Visually-Based Business Modernization Support Services

ANNEX A

Statement of Work

(SOW)

Annex A – Statement of Work

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1. DEFINITION

Unless the context clearly requires otherwise, the capitalized terms used in the SOW shall have the definitions assigned to them in the Contract or in this Section 1. These definitions shall apply equally to both the singular and plural forms of the terms defined, and words of any gender shall include each other gender when appropriate.

Acts	means the *Canada Elections Act,* S.C. 2000, c. 9; and the *Referendum Act*, S.C. 1992, C. 30, all as amended from time to time;
Business Transformation Services	has the meaning ascribed to in subsection 2.1;
CEA	means the *Canada Elections Act,* S.C. 2000, c. 9;
CEOC	means the Chief Electoral Officer of Canada;
CFO	means the sector within Elections Canada named Chief Financial Officer;
CIO	means the sector within Elections Canada named Chief Information Officer;
Commissioner	means the Commissioner of Canada Elections;
DCEO	means the Deputy Chief Electoral Officer of Canada;
Designated Representative	means the individual from each sector responsible for their requirement as identified by the Technical Authority;
EC	means the Office of the Chief Electoral Officer of Canada;
ECHQ	means Elections Canada's offices located in Ottawa until such time as it is relocated to Gatineau as per the notice of change of address sent out in accordance with the General Conditions of the Contract;
ISPPA	means the sector within Elections Canada named Integrated Services, Policy and Public Affairs;

PF	means the sector within Elections Canada named Political Financing;
RO	means a returning officer appointed by the CEO pursuant to subsection 24(1) of the *Canada Elections Act* to an electoral district;
Stakeholders	the individuals identified by the Contractor or the Technical Authority or the Designated Representative who will participate in the consultations, interviews and meetings.

2. OBJECTIVES

2.1 Visually-Based Business Modernization Services

EC requires the professional services of a Contractor to perform visually-based business modernization support services, which at a minimum will include:

i. Mapping and dynamically visualizing core processes and business functions;
ii. Developing updated organizational charts, dashboards and decision support tools;
iii. Carrying out internal and external stakeholder interview, workshops and consultation;
iv. Updating business models based on service improvements opportunities; and
v. Developing audience-friendly material to communicate key Elections Canada processes and business functions.

3. BACKGROUND

3.1. EC MANDATE

3.1.1. The CEOC, an agent of Parliament, exercises general direction and supervision over the conduct of elections and referendums at the federal level. The CEOC heads the Office of the Chief Electoral Officer, commonly known as Elections Canada and as Agent of Parliament has unique organizational features in terms of delegated authority, powers and corporate business model and operational framework.

3.1.2. Under the CEA, the ROs who will number 338 in 2015 are responsible for ensuring that the provision of the Acts are complied with and enforced at each of the 65,000 polling stations set up on Election Day across Canada. To do so, ROs must hire and train some 150,000 election officers. The CEOC is responsible for providing ROs and election

officers with directions, instructions, forms, data and systems, for the administration of elections in each electoral district. The CEOC must also monitor the administration of elections and report results to the House of Commons.

3.1.3. The CEA also provides a comprehensive framework to regulate the political financing regime in Canada, by defining limits on political contributions and election spending and the timely financial reporting for federal registered political entities, to make the financing of the political system transparent, fair and accessible. The financing rules and requirements outlined in the CEA apply to various registered political entities.

3.2.   COMMISSIONER OF CANADA ELECTIONS

3.2.1. The Commissioner is responsible for ensuring that the Acts are complied with and enforced. As provided for in the CEA, the Commissioner is appointed by the CEOC.

3.2.2. The Commissioner receives complaints from the public and referrals from within EC concerning possible offences under the Acts. In practice, the majority of matters brought to the attention of the Commissioner come as referrals from within EC and relate to the rules governing political financing. The Commissioner may launch an investigation when the facts and circumstances so warrant. In specific instances provided for in the Acts, the CEOC may direct the Commissioner to undertake an investigation. The Commissioner's objective is to protect the integrity of the electoral process by enforcing the remedial measures provided for in the Acts.

