process involves assessing the need for specific work arrangement and / or accommodation of an employee, including both physical changes (to workstation), technical changes to software or computer, and possible changes for flexible work arrangements (inclusive of rebundling of duties within a work unit). Note that this includes links to facilities-materiel management, adaptive technology, workforce scheduling, returns to work, etc.

### **7.07 Manage Continuous Employment (including WFA)**

This process is based on Parts 1 through 6 of the Work Force Adjustment Directive. Based on input from the Workplace and Workforce Plan (WFA Plan) this process involves assessing specific implications of a workforce adjustment situation, the notification requirements (to employees, unions, TBS, PSC), and the activities associated with providing a guarantee of a reasonable job offer. This process also includes decisions by affected employees based on the options provided which may lead to staffing in a new location (3.01 Confirm Staffing Approach), integrating the employee into a new position (3.04 Select Candidates) or supporting the employee in a permanent (6.01) or temporary separation (6.02).

*(See Annex for breakdown of Level 4 Tasks for this process area)*

## **ANNEX**

### **LEVEL 3 ACTIVITIES AND LEVEL 4 TASKS – BY PROCESS AREA**

# 1.01 Assess HR Implications of Business

1.01.01 Conduct Environmental Scan	1.01.02 Conduct Workforce and Workplace Gap Analysis	1.01.03 Assess HR Requirements and Risks
1.01.01.01 Assess Business Context Information 1.01.01.02 Gather Public Service Labour Market Data 1.01.01.03 Gather Dept./Agency Labour Market Data 1.01.01.04 Gather External Labour Market Data 1.01.01.05 Aggregate and Analyze Findings	1.01.02.01 Assess Future Workforce Demand 1.01.02.02 Project Workforce Supply 1.01.02.03 Assess Current and Future Workplace 1.01.02.04 Identify Workforce & Workplace Gaps	1.01.03.01 Identify Workplace and Workforce Related Risks 1.01.03.02 Prioritize HR Requirements

# 1.02 Develop Workforce & Workplace Plan

1.02.01 Draft Workforce & Workplace Plan	1.02.02 Conduct Review and Finalize Workforce and Workplace Plan	1.02.03 Establish Workforce & Workplace Plan Achievement Measures
1.02.01.01 Consult with HR and Other SME's on Proposed Course of Action 1.02.01.02 Evaluate Changes to Service Delivery 1.02.01.03 Evaluate Organizational Structure Action 1.02.01.04 Evaluate HR Capacity Actions 1.02.01.05 Evaluate Labour/Employee Relations Actions 1.02.01.06 Evaluate Funding Allocation/Constraints 1.02.01.07 Identify Enabling Infrastructure Impacts (IT, Communications, Facilities, Procurement) 1.2.01.08 Assess Higher Level Integrated Planning Feedback Implications on Plan 1.02.01.09 Develop a Preliminary Workforce and Workplace Plan	1.02.02.01 Finalize Workforce and Workplace Plan	1.02.03.01 Establish Clear and Aligned Performance Measures



# 1.03 Conduct Organizational Design

<b>1.03.01 Conduct Assessment of Organizational Models and Organizational Readiness</b>	<b>1.03.02 Define Preliminary Organizational Structure</b>	<b>1.03.03 Approve Organizational Design</b>
<div>1.03.01.01 Determine/Confirm Organization Requirements</div> <div>1.03.01.02 Search Repository for Existing Models</div> <div>1.03.01.03 Review/Assess Selected Models Against Organization Mandates and Current Structure</div> <div>1.03.01.04 Assess Feasibility for Implementation</div> <div>1.03.01.05 Assess Impact on Other Related Organizations</div> <div>1.03.01.06 Determine Effectiveness of Proposed Organization Model</div> <div>1.03.01.07 Prepare Organization Package for Approval</div>	<div>1.03.02.01 Re-confirm Organizational Requirements</div> <div>1.03.02.02 Re-confirm Mandate</div> <div>1.03.02.03 Define Workstreams</div> <div>1.03.02.04 Develop Organization Options</div> <div>1.03.02.05 Establish Criteria for Assessing Options</div> <div>1.03.02.06 Consult with Stakeholders</div> <div>1.03.02.07 Select Preferred Option</div> <div>1.03.02.08 Determine High Level Organizational Attributes</div> <div>1.03.02.09 Prepare Organization Package for Approval</div>	<div>1.03.03.01 Review Organization Package</div> <div>1.03.03.02 Sign Off and Confirm Financial Resources (FAA Sec. 32)</div> <div>1.03.03.03 Prepare Approach for Transitioning to New Organization</div> <div>1.03.03.04 Prepare Action Request</div>

# 1.04 Monitor and Report

## 1.04.01 Establish Measurement and Monitoring Plan

1.04.01.01 Identify Required Data  
1.04.01.02 Identify Data Sources and Availability  
1.04.01.03 Establish Analysis Plan  
1.04.01.04 Document Data Collection, Measurement and Monitoring Plan

