



## **PROFESSIONAL AUDIT AND SUPPORT SERVICES (PASS) REFRESH 2015 REQUEST FOR SUPPLY ARRANGEMENT (RFSA)**

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## **PROFESSIONAL AUDIT AND SUPPORT SERVICES (PASS) REFRESH 2015 REQUEST FOR SUPPLY ARRANGEMENT (RFSA)**

### **PART 1 - GENERAL INFORMATION**

#### **1.1 Introduction**

The Request for Supply Arrangements (RFSA) is divided into six parts plus attachments and annexes, as follows:

- Part 1 General Information: provides a general description of the requirement;
- Part 2 Supplier Instructions: provides the instructions applicable to the clauses and conditions of the RFSA;
- Part 3 Arrangement Preparation Instructions: provides suppliers with instructions on how to prepare the arrangement to address the evaluation criteria specified;
- Part 4 Evaluation Procedures and Basis of Selection: indicates how the evaluation will be conducted, the evaluation criteria which must be addressed in the arrangement and the basis of selection;
- Part 5 Certifications: includes the certifications to be provided; and
- Part 6 6A, Supply Arrangement, 6B, Bid Solicitation, and 6C, Resulting Contract Clauses:
  - 6A, includes the Supply Arrangement (SA) with the applicable clauses and conditions;
  - 6B, includes the instructions for the bid solicitation process within the scope of the SA;
  - 6C, includes general information for the conditions which will apply to any contract entered into pursuant to the SA.

The Attachments and Annexes include:

- Attachment A – Supplier Profile / Centralized Professional Services System (CPSS) Supplier Module – Enrolment
- Attachment B – Supply Arrangement Technical Evaluation Criteria
- Attachment C – Supplier's Statement
- Attachment D – Online Response Template / CPSS Supplier Module – DCC
- Attachment E – Certifications / CPSS Supplier Module – DCC
- Annex A – Statement of Requirements
- Annex B – Generic Security Requirements Check Lists (SRCLs)
- Annex C – Quarterly Usage Report Sample
- Annex D – Client Satisfaction Form
- Annex E – Qualified Streams

#### **1.2 Summary**

- 1.2.1 This solicitation is a Request for Supply Arrangement to satisfy Canada's requirement for the provision of Professional Audit and Support Services to locations throughout Canada, excluding any locations in areas subject to any of the Comprehensive Land Claims Agreements. Each arrangement submitted may result in a Supply Arrangement (SA). All suppliers capable of

meeting the requirements of this solicitation are invited to submit an arrangement for a Supply Arrangement.

- 1.2.2 For services requirements, Suppliers must provide the required information as detailed in article 2.3 of Part 2 of the Request for Supply Arrangements (RFSA), in order to comply with Treasury Board policies and directives on contracts awarded to former public servants.

### 1.2.3 Previous PASS SA E60ZG-060004 Holders

All suppliers interested in obtaining an SA must comply with the requirements of the Refresh solicitation. Therefore, Previous PASS SA E60ZG-060004/XXX/ZQ Holders that have not already qualified under the PASS Renewal RFSA (E60ZQ-140002/B) **are required** to submit arrangements to this Refresh RFSA in order to re-qualify for those Streams for which they previously held an SA and/or to qualify for Streams for which they previously did not have an SA.

### 1.2.4 Streams

- a) PASS includes the following Streams of services:

- Stream 1: Internal Audit Services;
- Stream 2: Practice Inspections;
- Stream 3: Information Technology and Systems Audits;
- Stream 4: Forensic Audits;
- Stream 5: External Audit Services;
- Stream 6: Financial and Accounting Services;
- Stream 7: Internal Control Training; and
- Stream 8: Recipient/Contribution Agreement Audit

- b) Arrangements will be evaluated on a Stream basis. It is not necessary to submit an arrangement for all Streams to be issued an arrangement. Therefore, if a supplier wishes to submit an arrangement for services in only one specific Stream, it may do so; however, if a minimum response is required to obtain a Stream, then that minimum response must be provided in the arrangement.

### 1.2.5 The Period of the Instruments

The Supply Arrangement will remain valid until July 31, 2018 or until such time as Canada no longer considers them to be advantageous to use them. The period for awarding contracts under the Supply Arrangement begins on the start date of the Supply Arrangement.

### 1.2.6 Identified Users

Any resulting arrangements may be used by any government department or Crown Corporation as described in the Financial Administration Act (as amended from time to time) or any other party for which the Department of Public Works and Government Services may be authorized to act from time to time under section 16 of the Department of Public Works and Government Services Act (each "Identified User").

### 1.2.7 Solicitation

- a) It is intended that this solicitation follow the guidelines set out by PWGSC's Professional Services National Procurement Strategy; however those guidelines are not incorporated into this document. The solicitation documents contain all the requirements relating to this solicitation.

Any other information or documentation provided to or obtained by a supplier from any other source is not relevant.

- b) This refresh solicitation will allow new Suppliers to qualify under one or more streams, and become pre-qualified Suppliers under the PASS SA. It will also allow Current SA holders to qualify under one or more additional streams in which are not pre-qualified under their current SA(s). All current SA holders who qualify for additional streams will be issued an amendment to their SA(s), which will include the additional streams for which they qualify under the refresh RFSA.
- c) Suppliers may submit an Arrangement for a Supply Arrangement at any time by responding to the most recent refresh terms and conditions posted on GETS.
- d) Canada may issue supply arrangements to suppliers who qualify throughout the entire period of the Supply Arrangement. Evaluations of such arrangements will be processed on a quarterly basis, with targeted schedules identifying the closing dates for each quarterly evaluation cycle.
- e) Suppliers are instructed to order the refresh RFSA #E60ZQ-140002/C, and all its related amendments, through GETS, at the following website: <https://buyandsell.gc.ca/>, and to submit their proposed arrangements as directed in Part 2, Submission of Arrangements.
- f) Refer to Part 6A.8 for more information on the Supply Arrangement refresh schedule.

