

**RETURN BIDS TO:
RETOURNER LES SOUMISSIONS À:**
**Bid Receiving - PWGSC / Réception des
soumissions - TPSGC**
11 Laurier St. / 11, rue Laurier
Place du Portage , Phase III
Core 0B2 / Noyau 0B2
Gatineau, Québec K1A 0S5
Bid Fax: (819) 997-9776

**REQUEST FOR PROPOSAL
DEMANDE DE PROPOSITION**

**Proposal To: Public Works and Government
Services Canada**

We hereby offer to sell to Her Majesty the Queen in right of Canada, in accordance with the terms and conditions set out herein, referred to herein or attached hereto, the goods, services, and construction listed herein and on any attached sheets at the price(s) set out therefor.

**Proposition aux: Travaux Publics et Services
Gouvernementaux Canada**

Nous offrons par la présente de vendre à Sa Majesté la Reine du chef du Canada, aux conditions énoncées ou incluses par référence dans la présente et aux annexes ci-jointes, les biens, services et construction énumérés ici sur toute feuille ci-annexée, au(x) prix indiqué(s).

Comments - Commentaires

This Document contains a Security Requirements

| | |
|---|--|
| Title - Sujet EDI/LVTS | |
| Solicitation No. - N° de l'invitation EN891-151443/A | Date 2015-03-18 |
| Client Reference No. - N° de référence du client 20151443 | |
| GETS Reference No. - N° de référence de SEAG PW-\$\$ZG-410-28660 | |
| File No. - N° de dossier 410zg.EN891-151443 | CCC No./N° CCC - FMS No./N° VME |
| Solicitation Closes - L'invitation prend fin at - à 02:00 PM on - le 2015-04-27 | Time Zone Fuseau horaire Eastern Daylight Saving Time EDT |
| F.O.B. - F.A.B. Plant-Usine: <input type="checkbox"/> Destination: <input checked="" type="checkbox"/> Other-Autre: <input type="checkbox"/> | |
| Address Enquiries to: - Adresser toutes questions à: Gagnon, Jocelyne C. | Buyer Id - Id de l'acheteur 410zg |
| Telephone No. - N° de téléphone (819) 956-0575 () | FAX No. - N° de FAX (819) 956-2675 |
| Destination - of Goods, Services, and Construction: Destination - des biens, services et construction: Specified Herein Précisé dans les présentes | |

Instructions: See Herein

Instructions: Voir aux présentes

Vendor/Firm Name and Address

**Raison sociale et adresse du
fournisseur/de l'entrepreneur**

Issuing Office - Bureau de distribution

Business Management and Consulting Services Division /
Division des services de gestion des affaires et de
consultation
11 Laurier St. / 11, rue Laurier
10C1, Place du Portage
Gatineau, Québec K1A 0S5

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

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See Attached

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Bid solicitation EN891-151443/A issued for the provision of the following professional services: The Department of Public Works and Government Services Canada (PWGSC) on behalf of the Receiver General for Canada require a contract with a service provider to use Electronic Data Interchange (EDI) payments in order to obtain a number of cost and processing benefits.

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PART 1 - GENERAL INFORMATION

1. Introduction

The bid solicitation is divided into seven parts plus attachments and annexes, as follows:

- Part 1 General Information: provides a general description of the requirement;
- Part 2 Bidder Instructions: provides the instructions, clauses and conditions applicable to the bid solicitation;
- Part 3 Bid Preparation Instructions: provides bidders with instructions on how to prepare their bid;
- Part 4 Evaluation Procedures and Basis of Selection: indicates how the evaluation will be conducted, the evaluation criteria that must be addressed in the bid, and the basis of selection;
- Part 5 Certifications: includes the certifications to be provided;
- Part 6 Security, Financial and Other Requirements: includes specific requirements that must be addressed by bidders; and
- Part 7 Resulting Contract Clauses: includes the clauses and conditions that will apply to any resulting contract.

The Attachments include the Pricing Schedule, Technical Criteria and the Certifications Precedent to Contract Award.

The Annexes include the Statement of Work, Basis of Payment and the Security Requirements Check List.

2. Summary

2.1 The Government of Canada uses Electronic Data Interchange (EDI) payments in order to obtain a number of cost and processing benefits. The primary benefits of EDI over other electronic payment methods are the ability to make same-day payments and the ability to transmit significant amounts of narrative or financial data along with the payment. Therefore, the Government of Canada is able to realize paper, manual processing and mailing cost savings.

The period of the Contract will be from date of Contract to September 30, 2018 and the date of commencement of services must be October 1st, 2015 to September 30, 2018, with an irrevocable option to extend the period of the Contract by two (2) additional one (1) year period and one (1) additional (6) six months transition period under the same terms and conditions.

2.2 The resulting Contract is not to be used for deliveries within a Comprehensive Land Claims Settlement Area (CLCSA). All requirements for delivery within a CLCSA are to be processed individually.

2.3 There is a security requirement associated with this requirement. For additional information, consult Part 6 - Security, Financial and Other Requirements, and Part 7 - Resulting Contract Clauses. For more information on personnel and organization security screening or security clauses, bidders should refer to the [Canadian Industrial Security Directorate \(CISD\), Industrial and Security Program](http://ssi-iss.tpsgc-pwgsc.gc.ca/index-eng.html) of Public Works and Government Services Canada (<http://ssi-iss.tpsgc-pwgsc.gc.ca/index-eng.html>) website.

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3. Debriefings

Bidders may request a debriefing on the results of the bid solicitation process. Bidders should make the request to the Contracting Authority within 15 working days of receipt of the results of the bid solicitation process. The debriefing may be in writing, by telephone or in person.

PART 2 - BIDDER INSTRUCTIONS

1. Standard Instructions, Clauses and Conditions

All instructions, clauses and conditions identified in the bid solicitation by number, date and title are set out in the [Standard Acquisition Clauses and Conditions Manual](https://buyandsell.gc.ca/policy-and-guidelines/standard-acquisition-clauses-and-conditions-manual) (<https://buyandsell.gc.ca/policy-and-guidelines/standard-acquisition-clauses-and-conditions-manual>) issued by Public Works and Government Services Canada.

Bidders who submit a bid agree to be bound by the instructions, clauses and conditions of the bid solicitation and accept the clauses and conditions of the resulting contract.

The 2003 (2014-09-25), Standard Instructions - Goods or Services - Competitive Requirements, are incorporated by reference into and form part of the bid solicitation.

Subsection 5.4 of 2003, Standard Instructions - Goods or Services - Competitive Requirements, is amended as follows:

Delete: sixty (60) days

Insert: one hundred twenty (120) calendar days.

2. Submission of Bids

Bids must be submitted only to Public Works and Government Services Canada (PWGSC) Bid Receiving Unit by the date, time and place indicated on page 1 of the bid solicitation. Bids transmitted to PWGSC by electronic mail will not be accepted.

Due to the nature of the bid solicitation, bids transmitted by facsimile to PWGSC will not be accepted.

3. Former Public Servant

Contracts awarded to former public servants (FPS) in receipt of a pension or of a lump sum payment must bear the closest public scrutiny and reflect fairness in spending public funds. In order to comply with Treasury Board policies and directives on contracts with FPS, bidders must provide the information required below before contract award.

Definitions

For the purposes of this clause,

"former public servant" is any former member of a department as defined in the [Financial Administration Act](#), R.S., 1985, c. F-11, a former member of the Canadian Armed Forces or a former member of the Royal Canadian Mounted Police. A former public servant may be:

- a) an individual;
- b) an individual who has incorporated;
- c) a partnership made of former public servants; or
- d) a sole proprietorship or entity where the affected individual has a controlling or major interest in the entity.

"lump sum payment period" means the period measured in weeks of salary, for which payment has been made to facilitate the transition to retirement or to other employment as a result of the implementation of various programs to reduce the Public Service. The lump sum payment period does not include the period of severance pay, which is measured in a like manner.

"pension" means a pension or annual allowance paid under the [Public Service Superannuation Act \(PSSA\)](#), R.S., 1985, c. P-36, and any increases paid pursuant to the [Supplementary Retirement Benefits Act](#), R.S., 1985, c. S-24 as it affects the PSSA. It does not include pensions payable pursuant to the [Canadian Forces Superannuation Act](#), R.S., 1985, c. C-17, the [Defence Services Pension Continuation Act](#), 1970, c. D-3, the [Royal Canadian Mounted Police Continuation Act](#), 1970, c. R-10, and the [Royal Canadian Mounted Police Superannuation Act](#), R.S., 1985, c. R-11, the [Members of Parliament Retiring Allowances Act](#), R.S., 1985, c. M-5, and that portion of pension payable to the [Canada Pension Plan Act](#), R.S., 1985, c. C-8.

Former Public Servant in Receipt of a Pension

As per the above definitions, is the Bidder a FPS in receipt of a pension? Yes () No ()

If so, the Bidder must provide the following information, for all FPS in receipt of a pension, as applicable:

- a) name of former public servant;
- b) date of termination of employment or retirement from the Public Service.

If the answer to the question and, as applicable, the information are not submitted in or with the bid, the Contracting Authority will so inform the Bidder and provide the Bidder with a time frame within which to meet the requirement. Failure to comply with the request of the Contracting Authority and meet the requirement within that time period will render the bid non-responsive.

By providing this information, Bidders agree that the successful Bidder's status, with respect to being a former public servant in receipt of a pension, will be reported on departmental websites as part of the published proactive disclosure reports in accordance with [Contracting Policy Notice: 2012-2](#) and the [Guidelines on the Proactive Disclosure of Contracts](#).

Work Force Adjustment Directive

Is the Bidder a FPS who received a lump sum payment pursuant to the terms of the Work Force Adjustment Directive Yes () No ()

If so, the Bidder must provide the following information:

- a) name of former public servant;
- b) conditions of the lump sum payment incentive;
- c) date of termination of employment;
- d) amount of lump sum payment;
- e) rate of pay on which lump sum payment is based;
- f) period of lump sum payment including start date, end date and number of weeks; and
- g) number and amount (professional fees) of other contracts subject to the restrictions of a work force adjustment program.

If the answer to the question and, as applicable, the information are not submitted in or with the bid, the Contracting Authority will so inform the Bidder and provide the Bidder with a time frame within which to meet the requirement. Failure to comply with the request of the Contracting Authority and meet the requirement within that time period will render the bid non-responsive.

For all contracts awarded during the lump sum payment period, the total amount of fees that may be paid to a FPS who received a lump sum payment is \$5,000, including Applicable Taxes.

4. Enquiries - Bid Solicitation

All enquiries must be submitted in writing to the Contracting Authority no later than ten (10) calendar days before the bid closing date. Enquiries received after that time may not be answered.

Bidders should reference as accurately as possible the numbered item of the bid solicitation to which the enquiry relates. Care should be taken by bidders to explain each question in sufficient detail in order to enable Canada to provide an accurate answer. Technical enquiries that are of a proprietary nature must be clearly marked "proprietary" at each relevant item. Items identified as "proprietary" will be treated as such except where Canada determines that the enquiry is not of a proprietary nature. Canada may edit the question(s) or may request that the Bidder do so, so that the proprietary nature of the question(s) is eliminated and the enquiry can be answered to all bidders. Enquiries not submitted in a form that can be distributed to all bidders may not be answered by Canada.

5 Applicable Laws

Any resulting contract must be interpreted and governed, and the relations between the parties determined, by the laws in force in Ontario.

Bidders may, at their discretion, substitute the applicable laws of a Canadian province or territory of their choice without affecting the validity of their bid, by deleting the name of the Canadian province or territory specified and inserting the name of the Canadian province or territory of their choice. If no change is made, it acknowledges that the applicable laws specified are acceptable to the bidders.

6. Improvement of Requirement During Solicitation Period

Should bidders consider that the specifications or Statement of Work contained in the bid solicitation could be improved technically or technologically, bidders are invited to make suggestions, in writing, to the Contracting Authority named in the bid solicitation. Bidders must clearly outline the suggested improvement as well as the reason for the suggestion. Suggestions that do not restrict the level of competition nor favour a particular bidder will be given consideration provided they are submitted to the Contracting Authority at least **ten (10) days** before the bid closing date. Canada will have the right to accept or reject any or all suggestions.

PART 3 - BID PREPARATION INSTRUCTIONS

1. Bid Preparation Instructions

Canada requests that bidders provide their bid in separately bound sections as follows:

- Section I: Technical Bid (4 hard copies);
- Section II: Financial Bid (2 hard copies);
- Section III: Certifications (1 hard copy); and
- Section IV: Additional Information (1 hard copy).

Prices must appear in the financial bid only. No prices must be indicated in any other section of the bid.

Canada requests that bidders follow the format instructions described below in the preparation of their bid:

- (a) use 8.5 x 11 inch (216 mm x 279 mm) paper; and
- (b) use a numbering system that corresponds to the bid solicitation.

In April 2006, Canada issued a policy directing federal departments and agencies to take the necessary steps to incorporate environmental considerations into the procurement process [Policy on Green Procurement](#).

To assist Canada in reaching its objectives, bidders should :

- 1) use paper containing fiber certified as originating from a sustainably-managed forest and containing minimum 30% recycled content; and
- 2) use an environmentally-preferable format including black and white printing instead of colour printing, printing double sided/duplex, using staples or clips instead of cerlox, duotangs or binders.

Section I: Technical Bid

In their technical bid, bidders should demonstrate their understanding of the requirements contained in the bid solicitation and explain how they will meet these requirements. Bidders should demonstrate their capability and describe their approach in a thorough, concise and clear manner for carrying out the work.

The technical bid should address clearly and in sufficient depth the points that are subject to the evaluation criteria against which the bid will be evaluated. Simply repeating the statement contained in the bid solicitation is not sufficient. In order to facilitate the evaluation of the bid, Canada requests that bidders address and present topics in the order of the evaluation criteria under the same headings. To avoid duplication, bidders may refer to different sections of their bids by identifying the specific paragraph and page number where the subject topic has already been addressed.

Part 4, Evaluation Procedures, contains additional instructions that bidders should consider when preparing their technical bid.

Section II: Financial Bid

1.1 Bidders must submit their financial bid in Canadian funds and in accordance with the pricing schedule detailed in Attachment 1 to Part 3. The total amount of Applicable Taxes must be shown separately.

1.2 Bidders must submit their prices FOB destination; Canadian customs duties and excise taxes included, as applicable; and Applicable Taxes excluded.

1.3 When preparing their financial bid, bidders should review the basis of payment in Annex B and clause 1.2, Financial Evaluation, of Part 4.

1.4 Bidders should include the following information in their financial bid:

1. Their legal name;
2. Their Procurement Business Number (PBN); and
3. The name of the contact person (including this person's mailing address, phone and facsimile numbers and email address) authorized by the Bidder to enter into communications with Canada with regards to:
 - their bid; and
 - any contract that may result from their bid.

1.5 SACC Manual Clauses

C3011T (2013-11-06), Exchange Rate Fluctuation

Section III: Certifications

In Section III of their bid, Bidders should provide the certifications required under Part 5 and, as applicable, any related documentation.

Section IV: Additional Information

In Section IV of their bid, Bidders should provide:

For Part 2, article 3, Former Public Servant: the required answer to each question and, as applicable, the required; and

For Part 6, article 1, Security Requirement:

- the name of all individuals who will require access to classified or protected information, assets or sensitive work sites; and
- the address (es) containing the information below of proposed location(s) of work performance or document safeguarding.