## 1.04.02 Compile Data and Conduct Analysis

1.04.02.01 Gather Quantitative and Qualitative Report Data  
1.04.02.02 Confirm Requirements are Met  
1.04.02.03 Address Deficiencies  
1.04.02.04 Conduct Data Analysis  
1.04.02.05 Conduct Variance Analysis

## 1.04.03 Report Preparation, Validation, Approval and Distribution

1.04.03.01 Document Findings and Prepare Report  
1.04.03.02 Validate Report Analysis/Findings  
1.04.03.03 Approve Report  
1.04.03.04 Distribute Report  
1.04.03.05 Determine Course of Action to Address Report Issue

## 2.01 Select & Assess Pre-Classified Work Descriptions

### 2.01.01 Select Pre-Classified Work Description for Re-Use

2.01.01.01 Determine/Confirm Requirements for Work Description

2.01.01.02 Search for Pre-Classified Work Descriptions Matching Requirements

2.01.01.03 Assess Degree of Fit Against Job/Work Requirements

2.01.01.04 Review Pre-Classified Work Description Against Organization Model/Structure

2.01.01.05 Assemble Classification Package

2.01.01.06 Prepare Request for Authorization

## 2.02 Develop Job (Work) Descriptions

2.02.01 Create or Adapt Work Descriptions	2.02.02 Approve Work Description
<p>2.02.01.01 Identify Specific Requirements or Changes to the Work</p> <p>2.02.01.02 Draft or Amend Description and Create Work Description Package</p> <p>2.02.01.03 Review and Finalize Work Description</p> <p>2.02.01.04 Define Consultation Required</p> <p>2.02.01.05 Consult with Other Stakeholders and Update as Required</p> <p>2.02.01.06 Share Finalized Work Description with Incumbent</p>	<p>2.02.02.01 Sign Work Description</p> <p>2.02.02.02 Create Action Request</p> <p>2.02.02.03 Assign Competencies</p>

## 2.03 Classify Work Description

2.03.01 Prepare for Evaluation	2.03.02 Conduct “On-Site” Review	2.03.03 Conduct Relativity Review	2.03.04 Evaluate Work
2.03.01.01 Review Classification Package 2.03.01.02 Propose Occupational Group and Determine Standard 2.03.01.03 Establish Preliminary Evaluation Approach 2.03.01.04 Notify Manager of Status	2.03.02.01 Establish On-Site Review Approach and Plan 2.03.02.02 Identify and Schedule Participants 2.03.02.03 Conduct On-Site Review and Document Findings 2.03.02.04 Share Findings with Incumbent(s) 2.03.02.05 Share Findings with Manager 2.03.02.06 Finalize On-Site Review Report 2.03.02.07 Inform Manager	2.03.03.01 Define and Capture Criteria for Relativity Review 2.03.03.02 Identify Sources to Relatively Review (Comparators) 2.03.03.03 Gather Comparators (Inter/Intra Departmental) 2.03.03.04 Conduct Relativity Review 2.03.03.05 Draft Relativity Report	2.03.04.01 Confirm Evaluation Approach 2.03.04.02 Establish Criteria for Selection of Committee Members 2.03.04.03 Select and Confirm Committee Members 2.03.04.04 Inform Manager 2.03.04.05 Send Classification Package 2.03.04.06 Receive Classification Package 2.03.04.07 Review Manager Input & Classification Package 2.03.04.08 Confirm Occupational Group, Subgroup & Standard 2.03.04.09 Evaluate Work Description Against Standard 2.03.04.10 Document Minority & Committee Reports 2.03.04.11 Forward for Decision on Non Consensus 2.03.04.12 Document Rating, Group/Level, NOC and Classification Rationale 2.03.04.13 Notify Manager 2.03.04.14 Determine if Work Description Should be Re-Used 2.03.04.15 Publish Work Description and Rationale

## 2.04 Authorize Classification

2.04.01 Authorize Classification	2.04.02 Review Classification Decision and Determine Action	2.04.03 Establish Effective Date and Inform Incumbents
2.04.01.01 Review and Authorize Use of Generics and/or Pre-Classified WD's 2.04.01.02 Inform/Notify Manager of Decision Not to Authorize Use of Generics and/or Pre-Classified WD's	2.04.02.01 Review Classification Decision 2.04.02.02 Document Concerns & Discuss with Classification 2.04.02.03 Request Second Level Review 2.04.02.04 Confirm Budget & Plan	2.04.03.01 Confirm/Review Proposed Effective Date 2.04.03.02 Document Justification 2.04.03.03 Seek Effective Date Approval 2.04.03.04 Determine if a New Position 2.04.03.05 Inform Incumbent(s) of Results of Classification Decision

## 2.05 Define and Maintain Position Information

### 2.05.01 Confirm Position Related Information

2.05.01.01 Confirm Basic Position Information  
2.05.01.02 Determine Financial Coding  
2.05.01.03 Confirm Security Level  
2.05.01.04 Verify Security Level  
2.05.01.05 Confirm Geographic Location  
2.05.01.06 Confirm Language Profile  
2.05.01.07 Verify Language Profile  
2.05.01.08 Confirm if Position Should be Excluded  
2.05.01.09 Prepare Exclusion Rationale  
2.05.01.10 Confirm if Position Should be an Essential Service  
2.05.01.11 Prepare Essential Service Rationale