### **1.2.8 Trade Agreements**

The requirement is subject to the provisions of the World Trade Organization Agreement on Government Procurement (WTO-AGP), the North American Free Trade Agreement (NAFTA), the Agreement on Internal Trade (AIT), the Canada – Chile Free Trade Agreement (CCFTA), the Canada – Peru Free Trade Agreement (CPFTA), the Canada – Colombia Free Trade Agreement (CColFTA), and the Canada – Panama Free Trade Agreement (CPanFTA), if it is in force.

### **1.2.9 Canadian Content Policy**

The requirement covered by the solicitation of any resulting supply arrangement may be subject to a preference for Canadian goods and/or services or may be limited to Canadian goods and/or services.

### **1.2.10 Designation as Set-Aside**

- a) Part of this procurement may be designated by one or more Identified Users as set-aside under the federal government's Procurement Strategy for Aboriginal Business (PSAB). In these specific cases, (i) the procurement is set aside from the international trade agreements under the provision each has for set-asides for small and minority businesses, and (ii) as per Article 1802 of the AIT, the AIT does not apply.
- b) In order to be considered as an Aboriginal Business under the PSAB, the Supplier must complete the Aboriginal Business certification contained in the Data Collection component of the CPSS.

### **1.2.11 Comprehensive Land Claim Agreements**

The resulting SAs are not to be used for deliveries within a Comprehensive Land Claims Settlement Area (CLCSA). All requirements for delivery within a CLCSA are to be submitted to the Department of Public Works and Government Services for individual processing.

### 1.3 Security Requirement

There is a security requirement associated with the Supply Arrangement. For additional information, see Part 4 - Evaluation Procedures and Basis of Selection, Part 6A - Supply Arrangement.

### 1.4 Debriefings

Suppliers may request a debriefing on the results of the request for supply arrangements process. Suppliers should make the request to the Supply Arrangement Authority within 15 working days of receipt of the results of the request for supply arrangements process. The debriefing may be in writing, by telephone or in person.

### 1.5 Key Terms

**1.5.1 New Supplier** refers to a supplier that was not issued a SA under any previous iteration of the PASS solicitation E60ZG-060004/A to G or E60ZQ-140002/B.

**1.5.2 Current SA Holder** refers to a supplier that was issued a SA under the PASS solicitation E60ZQ-140002/B.

**1.5.3 Previous Supplier** refers to a supplier that was issued a SA under any previous iteration of the PASS solicitation E60ZG-060004/A to G.

**1.5.4 Centralized Professional Services System or CPSS:** web-based system created as part of PWGSC's Professional Services National Procurement Strategy to support a single portal for professional services. It contains information on methods of supply, which will include TSPS, and reflects standardized business rules. CPSS is comprised of a **Supplier Module**, a **Client Module** and a **Maintenance Module**. The Client Module is used by Government of Canada personnel to process procurement functions. The Maintenance Module is used to administer CPSS and the methods of supply it contains. The Supplier Module allows a supplier through a Main Supplier Contact (as defined below) to:

- (i) create and manage **Contacts** (Contacts are supplier personnel who, using credentials received in response to actions by the Main Supplier Contact are able to input data for the supplier into the Data Collection Component, and view data displayed in the Client Module for use by Government of Canada personnel);
- (ii) input and submit data as part of a solicitation process;
- (iii) track the progress/status of data input against solicitation(s) and retrieve the data for use in other solicitations;
- (iv) modify an arrangement as permitted by a solicitation's terms; and
- (v) view information pertaining to that supplier and edit certain elements of that supplier's profile.

**1.5.5 Data Collection Component or DCC:** a part of the CPSS Supplier Module that replaces the concept of "Response Templates" that have been used in other professional services solicitations for TSPS. The DCC will display information on methods of supply in a "dashboard" format, providing both information that has been submitted by a supplier and information on upcoming and closed solicitations for professional services.

Each supplier must enrol and identify a **Main Supplier Contact** or **MSC**. The MSC will receive credentials that enable the MSC to access the Supplier Module, as defined in Article 5.4 above. Enrolment is conducted on-line and can be initiated by a supplier at any time, with a typical response time of minutes to receive credentials, where all the necessary information is received

by Canada. Instructions for enrolment in the CPSS Supplier Module and other support on the use of the DCC are available at:

<http://www.tpsgc-pwgsc.gc.ca/app-acq/spc-cps/spc-cps-eng.html>

When participating in any solicitation process that involves the use of the DCC, suppliers are responsible for the input of accurate data. Suppliers must also safeguard the credentials released to the MSC and supplier's Contacts that enable access to the Supplier Module. Canada will not delay or cancel any solicitation or Call-up process due to a supplier's inability to access, modify or validate such credentials, or because of any claim that such credentials were used without proper authorization.

While suppliers normally have the option to submit their tender to Canada in writing directly, by mail or by other means, due to the unique nature of this solicitation, certain aspects of a supplier's arrangement must be submitted only by electronic transmission, (see Part 3 - Arrangement Preparation Instructions).

Therefore, in order to respond to this solicitation, a supplier must enrol in the CPSS Supplier Module and input data in the DCC, as described above. Should a supplier have questions or concerns regarding enrolment or any other aspect of the electronic transmission of data through the DCC, the supplier is encouraged to submit these questions or concerns as early as possible in the solicitation period, in accordance with the Article titled "Enquiries - Request for Arrangements".

- 1.5.6 Refresh** solicitation is a solicitation that allows existing and new suppliers to provide arrangements to qualify and existing supplier to qualify for more services throughout the entire period of the Supply Arrangement. Existing suppliers are not required to provide an arrangement in order to continue to provide the services currently under its Supply Arrangement.
- 1.5.7 Renewal** solicitation is a solicitation intended to replace the Supply Arrangements for the services. Each such re-competition (a "renewal solicitation") requires all suppliers, including those who may have received Supply Arrangements under the previous solicitation, to submit an arrangement in response to the renewal solicitation in order to continue to provide services under its resulting Supply Arrangements.