Address:

Street Number / Street Name, Unit / Suite / Apartment Number

City, Province, Territory / State

Postal Code / Zip Code

Country

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ATTACHMENT 1 to PART 3 PRICING SCHEDULE

The Bidder should complete this pricing schedule and include it in its financial bid once completed. As a minimum, the Bidder must respond to this pricing schedule by including in its financial bid for each of the periods specified below their quoted firm all inclusive Fee/Price (in Cdn \$) for each of the items identified here below.

- A – EDI Transaction
- B - Set-up
- C - Administration
- D - Trace Request
- E - Recall Request

Historical EDI volumes are provided in Annex A, Statement of Work, Appendix A2. The level of Work specified herein is only an approximation of requirements and does not constitute any guarantee of future volumes.

NOTES:

- 1 - All other costs to the bidder must be recovered in the unit fees/monthly fees/prices proposed for the above items.
- 2 – If a bidder does not wish to offer any unit fees/monthly fees/price, **they must clearly indicate a 0\$** price in each table.

1.0 Quoted firm all-inclusive unit fee/monthly fee/price and Calculation of Total Evaluated (Assessed) Price (TAP)

The Total Assessed Price (Assessed) at article 2.0 will be the arithmetic sum of the following items (A, B, C, D and E as described here below) as provided in the Financial Proposal and as verified by the PWGSC Contracting Authority:

A - EDI Transaction

- a. Bidders should clearly specify a firm all-inclusive unit fee (transaction fee) for each annual volume range and for each year in the Table A1 (column B, D, F, H and J).
- b. Bidders should use the volume ranges provided in Table A1 in their proposals.
- c. If a bidder wishes to offer a flat firm all-inclusive fee regardless of volume, they must enter the same unit fee for each volume range and for each year in the Table A1.
- d. Proposals with an **incomplete** Table A1 will be given no further consideration and the bidder's proposal will be considered to be **non-responsive**.

Table A1 – EDI Transaction – Firm All-Inclusive Unit Fees

| | A | B | C | D | E | F | G | H | I | J | K |
|---|---------------|--|--|--|--|--|--|---|--|---|--|
| Annual Transaction Volume Range | Weight Factor | Year 1 Quoted Firm All-Inclusive Unit Fee per Volume Range | Weighted Quoted Firm All-Inclusive Unit Fee per Volume Range (A*B) | Year 2 Quoted Firm All-Inclusive Unit Fee per Volume Range | Weighted Quoted Firm All-Inclusive Unit Fee per Volume Range (A*D) | Year 3 Quoted Firm All-Inclusive Unit Fee per Volume Range | Weighted Quoted Firm All-Inclusive Unit Fee per Volume Range (A*F) | Option Year 1 Quoted Firm All-Inclusive Unit Fee per Volume Range | Weighted Quoted Firm All-Inclusive Unit Fee per Volume Range (A*H) | Option Year 2 Quoted Firm All-Inclusive Unit Fee per Volume Range | Weighted Quoted Firm All-Inclusive Unit Fee per Volume Range (A*J) |
| 1 Up to 50,000 | .25 | | \$ | | \$ | | \$ | | \$ | | \$ |
| 2 50,001 to 70,000 | .50 | | \$ | | \$ | | \$ | | \$ | | \$ |
| 3 70,001 and above | .25 | | \$ | | \$ | | \$ | | \$ | | \$ |
| 4 Total Weighted Firm All-Inclusive Unit Fee per transaction (sum 1 to 3) | 1.00 | | \$ | | \$ | | \$ | | \$ | | \$ |
| | | | Year 1 Weighted Firm All-Inclusive Unit Fee | | Year 2 Weighted Firm All-Inclusive Unit Fee | | Year 3 Weighted Firm All-Inclusive Unit Fee | | Option year 1 Weighted Firm All-Inclusive Unit Fee | | Option year 2 Weighted Firm All-Inclusive Unit Fee |

If a bidder does not wish to offer any unit fees/monthly fees/prices, it must clearly indicate a 0\$ fee/price in each table.

Table A2 – EDI Transaction – Annual Prices

| Volume Forecasts | YEAR 1 | YEAR 2 | YEAR 3 | OPTION Yr 1 | Option Yr 2 | TOTAL PRICE |
|---|--------|--------|--------|-------------|-------------|-------------|
| Estimated Annual Transaction Volume | 65,000 | 65,000 | 65,000 | 65,000 | 65,000 | |
| Total Weighted Firm All-Inclusive Unit Fee per transaction from Table A1 above (line 4) | \$ | \$ | \$ | \$ | \$ | \$ |
| Estimated Annual Transaction Price * | \$ | \$ | \$ | \$ | \$ | \$ |

*Estimated Annual Transaction Volume multiplied by Total Weighted Firm All-Inclusive Unit Fee. To be rounded up to two decimal places.
If a bidder do not wish to offer any unit fees/monthly fees/prices, it must clearly indicate a 0\$ fee/price in each table.

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B - Set-up

One time Firm All-Inclusive Price to obtain, install and test all the computer equipment, supporting equipment, software and services, including communications services, that will be required to send and to receive data pertaining to RG payments issued in EDI format.

NOTE: The set-up fee can only be applied one time at the beginning of the contract period.

Table B1 – Set-up – Firm All-Inclusive Price

| List all items included in the Set-up Firm all-Inclusive Price (add lines as necessary) | Total Price Contract Year 1 |
|--|--------------------------------|
| | \$ |
| | \$ |
| Total Quoted Firm All-Inclusive Price | \$ |

If a bidder do not wish to offer any unit fees/monthly fees/prices, **it must clearly indicate a 0\$ fee/price** in each table.

C - Administration

Bidder's proposal can include a fixed, Firm All-Inclusive Monthly Administration price for maintenance, record keeping, services, communications and overhead fees pertaining to RG payments issued in EDI format.

If the bidder's proposal includes a monthly fee, the Total Monthly Fees will be calculated as follows:

Table C1 – Administration – Firm All-Inclusive Monthly Fees and Annual Prices

| | Year 1 | Year 2 | Year 3 | Option Year 1 | Option Year 2 | Total Price |
|--|--------|--------|--------|---------------|---------------|-------------|
| Number of Months | 12 | 12 | 12 | 12 | 12 | |
| Quoted Firm All-Inclusive Monthly Fee | \$ | \$ | \$ | \$ | \$ | |
| Estimated Annual Administration Price * | \$ | \$ | \$ | \$ | \$ | \$ |

* Number of Months multiplied by Quoted Firm All-Inclusive Monthly Fee. To be rounded up to two decimal places.
If a bidder do not wish to offer any unit fees/monthly fees/prices, **it must clearly indicate a 0\$ fee/price** in each table.

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D - Trace Request

Table D1 – Trace Request – Firm All-Inclusive Unit Fees and Annual Prices

| | Year 1 | Year 2 | Year 3 | Option Year 1 | Option Year 2 | Total Price |
|--|--------|--------|--------|---------------|---------------|-------------|
| Estimated Annual Trace Request Volume | 10 | 10 | 10 | 10 | 10 | |
| Quoted Firm All-Inclusive Unit Fee per Trace Request | \$ | \$ | \$ | \$ | \$ | |
| Estimated Annual Trace Request Price * | \$ | \$ | \$ | \$ | \$ | \$ |

* Estimated Annual Trace Request Volume by Quoted Firm All-Inclusive Unit Fee per Trace Request. To be rounded up to two decimal places.
If a bidder do not wish to offer any unit fees/monthly fees/prices, it must clearly indicate a 0\$ fee/price in each table.

E - Recall Request

Table E1 – Recall Request – Firm All-Inclusive Unit Fees and Annual Prices

| | Year 1 | Year 2 | Year 3 | Option Year 1 | Option Year 2 | Total Price |
|---|--------|--------|--------|---------------|---------------|-------------|
| Estimated Annual Recall Request Volume | 3 | 3 | 3 | 3 | 3 | |
| Quoted Firm All-Inclusive Unit Fee per Recall Request | \$ | \$ | \$ | \$ | \$ | |
| Estimated Annual Recall Request Price * | \$ | \$ | \$ | \$ | \$ | \$ |

* Estimated Annual Recall Request Volume by Quoted Firm All-Inclusive Unit Fee per Recall Request. To be rounded up to two decimal places.
If a bidder do not wish to offer any unit fees/monthly fees/prices, it must clearly indicate a 0\$ fee/price in each table.

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2.0 Calculation of Total Evaluated (Assessed) Price (TAP)

Table 1 - Total Evaluated (Assessed) Price (TAP)

| Item | Reference table | Total Price (5 years) |
|--|---|---|
| A – EDI Transaction | See article 1.0 Table A2 – EDI Transaction – Annual Prices | Total Estimated Annual Transaction Price \$ |
| B – Set-Up | See article 1.0 Table B1 – Set-up – Firm All-Inclusive Price | Quoted Firm All-Inclusive Price \$ |
| C – Administration | See article 1.0 Table C1 – Administration – Firm All-Inclusive Monthly Fees and Annual Prices | Total Estimated Annual Administration Price \$ |
| D – Trace Request | See article 1.0 Table D1 – Trace Request - Firm All-Inclusive Unit Fees and Annual Prices | Total Estimated Annual Trace Request Price \$ |
| E – Recall Request | See article 1.0 Table E1 – Recall Request - Firm All-Inclusive Unit Fees and Annual Prices | Total Estimated Annual Recall Request Price \$ |
| Total Evaluated (Assessed) Price (TAP) = A + B + C + D + E | | Total Evaluated (Assessed) Price (TAP) \$ |

* To be rounded up to two decimal places. If a bidder do not wish to offer any unit fees/monthly fees/prices, it must clearly indicate a 0\$ fee/price in each table.

PART 4 - EVALUATION PROCEDURES AND BASIS OF SELECTION

1. Evaluation Procedures

- (a) Bids will be assessed in accordance with the entire requirement of the bid solicitation including the technical and financial evaluation criteria.
- (b) An evaluation team composed of representatives of Canada will evaluate the bids.

1.1 Technical Evaluation

1.1.1 Mandatory Technical Criteria

Refer to Attachment 1 to Part 4.

1.1.2 Point Rated Technical Criteria

Refer to Attachment 1 to Part 4. Point-rated technical criteria not addressed will be given a score of zero.

1.2 Financial Evaluation

1.2.1 The volumetric data included in the pricing schedule detailed in Attachment 1 to Part 3 are provided for bid evaluated price determination purposes only. They are not to be considered as a contract guarantee.

1.2.2 For bid evaluation and contractor(s) selection purposes only, the evaluated price of a bid will be determined in accordance with the Pricing Schedule detailed in Attachment 1 to Part 3.

2. Basis of Selection

2.1 Basis of Selection - Lowest Evaluated Price

1. To be declared responsive, a bid must:

- (a) comply with all the requirements of the bid solicitation;
- (b) meet all mandatory evaluation criteria; and
- (c) obtain the required minimum number of points specified in Attachment 1 to Part 4 for the point rated technical criteria.

2. Bids not meeting (a) or (b) or (c) will be declared non-responsive. The responsive bid with the lowest evaluated price will be recommended for award of a contract. In the event two or more responsive bids have the same lowest evaluated price, the responsive bid that obtained the highest overall score for all the point rated technical criteria subject to point rating detailed in Attachment 1 to Part 4 will be recommended for award of a contract.

ATTACHMENT 1 to PART 4 TECHNICAL CRITERIA

1.1.1 Mandatory Technical Criteria

The bid must meet the mandatory technical criteria specified below. The Bidder must provide the necessary documentation to support compliance with this requirement.

Bids which fail to meet the mandatory technical criteria will be declared non-responsive. Each mandatory technical criterion should be addressed separately.

| MANDATORY TECHNICAL CRITERIA | | |
|------------------------------|---|-------------|
| Description | | MET/NOT MET |
| M1 | The Bidder must identify that they are a direct clearing member of the Canadian Payment Association or a group clearer having direct clearing membership. | |
| M2 | The Bidder must provide an implementation plan, as per section 1.5.1 of the Annex A. | |

1.1.2 Point Rated Technical Criteria

Bids which meet all the mandatory technical criteria will be evaluated and scored as specified in the tables inserted below.

Bids which fail to obtain the overall minimum number of points required will be declared non-responsive. Each point rated technical criterion should be addressed separately.

The table below is the scoring guideline that will be used by the evaluation panel to assign a score to each narrative response of the Technical Bid for Rated criteria R1, R2 and R3.

| Rating | Description |
|-----------|---|
| 0 = (0%) | Criteria are not addressed. No response provided. |
| 3 = (30%) | Criteria are marginally addressed. They address some elements of the criteria but the response is missing several important elements. |
| 5 = (50%) | Criteria are almost addressed. They address most elements but some minor information is missing. |
| 8 = (80%) | Criteria are well addressed and provide a good quality solution. ALL elements are addressed. |
| 10=(100%) | Criteria exceed the requirement. The response is exceptional, complete and thorough details are provided on each element of the rated criteria. |

| Point Rated Technical Criteria Maximum Points: 100, Minimum Points: 70 | | Maximum Number of Points |
|--|---|-----------------------------|
| <u>PROGRAM APPROACH</u> <i>Bidder's approach to, and understanding of, the scope of services required in the RFP as evidenced by the project approach represented. The following will be evaluated:</i> <ul style="list-style-type: none"> •Contract Implementation plan •Bidder's approach to detect any transmission anomalies •Bidder's approach to system testing and New Payee testing | | |
| R1 | <p>The Bidder must describe its Contract implementation plan, as outlined in section 1.5.1 of the Statement of Work.</p> <p>The Bidder must provide a detailed implementation plan that allows for the successful implementation of the new contract by the RG's planned "in production" start date of October 1, 2015. An implementation plan, at a minimum, must include the following:</p> <p>a) a list of activities required to achieve implementation and who will be responsible; max. 5 pts</p> <p>b) a list of dependencies that affect each listed activity; max. 5 pts</p> <p>c) an estimate of the personnel and material resources required to execute each activity; max. 5pts</p> <p>d) the layout of the implementation plan including duration for each activity using a Gantt Chart and provided in paper for evaluation. max. 5pts</p> | 20 |
| R2 | <p>The Bidder must provide its approach to detect, and promptly notify the RG of any transmission anomalies such as a document that has not been properly acknowledged in accordance with the Operations Protocol. Bidder should address and include the following elements:</p> <p>a) issues reporting process mapping max. 5pts</p> <p>b) issues reporting schedule (notification, analysis) max. 5pts</p> <p>c) a description of their problem analysis detail level: max. 15pts (Impact assessment, origin, recommendations current and future, actions taken);</p> <p>d) a description of escalation process; max. 10 pts</p> <p>e) a description of the trace, recall and Returned Item Voucher (RIV) process. max. 5 pts</p> | 40 |
| R3 | <p>The Bidder should summarize their approach to system testing and New Payee testing (the nominal value trial transaction), plus comprehensiveness of file authentication & transaction edit and validation. Bidder should address the following elements:</p> <p>a) a description of their validation procedure test; max. 10pts</p> <p>b) a description and method of confirmation of payee account; max. 10pts</p> <p>c) the level of automation; max. 10pts</p> <p>e) how they meet the file authentication standards described in the operational protocol. max. 10pts</p> | 40 |
| TOTAL | | 100 |

PART 5 - CERTIFICATIONS

Bidders must provide the required certifications and associated information to be awarded a contract.

The certifications provided by bidders to Canada are subject to verification by Canada at all times. Canada will declare a bid non-responsive, or will declare a contractor in default in carrying out any of its obligations under the Contract, if any certification made by the Bidder is found to be untrue, whether made knowingly or unknowingly, during the bid evaluation period or during the contract period.

The Contracting Authority will have the right to ask for additional information to verify the Bidder's certifications. Failure to comply and to cooperate with any request or requirement imposed by the Contracting Authority may render the bid non-responsive or constitute a default under the Contract.