### 2.05.02 Document Position Information

2.05.02.01 Assess/Confirm Impact on Other Jobs/Areas & Take Action  
2.05.02.02 Update Position Information  
2.05.02.03 Confirm Cyclical Review Date  
2.05.02.04 Inform Employee(s)  
2.05.02.05 Create Action Request  
2.05.02.06 Update Organization Chart

# 3.01 Confirm Resourcing Approach

3.01.01 Confirm Requirements and Approach	3.01.02 Identify and Develop Assessment Approach and Tools	3.01.03 Consider Priority Appointments
3.01.01.01 Confirm Resourcing Requirements 3.01.01.02 Review Funding 3.01.01.03 Identify Relevant Staffing Requirements 3.01.01.04 Determine if Staffing is Non-Imperative 3.01.01.05 Document Rationale for Non-Imperative Staffing 3.01.01.06 Approve Non-Imperative Staffing Rationale 3.01.01.07 Select Staffing Option 3.01.01.08 Determine if Non-Advertised Rationale is Required and Document 3.01.01.09 Establish Project Plan 3.01.01.10 Establish / Confirm Project Team 3.01.01.11 Develop / Update Governance 3.01.01.12 Determine / Update Parameters	3.01.02.01 Establish Assessment Approach 3.01.02.02 Identify Existing Assessment Tools 3.01.02.03 Acquire Assessment Tools 3.01.02.04 Develop Assessment Tools 3.01.02.05 Identify Communication Requirements and Approach 3.01.02.06 Develop Assessment Guide 3.01.02.07 Select Assessment Board Members 3.01.02.08 Orient Board Members on Staffing Process	3.01.03.01 Request Priority Clearance Information 3.01.03.02 Receive Priority Information



## 3.02 Attract Applicant(s)

### 3.02.01 Define Advertising / Attraction Approach

3.02.01.01 Select Advertising / Attraction Options  
3.02.01.02 Identify Advertising /Attraction Considerations  
3.02.01.03 Determine Campaign Logistics  
3.02.01.04 Finalize Advertising/Attraction Approach

### 3.02.02 Conduct Campaign

3.02.02.01 Draft or Update Poster/Ad  
3.02.02.02 Finalize Poster/Ad  
3.02.02.03 Populate Poster/Ad Template  
3.02.02.04 Conduct Outreach

## 3.03 Assess Applicant(s) - Candidate(s)

### 3.03.01 Screen Applicants

3.03.01.01 Screen and Record Results  
3.03.01.02 Inform Candidate of Screening Results  
3.03.01.03 Prepare for Informal Discussion  
3.03.01.04 Conduct Informal Discussion and Record Results

### 3.03.02 Assess Candidates against Selection Requirements

3.03.02.01 Finalize Assessment Method  
3.03.02.02 Organize Assessment Activities  
3.03.02.03 Obtain Certificates and Clearances  
3.03.02.04 Conduct Interview and Record Results  
3.03.02.05 Complete Reference Check and Record Results  
3.03.02.06 Conduct / Confirm Assessment(s) and Record Result(s)  
3.03.02.07 Coordinate / Confirm Second Language Evaluation  
3.03.02.08 Analyse Assessment Results  
3.03.02.09 Inform Candidates of Assessment Results  
3.03.02.10 Prepare for Informal Discussion  
3.03.02.11 Conduct Informal Discussion and Record Results

## 3.04 Select Candidate(s)

### 3.04.01 Select Candidate(s)

3.04.01.01 Select Candidate(s)  
3.04.01.02 Document Appointment Rationale  
3.04.01.03 Collect Staffing Process Data

### 3.04.02 Conduct Notifications

3.04.02.01 Issue Notification of Consideration  
3.04.02.02 Prepare for Informal Discussion  
3.04.02.03 Conduct Informal Discussion and Record Results  
3.04.02.04 Issue Notification of Appointment  
3.04.02.05 Issue Information Regarding Acting Appointment

### 3.04.03 Extend Employment Offer

3.04.03.01 Complete Employment Package  
3.04.03.02 Update Financial Commitment (Section 32)  
3.04.03.03 Prepare Offer  
3.04.03.04 Offer Employment to Candidate  
3.04.03.05 Sign Offer  
3.04.03.06 Complete Final Verification to Determine if Conditions of Employment are Met  
3.04.03.07 Conduct and Record Oath or Solemn Affirmation  
3.04.03.08 Update Employment Package