## PART 2 - SUPPLIER INSTRUCTIONS

### 2.1 Standard Instructions, Clauses and Conditions

2.1.1 All instructions, clauses and conditions identified in the Request for Supply Arrangements (RFSA) 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>) issued by Public Works and Government Services Canada.

2.1.2 Suppliers who submit an arrangement agree to be bound by the instructions, clauses and conditions of the RFSA and accept the clauses and conditions of the Supply Arrangement and resulting contract(s).

### 2.1.3 Standard Instructions

The 2008 (2015-07-03) Standard Instructions - Request for Supply Arrangements - Goods or Services, are incorporated by reference into and form part of the RFSA. Subsection 5.4 is amended as follows:

Delete: sixty (60) days

Insert: one hundred and twenty (120) days

### 2.1.4 Solicitation Participation

- a) Although this solicitation may result in a Supplier receiving a Supply Arrangement, a Supplier's arrangement must contain its response to all the requirements of this solicitation. The response may include an arrangement for a Supply Arrangement in some or all Streams; however, a Supplier may not submit a second arrangement for the same Streams.
- b) One legal entity may participate in the submission of:
  - (i) one arrangement from the legal entity alone; or
  - (ii) one arrangement from the legal entity and one arrangement submitted in a joint venture; or
  - (iii) two arrangements submitted in joint venture.
- c) More than two arrangements generated from the same legal entity are not permitted in response to this solicitation. If a legal entity participates in more than two arrangements, Canada will choose in its discretion which two arrangements to consider. If a legal entity chooses to participate in two arrangements, each arrangement must be a physically separate document, clearly marked as a separate arrangement. Each arrangement will be evaluated independently without regard to other arrangements submitted and, therefore, every arrangement submitted must be complete.

### 2.1.5 Set-aside for Aboriginal Business

- a) This procurement in whole or in part, may be set aside for Aboriginal business under the federal government's Set-aside Program for Aboriginal Business. In order to be considered as an Aboriginal Business, Suppliers must complete and sign the certification entitled "Set Aside for Aboriginal Business" at Part 5 – Certifications.
- b) By executing the certification, the Supplier warrants that it is an Aboriginal business as defined in the Set-aside Program for Aboriginal Business.

## 2.2 Submission of Arrangements

2.2.1 While Suppliers normally have the option to submit their arrangement to Canada in writing directly, by mail, or by other means, due to the unique nature of this solicitation, arrangements must be submitted only in the following manner:

- a) For sections of the arrangement that are required to be submitted in hard copy: The Supplier must submit in print to Public Works and Government Services Canada (PWGSC) Bid Receiving Unit by the date, time and place indicated on page one of the solicitation.
- b) For sections of the arrangement that are required to be submitted electronically: The Supplier must submit electronically through the CPSS Supplier Module - Data Collection Component (DCC), by the date and time as indicated on page one of the solicitation, the Online Response Template contained in the DCC (see Part 3 for Instructions, paragraph 3.3).

## 2.3 Former Public Servant - Notification

Service contracts awarded to former public servants in receipt of a pension or a lump sum payment must bear the closest public scrutiny and reflect fairness in the spending of public funds. Therefore, the bid solicitation will require that you provide information that, were you to be the successful supplier, your status with respect to being a former public servant in receipt of a pension or a lump sum payment, will be required to report this information on the departmental websites as part of the published proactive disclosure reports generated in accordance with Treasury Board policies and directives on contracts with former public servants, Contracting Policy Notice 2012-2 and the Guidelines on the Proactive Disclosure of Contracts.

## 2.4 Federal Contractors Program for Employment Equity - Notification

The Federal Contractors Program (FCP) for employment equity requires that some contractors make a formal commitment to Employment and Social Development Canada (ESDC) - Labour to implement employment equity. In the event that this Supply Arrangement would lead to a contract subject to the Federal Contractors Program (FCP) for employment equity, the bid solicitation and resulting contract templates would include such specific requirements. Further information on the Federal Contractors Program (FCP) for employment equity can be found on ESDC-Labour's website.

## 2.5 Enquiries - Request for Supply Arrangements

- 2.5.1 All enquiries must be submitted in writing to the Supply Arrangement Authority no later than fifteen (15) calendar days before the bid solicitation closing date. Enquiries received after that time may not be answered.
- 2.5.2 Suppliers should reference as accurately as possible the numbered item of the RFSA to which the enquiry relates. Care should be taken by suppliers 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 suppliers do so, so that the proprietary nature of the question(s) is eliminated, and the enquiry can be answered to all suppliers. Enquiries not submitted in a form that can be distributed to all suppliers may not be answered by Canada.

## 2.6 Applicable Laws

- 2.6.1 The Supply Arrangement (SA) and any contract awarded under the SA must be interpreted and

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governed, and the relations between the parties determined, by the laws in force in Ontario.

- 2.6.2 Suppliers may, at their discretion, substitute the applicable laws of a Canadian province or territory of their choice without affecting the validity of the arrangement, 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 suppliers.

## **PART 3 - ARRANGEMENT PREPARATION INSTRUCTIONS**

### **3.1 Arrangement Preparation Instructions**

Canada requests that suppliers provide the Technical Arrangement as follows:

Section I: Technical Arrangement, three (3) hard copies and one electronic copy on CD or USB

Section II: Online Response Template, submitted electronically through the CPSS Supplier Module - Data Collection Component (DCC).

Where information is required to be submitted in both hard copy and electronic copy (whether to the Bid Receiving Unit or via the DCC), if there is a discrepancy, the hard copy will take precedence.

### **3.2 Format Instructions**

3.2.1 Canada requests that suppliers follow the format instructions described below in the preparation of the arrangement for those documents that are required to be submitted in hard copy.

- a) use 8.5 x 11 inch (216 mm x 279 mm) paper;
- b) use a numbering system that corresponds to that of the Request for Supply Arrangements.