1. Certifications Precedent to Contract Award

1.1 Integrity Provisions - Associated Information

By submitting a bid, the Bidder certifies that the Bidder and its Affiliates are in compliance with the provisions as stated in Section 01 Integrity Provisions - Bid of Standard Instructions 2003. The associated information required within the Integrity Provisions will assist Canada in confirming that the certifications are true.

1.2 Federal Contractors Program for Employment Equity - Bid Certification

By submitting a bid, the Bidder certifies that the Bidder, and any of the Bidder's members if the Bidder is a Joint Venture, is not named on the Federal Contractors Program (FCP) for employment equity "[FCP Limited Eligibility to Bid](http://www.labour.gc.ca/eng/standards_equity/eq/emp/fcp/list/inelig.shtml)" list (http://www.labour.gc.ca/eng/standards_equity/eq/emp/fcp/list/inelig.shtml) available from [Employment and Social Development Canada \(ESDC\) - Labour's](#) website.

Canada will have the right to declare a bid non-responsive if the Bidder, or any member of the Bidder if the Bidder is a Joint Venture, appears on the "[FCP Limited Eligibility to Bid](#)" list at the time of contract award.

1.3 Attachment 1 to Part 5, Certifications Precedent to Contract Award

The certifications included in Attachment 1 to Part 5, Certifications Precedent to Contract Award should be completed and submitted with the bid but may be submitted afterwards. If any of these required certifications is not completed and submitted as requested, the Contracting Authority will inform the Bidder of a time frame within which to provide the information. Failure to comply with the request of the Contracting Authority and to provide the certifications within the time frame provided will render the bid non-responsive.

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ATTACHMENT 1 to PART 5 CERTIFICATIONS PRECEDENT TO CONTRACT AWARD

1. Canadian Content

1.1 SACC Manual clause A3050T, Canadian Content Definition.

1.2 Canadian Content Certification

This procurement is limited to Canadian services.

The Bidder certifies that:

() the service offered is a Canadian service as defined in paragraph 2 of clause A3050T.

PART 6 - SECURITY, FINANCIAL AND OTHER REQUIREMENTS

1. Security Requirement

1.1 Before award of a contract, the following conditions must be met:

- (a) the Bidder must hold a valid organization security clearance as indicated in Part 7 - Resulting Contract Clauses;
- (b) the Bidder's proposed individuals requiring access to classified or protected information, assets or sensitive work site(s) must meet the security requirement as indicated in Part 7 - Resulting Contract Clauses;
- (c) the Bidder must provide the name of all individuals who will require access to classified or protected information, assets or sensitive work sites;
- (d) the Bidder's proposed location of work performance or document safeguarding must meet the security requirement as indicated in Part 7- Resulting Contract Clauses; and
- (e) the Bidder must provide the address(es) containing the information below of proposed location(s) of work performance or document safeguarding.

Address:

Street Number / Street Name, Unit / Suite / Apartment Number

City, Province, Territory / State

Postal Code / Zip Code

Country

If the information is not provided in or with the bid, the Contracting Authority will so inform the Bidder and provide the Bidder with a time frame within which to meet the requirement. Failure to comply with the request of the Contracting Authority and meet the requirement within that time period will render the bid non-responsive.

1.2 Bidders are reminded to obtain the required security clearance promptly. Any delay in the award of a contract to allow the successful bidder to obtain the required clearance will be at the entire discretion of the Contracting Authority.

1.3 For additional information on security requirements, bidders should refer to the [Canadian Industrial Security Directorate \(CISD\), Industrial Security Program](http://ssi-iss.tpsgc-pwgsc.gc.ca/index-eng.html) of Public Works and Government Services Canada (<http://ssi-iss.tpsgc-pwgsc.gc.ca/index-eng.html>) website.

2. Financial Capability

SACC Manual clause A9033T(2012-07-16), Financial Capability

PART 7 - RESULTING CONTRACT CLAUSES

The following clauses and conditions apply to and form part of any contract resulting from the bid solicitation.

The resulting Contract is not to be used for deliveries within a Comprehensive Land Claims Settlement Area (CLCSA). All requirements for delivery within a CLCSA are to be processed individually.

1. Statement of Work

The Contractor must perform the Work in accordance with the Statement of Work in Annex A.

1.2 Destination of Services

Public Works and Government Services Canada
Accounting, Banking and Compensation Branch
Banking Arrangements Directorate
Phase III, Place du Portage
11 Laurier Street
Gatineau, Quebec K1A 0S5
Canada

2. Standard Clauses and Conditions

All clauses and conditions identified in the Contract by number, date and title are set out in the [Standard Acquisition Clauses and Conditions Manual](https://buyandsell.gc.ca/policy-and-guidelines/standard-acquisition-clauses-and-conditions-manual) (<https://buyandsell.gc.ca/policy-and-guidelines/standard-acquisition-clauses-and-conditions-manual>) issued by Public Works and Government Services Canada.

2.1 General Conditions

2035 (2014-09-25), General Conditions - Higher Complexity - Services, apply to and form part of the Contract.

2.2 Supplemental General Conditions

4008 (2008-12-12), Personal Information, apply to and form part of the Contract.

2.3 SACC Manual Clauses

K3002C (2008-05-12), Contractor to own IP: No Explicit License Rights for Canada
K3030C (2010-01-11), License to Material Subject to Copyright

3. Security Requirement

3.1 The following security requirement (SRCL and related clauses) applies and form part of the Contract:

1. The Contractor/Offeror must, at all times during the performance of the Contract/Standing Offer, hold a valid Designated Organization Screening (DOS) with approved Document Safeguarding at the level of PROTECTED A, issued by the Canadian Industrial Security Directorate, Public Works and Government Services Canada.
2. The Contractor/Offeror personnel requiring access to PROTECTED information, assets or work site(s) must EACH hold a valid RELIABILITY STATUS, granted or approved by the Canadian Industrial Security Directorate (CISD), Public Works and Government Services Canada (PWGSC).

3. The Contractor MUST NOT utilize its Information Technology systems to electronically process, produce or store PROTECTED information until the CISC/PWGSC has issued written approval. After approval has been granted or approved, these tasks may be performed at the level of PROTECTED A.
4. Subcontracts which contain security requirements are NOT to be awarded without the prior written permission of CISC/PWGSC.
5. The Contractor/Offeror must comply with the provisions of the:
 - (a) Security Requirements Check List and security guide (if applicable), attached at Annex C;
 - (b) Industrial Security Manual (Latest Edition)

3.2 Contractor's Site or Premises Requiring Safeguard Measures

The Contractor must diligently maintain up-to-date the information related to the Contractor's site or premises where safeguard measures are required in the performance of the Work, for the following addresses:

Address:

Street Number / Street Name, Unit / Suite / Apartment Number

City, Province, Territory / State

Postal Code / Zip Code

Country

4. Term of Contract

4.1 Period of the Contract

The period of the Contract is from date of contract to September 30, 2018 inclusive.

4.2 Period of Services

The services must be provided between October 1st, 2015 to September, 2018.

4.3 Option to Extend the Contract

The Contractor grants to Canada the irrevocable option to extend the term of the Contract by up to two (2) additional one (1) year period(s) under the same conditions. The Contractor agrees that, during the extended period of the Contract, it will be paid in accordance with the applicable provisions as set out in the Basis of Payment.

Canada may exercise this option at any time by sending a written notice to the Contractor at least thirty (30) calendar days before the expiry date of the Contract. The option may only be exercised by the Contracting Authority, and will be evidenced for administrative purposes only, through a contract amendment.

4.4 Option to Extend - Transition Period

The Contractor acknowledges that the nature of the services provided under the Contract requires continuity and that a transition period may be required at the end of the Contract. The Contractor agrees that Canada may, at its discretion, extend the Contract by a period of six (6) months under the same conditions to ensure the required transition. The Contractor agrees that, during the extended period of

the Contract, it will be paid in accordance with the applicable provisions as set out in the Basis of Payment.

The Contracting Authority will advise the Contractor of the extension by sending a written notice to the Contractor at least thirty (30) calendar days before the contract expiry date. The extension will be evidenced for administrative purposes only, through a contract amendment.

4.4 Termination on Thirty Days Notice

1. Canada reserves the right to terminate the Contract at any time in whole or in part by giving thirty (30) calendar days written notice to the Contractor.
2. In the event of such termination, Canada will only pay for costs incurred for services rendered and accepted by Canada up to the date of the termination. Despite any other provision of the Contract, there will be no other costs that will be paid to the Contractor as a result of the termination.

5. Authorities

5.1 Contracting Authority

The Contracting Authority for the Contract is:

Name: Jocelyne C Gagnon
 Title: Contracting Specialist
 Public Works and Government Services Canada
 Acquisitions Branch
 Professional Services Procurement Directorate
 Address: 11 Laurier Street, Phase III, Tower C, Gatineau, Quebec, K1A 0S5
 Telephone: (819) 956-0575
 Facsimile: (819) 956-2675
 E-mail address: Jocelyne.c.gagnon@tpsgc-pwgsc.gc.ca

The Contracting Authority is responsible for the management of the Contract and any changes to the Contract must be authorized in writing by the Contracting Authority. The Contractor must not perform work in excess of or outside the scope of the Contract based on verbal or written requests or instructions from anybody other than the Contracting Authority.

5.2 Project Authority

The Project Authority for the Contract is:

To be determined at contract award

The Project Authority is the representative of the department or agency for whom the Work is being carried out under the Contract and is responsible for all matters concerning the technical content of the Work under the Contract. Technical matters may be discussed with the Project Authority; however, the Project Authority has no authority to authorize changes to the scope of the Work. Changes to the scope of the Work can only be made through a contract amendment issued by the Contracting Authority.

5.3 Contractor's Representative

To be determine at Contract award

Notice to the Bidder: *If the selected Bidder provided (in accordance with the article 3 of Part 2) information on its status with respect to being a Former Public Servant in receipt of a Public Service Superannuation Act (PSSA) pension, the full text of SACC Manual clause A3025C (2013-03-21),*

Proactive Disclosure of Contracts with Former Public Servants, will form part of the Contract as article 6, and the articles below will be renumbered accordingly.

6. Payment

6.1 Basis of Payment

6.1.1 Limitation of Expenditures

EDI Transaction, TRACE and RECALL prices, Contract Period

For the Work described in the Statement of Work in Annex A:

The Contractor will be reimbursed for the costs reasonably and properly incurred in the performance of the Work, as determined in accordance with the Basis of Payment in Annex B, to a limitation of expenditure of \$_____. Customs duty are included and Applicable Taxes are extra.

6.1.2 Firm Price

SET-UP FEE, Year 1 of the Contract Period only

For the Work described in section 2.5, Set-Up and Testing, of the Statement of Work in Annex A:

In consideration of the Contractor satisfactorily completing all of its obligations for the Set-Up under the Contract, the Contractor will be paid a firm price of \$_____. Customs duty are included and Applicable Taxes are extra.

Canada will not pay the Contractor for any design changes, modifications or interpretations of the Work unless they have been approved, in writing, by the Contracting Authority before their incorporation into the Work.

6.1.3 Firm Lot Price

ADMINISTRATION FEE, Contract Period

For the Work described in the Statement of Work in Annex A:

In consideration of the Contractor satisfactorily completing all of its obligations for the Administration* Fee under the contract, the Contractor will be paid a firm fix all-inclusive monthly price as describe in the table below, for a total of \$_____. Customs duty are included and Applicable Taxes are extra.

Canada will not pay the Contractor for any design changes, modifications or interpretations of the Work unless they have been approved, in writing, by the Contracting Authority before their incorporation into the Work.

* Administration for the maintenance, record keeping, services, communications and overhead fees pertaining to RG payment issued in EDI format.

| | Year 1 | Year 2 | Year 3 |
|--------------------------------|--------|--------|--------|
| Number of Months | 12 | 12 | 12 |
| Firm All-Inclusive Monthly Fee | | | |

6.2 Canada's Total Liability

6.2.1

1. For the Work described in the Statement of Work in Annex A:

Canada's total liability to the Contractor under the Contract must not exceed \$ _____.
Customs duties are included and Applicable Taxes are extra.

2. No increase in the total liability of Canada or in the price of the Work resulting from any design changes, modifications or interpretations of the Work, will be authorized or paid to the Contractor unless these design changes, modifications or interpretations have been approved, in writing, by the Contracting Authority before their incorporation into the Work. The Contractor must not perform any work or provide any service that would result in Canada's total liability being exceeded before obtaining the written approval of the Contracting Authority. The Contractor must notify the Contracting Authority in writing as to the adequacy of this sum:

- (a) when it is 75 percent committed, or
 - (b) four (4) months before the Contract expiry date, or
 - (c) As soon as the Contractor considers that the contract funds provided are inadequate for the completion of the Work,
- whichever comes first.

3. If the notification is for inadequate contract funds, the Contractor must provide to the Contracting Authority a written estimate for the additional funds required. Provision of such information by the Contractor does not increase Canada's liability.

6.3 Method of Payment

6.3.1 Monthly Payment - EDI Transaction, TRACE and RECALL prices

SACC H1008C (2008-05-12), Monthly Payment

6.3.2 Single Payment - SET-UP FEE, Year 1 of the Contract Period only

SACC H1000C (2008-05-12), Single Payment

6.3.3 Monthly Payment - ADMINISTRATION FEE

SACC H1008C (2008-05-12), Monthly Payment

6.4 SACC Manual Clauses

C0305C (2014-06-26), Cost Submission - Limitation of Expenditure or Ceiling Price

6.5 Discretionary Audit

C0705C (2010-01-11), Discretionary Audit

7. Invoicing Instructions

The Contractor must submit invoices in accordance with the section entitled "Invoice Submission" of the general conditions. Invoices cannot be submitted until all work identified in the invoice is completed.

Each invoice must be supported by:

- (a) a copy of the release document and any other documents as specified in the Contract; and
- (b) a copy of the invoices, receipts, vouchers for all direct expenses.

Invoices must be distributed as follows:

- (a) The original and one (1) copy must be forwarded to the address shown on page 1 of the Contract for certification and payment.
- (b) One (1) copy must be forwarded to the Contracting Authority identified under the section entitled "Authorities" of the Contract.

The Contractor must agree to work with the Project Authority to finalize the format of the invoices for this Contract prior to the Contract implementation date.

Invoices must be submitted on the Contractor's own invoice form and as a minimum be prepared to show:

- a) the date;
- b) the month being invoiced;
- c) the number of transactions processed that month;
- d) the unit price per transaction;
- e) the breakdown by volume and price of any other fees (monthly, etc.);
- f) the breakdown of any interest on overdue accounts for which the RG has notified the Contractor;
- g) the breakdown of any annual adjustment, as previously agreed to with the RG;
- h) the total invoice amount.

See Annex "B", Basis of Payment for complete details on calculating the monthly invoice amount.

8. Certifications

8.1 Compliance

The continuous compliance with the certifications provided by the Contractor in its bid and the ongoing cooperation in providing associated information are conditions of the Contract. Certifications are subject to verification by Canada during the entire period of the Contract. If the Contractor does not comply with any certification, fails to provide the associated information, or if it is determined that any certification made by the Contractor in its bid is untrue, whether made knowingly or unknowingly, Canada has the right, pursuant to the default provision of the Contract, to terminate the Contract for default.

8.2 SACC Manual Clauses

A3060C (2008-05-12), Canadian Content Certification

9. Applicable Laws

The Contract must be interpreted and governed, and the relations between the parties determined, by the laws in force in Ontario.