## 3.05 Document and Integrate Employee(s)

3.05.01 Document/Update Employee Record	3.05.02 Establish Employee Workplace	3.05.03 Orient Employee
<p>3.05.01.01 Request PRI</p> <p>3.05.01.02 Attribute Employee to Job, Position and Previously Captured Applicant Data</p> <p>3.05.01.03 Record Payroll Information</p> <p>3.05.01.04 Record Salary</p> <p>3.05.01.05 Record Entitlements</p> <p>3.05.01.06 Record Deductions</p> <p>3.05.01.07 Determine and Record Pension/SDB Information</p> <p>3.05.01.08 Complete Plan Member Information</p> <p>3.05.01.09 Record Leave Plan Information</p> <p>3.05.01.10 Determine Benefit Eligibility</p> <p>3.05.01.11 Select Benefit Option</p> <p>3.05.01.12 Determine Benefit Coverage Date</p> <p>3.05.01.13 Record Dependents</p> <p>3.05.03.14 Record Benefit Coverage and Determine Deduction</p> <p>3.05.01.15 Request Employee Personal Information</p> <p>3.05.01.16 Update Personal Information</p> <p>3.05.01.17 Record Personal Tax Information</p> <p>3.05.01.18 Record Direct Deposit Information</p> <p>3.05.01.19 Record Beneficiaries Information</p> <p>3.05.01.20 Record Self-Identification Data</p> <p>3.05.01.21 Record Employee Skills &amp; Competencies Information</p>	<p>3.05.02.01 Conduct Employee Workplace Assessment</p> <p>3.05.02.02 Request Additional Workspace Assessment to Address Employee Special Accommodations</p> <p>3.05.02.03 Identify Appropriate Workspace</p> <p>3.05.02.04 Request Workspace/Workspace Configuration</p> <p>3.05.02.05 Assign Workspace</p> <p>3.05.02.06 Request Computer</p> <p>3.05.02.07 Assign Computer</p> <p>3.05.02.08 Request Workplace Essentials</p> <p>3.05.02.09 Set Up Workspace</p>	<p>3.05.03.01 Determine Employee Orientation Requirements</p> <p>3.05.03.02 Introduction to Workforce and Workplace</p> <p>3.05.03.03 Review Safety &amp; Security</p>

# 4.01 Maintain Employee Compensation Information

4.01.01 Initiate Pay or Deduction Request/ Information Change	4.01.02 Review Employee Payment Request	4.01.03 Process Pay Request/Deduction Request/ Information Change
4.01.01.01 Submit Payment Request 4.01.01.02 Submit Voluntary Deduction Request 4.01.01.03 Submit Pay Information Change Request 4.01.01.04 Submit Cash Payment 4.01.01.05 Submit Elective Service Request 4.01.01.06 Prepare Elective Service Options 4.01.01.07 Submit Elective Service Decision 4.01.01.08 Record Elective Service	4.01.02.01 Review Employee Payment Request	4.01.03.01 Record Pay Action 4.01.03.02 Record Leave Adjustment

# 4.02 Administer Pay

4.02.01 Prepare Pay Information for Processing	4.02.02 Release, Cancellation and Duplicate Payment Processing	4.02.03 Maintain Employee Leave Banks	4.02.04 Mandatory Liquidation of Leave & Annual Leave Activities
4.02.01.01 Determine Pay Action 4.02.01.02 Prepare Basic Salary Transaction 4.02.01.03 Prepare Account Activity Transaction 4.02.01.04 Prepare Entitlement Transaction 4.02.01.05 Prepare Deduction Transaction 4.02.01.06 Prepare Reduction Transaction 4.02.01.07 Prepare Regular Time & Extra Duty 4.02.01.08 Prepare Status Transaction 4.02.01.09 Prepare Miscellaneous Transaction 4.02.01.10 Conduct Primary Edit 4.02.01.11 Verify Pay Transactions 4.02.01.12 Authorize Pay Transactions (FAA 33) 4.02.01.13 Extract Pay Transactions 4.02.01.14 Process Transactions in Error	4.02.02.01 Verify Generated Transactions against Payroll Register 4.02.02.02 Release Payments 4.02.02.03 Identify Cheque for Cancellation/ Intercept 4.02.02.04 Identify Direct Deposit Transaction for Intercept/Recall 4.02.02.05 Route Returned Cheque 4.02.02.06 Request Replacement Cheque	4.02.03.01 Allocate Leave Credits 4.02.03.02 Update Leave Balances 4.02.03.03 Close Leave Account	4.02.04.01 Calculate Pending Mandatory Payouts 4.02.04.02 Communicate Mandatory Payout Calculations 4.02.04.03 Review Mandatory Payout Calculation Information 4.02.04.04 Calculate and Record Mandatory Payouts 4.02.04.05 Update Leave Balances 4.02.04.06 Calculate Year-End Leave Adjustments 4.02.04.07 Update Year-End Leave Balances 4.02.04.08 Provide Year-End Leave Statement 4.02.04.09 Carryover Leave Year-End 4.02.04.10 Review Year-End Leave Statement

# 5.01 Address Unit Learning Requirements

## 5.01.01 Determine Learning Requirements

5.01.01.01 Identify Unit Competency Gap  
5.01.01.02 Identify Learning Requirements to address Competency Gap  
5.01.01.03 Document Requirement for a New Learning Event  
5.01.01.04 Document Requirement for Adaptation of Existing Learning Event