3.2.2 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

(<http://www.tpsgc-pwgsc.gc.ca/ecologisation-greening/achats-procurement/politique-policy-eng.html>). To assist Canada in reaching its objectives, suppliers should:

- a) use paper containing fibre certified as originating from a sustainably-managed forest and containing minimum 30% recycled content; and
- b) 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.

### **3.3 Data Collection Component of the Supplier's Module of the CPSS**

3.3.1 Suppliers must submit their Online Response Template for their technical arrangement as specified in this Part 3 through the CPSS Supplier Module, DCC. The DCC replaces the concept of "Response Templates" that have been used in other professional services solicitations.

3.3.2 The DCC allows suppliers to re-submit the electronic copy of the arrangement up until the closing date and time of this solicitation.

3.3.3 To access the Data Collection Component:

1. Access the following CPSS link:  
<http://www.tpsgc-pwgsc.gc.ca/app-acq/spc-cps/spc-cps-eng.html>
2. Enroll or login to the system. Suppliers must contact CPSS directly for enrollment questions or assistance at [sspc.cpss@tpsgc-pwgsc.gc.ca](mailto:sspc.cpss@tpsgc-pwgsc.gc.ca).

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3. Access this solicitation's Data Collection Component through the "Dashboard"
4. Enter all the required data into the Data Collection Component.

### **3.4 Technical Arrangement - Section I**

In the technical arrangement, suppliers should explain and demonstrate how they propose to meet the requirements, including the evaluation criteria in Attachment B. In addition to any documentation required to substantiate the above, Suppliers must also submit the following documents with their Technical Arrangement by the closing date, time and location indicated on page one of this solicitation:

- the signed front page of the RFSA document; and
- the completed and signed Supplier Statement (Attachment C).

### **3.5 Technical Arrangement - Section II**

Suppliers must submit the information requested in the Online Response Template, which includes the certifications required under Part 5.

## **PART 4 - EVALUATION PROCEDURES AND BASIS OF SELECTION**

### **4.1 Evaluation Procedures**

- (a) Arrangements will be assessed in accordance with the entire requirement of the Request for Supply Arrangements including the technical evaluation criteria. There are several steps in the evaluation methodology, which are described below. Even though the evaluation and selection will be conducted in steps, the fact that Canada has proceeded to a later step does not mean that Canada has conclusively determined that the Supplier has successfully passed all the previous steps. Canada may conduct steps of the evaluation in parallel.
- (b) An evaluation team composed of representatives of Canada will evaluate the arrangements. Canada may hire any independent consultant, or use any Government resources, to evaluate any arrangement. Not all members of the evaluation team will necessarily participate in all aspects of the evaluation.
- (c) If Canada seeks clarification or verification from the Supplier about its arrangement, the Supplier will have two working days (or a longer period if specified in writing by the Supply Arrangement Authority) to provide the necessary information to Canada. Failure to meet this deadline will result in the arrangement or a part thereof being declared non-responsive, unless the Supply Arrangement Authority grants an extension in his or her sole discretion.

#### **4.1.1 Technical Evaluation**

The technical evaluation criteria for the provision of the Services under the Supply Arrangement are included in Attachment B – Supply Arrangement Technical Evaluation Criteria.

#### **4.1.2 Financial Evaluation**

No financial evaluation of arrangements is required to be issued a Supply Arrangement.

### **4.2 Basis of Selection**

All elements of the solicitation that are mandatory requirements are identified specifically with the words “must” or “mandatory”. Arrangements that do not comply with each and every mandatory requirement applicable to the offer and/or arrangement will be considered non-responsive for that offer and/or arrangement. The evaluation steps are as follows:

#### **4.2.1 Step 1 – Technical Evaluation:**

- a) PWGSC will verify that an arrangement includes all applicable certifications and other documentation requested under the solicitation and that such information is complete. Each arrangement will be reviewed to determine if it that meets the mandatory requirements of Attachment B - Supply Arrangement Technical Evaluation Criteria.
- b) Within each arrangement, an arrangement must comply with the requirements of the solicitation and meet all mandatory requirements of Attachment B to be declared responsive to the requirement for a Supply Arrangement. Arrangements that do not meet the mandatory requirements will be considered non-responsive and will be given no further consideration.

#### **4.2.2 Step 2 – Selection and Issuance of Supply Arrangements:**

The Supplier Selection will be conducted for each specific Stream. Each technically responsive

arrangement will be recommended for the issuance of a Supply Arrangement.

### 4.3 Security Requirement

- 4.3.1 Before issuance of a Supply Arrangement the Supplier must hold a valid organization security clearance, as indicated in Part 6A – Supply Arrangement
- 4.3.2 Canada will not delay the issuance of any Supply Arrangement to allow Suppliers to obtain the required clearance. However in respect of a Supply Arrangement, should a Supplier receive its required clearance while all other requirements of the solicitation have been met and its arrangement is still valid, Canada will consider awarding a Supply Arrangement to that Supplier.
- 4.3.3 Bidders who have not yet received their DOS clearance from CISD by the date that the Arrangement Authority has issued any Supply Arrangement as a result of this solicitation will be considered non-responsive to this bid solicitation's requirements for the issuance of a Supply Arrangement.
- 4.3.4 Suppliers may request that the Supply Arrangement Authority consider security sponsorship of their candidacy to upgrade it to the next security level that is above the Supplier's current security level or to seek initial DOS clearance. Such sponsorship is only available for one level of upgrade at a time. This request may be made at any time before or after the solicitation has closed by sending the request via email to the attention of the Supply Arrangement Authority.
- 4.3.5 For additional information on security requirements, suppliers should consult the "Security Requirements for PWGSC Bid Solicitations - Instructions for Bidders" (<http://www.tpsgcwpsc.gc.ca/app-acq/lc-pl/lc-pl-eng.html#a31>) document on the Departmental Standard Procurement Documents Web site.
- 4.3.6 Joint Venture (JV): Each member of a JV Supplier must satisfy the requirements described in the resulting SA Article entitled "Security Requirement". For any given Contract, the highest level of corporate security attainable by such a JV Supplier through Canadian Industrial Security Directorate (CISD) of PWGSC is the lowest level held by any single member of the JV at the time of issuance relating to that particular Contract. For example, a JV with 5 members is comprised of 4 members holding a valid Facility Security Clearance (FSC) at the Secret level and 1 member holding a valid Designated Organizational Screening (DOS) level. The highest corporate security level for which the JV would be considered under this SA framework would be DOS until such time as the member holding a valid DOS clearance has requested sponsorship via the SA Authority and obtained a valid FSC at the Secret level, as issued by CISD.