10. Priority of Documents

If there is a discrepancy between the wording of any documents that appear on the list, the wording of the document that first appears on the list has priority over the wording of any document that subsequently appears on the list.

- (a) the Articles of Agreement;
- (b) the supplemental general conditions 4008 (2008-12-12);
- (c) the general conditions 2035 (2014-09-25), General Conditions - Higher Complexity - Services;
- (d) Annex A, Statement of Work;
- (e) Annex B, Basis of Payment;
- (f) Annex C, Security Requirements Check List;
- (g) the Contractor's bid dated _____.

11. Foreign Nationals

11.1 SACC Manual clause A2000C (2006-06-16), Foreign Nationals (Canadian Contractor)

12. Insurance

SACC Manual clause G1005C (2008-05-12), Insurance

13. Protection and Security of Data Stored in Databases

1. The Contractor must ensure that all the databases containing any information related to the Work are located in Canada or, if the Contracting Authority has first consented in writing, in another country where:

(a) equivalent protections are given to personal information as in Canada under legislation such as the *Privacy Act*, R.S. 1985, c. P-21, and the *Personal Information Protection and Electronic Documents Act*, S.C. 2000, c. 5, and under any applicable policies of the Government of Canada; and

(b) the laws do not allow the government of that country or any other entity or person to seek or obtain the right to view or copy any information relating to the Contract without first obtaining the Contracting Authority's written consent.

In connection with giving its consent to locating a database in another country, the Contracting Authority may, at its option, require the Contractor to provide a legal opinion (from a lawyer qualified in the foreign country) that the laws in that country meet the above requirements, or may require the Contractor to pay for Canada to obtain such a legal opinion. Canada has the right to reject any request to store Canada's

data in a country other than Canada if there is any reason to be concerned about the security, privacy, or integrity of Canada's data. Canada may also require that any data sent or processed outside of Canada be encrypted with Canada-approved cryptography and that the private key required to decrypt the data be kept in Canada in accordance with key management and storage processes approved by Canada.

2. The Contractor must control access to all databases on which any data relating to the Contract is stored so that only individuals with the appropriate security clearance are able to access the database, either by using a password or other form of access control (such as biometric controls).

3. The Contractor must ensure that all databases on which any data relating to the Contract is stored are physically and logically independent (meaning there is no direct or indirect connection of any kind) from all other databases, unless those databases are located in Canada (or in another country approved by the Contracting authority under subsection 1) and otherwise meet the requirements of this article.

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4. The Contractor must ensure that all data relating to the Contract is processed only in Canada or in another country approved by the Contracting Authority under subsection 1.

5. The Contractor must ensure that all domestic network traffic (meaning traffic or transmissions initiated in one part of Canada to a destination or individual located in another part of Canada) is routed exclusively through Canada, unless the Contracting Authority has first consented in writing to an alternate route. The Contracting Authority will only consider requests to route domestic traffic through another country that meets the requirements of subsection 1.

6. Despite any section of the General Conditions relating to subcontracting, the Contractor must not subcontract (including to an affiliate) any function that involves providing a subcontractor with access to any data relating to the Contract unless the Contracting Authority first consents in writing.

ANNEX A

STATEMENT OF WORK

1 INTRODUCTION

1.1 Purpose and Objectives

The Government of Canada uses Electronic Data Interchange (EDI) payments in order to obtain a number of cost and processing benefits. The primary benefits of EDI over other electronic payment methods are the ability to make same-day payments and the ability to transmit significant amounts of narrative or financial data along with the payment. Therefore, the Government of Canada is able to realize paper, manual processing and mailing cost savings.

1.2 Background

Electronic Data Interchange (EDI) is the process of exchanging electronic data in a structured computer processable message format, using public standards. EDI payment processes the credit transfer of funds from one party to another made through an electronic exchange and issues payment messages relating to financial data in accordance with the Canadian Payments Association (CPA) Rule E3 in order to effect a business payment.

The Minister of Public Works and Government Services Canada is the Receiver General for Canada (RG). The RG is responsible for managing the inflows and outflows of the Consolidated Revenue Fund (CRF) and for making payments and managing receipts. On behalf of the RG, Public Works and Government Services Canada (PWGSC) issues approximately 265 million Government of Canada payments each year. Payments are requisitioned electronically by some hundred and five (105) departments and agencies using PWGSC's Standard Payment System (SPS). EDI is normally used for payments that require same-day completion and/or are accompanied by extensive narrative or financial details required by the payee (e.g. Bell Canada billing). During the fiscal year of 2013-14, the RG issued approximately 69,800 EDI payments with a value of over 13 billion dollars.

This Statement of Work relates to the banking service to be provided by the lead Financial Institution (FI), to be referred to hereafter as the EDI Contractor, for the processing of outbound Government of Canada payments in EDI format.

When EDI is specified as the method of payment, the payment instruction is converted to EDI format and forwarded to the EDI Contractor (currently using a CPA service network). The EDI Contractor is responsible to forward the payment instruction to the payee's FI. The authorization and the authentication of the payment requisitions are performed electronically using an RSA-based Electronic Authentication and Authorization (EAA) process.

1.3 Overview of the Requirement

The following is an overview of the banking service required for RG payments issued in EDI format. The Contractor must:

- provide EDI payment methodologies through a single lead EDI Contractor;
- provide flexible provision of payment methodologies and level of service. The needs of the RG will evolve over time to take advantage of new technology;
- meet specified service levels for deposits, settlement and reporting; EDI transaction processing, including:
 - movement of all files between the RG's selected VAN service provider and the EDI Contractor;
 - acknowledgment of receipt of each payment instruction in the file;
 - authentication of the payment file;

- confirmation that transactions passed edit and validation;
- effect payment to the payee in accordance with the RG's request;
- reporting returned (unpostable) payment transactions;
- clearing and settlement of payments in compliance with rules of the CPA;
- performing traces or recalls on payment transactions as required; and
- custody and retention of records as required by legislation, regulations and guidelines.
- provide system, physical and electronic file security;
- provide services in a way that mitigates transition impacts when this service is retendered at contract end;
- work with Project Authority to provide advice on the appropriate EDI service options;
- have a formal contingency and disaster recovery plan;
- provide services in both official languages;
- optional provision of innovative approaches to EDI and services throughout the contract life which will improve types and levels of customer service and (or) costs to the RG;
- provide service in a private and secure manner.

1.4 Current Banking Arrangements

The RG has current banking arrangements that may impact the contract for EDI services as defined below.

1.4.1 Memorandum of Understanding (MOU) between the Federal Government and Direct Clearers on arrangements for certain banking services

The Float and Balances MOU stipulates the interest rate to be paid on float and balances related to all Receiver General cash flows. These rates will apply to float and balances incurred under this agreement.

1.4.2 Current EDI Process

Currently, the RG forwards outbound EDI payments in ANSI X12 version 3010 through CPA's Frame Relay network to a lead FI.

1.4.3 Future EDI Requirements

In future, the EDI payment file will be made available in a secure mailbox for the lead FI by a VAN service provider contracted by the RG. The Contractor must be able to accept either CPA supported ANSI X12 versions (3010 or 4010) during the contract period.

1.5 Contract Implementation

The EDI payment service under this contract will not commence its "in production" phase before October 1, 2015. The implementation phase (transition, set-up and testing) is expected to be completed between the Contract Award date and the "in production" start date. The "in production" start date represents the date the EDI transactions will go live.

1.5.1 Implementation Plan

The EDI Contractor must provide a detailed project implementation plan to commence its EDI payment service in production on October 1, 2015.

The project implementation plan, at a minimum, must include the following:

- a) a list of activities required to achieve implementation and who will be responsible;
- b) a start and end date for each listed activity;

- c) a list of dependencies that affect each listed activity;
- d) an estimate of the personnel and material resources required to execute each activity.

The layout of the implementation plan must use a Gantt chart and be provided in paper and MS Project file soft copy.

When completing an implementation plan, the Contractor must consider such things as the requirements for a Threat Risk Assessment (TRA) and a Privacy Impact Assessment (PIA).

1.6 Payments over \$25 million

Following the CPA \$25 million ceiling on paper-based payments, the RG automatically directs all payment requests (paper and electronic) with a value over \$25 million towards the RG's Large Value Transfer System (LVTS) solution. Therefore, no individual payments over \$25 million will be issued through this contract for EDI services.

If the CPA lowers the ceiling on paper-based payments during the term of this contract, then the RG will automatically direct all payment requests (paper and electronic) with a value over the new ceiling to the RG's LVTS solution. Through the use of the Unit Fees Chart in the financial proposal, reduced volumes resulting from the lowering of the CPA ceiling on paper-based payments will not be sufficient justification for the renegotiation of unit fees.

2 DETAILED REQUIREMENT

Specifics of the following detailed requirements are contained in the attached Operations Protocol document (Appendix A4). See also section 2.1 of the Statement of Work.

2.1 Operations Protocol

When using the EDI Network in performing its required banking service obligations, the EDI Contractor must be governed and must comply with all the terms and conditions of the contract and, more particularly, with the Operations Protocol established between the parties.

A draft operations protocol has been attached (see Appendix A4). Within one (1) week of contract award, the EDI Contractor must schedule a meeting with the Project Authority to finalize the operations protocol prior to the contract implementation date.

2.2 Same Day Value

The EDI Contractor must process, including the forwarding of payment to the payee's FI, all EDI transactions on the value date specified by the RG, provided the transactions were received from the RG before the cut-off time specified in the Operations Protocol.

The RG will typically transmit EDI transactions to the EDI Contractor between zero and two business days in advance of the value date.

2.3 ANSI X12 Version

Each document transmitted via the EDI Network must be structured and transmitted in accordance with generally accepted standards and the operations protocol as agreed with the RG and that ensure effective and reliable transmission of Government payment data.

ANSI X12 version 3010 is currently used by the RG for EDI file transmission. However, the Contractor must also accept other CPA supported ANSI X12 versions (i.e. 4010) in the case the RG elects to

upgrade to a different version during the contract period. A copy of the current 820 and 824 mapping for 3010 is attached under Annex A, Appendix A3.

2.4 Method of Delivery

The EDI documents will be made available in a secure mailbox provided by the RG's VAN service provider. The Contractor will be required to open a mailbox at the VAN of the RG's choosing, which may change over the life of this contract.

The EDI Contractor must be responsible for the secure transmission of all files moving between the RG's VAN contractor and the EDI Contractor.

2.4.1 Current Method of Delivery

The RG currently uses the CPA's frame relay network for the delivery of all EDI transactions.

By contract start date, the RG will be using a VAN contractor to create EDI files and make them available to the lead FI using a secure mailbox. The EDI Contractor will retrieve the EDI files from the mailbox for processing.

2.4.2 Improved Method of Delivery during Contract

The EDI Contractor must periodically review the appropriateness and operation of the methods of delivery and must cooperate in implementing such changes or modifications to standards or to software as may be agreed with the RG. When the standard adopted by the parties for payment instructions and related information is officially changed, or modified by the issue of a new version or release, the EDI Contractor must use its best efforts to agree on a program or schedule to change the instructions and information based on the new standard as promptly as practicable, and must cooperate to effect the change in a commercially reasonable manner.

2.5 Set-up and Testing

The EDI Contractor must obtain, install and test all the computer equipment, supporting equipment, software and services, including communications services that it will require in order to send and to receive data pertaining to RG payments issued in EDI format.

The EDI Contractor must provide and maintain all hardware and software that it will require to transmit and to receive, effectively and reliably, EDI transmissions pertaining to RG payments issued in EDI format exchanged using the specified method of transmission.

2.5.1 Network Testing

The EDI Contractor must cooperate in testing the EDI Network before the contract implementation date and thereafter on demand if requested by the RG as a by-product of changes or operational concerns.

2.5.2 New Payee Testing

The EDI Contractor must support the RG and program departments when new payee testing is conducted, as required.

Currently, in order to ensure a program department's ability to successfully make a payment to the specified payee, the RG encourages program departments to produce a nominal value trial transaction, to be sent through the production EDI network.

The RG is interested in receiving suggestions on alternative ways that a payee's bank account information may be confirmed prior to departments making large value payments to that payee.

2.6 Proper Receipt

Any document, other than the acknowledgment of receipt itself, must be deemed to have been properly received by the receiver when an acknowledgment of receipt has been submitted or delivered in response to such document by the receiver to the sender.

2.7 Acknowledgement of Receipt

The EDI Contractor must promptly acknowledge receipt of each document received by transmitting an acknowledgment of receipt, as described in the Operations Protocol and EDI Mappings.

The EDI Contractor must establish such system or method of controlling the transmission of its documents, and warrants that each document of which it is the sender is duly authorized and binding upon it.

2.8 File Authentication

The EDI Contractor must ensure that every document incorporates authentication data stipulated for such document in the Operations Protocol permitting the receiver to verify that it is an authentic document of the sender. The EDI Contractor must use and employ the authentication procedures and methods as agreed with the RG and specified in the Operations Protocol.

Authentication must occur at the document (transaction set) level. Either party, the EDI Contractor or the RG, must reject the entire document every time it is unable to be authenticated. The party rejecting the document must notify the other party within the timeframe identified in the Operations Protocol.

The EDI Contractor must work with the Project Authority to determine the appropriate method of delivery to be used for notices given pursuant to this section. The selected method of delivery for notices will be documented in the Operations Protocol.

2.9 Edit and Validation

Upon receipt of a document, the EDI Contractor must promptly validate it and notify the sender of any apparent problems following procedures taken in accordance with the Operations Protocol.

Upon receipt of a document or other communication via the EDI Network, if the EDI Contractor reasonably suspects that it is incomplete, inaccurate, corrupted in transmission, or not intended for it as receiver, the EDI Contractor must promptly notify the RG in accordance with the Operations Protocol. The EDI Contractor as receiver must not otherwise act in reliance upon any such document.

Edit and validation must occur on the individual transaction level. Either party, the EDI Contractor or the RG, must reject only those transactions that fail the edits and validation, without the need to reject the entire document.

The EDI Contractor must work with the Project Authority to determine the appropriate method of delivery to be used for notices given pursuant to this section. The selected method of delivery for notices will be documented in the Operations Protocol.

2.10 Delay in Transmission of Acknowledgements

If the EDI Contractor has sent a document but has not received a response to such document in accordance with the Operations Protocol, then the EDI Contractor must promptly notify the RG and

request clarification. After clarification by the RG, the EDI Contractor must repeat the transmission (i.e. retransmit such document) via the EDI Network or take such other corrective actions as may reasonably be required in the circumstances. The EDI Contractor must work with the Project Authority to determine the appropriate method of delivery to be used for notices given pursuant to this section. The selected method of delivery for notices will be documented in the Operations Protocol.

2.11 Forwarding Payment Instructions to Payee

The EDI Contractor warrants the transmission of the +824 document (see bullet 2.23 below) in response to the 820 document to the RG must constitute acknowledgment by the EDI Contractor of its obligation and liability to effect payment to the payee in accordance with such 820 document and with the contract and the operations protocol.

2.12 Reporting Returned Payment Transactions

The EDI Contractor must notify the RG of all unpostable payments in the form of a Returned Item Voucher (RIV) with the CPA standard EDI returned reason codes.

These RIVs should be returned to the RG on a daily basis and the value of the returned items should appear on the appropriate settlement claim submitted to the agency of the Bank of Canada. The RIVs must be delivered in a form that allows the RG to efficiently use the information in its payment systems, permitting further action by issuing departments.

2.13 Traces

The EDI Contractor must perform trace requests received from the RG as soon as possible and within 5 business days of receipt of the trace request. Responses to trace requests will be in the format and contain the information identified in the Operations Protocol.