3.2.3. The Commissioner may refer a matter for prosecution to the Director of Public Prosecutions. When the circumstances warrant, the Acts allow the Commissioner to use non-punitive corrective measures in order to respond to certain complaints or referrals received. For example, instead of referring a case and recommending a prosecution by the Director of Public Prosecutions, the Commissioner can resolve certain offences by concluding a compliance agreement with an offender. In appropriate circumstances, the Commissioner may also simply issue a caution letter to an individual or entity that has contravened the Acts.

3.3.   ISPPA REQUIREMENT BACKGROUND

3.3.1. The internal services of EC have experienced significant organizational changes in recent months. Reductions in both indeterminate and determinate positions have been necessary to address financial pressures faced by EC in the context of March 2010 budget which required EC as other departments to absorb the costs associated with increases in collective agreements over the 2010-14 fiscal years and the CEOC's decision, in the context of the Deficit Reduction Action Plan, to reduce EC's annual operating expenditures by 8% beginning in 2012-13.

3.3.2. These reductions have called on EC to review the governance and organizational structure of its internal services. This was necessary to realize planned efficiencies and identify opportunities for future efficiencies and synergies.

3.3.3. In May, 2013, it was announced that the CFO sector would be progressively integrated with the Policy, Planning and Public Affairs sector. These changes are to improve EC's strategic and integrated planning capacity and better align resource planning and financial management functions to support EC strategic initiatives for 2015 and beyond.

3.3.4. In June, 2013, the departure of EC's former CFO and the appointment of new acting CFO were announced as well as the integration of Corporate Planning and the Corporate Strategy Office within the CFO sector.

3.3.5. In July 31, 2013, further organizational changes were announced resulting in the creation of the new overarching sector: ISPPA, effective September 3, 2013. This structural change will allow EC to pursue a more integrated and harmonized approach to core enabling corporate and internal services. The new sector is led by a DCEO and includes the following internal services and programs:

   i.   The CIO Sector (information management; information technology operations; applications development and support; and architecture, security and services) reporting through the A/CIO;
   ii. The CFO Sector (corporate planning, corporate strategy office, administration, security and procurement functions) reporting through the A/CFO;
   iii. Policy, Research and Parliamentary Affairs functions reporting directly to the DCEO, ISPPA;
   iv. Media Relations and Strategic Communications reporting directly to the DCEO, ISPPA; and,
   v.   Outreach and Public Affairs functions reporting through the Senior Director, Public Affairs.

3.4.   INVESTIGATIONS DIRECTORATE REQUIREMENT BACKGROUND

3.4.1. The Commissioner is supported by a core team of investigators, support staff and lawyers, as well as additional resources hired on contract or term basis to deal with fluctuating needs.

3.4.2. The structure of the Investigations Directorate is currently in a transition phase. In April 2012, the core full time employees consisted of the Director of Investigations, three senior investigators, one paralegal and one administrative assistant. In 2013-2014, the Investigations Directorate was allocated additional resources in order to better support the Commissioner's mandate. As such, two indeterminate investigators and a second

indeterminate paralegal have been or are in the process of being added to the Investigations Directorate.

3.4.3. The Commissioner is also supported by a specialized team of three lawyers and one administrative assistant within Legal Services.

3.4.4. In June 2013, following a competitive procurement process, a new pool of contract investigators that can be called upon when needed was put in place. In addition, the Investigations Directorate currently has, on secondment, four investigators from other enforcement agencies and another directorate within EC. Finally, two casual enquiry officers are also currently working for the Commissioner.

3.4.5. The volume of work related to investigation varies based on the electoral cycle, including successive minority governments, as well as the emergence of complex of highly sensitive files. Moreover, not all files warrant the same attention. For example, in the case of complaints from the public, it is often the case that the complaints are based on a misunderstanding of the legal requirements and do not warrant any investigation.

3.4.6. The process for receiving and dealing with complaints and referrals must provide for a preliminary triage of complaints to determine which warrant attention and which do not, and to prioritize the investigative work based on objective criteria that are capable of being publicly articulated and defended. It must be designed to ensure that the work is rigorous and timely, fair and non-partisan.

3.5.   POLLING SITE REQUIREMENT BACKGROUND

3.5.1. Canada's current voting model is based on the polling station, with one pair of workers – a deputy returning officer and a poll clerk who work at one table and must deliver the voter identification and registration services as well as the voting services, to a limited group of voters living in a given polling division. The model has been used in federal elections for more than a century and has remained largely unaltered since the 1970s. Since then, however, the complexity of the voter identification and registration services has increased significantly. For example, registration at the polls was added in the 1990s, and voter identification requirements were added in 2008; yet the same pair of workers is expected to administer these as well as the original requirements.