### 4.4 Financial Viability

- 4.4.1 The Supplier must be financially viable to fulfill this requirement. To determine the Supplier's financial viability, the Supply Arrangement Authority may, by written notice to the Supplier, require the submission of some or all of the financial information detailed below during the evaluation of arrangements. The Supplier must provide the following information to the Supply Arrangement Authority within fifteen (15) working days of the request or as specified by the Supply Arrangement Authority in the notice:
- (a) Audited financial statements, if available, or the unaudited financial statements (prepared by the Supplier's outside accounting firm, if available, or prepared in-house if no external statements have been prepared) for the Supplier's last three fiscal years, or for the years that the Supplier has been in business if this is less than three years (including, as a minimum, the Balance Sheet, the Statement of Retained Earnings, the Income Statement and any notes to the statements).

- (b) If the date of the financial statements in (a) above is more than five months before the date of the request for information by the Supply Arrangement Authority, the Supplier must also provide, unless this is prohibited by legislation for public companies, the last quarterly financial statements (consisting of a Balance Sheet and a year-to-date Income Statement), as of two months before the date on which the Supply Arrangement Authority requests this information.
  - (c) If the Supplier has not been in business for at least one full fiscal year, the following must be provided:
    - (i) the opening Balance Sheet on commencement of business (in the case of a corporation, the date of incorporation); and
    - (ii) the last quarterly financial statements (consisting of a Balance Sheet and a year-to-date Income Statement) as of two months before the date on which the Supply Arrangement Authority requests this information.
  - (d) A certification from the Chief Financial Officer or an authorized signing officer of the Supplier that the financial information provided is complete and accurate.
- 4.4.2 If the arrangement is submitted by a joint venture, the financial information required by the Supply Arrangement Authority must be provided by each member of the joint venture.
- 4.4.3 If the Supplier is a subsidiary of another company, then any financial information in 4.4.1. (a) to (d) above required by the Supply Arrangement Authority must also be provided by the ultimate parent company. Provision of parent company financial information does not satisfy the requirement for the provision of the financial information of the Supplier, and the financial viability of a parent cannot be substituted for the financial viability of the Supplier itself.
- 4.4.4 **Financial Information Already Provided to Public Works and Government Services Canada (PWGSC):** The Supplier is not required to resubmit any financial information requested by the Supply Arrangement Authority that is already on file at PWGSC with the Contract Cost Analysis, Audit and Policy Directorate of the Policy, Risk, Integrity and Strategic Management Sector, provided that within the above-noted time frame:
- (a) the Supplier identifies to the Supply Arrangement Authority in writing the specific information that is on file and the requirement for which this information was provided; and
  - (b) the Supplier authorizes the use of the information for this requirement.
- It is the Supplier's responsibility to confirm with the Supply Arrangement Authority that this information is still on file with PWGSC.
- 4.4.5 **Other Information:** Canada reserves the right to request from the Supplier any other information that Canada requires to conduct a complete financial viability assessment of the Supplier. The Supplier also understands that, if it is issued a Supply Arrangement, a complete financial capability review of the Supply Arrangement Holder may also be conducted at the time individual bid solicitations are issued under the Supply Arrangement.
- 4.4.6 **Confidentiality:** If the Supplier provides the information required above to Canada in confidence while indicating that the disclosed information is confidential, then Canada will treat the information in a confidential manner as permitted by the Access to Information Act, R.S., 1985, c. A-1, Section 20(1) (b) and (c).



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- 4.4.7 Before the issuance of a Supply Arrangement, a supplier must not be bankrupt, under the protection of any bankruptcy legislation, or have had its activities rendered inoperable for a period of one month or more. If this requirement is not met at the time of issuance of any Supply Arrangement under this solicitation, a supplier's arrangement will be considered non-responsive.

## PART 5 - CERTIFICATIONS

### 5.1 General

- 5.1.1 Suppliers must provide the required certifications and associated information to be issued a Supply Arrangement (SA). Canada will declare an arrangement or offer non-responsive if the required certifications are not completed and submitted as requested.
- 5.1.2 Compliance with the certifications Suppliers provide to Canada is subject to verification by Canada during the arrangement evaluation period before issuance of a SA and after such issuance. The Supply Arrangement Authority will have the right to ask for additional information to verify suppliers' compliance with the certifications before such issuance. The arrangement will be declared non-responsive if any certification made by the Supplier is untrue, whether made knowingly or unknowingly. Failure to comply with the certifications or to comply with the request of the Supply Arrangement Authority for additional information will also render the arrangement non-responsive.
- 5.1.3 Joint Venture (JV) Arrangements: Except where expressly provided otherwise, any certifications required to be made by the Supplier must be made by the lead member on behalf of the JV.

### 5.2 Certifications to be Submitted with Hard Copy of Arrangement

The following certifications must be signed and submitted with the hard copy of the arrangement to the Bid Receiving Unit by the date, time, and location indicated on page one of this solicitation:

- (i) the Supplier's Statement (all suppliers) - see Attachment C of this solicitation.

### 5.3 Certifications Required Precedent to Issuance of a Supply Arrangement

The certifications included in the CPSS Supplier Module - Data Collection Component should be completed and submitted as part of the "Online" response template. If any of these required certifications is not completed and submitted as requested, the Arrangement Authority will so inform the Supplier and provide a time frame within which to meet the requirement. Failure to comply with the request of the Supply Arrangement Authority and meet the requirement within that time period will render the arrangement non-responsive.