## 5.01.02 Develop Learning

5.01.02.01 Conduct Content Analysis  
5.01.02.02 Determine Learning Objectives  
5.01.02.03 Determine Instructional Design Approach  
5.01.02.04 Determine Program Evaluation Approach  
5.01.02.05 Prepare Evaluation Tools  
5.01.02.06 Develop Learning Content  
5.01.02.07 Develop Participant Assessment Tools  
5.01.02.08 Package Learning Material  
5.01.02.09 Conduct Pilot  
5.01.02.10 Revise Learning Event  
5.01.02.11 Revise Evaluation Tools  
5.01.02.12 Create Description of Learning

## 5.01.03 Manage Learning Event

5.01.03.01 Define Schedule for Learning Event  
5.01.03.02 Process Registrations  
5.01.03.03 Organize Logistics for Delivery of Learning Event  
5.01.03.04 Conduct Learning Event

## 5.02 Develop Performance Agreement

### 5.02.01 Establish Performance Expectations

5.02.01.01 Update Performance Agreement Template  
5.02.01.02 Discuss Employee Performance Expectations  
5.02.01.03 Identify Employee Career Goals  
5.02.01.04 Draft Employee Ongoing Business Commitments  
5.02.01.05 Draft Employee Key Business Commitments  
5.02.01.06 Draft employee performance measures

### 5.02.02 Determine Learning and Development Needs

5.02.02.01 Determine Employee Learning and Development Requirements  
5.02.02.02 Identify and Document Learning and Development Activities

### 5.02.03 Finalize Performance Agreement

5.02.03.01 Draft Employee Performance Agreement  
5.02.03.02 Review Employee's Performance Expectations Against Unit Requirements  
5.02.03.03 Assess Feasibility of Learning and Development Activities  
5.02.03.04 Prioritize Employees' Learning and Development Activities  
5.02.03.05 Discuss Revisions to Performance Agreement  
5.02.03.06 Finalize Performance Agreement



## 5.03 Manage Employee Performance

5.03.01 Review Employee Performance	5.03.02 Conduct Annual Performance Assessment	5.03.03 Determine Actions to Address Performance Results
5.03.01.01 Prepare Status Update against Performance Agreement 5.03.01.02 Conduct/Document Performance Review 5.03.01.03 Determine Course of Action	5.03.02.01 Compare Self Assessment against performance Agreement 5.03.02.02 Review and Discuss Employee Self Assessment 5.03.02.03 Include Comments on Employee Performance 5.03.02.04 Determine and Document Proposed Performance Ratings 5.03.02.05 Finalize Performance Ratings 5.03.02.06 Finalize and Approve Performance Documentation 5.03.02.07 Discuss with Employee Their Performance Assessment 5.03.02.08 Sign off Performance Assessment 5.03.02.09 Determine Course of Action	5.03.03.01 Develop Actions to Address Competency Issue 5.03.03.02 Discuss Actions with Employee 5.03.03.03 Determine Action to Reinforce Exceptional Performance

## 5.04 Manage Employee Learning and Development

### 5.04.01 Coordinate Learning and Development Activity

5.04.01.01 Request Learning and Development Event  
5.04.01.02 Prepare Business Case for Education Leave  
5.04.01.03 Approve Education Leave  
5.04.01.04 Approve Learning and Development Event  
5.04.01.05 Initiate Developmental Learning Opportunity  
5.04.01.06 Register for Structured Learning Event  
5.04.01.07 Schedule Learning Reviews  
5.04.01.08 Arrange Travel as Required  
5.04.01.09 Complete Pre Work

### 5.04.02 Conduct Post Learning and Development Review

5.04.02.01 Document Employee Learning Results  
5.04.02.02 Discuss Learning and Development Accomplished  
5.04.02.03 Submit Required Reimbursement Documentation

## 5.05 Manage Employee Recognition

### 5.05.01 Determine Recognition

5.05.01.01 Determine Nature of the Recognition  
5.05.01.02 Approve Informal Recognition  
5.05.01.03 Notify of Non-Approval  
5.05.01.04 Consider Other Recognition Options  
5.05.01.05 Record Recognition  
5.05.01.06 Prepare Nomination for Formal Recognition

### 5.05.02 Recognize Employee

5.05.02.01 Discuss Employee Recognition Approach  
5.05.02.02 Plan Public Award Presentation  
5.05.02.03 Select Recognition Award  
5.05.02.04 Receive Recognition Award

# 6.01 Manage Permanent Separation

## 6.01.01 Create Separation Notification

- 6.01.01.01 Create Separation Notification
- 6.01.01.02 Review Separation Notification
- 6.01.01.03 Record Separation Information