2.14 Recalls

The EDI Contractor must accept and perform recalls as requested by the RG. Recall requests may be submitted by the RG up to one business day prior to the value date. A specific cut-off time for recall requests will be agreed between the RG and the EDI Contractor in the resulting Operations Protocol.

2.15 Clearing and Settlement of Payments

2.15.1 Redemption of EDI Payments

In order to obtain value for EDI payments processed, on the value date of the payment the EDI Contractor must manually submit a paper claim to the Bank of Canada (currently using form '799'). The claim form is to be used by Direct Clearers to obtain Reimbursement for Redeemed Government Items and can be found by referring to CPA Rule G3, Appendix II. The most recent version can be found by contacting the Bank of Canada at 1-800-353-4296.

If the settlement processes currently outlined in the CPA's G3 rule pertaining to the redemption and settlement of Government of Canada paper instruments are changed during the course of the contract, then the EDI Contractor will be expected to conform to the new settlement method.

2.15.2 Settlement of Returned Payment Transactions

EDI RIVs must be forwarded to the agency of the Bank of Canada separately from other RIVs.

2.16 Late Payments

The EDI Contractor must indemnify the RG in respect of any claim or demand by any party for payment of the amount set out in the 820 payment order, or any interest payable thereon, in respect of which the EDI Contractor has transmitted to the RG the 824 acknowledgement of payment order, where such claim or demand arises or is caused from or upon the error, failure, omission or negligent act of the EDI Contractor in effecting or to effect payment in accordance with this banking service or with the 820 and 824 documents, unless such claim or demand arises or is caused directly as a result of the RG's error, failure, omission or negligent act.

2.17 Interest on Overdue Accounts

The EDI Contractor must reimburse the RG for interest on overdue accounts which the RG is or may be obliged to pay to a payee as a result of any error, failure, omission or negligent act of the EDI Contractor in performing this banking service, or as a result of any error, failure, omission or negligent act of the EDI Contractor, to make payment on the value date, unless such failure to make payment arises as a result of error, failure, omission or negligent act on the part of the RG.

The RG must notify the EDI Contractor of any interest on overdue accounts claims and the EDI Contractor must deduct the interest value from the next monthly invoice. Interest deductions must be separately identified on the monthly invoice.

2.18 EDI Daily Processing Schedule

The RG currently produces two (2) outbound EDI payment files per day. These files are presently released on a scheduled basis at 12:30 PM and 5:30 AM. Please refer to the schedule in appendix A4.

The schedule of the release of the payment files may be altered at any time if mutually agreed in writing between the Contractor and the Project Authority.

2.19 Security

The EDI Contractor must undertake all steps necessary to prevent unauthorized access to and use of any portion of the EDI Network that is under its control. In this respect, the EDI Contractor must comply with the security procedures as agreed with the RG and specified in the Operations Protocol.

2.20 Contingency and Disaster Recovery Plan

The EDI Contractor must have a formal Contingency and Disaster Recovery Plan in place, in the event of power shortage, fire, labour disruption or any other situation that could lead to a disruption in provision of this service. The proposed disaster recovery site, communication protocol and system maintenance must meet the requirements as defined in CPA rule E3.

In any such situation, the EDI Contractor must use its best efforts to continue normal communications between it and the RG by alternate means, and to restore the EDI Network to normal operating condition as soon as reasonably practicable.

2.21 Custody and Retention of Records

The EDI Contractor must maintain a transaction log and must designate one or more individuals with appropriate authority as the persons responsible for the systems and procedures relating to the compilation and custody of the transaction log. The EDI Contractor must make its log available to the RG, on demand.

The EDI Contractor must retain documents, specific to payment files exchanged between the EDI Contractor and the RG, to support auditability and control procedures as detailed in sections 4.2 to 4.3 of

the Canadian Payments Association Rule E3. The retention periods are: seven (7) years for transaction related data sets, and one (1) year for data sets related to exception reporting.

2.21.1 Evidence

The EDI Contractor must ensure that a copy of the permanent record of the transaction log must be admissible in any legal, administrative or other proceedings as prima facie evidence of the accuracy and completeness of its contents in the same manner as an original document in writing, and each party hereby expressly waives any right to object to the introduction of a duly certified permanent copy of the transaction log in evidence.

2.22 Language of Service

The Contractor must provide the services in both official languages of Canada as described herein. The Official Languages Act and TBS policies and publications pertaining to this act can be viewed by accessing the following websites:

<http://laws-lois.justice.gc.ca/eng/acts/o-3.01/> and
<http://www.tbs-sct.gc.ca/chro-dprh/olo-eng.asp>.

2.23 EDI Documents Processed Under this Contract

The following EDI documents will be processed under this contract:

| | |
|-----|----------------------------------|
| 820 | Payment Order |
| 824 | Acknowledgement of Payment Order |
| 997 | Functional Acknowledgement |

ANNEX A, APPENDIX A1

DEFINITIONS

Business Day: "Business Day" means any day, Monday to Friday, excluding legal holidays, on which the Ottawa agency of the Bank of Canada is open for business.

Document: "Document" means data transmitted with respect to RG payments issued in EDI format, including the payment instructions and related issue and post-issue information.

EDI Network: "EDI Network" means the configuration of computer processing and communications facilities by means of which payment instructions and related information is transmitted and received by the parties.

Financial Institution (FI): "Financial Institution" means any Direct Clearer or an Indirect Clearer of the Canadian Payments Association.

Operations Protocol: "Operations Protocol" means the technical procedures and rules governing the form, use, requirements and transmission of payment information and other communications between the parties via the EDI Network.

Payment file: "Payment file" means electronic file of payment instructions produced by PWGSC in a format structure appropriate for electronic transmission to the Financial Institution via the EDI Network.

Proprietary: "Proprietary" means any component the government would need to use as part of the Contractor's solution which would make it harder for PWGSC to move to a competitive service.

Receiver: "Receiver" means in relation to any payment file means the party that receives it.

Sender: "Sender" means in relation to any payment file means the party that transmits it.

Standard Payment System (SPS): "Standard Payment System" means the integrated system issues payments on behalf of federal departments and agencies drawn on the Consolidated Revenue Fund. The system incorporates the entire payment process including: receipt and validation of the requisition for payment; payment issue; payment redemption control and reconciliation, redemption reporting; and processing of exceptions in issue and redemption.

Third Party Network: "Third Party Network" means any party, including a party that provides communications services to PWGSC and/or the Financial Institution, that participates or is otherwise engaged in the transmission of payment information between the Sender and Receiver.

Transaction Log: "Transaction Log" means the record of all payment information and other communications exchanged between the parties via the EDI Network and the contents thereof, including all particulars of the payments made by the RG through the Financial Institution via the EDI Network.

Value Date: "Value Date" means the date indicated by the Receiver General when the funds are to be credited to the Payee's account.

VAN: "Value Added Network" means a network that is used to facilitate the transmission of files and perform file mapping services as required.

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ANNEX A, APPENDIX A2

EDI Monthly Volumes

| | <u>2009-10</u> | <u>2010-11</u> | <u>2011-12</u> | <u>2012-13</u> | <u>2013-14</u> |
|------------------|----------------|----------------|----------------|----------------|----------------|
| April | 3,971 | 3,539 | 4,456 | 6,787 | 8,106 |
| May | 2,510 | 2,516 | 3,169 | 5,300 | 5,456 |
| June | 3,142 | 2,972 | 3,694 | 5,642 | 5,114 |
| July | 3,132 | 3,097 | 4,037 | 6,135 | 6,009 |
| August | 2,779 | 2,809 | 4,418 | 6,438 | 5,868 |
| September | 2,962 | 2,755 | 4,338 | 5,483 | 5,571 |
| October | 2,897 | 3,054 | 4,510 | 6,722 | 6,130 |
| November | 2,839 | 3,053 | 4,753 | 6,333 | 5,718 |
| December | 3,500 | 3,378 | 4,791 | 6,343 | 6,007 |
| January | 2,759 | 2,947 | 4,322 | 5,659 | 4,957 |
| February | 2,826 | 2,981 | 4,940 | 6,034 | 4,830 |
| March | 3,786 | 3,775 | 5,899 | 6,573 | 6,094 |
| Total Volumes | 37,103 | 36,876 | 53,327 | 73,449 | 69,860 |

ANNEX A, APPENDIX A3

EDI 3010 - 820 Layout

Functional Group ID=**RA**

Introduction:

This standard provides the format and establishes the data contents of a payment order transaction set sent by the Receiver General. The payment order transaction set is used to order a financial institution to make payment to payee(s) on behalf of the Receiver General of Canada.

Control and Heading:

| | <u>Pos. No.</u> | <u>Seg. ID</u> | <u>Name</u> | <u>Req. Des.</u> | <u>Max.Use</u> | <u>Loop Repeat</u> |
|---|---------------------|--------------------|---|----------------------|----------------|------------------------|
| M | 005 | ISA | Interchange Control Header | M | 1 | |
| M | 008 | GS | Functional Group Header | M | 1 | |
| M | 009 | S1S | Security Header Level 1 | M | 1 | |
| M | 010 | ST | Transaction Set Header | M | 1 | |
| M | 020 | BPS | Beginning Segment for Payment Order/Remittance Advice | M | 1 | |
| M | 050 | REF | Reference Numbers | M | 2 | |
| M | 060 | DTM | Date/Time/Period | M | 1 | |
| | | | LOOP ID - N1 | | | 2 |
| | 070 | N1 | Name | M | 1 | |

Detail:

| | <u>Pos. No.</u> | <u>Seg. ID</u> | <u>Name</u> | <u>Req. Des.</u> | <u>Max.Use</u> | <u>Loop Repeat</u> |
|---|---------------------|--------------------|--------------------------|----------------------|----------------|------------------------|
| M | 010 | LS | Loop Header | M | 1 | |
| | | | LOOP ID - N1 | | | 1 |
| M | 020 | N1 | Name | M | 1 | |
| | 025 | NTE | Note/Special Instruction | O | >1 | |
| | | | LOOP ID - RMT | | | >1 |
| | 030 | RMT | Remittance Advice | M | 1 | |
| | 035 | NTE | Note/Special Instruction | O | >1 | |
| M | 070 | LE | Loop Trailer | M | 1 | |

Summary:

| | <u>Pos. No.</u> | <u>Seg. ID</u> | <u>Name</u> | <u>Req. Des.</u> | <u>Max.Use</u> | <u>Loop Repeat</u> |
|---|---------------------|--------------------|-----------------------------|----------------------|----------------|------------------------|
| M | 010 | SE | Transaction Set Trailer | M | 1 | |
| M | 020 | S1E | Security Trailer Level 1 | M | 1 | |
| M | 030 | GE | Functional Group Trailer | M | 1 | |
| M | 040 | IEA | Interchange Control Trailer | M | 1 | |

Segment: **ISA Interchange Control Header**
Position: 005
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To start and identify an interchange of one or more functional groups and interchange-related control segments

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|--|------------------|---------------------|---|-------------------|
| M | ISA01 | I01 | Authorization Information Qualifier '00' | M ID 2/2 |
| M | ISA02 | I02 | Authorization Information Blank | M AN 10/10 |
| M | ISA03 | I03 | Security Information Qualifier '00' | M ID 2/2 |
| M | ISA04 | I04 | Security Information Blank | M AN 10/10 |
| M | ISA05 | I05 | Interchange ID Qualifier '12' | M ID 2/2 |
| M | ISA06 | I06 | Interchange Sender ID 'GSCA GSCA008' | M AN 15/15 |
| M | ISA07 | I05 | Interchange ID Qualifier | M ID 2/2 |
| Qualifier to designate the system/method of code structure used to designate the receiver ID element being qualified. To be specified by the receiver. | | | | |
| M | ISA08 | I07 | Interchange Receiver ID Identification code published by the receiver of the data. To be specified by the receiver. | M AN 15/15 |
| M | ISA09 | I08 | Interchange Date Date of the interchange. | M DT 6/6 |
| M | ISA10 | I09 | Interchange Time Time of the interchange. | M TM 4/4 |
| M | ISA11 | I10 | Interchange Control Standards Identifier 'U' | M ID 1/1 |
| M | ISA12 | I11 | Interchange Control Version Number '00300' | M ID 5/5 |
| M | ISA13 | I12 | Interchange Control Number This number uniquely identifies the interchange data to the sender. It is assigned by the sender. Together with the sender ID it uniquely identifies the interchange data to the receiver. It is suggested that the sender, receiver, and all third parties be able to maintain an audit trail of interchanges using this number. | M N0 9/9 |
| M | ISA14 | I13 | Acknowledgment Requested '0' | M ID 1/1 |
| M | ISA15 | I14 | Test Indicator 'P' or 'T' | M ID 1/1 |
| M | ISA16 | I15 | Subelement Separator '.' | M AN 1/1 |

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CCC No./N° CCC - FMS No./N° VME

Segment: GS Functional Group Header**Position:** 008**Loop:****Level:** Heading**Usage:** Mandatory**Max Use:** 1**Purpose:** To indicate the beginning of a functional group and to provide control information

| Data Element Summary | | | | |
|----------------------|------------------|---------------------|--|-------------------|
| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
| M | GS01 | 479 | Functional Identifier Code 'RA' | M ID 2/2 |
| M | GS02 | 142 | Application Sender's Code 'SPS001' | M AN 2/15 |
| M | GS03 | 124 | Application Receiver's Code Code identifying party receiving transmission; codes agreed to by trading partners | M AN 2/15 |
| M | GS04 | 373 | Date Date (YYMMDD) | M DT 6/6 |
| M | GS05 | 337 | Time Time (HHMM) | M TM 4/6 |
| M | GS06 | 28 | Group Control Number Assigned number originated and maintained by the sender | M NO 1/9 |
| M | GS07 | 455 | Responsible Agency Code 'X' | M ID 1/2 |
| M | GS08 | 480 | Version / Release / Industry Identifier Code '003010' | M AN 1/12 |

Segment: **S1S** **Security Header Level 1**

Position: 009

Loop:

Level: Heading

Usage: Mandatory

Max Use: 1

Purpose: To initiate the beginning of a secured area and to provide the parameters needed for authentication or encryption of a functional group

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|---------------------|---|-------------------|
| M | S1S01 | 990 | Security Type 'AA' | M ID 2/2 |
| M | S1S02 | 824 | Security Originator Name 'GEDIS001' | M AN 4/16 |
| M | S1S03 | 825 | Security Recipient Name Unique designation (identity) of the cryptographic process that performs authentication or decryption on received data, or is the destination of a cryptographic service message | M AN 4/16 |
| | | | Note: X9 has a minimum length of 4 characters for the security recipient; no mechanism, or registration method is provided by X9 or X12 to guarantee the uniqueness of the identifier | |
| | S1S04 | 991 | Authentication Key Name Name of the key used for authentication. This name is mutually known to the security originator and the security recipient, is unique for this relationship, and allows a particular key to be specified. | X AN 1/16 |
| | S1S05 | 992 | Authentication Service Code '1' | X ID 1/1 |
| | S1S06 | 993 | Encryption Key Name Not Used | X AN 1/16 |
| | S1S07 | 994 | Encryption Service Code Not Used | X ID 1/3 |
| | S1S08 | 995 | Length of Data (LOD) Not Used | X N 1/18 |
| | S1S09 | 996 | Initialization Vector (IV) Not Used | X AN 16/16 |

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CCC No./N° CCC - FMS No./N° VME

Segment: **ST** **Transaction Set Header**
Position: 010
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number

| Data Element Summary | | | | |
|----------------------|------------------|---------------------|--|-------------------|
| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
| M | ST01 | 143 | Transaction Set Identifier Code '820' | M ID 3/3 |
| M | ST02 | 329 | Transaction Set Control Number Identifying control number assigned by the originator for a transaction set. Will start at 0001 within each transaction. | M AN 4/9 |

Segment: **BPS Beginning Segment for Payment Order/Remittance Advice**
Position: 020
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the beginning of a payment order transaction set and total payment.