The following certifications are part of the CPSS Supplier Module - Data Collection Component:

1. Integrity Provisions (Code of Conduct) Certifications (see clause below);
2. Aboriginal Supplier Certification (if applicable; see clause below);
3. Education and Experience Certification (see clause below)
4. Security; and
5. Security Sponsorship (if applicable)

#### 5.3.1 Integrity Provisions - List of Names

Bidders who are incorporated, including those bidding as a joint venture, must provide a complete list of names of all individuals who are currently directors of the Bidder.

Bidders bidding as sole proprietorship, as well as those bidding as a joint venture, must provide the name of the owner(s).

Bidders bidding as societies, firms or partnerships do not need to provide lists of names.

### 5.3.2 Aboriginal Supplier

A portion of this procurement may be set aside under the federal government's Procurement Strategy for Aboriginal Business, as detailed in Annex 9.4, Requirements for the Set-aside Program for Aboriginal Business, of the Supply Manual.

The Supplier:

- i. certifies that it meets, and will continue to meet throughout the duration of the Instrument, the requirements described in the above-mentioned annex.
- ii. agrees that any subcontractor it engages under the Instrument must satisfy the requirements described in the above-mentioned annex.
- iii. agrees to provide to Canada, immediately upon request, evidence supporting any subcontractor's compliance with the requirements described in the above-mentioned annex.

The Supplier must check the applicable box below:

- i. ☐ The Supplier is an Aboriginal business that is a sole proprietorship, band, limited company, co-operative, partnership or not-for-profit organization.

OR

- ii. ☐ The Supplier is either a joint venture consisting of two or more Aboriginal businesses or a joint venture between an Aboriginal business and a non-Aboriginal business.

The Supplier must check the applicable box below:

- i. ☐ The Aboriginal business has fewer than six full-time employees.

OR

- ii. ☐ The Aboriginal business has six or more full-time employees.

The Supplier must, upon request by Canada, provide all information and evidence supporting this certification. The Supplier must ensure that this evidence will be available for audit during normal business hours by a representative of Canada, who may make copies and take extracts from the evidence. The Supplier must provide all reasonably required facilities for any audits.

By submitting an arrangement, the Supplier certifies that the information submitted by the Supplier in response to the above requirements is accurate and complete.

If requested by the Supply Arrangement Authority, the Supplier must provide the following certification for each owner and employee who is Aboriginal:

- A) I am \_\_\_\_\_ (insert "an owner" and/or "a full-time employee") of \_\_\_\_\_ (insert name of business), and an Aboriginal person, as defined in Annex 9.4 of the Supply Manual, entitled "Requirements for the Set-aside Program for Aboriginal Business".
- B) I certify that the above statement is true and consent to its verification upon request by Canada.

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\_\_\_\_\_  
Printed name of owner and/or employee

\_\_\_\_\_  
Signature of owner and/or employee

\_\_\_\_\_  
Date

#### Certification

By submitting the arrangement, the Supplier certifies that the information submitted by the Supplier in response to the above requirements is accurate and complete.

### **5.3.3 Education and Experience**

*SACC Manual* clause S1010T (2008-12-12) Education and Experience

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## **ATTACHMENT A**

### **BIDDER PROFILE/CENTRALIZED PROFESSIONAL SERVICES SYSTEM (CPSS) SUPPLIER MODULE – ENROLMENT**

Suppliers must enter the “Company Information” in the Data Collection Component (DCC) of CPSS.

To access CPSS, follow the link: <http://www.tpsgc-pwgsc.gc.ca/app-acq/spc-cps/spc-cpseng.html>

**ATTACHMENT B****SUPPLY ARRANGEMENT TECHNICAL EVALUATION CRITERIA****B1 GENERAL**

- B1.1 The Supplier must provide the necessary documentation to support compliance with the requirements, in accordance with the following:
- a) Suppliers are requested to provide detailed information to describe where, when and how work experience was acquired. Failure to provide such information will result in the experience being considered to be "not demonstrated" for evaluation purposes.
  - b) In order to demonstrate when experience was obtained, the supplier must indicate the duration of such experience, specifying the start and end dates (month and year at a minimum). In the case where the timelines of two or more projects or experience overlap, the duration of time common to each project/experience will not be counted more than once.
- B1.2 The references provided by the Suppliers are subject to verification by Canada during the arrangement evaluation period (before issuance of a supply arrangement) and after issuance of a supply arrangement. The Supply Arrangement Authority will have the right to ask for additional information to validate the references before issuance of a supply arrangement. The arrangement will be declared non-responsive if any references given by the Supplier are untrue, whether made knowingly or unknowingly. Failure to comply with the request of the Supply Arrangement Authority for additional information will also render the arrangement non-responsive.
- B1.3 For Mandatory Technical Criteria and Point Rated Technical Criteria listed below requiring Project Summaries, the Supplier and its proposed resource(s) should provide:
- a) Name and description of client organization;
  - b) Name, phone, email of client representative;
  - c) Scope, objective, size in dollars and resources, project timeframe (from-to dates month/year);
  - d) Outcomes of the project; and/or
  - e) Description of the Consultant roles and responsibilities in the project.

**B2 STREAMS AND MINIMUM MANDATORY RESOURCE REQUIREMENTS**

Descriptions of the Streams and minimum mandatory resource requirements are described in Annex A, Statement of Requirements.

**B3 MANDATORY TECHNICAL AND POINT RATED REQUIREMENTS**

Suppliers are required to complete the Online Response Template for each of the Streams in relation to which the Supplier is requesting consideration, and in accordance with the RFSA. For example, if a Supplier is seeking consideration for all eight Streams, eight (8) Online Response Templates must be submitted.

NOTE: SACC Manual Standard Instructions 2008, paragraph 04, Definition of a Supplier: "Supplier" means the person or entity (or, in the case of a joint venture, the persons or entities) submitting an arrangement. It does not include the parent, subsidiaries or other affiliates of the Supplier, or its subcontractors.