## 6.01.02 Process Final Payments (for Permanent Separation)

- 6.01.02.01 Determine Eligibility for Payment on Separation
- 6.01.02.02 Record Final Pay and Allowances
- 6.01.02.03 Record Severance Pay
- 6.01.02.04 Notify Superannuation of Permanent Separation
- 6.01.02.05 Record Death Related Allowances
- 6.01.02.06 Record Retirement Allowances
- 6.01.02.07 Record WFA Related Payments
- 6.01.02.08 Record Outstanding Deductions/Recoveries
- 6.01.02.09 Record Leave Adjustments
- 6.01.02.10 Determine if Compensation Package is Required
- 6.01.02.11 Prepare and Send Compensation Package
- 6.01.02.12 Determine if Garnishment is in Effect
- 6.01.02.13 Prepare and Send Department of Justice Notification
- 6.01.02.14 Generate Notification to Prepare Final Documentation

## 6.01.03 Process Transfer-Out Adjustments

- 6.01.03.01 Record Outstanding Deductions/Recoveries
- 6.01.03.02 Record Leave Adjustments
- 6.01.03.03 Determine if Garnishment is in Effect
- 6.01.03.04 Prepare Department of Justice Notification
- 6.01.03.05 Generate Notification to Prepare Final Documentation

## 6.01.04 Prepare Final Documentation

- 6.01.04.01 Record Leave To Be Transferred
- 6.01.04.02 Determine if Record of Employment is Required
- 6.01.04.03 Prepare Employee HR File
- 6.01.04.04 Complete Record of Employment

## 6.01.05 Conduct Exit Interview

- 6.01.05.01 Schedule Exit Interview
- 6.01.05.02 Conduct Exit Interview

## 6.02 Process Temporary Separation

### 6.02.01 Process Absence With Pay OR Leave Without Pay

6.02.01.01 Record Absence/LWOP  
Information  
6.02.01.02 Determine Type of Leave  
Requested and Verify Eligibility  
6.02.01.03 Calculate Reductions  
6.02.01.04 Calculation Deduction  
Revisions  
6.02.01.05 Calculate Entitlement  
Revisions  
6.02.01.06 Notify of Ineligibility for  
Leave

### 6.02.02 Process Leave Without Pay Pension & Insurance Options

6.02.02.01 Provide Insurance &  
Pension Options to Employee  
6.02.02.02 Submit Insurance & Pension  
Deficiencies Decision  
6.02.02.03 Calculate Insurance  
Maintenance Payments  
6.02.02.04 Calculate Pension  
Deficiencies

# 7.01 Manage Grievances

<b>7.01.01 Initiate Grievance</b> 7.01.01.01 Gather Appropriate Information to Submit Grievance 7.01.01.02 Submission of Grievance Information to Designated Receiving Party	<b>7.01.03 Assess Grievance and Make Decision</b> 7.01.03.01 Receive and Screen Grievance at First Level 7.01.03.02 Receive and Screen Grievance at Second Level 7.01.03.03 Receive and Screen Grievance at Third Level 7.01.03.04 Receipt of Classification Grievance 7.01.03.05 Grievance Validity Assessment 7.01.03.06 Communication of Response Regarding Validity of Classification Grievance 7.01.03.07 Acknowledge and Inform Grievor and Representative of Scope of Classification Review 7.01.03.08 Gather Information 7.01.03.09 Consult with Parties Involved 7.01.03.10 Review Information, Make Decision, and Provide to All Parties	<b>7.01.06 Delegated Authority Decision</b> 7.01.06.01 Review and Decide on Committee's Recommendation 7.01.06.02 Obtain Appropriate Approval for Decision if Required 7.01.06.03 Obtain Appropriate Level of Sign-Off and Forward to Corporate Classification 7.01.06.04 Document Final Grievance Decision in Systems 7.01.06.05 Distribute Report and All Supporting Documents to All Parties
<b>7.01.02 Receipt of Grievance</b> 7.01.02.01 Acknowledge Receipt and Forward Grievance to Labour Relations 7.01.02.02 Triage/Initial Screening of Grievance 7.01.02.03 Offer Informal Classification Grievance Discussion 7.01.02.04 Communicate Option to Use ICMS (except for Classification- or OHS-Related Grievances) 7.01.02.05 Offer EAP Services 7.01.02.06 Place Grievance in Abeyance 7.01.02.07 Forward Grievance to the Initial Level of the Grievance Decision Process	<b>7.01.04 Prepare for Classification Grievance Hearing</b> 7.01.04.01 Schedule Hearing and Inform Parties 7.01.04.02 Select and Confirm Committee Members 7.01.04.03 Review Original Classification Decision Documentation 7.01.04.04 Identify Other Required Documentation/Information 7.01.04.05 Invite Union to On-Site Review 7.01.04.06 Update of Classification Grievance Package	<b>7.01.07 Review Decision</b> 7.01.07.01 Evaluate Options/Decide on Next Steps 7.01.07.02 Submission of Notice of Reference to Adjudication Package
		<b>7.01.08 Notice to CHRC</b> 7.01.08.01 Grievor Provides Written Notice to CHRC, Copy to All Parties
	<b>7.01.05 Conduct Classification Grievance Hearing</b> 7.01.05.01 Presentation of Arguments by or On Behalf of Grievor 7.01.05.02 Questions Answered by Management if Required 7.01.05.03 Information Provided by Other Parties 7.01.05.04 Committee Deliberates and Generates Report	<b>7.01.09 Adjudicate Grievance</b> 7.01.09.01 Receive Adjudicator Final Decision
		<b>7.01.10 Update Employee Record</b> 7.01.10.01 Determine Specific Employee Record Implications 7.01.10.02 Update Employee Record
		<b>7.01.11 Withdrawal of Grievance</b> 7.01.11.01 Grievor Submits Notice of Withdrawal 7.01.11.02 Notice to All Parties that Grievance is Withdrawn