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|---------------------|--|-------------------|
| M | BPS01 | 591 | Payment Method Code 'ZZZ' | M ID 3/3 |
| M | BPS02 | 782 | Monetary Amount Monetary amount | M R 1/15 |
| M | BPS03 | 305 | Transaction Handling Code 'X' | M ID 1/1 |
| | BPS04 | 506 | (DFI) ID Number Qualifier '04' | O ID 2/2 |
| | BPS05 | 507 | (DFI) Identification Number Depository Financial Institution (DFI) identification number | O AN 3/12 |
| | BPS06 | 508 | Account Number Account number assigned | O AN 1/35 |
| | BPS07 | 509 | Originating Company Identifier Not Used | O AN 10/10 |
| | BPS08 | 510 | Originating Company Supplemental Code Not Used | O AN 9/9 |
| | BPS09 | 506 | (DFI) ID Number Qualifier '04' | O ID 2/2 |
| | BPS10 | 507 | (DFI) Identification Number Depository Financial Institution (DFI) identification number | O AN 3/12 |
| | BPS11 | 508 | Account Number Account number assigned | O AN 1/35 |
| | BPS12 | 513 | Effective Entry Date Date the originating company intends for the transaction to be settled. | O DT 6/6 |
| | BPS13 | 727 | Settlement Date Not Used | C DT 6/6 |

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CCC No./N° CCC - FMS No./N° VME

Segment: **REF** **Reference Numbers**
Position: 050
Loop:
Level: Heading
Usage: Mandatory
Max Use: 2
Purpose: To specify identifying numbers.
 2 REF segments will be sent for each 820 transaction.

REF 1 Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> | |
|----------|------------------|---------------------|---|-------------------|----------------|
| M | REF01 | 128 | Reference Number Qualifier 'TN' Receiver General Transaction Payment Number | M | ID 2/2 |
| | REF02 | 127 | Reference Number Receiver General Transaction Payment Number | C | AN 1/30 |
| | REF03 | 352 | Description Not Used | C | AN 1/80 |

REF 2 Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> | |
|----------|------------------|---------------------|---|-------------------|----------------|
| M | REF01 | 128 | Reference Number Qualifier 'IT' Department authorizing the payment. | M | ID 2/2 |
| | REF02 | 127 | Reference Number Abbreviation of the department authorizing the payment | C | AN 1/30 |
| | REF03 | 352 | Description Not Used | C | AN 1/80 |

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CCC No./N° CCC - FMS No./N° VME

Segment: **DTM** **Date/Time/Period**
Position: 060
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To specify pertinent dates and times

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> | |
|----------|------------------|---------------------|--|-------------------|---------------|
| M | DTM01 | 374 | Date/Time Qualifier '097' | M | ID 3/3 |
| | DTM02 | 373 | Date Date (YYMMDD) when the 820 transaction was created. | C | DT 6/6 |
| | DTM03 | 337 | Time Not Used | C | TM 4/4 |
| | DTM04 | 623 | Time Code Not Used | O | ID 2/2 |

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File No. - N° du dossier

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CCC No./N° CCC - FMS No./N° VME

Segment: **N1** Name
Position: 070
Loop: N1 Mandatory
 2 N1 segment loops will be sent for each 820 transaction
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To identify a party by type of organization, name, and code
 .

N1 1 Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|-------------------------|---|-------------------|
| M | N101 | 98 | Entity Identifier Code 'PR' | M ID 2/2 |
| | N102 | 93 | Name 'PWGSC' | C AN 1/35 |
| | N103 | 66 | Identification Code Qualifier Not Used | C ID 1/2 |
| | N104 | 67 | Identification Code Not Used | C ID 2/17 |

N1 2 Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|-------------------------|---|-------------------|
| M | N101 | 98 | Entity Identifier Code 'PE' | M ID 2/2 |
| | N102 | 93 | Name Payee Name | C AN 1/35 |
| | N103 | 66 | Identification Code Qualifier Not Used | C ID 1/2 |
| | N104 | 67 | Identification Code Not Used | C ID 2/17 |

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CCC No./N° CCC - FMS No./N° VME

Segment: **LS** Loop Header
Position: 010
Loop:
Level: Detail
Usage: Mandatory
Max Use: 1
Purpose: To indicate that the next segment begins a loop

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|-------------------------|--------------------------------|-------------------|
| M | LS01 | 447 | Loop Identifier Code '0100' | M ID 1/4 |

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File No. - N° du dossier

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CCC No./N° CCC - FMS No./N° VME

Segment: **N1** **Name**
Position: 020
Loop: N1 Mandatory
Level: Detail
Usage: Mandatory
Max Use: 1
Purpose: To identify a party by type of organization, name, and code

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Elemen</u> t | <u>Name</u> | <u>Attributes</u> | |
|---|------------------|-----------------------------|---|-------------------|---------|
| M | N101 | 98 | Entity Identifier Code 'SU' | M | ID 2/2 |
| | N102 | 93 | Name Payee Name | C | AN 1/35 |
| | N103 | 66 | Identification Code Qualifier Not Used | C | ID 1/2 |
| | N104 | 67 | Identification Code Not Used | C | ID 2/17 |

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CCC No./N° CCC - FMS No./N° VME

Segment: **NTE** **Note/Special Instruction**
Position: 025
Loop: N1 Mandatory
Level: Detail
Usage: Optional
Max Use: >1
Purpose: To transmit information in a free-form format, if necessary, for comment or special instruction

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|---------------------|-------------------------------------|-------------------|
| | NTE01 | 363 | Note Reference Code 'PMT' | O ID 3/3 |
| M | NTE02 | 3 | Free Form Message Free-form text | M AN 1/60 |

Segment: **RMT** Remittance Advice
Position: 030
Loop: RMT Optional
Level: Detail
Usage: Mandatory
Max Use: 1
Purpose: To indicate the detail on items

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|---------------------|---|-------------------|
| M | RMT01 | 128 | Reference Number Qualifier Code qualifying the Reference Number. | M ID 2/2 |
| M | RMT02 | 127 | Reference Number Reference number or identification number as defined for a particular Transaction Set, or as specified by the Reference Number Qualifier. | M AN 1/30 |
| | RMT03 | 782 | Monetary Amount Monetary amount | O R 1/15 |
| | RMT04 | 777 | Total Invoice Amount Amount of Invoice (including charges, less allowances) before terms discount (if discount is applicable) or debit amount or credit amount of referenced items. | O R 1/15 |
| | RMT05 | 778 | Amount Subject to Terms Discount Amount upon which the terms discount amount is calculated. | O R 1/15 |
| | RMT06 | 779 | Discounted Amount Due Amount of invoice due if paid by terms discount due date (Total Invoice Amount less Terms Discount Amount). | O R 1/15 |
| | RMT07 | 780 | Amount of Discount Taken Amount of discount. | O R 1/15 |
| | RMT08 | 782 | Monetary Amount Monetary amount | O R 1/15 |
| | RMT09 | 426 | Adjustment Reason Code Not Used | O ID 2/2 |
| | RMT10 | 352 | Description A free-form description to clarify the related data elements and their content | O AN 1/80 |

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Segment: **NTE** **Note/Special Instruction**
Position: 035
Loop: RMT Optional
Level: Detail
Usage: Optional
Max Use: >1
Purpose: To transmit information in a free-form format, if necessary, for comment or special instruction

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|---------------------|-------------------------------------|-------------------|
| | NTE01 | 363 | Note Reference Code 'PMT' | O ID 3/3 |
| M | NTE02 | 3 | Free Form Message Free-form text | M AN 1/60 |

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Segment: **LE** Loop Trailer
Position: 070
Loop:
Level: Detail
Usage: Mandatory
Max Use: 1
Purpose: To indicate that the loop immediately preceding this segment is complete

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|-------------------------|--------------------------------|-------------------|
| M | LE01 | 447 | Loop Identifier Code '0100' | M ID 1/4 |

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CCC No./N° CCC - FMS No./N° VME

Segment: **SE** **Transaction Set Trailer**

Position: 010

Loop:

Level: Summary

Usage: Mandatory

Max Use: 1

Purpose: To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments).

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|----------|------------------|-------------------------|---|-------------------|
| M | SE01 | 96 | Number of Included Segments Total number of segments included in a transaction set including ST and SE segments | M NO 1/6 |
| M | SE02 | 329 | Transaction Set Control Number Identifying control number assigned by the originator for a transaction set. | M AN 4/9 |

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CCC No./N° CCC - FMS No./N° VME

Segment: **S1E** **Security Trailer Level 1**
Position: 020
Loop:
Level: Summary
Usage: Mandatory
Max Use: 1
Purpose: To end a secured area and to provide the value of cryptographically computed authentication codes

Data Element Summary

| | <u>Ref.</u> <u>Des.</u> | <u>Data</u> <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|----------------------------|-------------------------------|--|-------------------|
| M | S1E01 | 997 | Message Authentication Code The message authentication code or hash/digest generated by the authentication process; when the Data Encryption Standard (DES) algorithm is used, the field consists of 4 hexadecimal coded characters (i.e., characters from the set 0..9, A..F), a separator character (space, "-", or other), and 4 hexadecimally coded characters; when non-DES hashes are used, the result of the hash is expressed as hexadecimally coded characters without spaces; when authentication or hash is not used, this field should be filled with a non-blank character other than the set (0..9, A..F) for the minimum length | M AN 9/9 |

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CCC No./N° CCC - FMS No./N° VME

Segment: **GE** **Functional Group Trailer**
Position: 030
Loop:
Level: Summary
Usage: Mandatory
Max Use: 1
Purpose: To indicate the end of a functional group and to provide control information

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|----------|------------------|-------------------------|--|-------------------|
| M | GE01 | 97 | Number of Transaction Sets Included Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element | M NO 1/6 |
| M | GE02 | 28 | Group Control Number Assigned number originated and maintained by the sender | M NO 1/9 |

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CCC No./N° CCC - FMS No./N° VME

Segment: **IEA** Interchange Control Trailer
Position: 040
Loop:
Level: Summary
Usage: Mandatory
Max Use: 1
Purpose: To define the end of an interchange of one or more functional groups and interchange-related control segments

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|---------------------|---|-------------------|
| M | IEA01 | I16 | Number of Included Functional Groups | M N0 1/5 |
| | | | A count of the number of functional groups included in a transmission. | |
| M | IEA02 | I12 | Interchange Control Number | M N0 9/9 |
| | | | This number uniquely identifies the interchange data to the sender. It is assigned by the sender. Together with the sender ID it uniquely identifies the interchange data to the receiver. It is suggested that the sender, receiver, and all third parties be able to maintain an audit trail of interchanges using this number. | |

824 Application Advice

Functional Group ID=AG

Introduction:

This standard contains the format and establishes the data contents of the Application Advice Transaction Set (824) for use within the context of an Electronic Data Interchange (EDI) environment.

Control and Heading:

| Pos. No. | Seg. ID | Name | Req. Des. | Max.Use | Loop Repeat | Notes and Comments |
|-------------|------------|----------------------------|--------------|---------|----------------|-----------------------|
| 005 | ISA | Interchange Control Header | M | 1 | | |
| 008 | GS | Functional Group Header | M | 1 | | |
| 010 | ST | Transaction Set Header | M | 1 | | |
| 020 | BGN | Beginning Segment | M | 1 | | |

Detail:

| Pos. No. | Seg. ID | Name | Req. Des. | Max.Use | Loop Repeat | Notes and Comments |
|-------------|------------|-------------------------------------|--------------|---------|----------------|-----------------------|
| | | LOOP ID - OTI | | | >1 | |
| 010 | OTI | Original Transaction Identification | M | 1 | | |
| 030 | DTM | Date/Time/Period | M | 2 | | |
| 050 | AMT | Monetary Amount | M | >1 | | |
| 060 | QTY | Quantity | O | >1 | | |
| | | LOOP ID - TED | | | >1 | |
| 070 | TED | Technical Error Description | M | 1 | | |

Summary:

| Pos. No. | Seg. ID | Name | Req. Des. | Max.Use | Loop Repeat | Notes and Comments |
|-------------|------------|-----------------------------|--------------|---------|----------------|-----------------------|
| 090 | SE | Transaction Set Trailer | M | 1 | | |
| 095 | GE | Functional Group Trailer | M | 1 | | |
| 098 | IEA | Interchange Control Trailer | M | 1 | | |

Segment: **ISA** Interchange Control Header
Position: 005
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To start and identify an interchange of one or more functional groups and interchange-related control segments

Data Element Summary

| | <u>Ref.</u> <u>Des.</u> | <u>Data</u> <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|----------------------------|-------------------------------|--|-------------------|
| M | ISA01 | I01 | Authorization Information Qualifier '00' | M ID 2/2 |
| M | ISA02 | I02 | Authorization Information Blank | M AN 10/10 |
| M | ISA03 | I03 | Security Information Qualifier '00' | M ID 2/2 |
| M | ISA04 | I04 | Security Information Blank | M AN 10/10 |
| M | ISA05 | I05 | Interchange ID Qualifier Qualifier to designate the system/method of code structure used to designate the sender ID element being qualified. | M ID 2/2 |
| M | ISA06 | I06 | Interchange Sender ID Identification code published by the sender of the data. | M AN 15/15 |
| M | ISA07 | I05 | Interchange ID Qualifier '12' | M ID 2/2 |
| M | ISA08 | I07 | Interchange Receiver ID 'GSCA GSCA008' | M AN 15/15 |
| M | ISA09 | I08 | Interchange Date Date of the interchange. | M DT 6/6 |
| M | ISA10 | I09 | Interchange Time Time of the interchange. | M TM 4/4 |
| M | ISA11 | I10 | Interchange Control Standards Identifier 'U' | M ID 1/1 |
| M | ISA12 | I11 | Interchange Control Version Number '00300' | M ID 5/5 |
| M | ISA13 | I12 | Interchange Control Number This number uniquely identifies the interchange data to the sender. It is assigned by the sender. Together with the sender ID it uniquely identifies the interchange data to the receiver. It is suggested that the sender, receiver, and all third parties be able to maintain an audit trail of interchanges using this number. | M NO 9/9 |
| M | ISA14 | I13 | Acknowledgment Requested '0' | M ID 1/1 |
| M | ISA15 | I14 | Test Indicator 'P' or 'T' | M ID 1/1 |
| M | ISA16 | I15 | Subelement Separator '.' | M AN 1/1 |

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CCC No./N° CCC - FMS No./N° VME

Segment: GS Functional Group Header**Position:** 008**Loop:****Level:** Heading**Usage:** Mandatory**Max Use:** 1**Purpose:** To indicate the beginning of a functional group and to provide control information**Data Element Summary**

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> | |
|---|------------------|-------------------------|--|-------------------|---------|
| M | GS01 | 479 | Functional Identifier Code 'AG' | M | ID 2/2 |
| M | GS02 | 142 | Application Sender's Code Code identifying party sending the transmission; codes agreed to by trading partners | M | AN 2/15 |
| M | GS03 | 124 | Application Receiver's Code 'SPS001' | M | AN 2/15 |
| M | GS04 | 373 | Date Date (YYMMDD) | M | DT 6/6 |
| M | GS05 | 337 | Time Time (HHMM) | M | TM 4/6 |
| M | GS06 | 28 | Group Control Number Assigned number originated and maintained by the sender | M | N0 1/9 |
| M | GS07 | 455 | Responsible Agency Code 'X' | M | ID 1/2 |
| M | GS08 | 480 | Version / Release / Industry Identifier Code '003010' | M | AN 1/12 |