**B3.1 MANDATORY TECHNICAL REQUIREMENTS**

REQUIREMENT
<p><b>MT1)</b> For each Stream for which an arrangement is being submitted, the Supplier must submit project summaries with the dollar value for each Stream as follows:</p> <p>Stream 1 - Internal Audit Services;  Stream 3 - Information Technology and Systems Audits;  Stream 5 - External Audits; and  Stream 8 - Recipient/Contribution Audits:  Four (4) projects* started and completed within the period beginning five (5) years from the applicable Refresh Submission Due Date, valued at more than \$40,000.00 for the relevant Stream.</p> <p>Stream 4 - Forensic:  Four (4) projects* completed within the period from five (5) years from the applicable Refresh Submission Due Date, valued at more than \$50,000.00 for the relevant Stream.</p> <p>Stream 6 - Financial Accounting Services:  Four (4) projects* started and completed within the period from five (5) years from the applicable Refresh Submission Due Date, valued at more than \$20,000.00 for the relevant Stream.</p> <p>Stream 2 - Practice Inspections; and  Stream 7 - Internal Control Training:  Two (2) projects* started and completed within the period from five (5) years from the applicable Refresh Submission Due Date, valued at more than \$10,000.00 for the relevant Stream.</p> <p><b>*Suppliers must indicate the start and end dates of each project. Projects must be completed by the firm, as opposed to the individual resources.</b></p>
<p><b>MT2)</b> For Streams 1, 3, 4, 5, 6 and 8 the supplier must provide a corporate profile demonstrating that they have five (5) named internal resources as follows:</p> <p>1 Partner/Managing Director;  1 Project Manager/Leader;  3 at Senior Auditor or Auditor levels.</p> <p>For Streams 2 and 7, the supplier must provide a corporate profile demonstrating that they have five (5) named internal resources as follows:</p> <p>1 Partner/Managing Director;  1 Project Manager/Leader;  1 Senior Auditor; and  2 additional resources at any of the Partner/Managing Director, Project Manager/Leader or Senior Auditor levels.</p> <p>The internal resources must meet the Stream minimum mandatory resource requirements listed in Annex A, Statement of Requirements.</p>
<p><b>MT3) APPLICABLE ONLY TO Stream 5 – External Audit:</b> Suppliers must provide a corporate</p>

profile that demonstrates the Supplier's experience in this Stream. The supplier must demonstrate the following:-

A. a minimum of five (5) cumulative years of experience within the past ten (10) years from the solicitation closing date in providing external audit of financial statements and/or related services described in Annex A, Section 2.5;

B. The ability to provide opinions on financial statements; and

C. That they are licensed to sign financial statements in Canada.

### B3.2 POINT RATED TECHNICAL CRITERIA

Only the arrangements that meet all the requirements of the mandatory requirements will be rated. Bids not meeting any one of the mandatory requirements will not be considered further in the evaluation process.

**Suppliers should refer to the appropriate Stream and ensure that the Supplier addresses each rated criteria in the applicable table.**

<b>SUPPLIER RATED REQUIREMENT FOR STREAMS 1, 3, 4, 5 6 AND 8.</b>	
<b>REQUIREMENTS</b>	<b>MAXIMUM POINTS AVAILABLE</b>
<p><b>RT1a) Project scope and relevance to the Stream</b></p> <p>The Supplier should demonstrate how the project relates to the Stream by providing details for this project, including but not limited to:</p> <ul style="list-style-type: none"> <li>- Name of client organization;</li> <li>- Name, phone and email address of client reference;</li> <li>- Scope, size in dollars and resources, and project timeframe (from-to dates in month/year);</li> <li>- Level of effort in professional days;</li> <li>- Objective and outcome of the project; and</li> <li>- Description of the supplier's role(s) and responsibility(ies) in the project.</li> </ul> <p>Points will be awarded as follows:</p> <ul style="list-style-type: none"> <li>- 10 points if the project is directly related to the Stream;</li> <li>- 7.5 points if the project is strongly related to the Stream;</li> <li>- 4 points if the project is somewhat related to the Stream; or</li> <li>- 0 points if the project is not related to the Stream.</li> </ul> <p>Note: References may be contacted to verify work experience.</p>	<p>10 pts per project - up to 4 projects</p> <p>Max 40 pts per Stream</p>
<p><b>RT1b) Supplier involvement</b></p> <p>The Supplier should demonstrate the Suppliers involvement to the project.</p> <p>Points will be awarded as follows:</p> <ul style="list-style-type: none"> <li>- 10 points if the supplier was responsible for the project and all deliverables;</li> <li>- 7.5 points if the supplier did not have overall responsibility but had significant involvement in the project;</li> <li>- 4 points if the supplier provided resources for the project but did not have a significant involvement; or</li> </ul>	<p>10 pts per project - up to 4 projects</p> <p>Max 40 pts per Stream</p>



- 0 points if the supplier had minor involvement in the project.	
Note: References may be contacted to verify work experience	
<b>RT2) Quality Assurance Approach</b>  Description of quality assurance approach for project activities ranging from initial identification to completion of requirements and fulfillment of client expectations.  Points will be awarded as follows: - 10 points if the supplier description is extensive and outstanding; - 7.5 points if the supplier description satisfactorily addresses this rated criteria; - 4 points if the supplier description partially addresses this rated criteria; or - 0 points if the supplier description is unsatisfactory to the rated criteria.	Max 10 pts per Stream
<b>Total Point Rated Criteria for Streams 1, 3, 4, 5, 6 &amp; 8</b> <b>Minimum pass mark 75% or 67.5 points</b>	Max 90 pts per Stream