# 7.02 Manage Complaints

<b>7.02.01 Submit Complaint</b> 7.02.01.01 Determine Complaint Type 7.02.01.02 Provide PSLRB Complaint Information 7.02.01.03 Contact CHRC 7.02.01.04 Provide Harassment Complaint Information 7.02.01.05 Request Extension from Tribunal if Required 7.02.01.06 Receive Extension Decision 7.02.01.07 Provide Staffing Complaint Information	<b>7.02.04 Review PSST Final Decision</b> 7.02.04.01 Receive PSST Final Decision	<b>7.02.07 Render Decision on Harassment Complaint</b> 7.02.07.01 Review Findings 7.02.07.02 Determine if Corrective and/or Disciplinary Measures are Required 7.02.07.03 Decide if Work Environment Needs to be Restored 7.02.07.04 Receive Harassment Complaint Decision
<b>7.02.02 Review PSLRB Final Decision</b> 7.02.02.01 Receive PSLRB Final Decision	<b>7.02.05 Review of Harassment Complaint</b> 7.02.05.01 Acknowledge Receipt 7.02.05.02 Notify All Parties of Complaint 7.02.05.03 Triage/Initial Screening of Complaint 7.02.05.04 Reject Complaint or Redirect Complainant to Appropriate Avenue of Recourse 7.02.05.05 Communicate Option to use ICMS and/or EAP 7.02.05.06 Decide Whether to Access ICMS and/or EAP 7.02.05.07 Place Complaint in Abeyance	<b>7.02.08 Withdrawal of Complaint</b> 7.02.08.01 Complainant Submits Notice of Withdrawal 7.02.08.02 Notice to all Parties that Complaint is Withdrawn
<b>7.02.03 Review CHRC Final Decision</b> 7.02.03.01 Receive CHRC Final Decision	<b>7.02.06 Conduct Harassment Complaint Investigation</b> 7.02.06.01 Select Investigator and Provide Terms of Reference 7.02.06.02 Conduct Investigation 7.02.06.03 Review Draft Report and Provide Feedback 7.02.06.04 Create Final Investigation Report	<b>7.02.09 Update Employee Record</b> 7.02.09.01 Determine Specific Employee Record Implications 7.02.09.02 Update Employee Record

# 7.03 Manage Employee Discipline

7.03.01 Conduct Investigation	7.03.02 Determine Appropriate Action	7.03.03 Notify Employee of Determination and Undertake any Applicable Action
7.03.01.01 Consult with Labour Relations 7.03.01.02 Gather Background Information Pertaining to Relevant Incident 7.03.01.03 Take Action to Mitigate Risk 7.03.01.04 Inform Employee of Alleged Wrongdoing 7.03.01.05 Conduct investigation 7.03.01.06 Analyze Information and Determine if Misconduct has Taken Place 7.03.01.07 Document Investigation Findings 7.03.01.08 Present Finding in Disciplinary Hearing and Obtain Employee Response 7.03.01.09 Determine if Broader Audit/Investigation is Required	7.03.02.01 Assess the Misconduct 7.03.02.02 Review of Past Management Responses and Applicable Prior Jurisprudence 7.02.03.03 Determination of Appropriate Disciplinary Action	7.03.03.01 Conduct Disciplinary Meeting 7.03.03.02 Decide if Work Environment Needs to be Restored 7.03.03.03 Document Disciplinary Action



# 7.04 Manage Workforce Scheduling

<b>7.04.01 Submit Time and Leave Taken</b>	<b>7.04.04 Review and Approve Overtime/Leave/Time/Work Schedule Request/Return to Work Request</b>	<b>7.04.06 Maintain Pension Benefits</b>
7.04.01.01 Record Time Worked 7.04.01.02 Record Extra Duty Worked 7.04.01.03 Record Leave Taken	7.04.04.01 Review Time Submission 7.04.04.02 Review Overtime Eligibility 7.04.04.03 Review Change in Hours Request 7.04.04.04 Review Leave Eligibility 7.04.04.05 Review Absence Eligibility 7.04.04.06 Review LWOP Request 7.04.04.07 Review Change in Compressed Work Week Request	7.04.06.01 Prepare Benefits Letter 7.04.06.02 Submit Insurance and Pension Deficiencies Decision 7.04.06.03 Calculate Pension and Other Deficiencies 7.04.06.04 Calculate and Record Leave Adjustments 7.04.06.05 Notify of Opt Out Decision
<b>7.04.02 Submit Leave or Schedule Request</b>	<b>7.04.05 Initiate Return to Work from Absence with Pay or Leave without Pay</b>	
7.04.02.01 Record Regular Hours Change Request 7.04.02.02 Record Leave With Pay Request 7.04.02.03 Record Absence With Pay Request 7.04.02.04 Record Leave Without Pay Request 7.04.02.05 Record Compressed Work Week Request	7.04.05.01 Conduct Return to Work Consultation 7.04.05.02 Record Permanent Separation Decision 7.04.05.03 Record Extension Decision 7.04.05.04 Process Return to Work Request	
<b>7.04.03 Manage Work Schedule Change</b>		
7.04.03.01 Record Work Hours 7.04.03.02 Record Leave Schedule		