3.5.2. The 2013 Compliance Review report commissioned by EC estimates that "election officers made over 500 serious administrative errors per electoral district on election day" in the 2011 general election. The review mentions multiple causes of error, of which the first is the complexity of administrative procedures. Simplifying the tasks of election officers and reducing the number of rules each worker must learn and apply would be an important step to enhance compliance.

3.5.3. In its response to the Compliance Review report, EC committed to develop and test a new business model that does away with the current polling station-based model and introduce technology at polling sites. With Parliament's approval, this model will be introduced on a limited scale during the next general election, or during any by-election called in 2015. A project team has already been set up. It has conducted an analysis of alternative service models and is proposing one that is commonly referred to as the "New Brunswick model" in Canadian election administration circles, but which essentially proposes that the voting process be broken down in basic functions, each performed in a standardized fashion by a group of specialized officers. As a result, the long-term transformation of the current service model is not in scope for this requirement. However, as this radical transformation will bear fruits on a national scale in the subsequent election only, which could be as far as in 2019, EC must make interim administrative improvements to the current polling station-based business model in time for the 2015 general election. The examination of the current service model, and the proposal of an altered process that must be implemented across the country in 2015, is in scope of this requirement.

3.5.4. The engagement of a wide array of stakeholders is a crucial success factor if our voting service business model is to be successfully enhanced in 2015 and transformed in 2019. Chief among stakeholders are Members of Parliament, who must first approve of a transformed model to be tested on a limited scale in 2015, and afterward bring comprehensive changes to the CEA, if the test is successful, for the solution to be implemented on a national scale in 2019. In the short term, ROs and their staff, especially election officers and their trainers, need to be better engaged on the compliance to the requirements of the CEA that is expected of them.

3.6.   POLITICAL FINANCING REQUIREMENT BACKGROUND

3.6.1. Requirements for registered candidates have existed under the CEA since the beginning of the 20th century, and for registered political parties since 1970, but the current financial administration regime was expanded in 2000 to include third party registration requirements, and in 2004 to include the registration of electoral district associations, nomination contestants and leadership contestants.

3.6.2. Transparent financial reporting is a key component of the political financing regime. The CEA requires each registered political entity to submit financial reports to the CEOC by

set deadlines to ensure consistent and timely sharing of financial information. These reports are published in a searchable format on the EC web site and are also available for public consultation at EC's office.

3.6.3. EC recognizes that instances of non-compliance with requirements of the CEA need to be addressed in a manner that adequately reflects the seriousness of the non-compliance and its impact on the integrity of the political financing regime. Significant non-compliance with the financial provisions of the CEA can be categorized as follows: introduction of unregulated funds into the political system; misuse of regulated funds; and compromising transparency.

4. SCOPE OF WORK

4.1.   ISPPA REQUIREMENT

The Contractor will be required to work with the designated ISPPA representatives and other stakeholders to understand their respective business and ensure they are documented and explained which will result in the following activities:

i.   Map and dynamically visualize core processes ("as is" and "to be" processes) and business functions;
ii.   Conduct stakeholder information gathering sessions, meetings, interviews;
iii.   Identify the critical management information required to support integrated management;
iv.   Identify opportunities for improvements and recommend options for process efficiencies;
v.   Develop associated integrated visual decision support tools, dashboards and org-charts; and
vi.   Produce appropriate communication material.

4.2.   INVESTIGATIONS DIRECTORATE REQUIREMENT

The Contractor will be required to work with the designated Investigations Directorate representatives and other stakeholders to understand their respective business and ensure they are documented and explained which will result in the following activities:

i.   Map and dynamically visualize core processes and business functions supporting regulatory investigations (i.e., receiving complaints, rating them, assigning resources, establishing priorities, communicating with complainants, reporting, etc.). The goal is that the work of the investigations directorate be fair, effective and efficient, that the criteria used for prioritizing files and supporting decision-making be clearly understood and applied as constantly as possible;

ii.   Identify opportunities for improvements and recommend options for process efficiencies; and

iii.   Produce appropriate communication material.