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CCC No./N° CCC - FMS No./N° VME

Segment: **ST** **Transaction Set Header**

Position: 010

Loop:

Level: Heading

Usage: Mandatory

Max Use: 1

Purpose: To indicate the start of a transaction set and to assign a control number

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|---------------------|---|-------------------|
| M | ST01 | 143 | Transaction Set Identifier Code '824' | M ID 3/3 |
| M | ST02 | 329 | Transaction Set Control Number Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | M AN 4/9 |

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CCC No./N° CCC - FMS No./N° VME

Segment: **BGN** Beginning Segment
Position: 020
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the beginning of a transaction set

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|-------------------------|--|-------------------|
| M | BGN01 | 353 | Transaction Set Purpose Code Code identifying purpose of transaction set | M ID 2/2 |
| M | BGN02 | 127 | Reference Number Reference number or identification number as defined for a particular Transaction Set, or as specified by the Reference Number Qualifier. | M AN 1/30 |
| M | BGN03 | 373 | Date Date (YYMMDD) | M DT 8/8 |
| | BGN04 | 337 | Time Not Used | |
| | BGN05 | 623 | Time Code Not Used | |

Transaction Level OTI loop.**Segment:** **OTI** Original Transaction Identification**Position:** 010**Loop:** OTI Mandatory**Level:** Detail**Usage:** Mandatory**Max Use:** 1**Purpose:** To identify a transaction set and indicate in detail the status of the transaction.**Data Element Summary**

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|---------------------|--|-------------------|
| M | OTI01 | 110 | Application Acknowledgment Code 'TA' Transaction set accepted 'TR' Transaction set rejected | M ID 1/2 |
| M | OTI02 | 128 | Reference Number Qualifier 'RR' | M ID 2/3 |
| M | OTI03 | 127 | Reference Number Receiver General Transaction Payment Number from the 820 transaction being acknowledged. See 820 Payment Order mapping REF 1 segment REF02. | M AN 1/30 |
| | OTI04 | 142 | Application Sender's Code Not Used | O AN 2/12 |
| | OTI05 | 124 | Application Receiver's Code Not Used | O AN 2/12 |
| | OTI06 | 29 | Group Date Not Used | O DT 6/6 |
| | OTI07 | 30 | Group Time Not Used | O TM 4/4 |
| | OTI08 | 28 | Group Control Number GS06 value from the functional group of the 820 transaction being acknowledged. | X N0 1/9 |
| | OTI09 | 329 | Transaction Set Control Number ST02 value from the transaction set of the 820 transaction being acknowledged. | O AN 4/9 |

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CCC No./N° CCC - FMS No./N° VME

Segment: **DTM** **Date/Time Reference**
Position: 030
Loop: DTM Mandatory
Level: Detail
Usage: Mandatory
Max Use: 2
Purpose: To specify pertinent dates and times

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> | |
|----------|------------------|-------------------------|--|-------------------|---------------|
| M | DTM01 | 374 | Date/Time Qualifier '44' Settlement Date | M | ID 3/3 |
| | DTM02 | 373 | Date Settlement Date of the payment order (YYYYMMDD) | X | DT 8/8 |
| | DTM03 | 337 | Time Not Used | C | TM 4/4 |
| | DTM04 | 623 | Time Code Not Used | O | ID 2/2 |

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CCC No./N° CCC - FMS No./N° VME

Segment: **AMT** Monetary Amount
Position: 050
Loop: OTI Mandatory
Level: Detail
Usage: Mandatory
Max Use: 10
Purpose: To indicate the monetary amount of the transaction
Syntax Notes:
Semantic Notes:
Comments:

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|-------------------------|---|-------------------|
| M | AMT01 | 522 | Amount Qualifier Code 'BT' Payment pending credit approval/rejected – exceeds credit 'NP' Payment passed credit approval | M ID 1/3 |
| M | AMT02 | 782 | Monetary Amount Monetary amount The BPS02 value from the 820 transaction being acknowledged. | M R 1/18 |

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CCC No./N° CCC - FMS No./N° VME

Segment: TED Technical Error Description**Position:** 070**Loop:** TED Mandatory**Level:** Detail**Usage:** Mandatory**Max Use:** 1**Purpose:** To identify the error and, if feasible, the erroneous segment, or data element, or both**Data Element Summary**

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|---------------------|--|-------------------|
| M | TED01 | 647 | Application Error Condition Code Code indicating application error condition | M ID 1/3 |
| | TED02 | 3 | Free Form Message Free-form text of the error condition | O AN 1/60 |
| | TED03 | 721 | Segment ID Code Not Used | O ID 2/3 |
| | TED04 | 719 | Segment Position in Transaction Set Not Used | O N0 1/6 |
| | TED05 | 722 | Element Position in Segment Not Used | O N0 1/2 |
| | TED06 | 725 | Data Element Reference Number Not Used | O N0 1/4 |
| | TED07 | 724 | Copy of Bad Data Element Not Used | O AN 1/99 |
| | TED08 | 961 | Data Element New Content Not Used | O AN 1/99 |

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CCC No./N° CCC - FMS No./N° VME

Segment: SE Transaction Set Trailer**Position:** 090**Loop:****Level:** Summary**Usage:** Mandatory**Max Use:** 1**Purpose:** To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments).**Syntax Notes:****Semantic Notes:****Comments:** 1 SE is the last segment of each transaction set.**Data Element Summary**

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|-------------------------|--|-------------------|
| M | SE01 | 96 | Number of Included Segments Total number of segments included in a transaction set including ST and SE segments | M N0 1/10 |
| M | SE02 | 329 | Transaction Set Control Number Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | M AN 4/9 |

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CCC No./N° CCC - FMS No./N° VME

Segment: **GE** **Functional Group Trailer**
Position: 095
Loop:
Level: Summary
Usage: Mandatory
Max Use: 1
Purpose: To indicate the end of a functional group and to provide control information

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|----------|------------------|-------------------------|--|------------------------|
| M | GE01 | 97 | Number of Transaction Sets Included Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element | M N0 1/6 |
| M | GE02 | 28 | Group Control Number Assigned number originated and maintained by the sender | M N0 1/9 |

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Segment: **IEA** Interchange Control Trailer
Position: 098
Loop:
Level: Summary
Usage: Mandatory
Max Use: 1
Purpose: To define the end of an interchange of one or more functional groups and interchange-related control segments

Data Element Summary

| | <u>Ref. Des.</u> | <u>Data Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|------------------|---------------------|---|-------------------|
| M | IEA01 | I16 | Number of Included Functional Groups | M N0 1/5 |
| | | | A count of the number of functional groups included in a transmission. | |
| M | IEA02 | I12 | Interchange Control Number | M N0 9/9 |
| | | | This number uniquely identifies the interchange data to the sender. It is assigned by the sender. Together with the sender ID it uniquely identifies the interchange data to the receiver. It is suggested that the sender, receiver, and all third parties be able to maintain an audit trail of interchanges using this number. | |

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EXAMPLE

ISA*00* *00* *01*111111111 *12*GSCA GSCA008
*090731*1334*U*00300*002518668*0*P*..
GS*AG*TESTP*SPS001*090731*1334*907310709*X*003010.
ST*824*0000000001.
BGN*08*000320090731051096251*090731.
OTI*TA*RR*085209999999*****2222*0001.
DTM*044*090731.
AMT*NP*155430.00.
TED*ZZZ*820 PAYMENT PASSED CREDIT APPROVAL.
OTI*TA*RR*085208888888*****2222*0002.
DTM*044*090731.
AMT*NP*45971.00.
TED*ZZZ*820 PAYMENT PASSED CREDIT APPROVAL.
SE*11*0000000001.
GE*000001*907310709.
IEA*1*002491834.

ANNEX A, APPENDIX A4**OPERATIONS PROTOCOL
AND
DELIVERABLES**

Important Note: This is a draft operations protocol only. A final operations protocol will be decided through a meeting between the EDI Contractor and the Project Authority within one week after contract award. The Project Authority will identify the negotiable items for the EDI Contractor. These items reflect administrative parameters and will in no way allow the EDI Contractor to alter their quoted price. All changes to the Operations Protocol must remain within the scope of the statement of work for EDI payments. The final Operations Protocol must be included as part of the contract implementation.

Deliverables

Within one (1) week of contract award, the EDI Contractor must:

1. Provide a contingency and disaster recovery plan, as described in Section 2.20;
2. Schedule a meeting with the Project Authority to decide the final operations protocol.

General:

1. Payments will be in Canadian funds.
2. All times specified are in Eastern Standard Time (EST).
3. The EDI Contractor's working hours will be from ___ a.m. to ___ p.m., however the EDI Contractor will not accept 820 transaction sets for same day value after ___ p.m.
4. All Electronic Data Interchange (EDI) payments will be made available in the VAN mailbox for the EDI Contractor by the Receiver General for Canada (RG) in the form of a payment order/remittance advice (820 transaction set) complying with CPA supported versions 3010 or 4010 of EDI ANSI X12 standards.
5. Each party must respond to transaction sets from the other party within two hours of receipt. A response to a functional acknowledgement (997 transaction set) is not required.
6. EDI transaction sets (except 997 transactions sets), which pass the ANSI X12 syntax checking must be acknowledged with a positive 997 and then passed on to application editing.
7. EDI transaction sets (except 997 transaction sets) not passing the ANSI X12 syntax checking must be acknowledged with a negative 997 and must not be passed on to application editing.
8. Further inspection is performed on the integrity of the data and success or failure at the transaction set level must be reported with a positive or negative application advice (824 transaction set), respectively.
9. A transaction set (other than a 997), must be deemed to have been properly received by the receiver when a positive 997 functional acknowledgement has been submitted or delivered in response to such transaction set by the receiver to the electronic mailbox of the sender.

Operations:

1. In order for the funds to be available in the payee's account on the value date, the 820 transaction set must be available to the EDI Contractor no later than ___ p.m. EST on the value date.

2. Upon receipt of an 820 transaction set from the RG, the EDI Contractor must respond, within two hours, with a positive or negative 997 transaction set and a positive or negative 824 transaction set as applicable.
3. The EDI Contractor will be responsible for forwarding the payment order/remittance advice (i.e. 820 transaction set) information received from the RG to the payees' financial institutions and for working with the payees' financial institutions to ensure payments are made on the value date.
4. The RG must respond to an 824 transaction set received from the EDI Contractor, within two hours, with a positive or negative 997 transaction set as applicable.
5. If either party suspects that the information being received is incomplete, inaccurate, corrupted in transmission, or not intended for the receiver, the latter must promptly transmit a negative 997 transaction set to the sender.
6. Either party, the RG or the EDI Contractor must immediately notify the other party of any exceptions to normal operations.
7. The EDI Contractor must work with the Project Authority to determine the appropriate contacts and procedures to be used for notices given pursuant to this section.

EDI Network:

1. EDI Payment information will be made available in a secure mailbox with the RG's VAN service provider. Details regarding the location of this mailbox will be provided, and the VAN service provider may change during the life of this contract, and the EDI contractor will be required to update their secure file retrieval methods to a new mailbox as specified by the RG.
2. The Contractor will assume their own costs related to the connectivity and transmission of EDI payment information through the CPA network.

Edit and Validation:

1. The EDI Contractor must immediately edit and validate each transaction within a transaction set.
2. Individual transactions that fail edits or validation must result in the transaction being rejected, without the need to reject the entire file.

Trace Requests:

1. Trace requests to the EDI Contractor will not be requested by the RG on or before the value date of the transaction being traced.
2. Trace requests will be initiated by the RG as a result of a payee reporting non-receipt of payment.
3. The RG will forward the trace request to the appropriate area of the EDI Contractor via _____.

The request will include a screen printout, from the Standard Payment System (SPS), for the particular transaction to be traced. The screen printout will contain the information necessary for the EDI Contractor to affect the trace. Also included will be a covering page requesting that the attached payment be traced and indicating to whom at the RG the results of the trace are to be provided.

4. Upon receipt of the trace request, the EDI Contractor will determine the status of the payment and advise the RG via _____ of the payment status and of any action taken or to be taken.

5. The EDI Contractor will respond to the RG as soon as possible, within five business days of receipt of the trace request.

Recall Requests:

1. Payment recalls to the EDI Contractor will be requested by the RG no later than ____ hours on the business day immediately prior to value date.
2. Recall requests will be initiated by the RG as a result of direction from the client department.
3. The RG will inform Cheque Redemption Control Directorate (CRCD) and forward the recall request to the appropriate area of the EDI Contractor via _____.

The request will include a screen printout, from the Standard Payment System (SPS), for the particular transaction to be recalled. The screen printout will contain the information necessary for the EDI Contractor to effect the recall. Also included will be a covering page requesting that the attached payment be recalled and indicating who at the RG is requesting the recall. If unable to recall the payment, the EDI Contractor will advise the appropriate contact at the RG accordingly.

4. Upon receipt of the request, the EDI Contractor will recall the payment and implement the Returned Item Voucher (RIV) procedure. The RIV is to be completed in the prescribed format and forwarded by the EDI Contractor to the contacts specified by the RG and to the Bank of Canada within two business days of the recall request. The EDI Contractor will advise the RG that the recall has been processed.

5. The EDI Contractor in conjunction with the payee's FI must ensure that the deposit to the payee's account is reversed and that the Receiver General is reimbursed in the settlement process.

Returned Item Voucher (RIV):

1. Where a payment cannot be posted at the payee's financial institution, that institution will provide the EDI Contractor with either a negative 824 or a Returned Item Voucher (RIV).
2. Where a negative 824 transaction set is received from a payee's financial institution, the EDI Contractor will initiate the RIV process. The RIV is to be completed in the prescribed format and forwarded by the EDI Contractor to the contacts specified by the RG and to the Bank of Canada within two business days of the negative 824.
3. Within two business days of receipt of a RIV from the payee's financial institution, the EDI Contractor will forward the RIV to the contacts specified by the RG and to the Bank of Canada.

Process for the Redemption of EDI Payments:

1. On value date, the EDI Contractor must complete a Bank of Canada form 799 by entering the redemption value of EDI items claimed under code 211.
2. On settlement date, the presentation at the Bank of Canada will be done according to the procedures outlined in section G12 of the CPA rules.

Stale Dated Payments:

1. The EDI Contractor will accept payments that are stale dated up to ____ calendar days.

Process for Settlement of RIVs

1. EDI RIVs must be forwarded to the agency of the Bank of Canada separately from other RIVs.

Warehousing of Payments:

1. The EDI Contractor will accept payments that are post-dated up to ____ calendar days.

Security Procedures:

1. Each party must have sufficient controls in place to ensure that only authorized operators are able to initiate, send and receive transaction sets.
2. Each party must have sufficient security controls in place to ensure EDI transactions are not changed after they are received.
3. In the event of a breach in security, the party who identified the breach must immediately notify the other party to determine the severity of the breach and to evaluate the risk to the integrity of the payments system and its participants.

Contacts:

1. Each party must provide a list of operations contacts to the other party specifying responsibilities within the context of this contract. Contact information for each operations contact must, at a minimum, include:
 - Name
 - Title
 - Mailing address
 - Email address
 - Office phone number
 - Cell phone number (if applicable)
 - Pager phone number (if applicable)
2. Operations contacts will be used for enquiries in regards to: EDI transactions, notices of delays in transmission of acknowledgement, notices of edit and validation issues, and notices of file authentication failures.
3. Each party must provide a list of escalation contacts to the other party specifying responsibilities within the context of this contract. Contact information for each escalation point must, at a minimum, include:
 - Name
 - Title
 - Mailing address
 - Email address
 - Office phone number
 - Cell phone number (if applicable)
 - Pager phone number (if applicable)
4. The EDI Contractor must work with the Project Authority to determine the appropriate contacts and procedures to be used for notices given pursuant to the operations protocol. The appropriate contacts and procedures must be determined and documented in the operations protocol prior to the contract implementation date.