# 7.05 Manage Occupational Health and Safety Events

**7.05.01 Investigate Potential and/or Actual Hazardous Situations**

7.05.01.01 Investigate and Record Potential and/or Actual Hazardous Situations  
 7.05.01.02 Determine Immediate OHS Action Required  
 7.05.01.03 Take Action to Resolve Situation  
 7.05.01.04 Escalate Action to Mitigating Party  
 7.05.01.05 Document OHS Incident Details

**7.05.02 Analyze Potential/Actual Hazardous Situation & Determine Required Action**

7.05.02.01 Analyze Potential/Actual Workplace Hazardous Situations  
 7.05.02.02 Consult with SME's on Proposed OHS Course of Action  
 7.05.02.03 Identify Proposed OHS Course of Action Based on Approver and SME Input  
 7.05.02.04 Seek Approval for Proposed OHS Course of Action  
 7.05.02.05 Select Course of Action for Remediation  
 7.05.02.06 Take Action for Remediation  
 7.05.02.07 Escalate Action to Mitigating Party(ies)  
 7.05.02.08 Document Remediation Details

**7.05.03 Administer Employee OHS Support**

7.05.03.01 Assess the OHS Event Impacts on the Workplace  
 7.05.03.02 Identify Manager-Selected OHS Course of Action  
 7.05.03.03 Discuss Employee Support Options and Select Option(s) Based on Awareness

**7.05.04 Monitor Workplace Safety & Hazard Prevention**

7.05.04.01 Monitor Workplace Safety  
 7.05.04.02 Identify Preventative Measures

# 7.06 Manage Modified Work Arrangements

## 7.06.01 Assess Request, Consult SMEs & Provide Modified Work Arrangement/ Accommodation

7.06.01.01 Review Modified Work Arrangement/Accommodation Request  
7.06.01.02 Consult with Subject Matter Experts (SME's) on Modified Work Arrangement/Accommodation  
7.06.01.03 Notify Employee of External Assessment & Gather Additional Details  
7.06.01.04 Assess Modified Work Arrangement/Accommodation Based on SME/Approver Input  
7.06.01.05 Discuss with Employee & Document Option(s) for Modified Work Arrangement/Accommodation  
7.06.01.06 Obtain Approval for Modified Work Arrangement/Accommodation Option(s)  
7.06.01.07 Select & Document the Modified Work Arrangement/ Accommodation Option(s)  
7.06.01.08 Assess Classification Impact of Rebundling Duties  
7.06.01.09 Consult and Identify the Course of Action for Employee Deployment  
7.06.01.10 Rebundle Duties and Communicate

## 7.06.02 Plan & Follow-Up Modified Work Arrangement/ Accommodation

7.06.02.01 Create/Revise/Maintain Modified Work Arrangement/Accommodation Plan  
7.06.02.02 Discuss Plan & Project Future Follow-ups

## 7.07 Manage Continuous Employment (including WFA)

7.07.01 Establish Business Transformation Plan	7.07.02 Identify Affected Employees	7.07.03 Select Option
<p>7.07.01.01 Confirm Nature of Business Transformation</p> <p>7.07.01.02 Inform Staff of Business Transformation and Gather Employee Information</p> <p>7.07.01.03 Undertake Targeted Workforce Analysis</p> <p>7.07.01.04 Inform Employees of Access to EAP</p> <p>7.07.01.05 Create &amp; Refine the Business Transformation Approach</p> <p>7.07.01.06 Seek Proposed Business Transformation Approach Approval</p> <p>7.07.01.07 Inform Central Agencies of Potential Business Transformation Impacts</p>	<p>7.07.02.01 Finalize Affected Employees</p> <p>7.07.02.02 Determine Business Transformation Course of Action for Affected Employees</p> <p>7.07.02.03 Confirm Approval for Course of Action</p> <p>7.07.02.04 Provide Notice Regarding Course of Action</p> <p>7.07.02.05 Provide Counselling</p> <p>7.07.02.06 Provide Reasonable Job Offer</p> <p>7.07.02.07 Accept Reasonable Job Offer</p> <p>7.07.02.08 Accept Relocation</p>	<p>7.07.03.01 Seek/Provide Additional Information on Options</p> <p>7.07.03.02 Assess Opting Employee for Alternation</p> <p>7.07.03.03 Implement Selected Option</p>