4.3.   POLLING SITE REQUIREMENT

The Contractor will be required to work with the designated Electoral Events representatives and other stakeholders to understand their respective business and ensure they are documented and explained which will result in the following activities:

i.   Map and dynamically visualize core processes (as is and to be processes) and business functions;

ii.   Facilitate a critical internal discussion of current processes and to, ultimately, communicate effectively with outside stakeholders (including parliamentarians) regarding the respective processes;

iii.   Identify the critical management information required to support integrated management;

iv.   Identify opportunities for improvements and recommend options for process efficiencies;

v.   Develop service / operational model; and

vi.   Produce appropriate communication material.

4.4.   POLITICAL FINANCING REQUIREMENT

The Contractor will be required to work with the designated Political Financing representatives and other stakeholders to understand their respective business and ensure they are documented and explained which will result in the following activities:

i.   Map and dynamically visualize core processes (as is and to be processes) and business functions within EC;

ii.   Facilitate a critical internal discussion of current processes and to, ultimately, communicate effectively with outside stakeholders (including parliamentarians) regarding the respective processes;

iii.   Identify the critical management information required to support integrated management;

iv.   Identify areas for improvement;

v.   Align with the process map that is to be undertaken, in order to be able to show that complete procedural continuum of a political financing file using similar language and visual depictions;

vi.   Develop service / operational model; and

vii.   Produce appropriate communication material.

5.	**KICK-OFF MEETING AND REQUIREMENT WORK PLAN**

5.1 The Contractor and their staff will attend an in-person kick-off meeting at ECHQ with the Technical Authority and the Designated Representatives to discuss the project requirements and prepare a detailed, integrated work plan encompassing the various requirements that will be approved before proceeding.

5.2 The Contractor will develop one integrated work plan encompassing project requirements, indicating how the Contractor intends to conduct and complete the work. The project plan will provide details on: (i) the process or methodology to be used; (ii) the steps and strategies that may be required to conduct the work; and (iii) the possible challenges which may be encountered and potential solutions to address those challenges.

5.3 The work plan must be developed by the Contractor following discussions with the Technical Authority and the Designated Representatives.

6.	**CONSULTATIONS, INTERVIEWS AND MEETINGS**

6.1 The Contractor must coordinate and conduct consultations, interviews and meetings with the individuals identified by the Technical Authority or the Designated Representative.

6.2 The Contractor must lead discussions and document the information collected as part of the consultations, interviews and meetings set out above.

6.3 The consultations, interviews and meetings will take place at ECHQ or the Contractor's location, at the discretion of EC.

7.	**DELIVERABLES**

7.1   Dynamic Visual Process Mapping and Business Functions – Primary Foundational and Subordinate Operational

7.1.1   Create dynamic visual process maps at a primary foundational level and
subordinate operational level for processes and business functions. Primary
foundational process maps will encompass broad, integrated, core processes at
the unit level. Subordinate operational process maps will focus on targeted
functions within the various units, as necessary.

7.1.2   Production of process maps includes the following methodology:

Information Gathering
i.   Analyzing business functional requirements to identify relevant information,
      procedures and decision flows;
ii.   Providing advice on any key initiatives that enable the organization to deploy high-
      impact business processes that are focused, accountable and measurable;
iii. Identifying candidate processes for potential refinement and re-design;
iv.   Gathering and reviewing relevant documentation describing the current process,
      volumetric (such as number of transactions per period, expected productivity of
      involved resources, others) and desired objectives (such as service standards);

Modeling Sessions
i.   Conducting focus groups as necessary, comprising of relevant process owners,
users and stakeholders;

Product Development
i.   Producing a visual the process that:
      a) Takes account of the process as it exists currently ("as is" picture) and its
          gaps, inefficiencies and opportunities for improvement
ii.   Assisting in identifying potential solutions, scenarios, providing trade off
      information and building consensus on a recommended course of action;
iii. Facilitating the identification of preliminary cost considerations for potential
      options;
iv.   Working with EC to identify options for process redesign/improvement that
      illustrate visually and dynamically how improvements are achieved such as gain in
      processing volume, productivity, etc.;

Validation Meeting
i.   Meeting with stakeholders to obtain feedback and provide advice in developing
and integrating process and information models between processes to eliminate
redundancies;

Change Management
i.   Assisting in identifying, recommending and planning new processes;
ii.   Providing advice and guidance on implementing new processes;
iii. Assisting in identification of required modifications to the automated processes;

iv.   Assisting in identifying key business, workflow and organizational tools;
v.   Assisting in identifying relevant and affected policies, procedures and guidelines;

Communications and Training
i.   Developing training and information sessions on business processes; and

Delivery
i.   Producing a final process map integrating feedback in both a PDF and standard MS Office 2010 suite format for files.