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EDI DAILY PROCESSING SCHEDULE

The following schedule outlines the current daily processing schedule for EDI payments created by the Receiver General.

| DAILY TIME | DESCRIPTION |
|----------------------------|---|
| 5:00 AM – 11:59 AM | Departments enter payment requests, including same day value requests |
| 12:00 PM | SPS payment processing begins |
| 12:00 PM | SPS extracts EDI payments and creates payment file |
| 12:30 PM | 820 payment file sent to the EDI Contractor for processing |
| 1:30 PM | The EDI Contractor responds with 824 and 997 files |
| 2:00 PM | 824 and 997 file processing occurs |
| 4:00 PM | SPS processes 824 file and updates CRCD |
| 12:01 PM – 4:30 AM (Day 2) | Departments enter payment requests, including next day value requests |
| 4:30 AM (Day 2) | SPS payment processing begins |
| 5:00 AM (Day 2) | SPS extracts EDI payments and creates payment file |
| 5:30 AM (Day 2) | 820 payment file sent to the EDI Contractor for processing |
| 7:00 AM (Day 2) | The EDI Contractor responds with 824 and 997 files |
| 7:00 AM (Day 2) | 824 and 997 file processing occurs |
| 7:30 AM | SPS processes 824 file and updates CRCD |

This twice daily extract represents a minimum service level the RG wishes to offer to its client departments. The SPS is easily configurable to produce EDI extract files at additional and alternative intervals throughout the day.

ANNEX B BASIS OF PAYMENT

1.0 Contract Period (From October 1st 2015 to September 30, 2018)

During the period of the Contract, the Contractor will be paid as specified below, for Work performed in accordance with the Contract.

A) Items subjects to a Limitation of Expenditure

Table 1 – EDI Transaction - Firm All-Inclusive Unit Fee per Volume Range

| Item A – Transaction Volume Range | Contract Period Year 1 (From October 1 st 2015 to September 30 th , 2016) | Contract Period Year 2 (From October 1 st 2016 to September 31 th , 2017) | Contract Period Year 3 (From October 1 st 2017 to September 30 th , 2018) |
|-----------------------------------|--|--|--|
| | Firm All-Inclusive Unit Fee | Firm All-Inclusive Unit Fee | Firm All-Inclusive Unit Fee |
| Up to 50,000 | \$ | \$ | \$ |
| 50,001 – 70,000 | \$ | \$ | \$ |
| 70,001 – and above | \$ | \$ | \$ |

Table 2 – Firm All-Inclusive Unit Fee/Monthly Fee/Price for Set-up, Administration, Trace Request and Recall Request

| Item | Contract Period Year 1 (From October 1 st 2015 to September 30 th , 2016) | Contract Period Year 2 (From October 1 st 2016 to September 30 th , 2017) | Contract Period Year 3 (From October 1 st 2017 to September 30 th , 2018) |
|----------------|--|--|--|
| | Firm All-Inclusive Unit Fee | Firm All-Inclusive Unit Fee | Firm All-Inclusive Unit Fee |
| Trace Request | \$ | | |
| | Firm All-Inclusive Unit Fee | Firm All-Inclusive Unit Fee | Firm All-Inclusive Unit Fee |
| Recall Request | \$ | | |

Total Estimated Cost to a Limitation of Expenditure: \$ _____

2.0- Option to Extend the Term of the Contract

This section is only applicable if the option to extend the Contract is exercised by Canada.

During the extended period of the Contract specified below, the Contractor will be paid as specified below to perform all the Work in relation to the Contract extension.

2.1 Extended Contract Period From October 1st 2018 to September 30th, 2019

2.2 Extended Contract Period From October 1st 2019 to September 30th, 2020

2.3 Transition - Extended Contract Period from October 1st, 2020 to March 31, 2021

For any required transition period as per Article 4.3 Option to Extend - Transition Period of the Contract, the Contractor must provide the same level of services on a reduced volume basis and at the same prices, rates and fees as contained in the last year of the contract.

A) Items subjects to a Limitation of expenditure

Table 1 – EDI Transaction - Firm All-Inclusive Unit Fee per Volume Range

| Item A – Transaction Volume Range | Option Year 1 (From October 1st 2018 to September 30th, 2019) | Option Year 2 (From October 1st 2019 to September 30th, 2020) |
|--|--|--|
| | Firm All-Inclusive Unit Fee | Firm All-Inclusive Unit Fee |
| Up to 50,000 | \$ | \$ |
| 50,001 – 70,000 | \$ | \$ |
| 70,001 – and above | \$ | \$ |

Table 2 – Firm All-Inclusive Unit Fee/Monthly Fee/Price for Set-up, Administration, Trace Request and Recall Request

| Item | Option Year 1 (From October 1st 2018 to September 30th, 2019) | Option Year 2 (From October 1st 2019 to September 30th, 2020) |
|----------------|--|--|
| Trace Request | Firm All-Inclusive Unit Fee | Firm All-Inclusive Unit Fee |
| | \$ | |
| Recall Request | Firm All-Inclusive Unit Fee | Firm All-Inclusive Unit Fee |
| | \$ | |

Total Estimated Cost to a Limitation of Expenditure: \$ _____

3.0 Annual Adjustment

Based on the EDI Total Annual volume of transaction, the price will be adjusted, either upwards or downwards to reflect the actual volume of transactions incurred associated with the proper unit fee of the actual year end volume range, obtained by the Contractor for the services received, at the end of each contractual year.

The annual adjustment might be required if the Contract Year's actual volume fell within a different volume range on the Contractor's Table 1. These adjustments are subject to upward or downward adjustment, according to volume that would differ from the one originally forecasted.

Should the actual volume at the end of the year differ from the estimated volume range unit rates at the beginning of the year, the unit price for the actual volume will be used to calculate the actual line item Contract amount. Any difference between the actual line item Contract amount and the amount paid by the RG that year will be settled as a positive or negative adjustment on the Contractor's next invoice.

Based on the Table 1 provided by the Contractor, and upon agreement to the adjustment, the Contractor must present the yearly adjustment on the next monthly invoice. Requests for adjustments should be submitted in writing:

a) in the case of a payment other than the final payment, within ninety (90) days following the end of the year in which the services were provided.

b) in the case of a final payment, within thirty (30) days following the date of receipt of a duly completed invoice, or within thirty (30) days following the date on which the Work is completed, whichever date is the later.

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ANNEX C

SECURITY REQUIREMENTS CHECK LIST

See attached

Attachment 1 to Annex C - Information Technology Security Requirements (ITSR)

The Contractor must demonstrate that any Information Technology system(s) and/or application(s) that will be used in the delivery of the EDI service meet the mandatory compliance with ISO27001-Information Security Management Systems Requirement and ISO27002-Code of practice for information security controls. Compliance must be maintained for the duration of the contract and must be re-evaluated on a yearly basis.

Following table lists the requirements related to the EDI.

| ID | Description | Validation | Supporting Evidence / Compensating Safeguard |
|----|--|------------|---|
| 01 | The Contractor upon contract award, within one (1) month, must perform a self assessment against the ISO27001 and ISO2702 Standards and report deficiencies to the TA. | | |
| 02 | The Contractor must provide a Security Action Plan within two (2) weeks upon completing the ISO27001 and ISO2700 Standards self assessments detailing actions and timelines to address identified deficiencies. | | |
| 03 | The Contractor must provide quarterly Security Action Plan updates. | | |
| 04 | The Contractor must utilize the Shared Services Canada Managed Secure File Transfer (MSFT) service for connections between the contractors IT environment and the GC. | | |
| 05 | Data in transit and at rest must stay within Canadian Borders. | | |
| 06 | Unless specified by the business, Data breaches must be reported to TA immediately upon discovery. | | |
| 07 | IT security incident reports are to be provided to TA on a monthly basis. | | |
| 08 | Security Monitoring and Incident Reporting i. The Contractor must immediately report to the Technical Authority any incidents relating to the security of PWGSC's network and infrastructure, or the Contractor's network infrastructure or backbone, or PWGSC's data. ii. The Contractor must cooperate fully with PWGSC in the investigation of any security incident iii. The Contractor must immediately take measures as needed to limit the damage caused and/or stop the information technology security breach. | | |
| 09 | Security Audit i. PWGSC may audit the Contractor's compliance with the security requirements included in the | | |

| ID | Description | Validation | Supporting Evidence / Compensating Safeguard |
|----|---|------------|---|
| | Contract at any time. The Contractor must provide PWGSC (or PWGSC's authorized representative) with full access to its premises, its network, and all databases storing PWGSC's data or data related to the Contract at all reasonable times. If PWGSC identifies any security deficiencies during an audit, the Contractor must immediately correct the deficiencies at its own expense. | | |
| 10 | <p>IT Media</p> <p>i. The Contractor must mark IT media used to render required services for this contract with the appropriate GC security classifications.</p> <p>ii. The Contractor must follow RCMP G1-009 "Transport and Transmittal of Protected and Classified Information" when transporting IT media used to render required services for this contract, into or out of the contractor's physical premises.</p> <p>iii. All IT media used to render required services for this contract, when not in use, must be stored in a storage container which is RCMP-approved for the storage of sensitive information to the level of PROTECTED B (G1-001 "Security Equipment Guide". The storage container must be verified by CISD.</p> <p>iv. The Contractor must follow ITSG-06 "Clearing and Declassifying Electronic Data" when declassifying, reusing, or disposing of IT media used to render required services for this contract.</p> | | |
| 11 | <p>Malicious Code</p> <p>i. The Contractor must install, use and regularly update antivirus software and conduct scans on all electronic files within IT environment used to render required services for this contract.</p> | | |
| 12 | <p>Protection of Sensitive information</p> <p>i. The Contractor must follow CSEC's Approved Cryptographic Algorithms for the Protection of Sensitive Information and for Electronic Authentication and Authorization Applications within the Government of Canada (ITSA-11E)</p> | | |

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DEC 02 2014


 Government of Canada /
Gouvernement du Canada

Contract Number / Numéro du contrat

EN89151443

 Security Classification / Classification de sécurité
UNCLASSIFIED

SECURITY REQUIREMENTS CHECK LIST (SRCL)

LISTE DE VÉRIFICATION DES EXIGENCES RELATIVES À LA SÉCURITÉ (LVERS)

PART A - CONTRACT INFORMATION / PARTIE A - INFORMATION CONTRACTUELLE

| | | | | |
|---|--|--|---|--|
| 1. Originating Government Department or Organization / Ministère ou organisme gouvernemental d'origine | | Public Works and Government Services Canada | 2. Branch or Directorate / Direction générale ou Direction Banking Arrangements Dir. | |
| 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 To provide outgoing EDI payments on behalf of the government. | | | | |
| 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 Non | <input type="checkbox"/> Yes 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 Non | <input type="checkbox"/> Yes 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 Non | <input checked="" type="checkbox"/> Yes 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 checked="" type="checkbox"/> No Non | <input type="checkbox"/> Yes 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 Non | <input type="checkbox"/> Yes 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 checked="" type="checkbox"/> | All NATO countries Tous les pays de l'OTAN <input type="checkbox"/> | No release restrictions Aucune restriction relative à la diffusion <input type="checkbox"/> | | |
| Not releasable À ne pas diffuser <input type="checkbox"/> | | | | |
| Restricted to: / Limité à: <input 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: | 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 NATO NON CLASSIFIÉ <input type="checkbox"/> | PROTECTED A PROTÉGÉ A <input type="checkbox"/> | | |
| PROTECTED B PROTÉGÉ B <input type="checkbox"/> | NATO RESTRICTED NATO DIFFUSION RESTREINTE <input type="checkbox"/> | PROTECTED B PROTÉGÉ B <input type="checkbox"/> | | |
| PROTECTED C PROTÉGÉ C <input type="checkbox"/> | NATO CONFIDENTIAL NATO CONFIDENTIEL <input type="checkbox"/> | PROTECTED C PROTÉGÉ C <input type="checkbox"/> | | |
| CONFIDENTIAL CONFIDENTIEL <input type="checkbox"/> | NATO SECRET NATO SECRET <input type="checkbox"/> | CONFIDENTIAL CONFIDENTIEL <input type="checkbox"/> | | |
| SECRET SECRET <input type="checkbox"/> | COSMIC TOP SECRET COSMIC TRÈS SECRET <input type="checkbox"/> | SECRET SECRET <input type="checkbox"/> | | |
| TOP SECRET TRÈS SECRET <input type="checkbox"/> | | TOP SECRET TRÈS SECRET <input type="checkbox"/> | | |
| TOP SECRET (SIGINT) TRÈS SECRET (SIGINT) <input type="checkbox"/> | | TOP SECRET (SIGINT) TRÈS SECRET (SIGINT) <input type="checkbox"/> | | |



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Gouvernement du Canada

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EN89151443

Security Classification / Classification de sécurité
UNCLASSIFIED

PART A (continued) / PARTIE A (suite)

8. 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? ☒ No ☐ Yes
Non Oui

If Yes, indicate the level of sensitivity:

Dans l'affirmative, indiquer le niveau de sensibilité :

9. 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? ☒ No ☐ Yes
Non Oui

Short Title(s) of material / Titre(s) abrégé(s) du matériel :

Document Number / Numéro du document :

PART B - PERSONNEL (SUPPLIER) / PARTIE B - PERSONNEL (FOURNISSEUR)

10. a) Personnel security screening level required / Niveau de contrôle de la sécurité du personnel requis

- | | | | |
|---|---|---|--|
| <input checked="" type="checkbox"/> RELIABILITY STATUS COTE DE FIABILITÉ | <input type="checkbox"/> CONFIDENTIAL CONFIDENTIEL | <input 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? ☒ No ☐ Yes
Non Oui

If Yes, will unscreened personnel be escorted?
Dans l'affirmative, le personnel en question sera-t-il escorté? ☒ No ☐ Yes
Non Oui

PART C - SAFEGUARDS (SUPPLIER) / PARTIE C - MESURES DE PROTECTION (FOURNISSEUR)

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? ☐ No ☒ Yes
Non 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? ☒ No ☐ Yes
Non 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? ☒ No ☐ Yes
Non Oui

INFORMATION TECHNOLOGY (IT) MEDIA / SUPPORT RELATIF À LA TECHNOLOGIE DE L'INFORMATION (TI)

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? ☐ No ☒ Yes
Non 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? ☒ No ☐ Yes
Non Oui

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Canada



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PART C - (continued) / PARTIE 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 | SECRET | TOP SECRET | NATO RESTRICTED | NATO CONFIDENTIAL | NATO SECRET | COSMIC TOP SECRET | PROTECTED PROTÉGÉ | | | CONFIDENTIAL | SECRET | TOP SECRET |
| | | | | CONFIDENTIEL | | TRÈS SECRET | NATO DIFFUSION RESTREINTE | NATO CONFIDENTIEL | | COSMIC TRÈS SECRET | A | B | C | CONFIDENTIEL | | TRÈS SECRET |
| Information / Assets Renseignements / Biens 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, classifiez 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, classifiez le présent formulaire en indiquant le niveau de sécurité dans la case intitulée « Classification de sécurité » au haut et au bas du formulaire et indiquez qu'il y a des pièces jointes (p. ex. SECRET avec des pièces jointes).