7.1.3   **Primary Foundational Process Maps – Level of Effort**
The estimated level of effort for the dynamic visual process and business functions mapping component is:

7.1.3.1   Two (2) dynamic visual high-level process and business functions mapping are being contemplated for ISPPA

7.1.3.2   One (1) dynamic visual high-level process and business functions mapping are being contemplated for the Investigations Directorate

7.1.3.3   One (1) dynamic visual high-level process and business functions mapping are being contemplated for Polling Site initiative

7.1.3.4   One (1) dynamic visual high-level process and business functions mappings are being contemplated for Political Financing.

7.1.4   **Subordinate Operational Process Maps – Level of Effort**
The estimated level of effort for the dynamic visual process and business functions mapping component is:

7.1.4.1   Up to three (3) dynamic visual process and business functions mapping are being contemplated for ISPPA

7.1.4.2   Up to three (3) dynamic visual process and business functions mapping are being contemplated for the Investigations Directorate

7.1.4.3   Up to one (1) dynamic visual process and business functions mapping are being contemplated for Polling Site initiative

7.1.4.4   Up to three (3) dynamic visual processes and business functions mappings are being contemplated for Political Financing.

7.2   Visual Decision Support and Reporting Tools

7.2.1   Create visual decision-making support and reporting tools (e.g., management dashboards). The methodology for development of these tools will include, as necessary, for each tool:

Information Gathering

i.   Meeting with senior executives (or staff, as necessary) to define information requirements (content), decision support needs (reporting, integration of information, visual representation of progress against indicators, accessibility of information, etc.) and preferences (format, frequency of reporting, appearance, etc.);

Product Development, Comments & Refinement
i.   Building a first draft of the decision tool using test information provided by the designated representative;
ii.   Presenting a first draft to the designated representative and gathering comments;
iii. Producing a second draft to the designated representative reflecting comments;
iv.   Presenting second draft to the designated representative and gathering any final comments if necessary;
v.   Producing a final decision tool reflecting comments if necessary;

Delivery
i.   Providing the final tool to the designated representative in a MS Office 2010 compatible format;

Knowledge Transfer Meeting
i.   Transferring knowledge to designated representative organization if required (this will be accomplished through a 60-minute in-person meeting with an EC employee who will maintain the tool on an on-going basis).

7.2.2   The estimated level of effort for the visual decision support and reporting tools component is:

   7.2.2.1 Up to Three (3) visual decision support/reporting tools are being contemplated for ISPPA with 3 senior executive requirement gathering sessions.
   7.2.2.2 Up to Four (4) visual decision support/reporting tools are being contemplated for the Investigations Directorate with senior executive requirement gathering sessions.
   7.2.2.3 Up to one (1) visual decision support/reporting tools are being contemplated for the for the Polling Site initiative with senior executive requirement gathering sessions.

7.3   Functional Organization Charts

7.3.1   Create functional organization charts (visual graphics depicting elements that may include: mandate, roles, relationships, value proposition, stakeholders and other elements for the overarching sector). The methodology for the development of these products will include, as necessary:

Information Gathering
   i.   Meeting with senior executives (or staff as necessary) to gather relevant information about core business functions;

Product Development, Comment and Revisions
   i.   Reviewing information gathered through meetings and relevant documents to produce a first draft of the functional org-chart;
   ii. Presenting first draft to the designated representative and gathering comments;
   iii. Producing a second draft to the designated representative reflecting comments;
   iv. Presenting second draft to the designated representative and gathering any final comments if necessary;
   v.   Producing a final functional org-chart reflecting any final comments if necessary; and

Delivery
   i.   Providing final org-chart to the designated representative in a MS Office 2010 compatible format.

7.3.2   The estimated level of effort for the functional organization charts component is:

   7.3.2.1   Up to one (1) functional organization charts are being contemplated for ISPPA with 7 senior executive requirement gathering sessions (ISPPA, CFO sector and the CIO sector).
   7.3.2.2   Up to one (1) functional organization charts are being contemplated for the Investigations Directorate with senior executive requirement gathering sessions.
   7.3.2.3   Up to one (1) functional organization charts are being contemplated for the for the Polling Site initiative with senior executive requirement gathering sessions.
   7.3.2.4   Up to one (1) functional organization charts are being contemplated for the for the for Political Financing requirement with 3 senior executive requirement gathering sessions

7.4   Business Process Summarization and Communication Material

7.4.1   Produce graphical communications products tailored to specific audiences as required, summarizing and communicating specific key processes. The methodology for development of these products will include, as required, for each:

Information Gathering

     i.   Meeting with senior executives to identify the core processes that need to be summarized and communicated

Product Development, Comment and Refinement
     i.   Developing a first draft of publicly-accessible documents that summarize and illustrate, for a broad audience, the core objectives and stages of the process;
     ii.   Presenting a first draft of the documents to the designated representative and gathering comments;
     iii.   Producing a second draft of the documents to the designated representative reflecting comments;
     iv.   Presenting second draft of documents to the designated representative and gathering any final comments if necessary;
     v.   Producing a final documents reflecting any final comments if necessary;

Delivery
     i.   Providing the final documents to the designated representative in a MS Office 2010 compatible format;

7.4.2   The estimated level of effort for the business service model and/or operational service model component is:

    7.4.3   Up to three (3) service model / operational models for ISPPA with senior executive requirement gathering sessions (ISPPA, CFO sector and the CIO sector).

    7.4.4   Up to two (2) service model / operational models are being contemplated for the Investigations Directorate with senior executive requirement gathering sessions.

    7.4.5   Up to one (1) service model / operational model is being contemplated for the Polling Site initiative.

    7.4.6   Up to four (4) service model / operational model is being contemplated for the Political Financing requirement with 9 senior executive requirement gathering sessions.

8.   STAKEHOLDER INTERVIEWS, MEETINGS AND WORKSHOPS

8.1   The Contractor may, with the prior approval of the Technical Authority or the Designated Representative obtain information from others within EC.

8.2   The Contractor must prepare an agenda, lead discussions and document the information collected as part of the consultations, interviews and meetings.

9.	RELEVANT DOCUMENTS

9.1   The Technical Authority or the Designated Representative may provide the Contractor with copies of relevant documents.

9.2   EC retains the right of ownership or possession of the Relevant Documents.

9.3   The Contractor is to retain the copies of all Relevant Documents, notes, reports and/or working papers utilized or prepared in conducting the work until the conclusion of the work. No Relevant Documents or other records shall be destroyed without the consent of the Technical Authority or the Designated Representative.

9.4   All notes, working papers and other such records created or obtained as a result of carrying out the work and any documents received or used during the work shall be returned to the Technical Authority or the Designated Representative.

10. REVIEWS AND FINAL DELIVERABLES

10.1   Each respective requirement shall have a detailed work plan with deliverables clearly defined, timelines, dates and level of effort that the Contractor will be expected to respect.

11. OFFICIAL LANGUAGES

11.1 The Contractor shall be able to accomplish any part of the Work in English or French, as required by the Technical Authority or Designated Representative.

11.2 Reports, reviews, processes, service manuals, graphics, pictorial representations, functional org charts, progress reports, business models, briefing or communication materials and any presentation shall be prepared in either English or French as required by the Technical Authority or Designated Representative.

12. TIMELINE

Start Date: Contract award
End Date: December 2014

13. LOCATION OF WORK

13.1   The majority of the Work will be completed at the Contractor's premises.

13.2   As required and with the pre-approval of the Technical Authority or the Designated Representative, the Contractor may be required to perform Work from the premises of ECHQ. If at ECHQ, the Contractor will be provided with a work station.

14. EC OBLIGATIONS AND SUPPORT

Throughout the Term of the Contract, EC will be responsible to:

14.1   Provide access to relevant EC personnel to facilitate the Contractor's performance of the Work; and

14.2   Provide any other assistance or support that has been authorized by the Technical Authority or Designated Representative to facilitate effective and efficient completion of the work.