<b>SUPPLIER RATED REQUIREMENT FOR STREAMS 2 AND 7</b>	
<b>REQUIREMENT</b>	<b>MAXIMUM POINTS AVAILABLE</b>
<b>RT1.a) Project scope and relevance to the Stream</b>  The Supplier should demonstrate how the project relates to the Stream by providing details for this project, including but not limited to:  - Name of client organization; - Name, phone and email address of client reference; - Scope, size in dollars and resources, and project timeframe (from-to dates in month/year); - Level of effort in professional days; - Objective and outcome of the project; and - Description of the supplier's role(s) and responsibility(ies) in the project.  Points will be awarded as follows: - 10 points if the project is directly related to the Stream; - 7.5 points if the project is strongly related to the Stream; - 4 points if the project is somewhat related to the Stream; or - 0 points if the project is not related to the Stream.  Note: References may be contacted to verify work experience.	10 pts per project - up to 2 projects  Max 20 pts per Stream
<b>RT1.b) Supplier involvement</b>  The Supplier should demonstrate the Suppliers involvement to the project.  Points will be awarded as follows: - 10 points if the supplier was responsible for the project and all deliverables; - 7.5 points if the supplier did not have overall responsibility but had significant involvement in the project; - 4 points if the supplier provided resources for the project but did not have a significant involvement; or	10 pts per project - up to 2 projects  Max 20 pts per Stream

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<p>- 0 points if the supplier had minor involvement in the project.</p> <p>Note: References may be contacted to verify work experience</p>	
<p><b>RT2) Quality Assurance Approach</b></p> <p>Description of quality assurance approach for project activities ranging from initial identification to completion of requirements and fulfilment of client expectations.</p> <p>Points will be awarded as follows:</p> <ul style="list-style-type: none"> <li>- 10 points if the supplier description is extensive and outstanding;</li> <li>- 7.5 points if the supplier description satisfactorily addresses this rated criteria;</li> <li>- 4 points if the supplier description partially addresses this rated criteria; or</li> <li>- 0 points if the supplier description is unsatisfactory to the rated criteria.</li> </ul>	<p>Max 10 pts per Stream</p>
<p><b>Total Point Rated Criteria for Streams 2 and 7</b></p> <p><b>Minimum pass mark 75% or 37.5 points</b></p>	<p><b>Max 50 pts per Stream</b></p>

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## ATTACHMENT C

### SUPPLIER'S STATEMENT

All Suppliers must sign and submit the following "Supplier's Statement" with the hard copy of their arrangement to the Bid Receiving Unit by the date and, time of the applicable Refresh Submission Due Date:

We certify that all statements made with regard to these requirements are accurate and factual, and we are aware that the Department of Public Works and Government Services reserves the right to verify any information provided in this regard. Untrue statements may result in the Supplier's arrangement being declared non-compliant in its entirety, current PASS SA Holders becoming ineligible to receive further solicitations, and any other action which Canada may consider appropriate.

The Streams for which we are seeking to qualify are (Identify Stream #(s) and Title(s)):

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SIGNATURE: \_\_\_\_\_

Print Name: \_\_\_\_\_

Legal Name of Supplier : \_\_\_\_\_

DATE: \_\_\_\_\_

(ALL SUPPLIERS: Print, sign, and submit this certification with the hard copy of your arrangement)

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## **ATTACHMENT D**

### **ONLINE RESPONSE TEMPLATE / CPSS SUPPLIER MODULE – DATA COLLECTION COMPONENT (DCC)**

The “Data Collection Component” DCC of CPSS serves to replace the Technical Response Template.

The Data Collection Component of CPSS can be accessed through the CPSS website:  
<http://www.tpsgc-pwgsc.gc.ca/app-acq/spc-cps/spc-cps-eng.html>

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## **ATTACHMENT E**

### **CERTIFICATIONS / CPSS SUPPLIER MODULE – DCC**

Suppliers must enter the "Certifications" in the Centralized Professional Services System (CPSS) Supplier Module – DCC

To access CPSS, follow the link: <http://www.tpsgc-pwgsc.gc.ca/app-acq/spc-cps/spc-cps-eng.html>

## PART 6 - RESULTING SUPPLY ARRANGEMENT AND RESULTING CONTRACT CLAUSES

### 6A. RESULTING SUPPLY ARRANGEMENT

#### 6A.1 Arrangement

The Supply Arrangement covers the Work described in the Statement of Requirements at Annex A, and in Annex E – Qualified Categories

#### 6A.2 Security Requirement

The Supply Arrangement Authority may verify the Supplier's security clearance with the Canadian Industrial Security Directorate (CISD), PWGSC at any time during the life of the Supply Arrangement.

#### SECURITY REQUIREMENT FOR CANADIAN SUPPLIER:

##### PWGSC FILE # Common PS SRCL #6

- 6A.2.1 The Contractor/Supplier must, at all times during the performance of the Contract/ Supply Arrangement, hold a valid Designated Organization Screening (DOS), issued by the Canadian Industrial Security Directorate (CISD), Public Works and Government Services Canada (PWGSC).
- 6A.2.2 The Contractor/Supplier personnel requiring access to PROTECTED information, assets or sensitive work site(s) must EACH hold a valid RELIABILITY STATUS, granted or approved by CISD/PWGSC.
- 6A.2.3 The Contractor/Supplier MUST NOT remove any PROTECTED information or assets from the identified work site(s), and the Contractor/Supplier must ensure that its personnel are made aware of and comply with this restriction.
- 6A.2.4 Subcontracts which contain security requirements are NOT to be awarded without the prior written permission of CISD/PWGSC.
- 6A.2.5 The Contractor/Supplier must comply with the provisions of the:
  - a) Security Requirements Check List and security guide (if applicable), available on the CPSS website at: <http://www.tpsgc-pwgsc.gc.ca/app-acq/spc-cps/31-eng.html>;
  - b) Industrial Security Manual (Latest Edition).
- 6A.2.6 The requirements to be procured under this Supply Arrangement are subject to the requirements in the Security Requirement Check Lists (SRCL's) identified in each individual bid solicitation. Samples of possible SRCL's are accessible through the link <http://www.tpsgc-pwgsc.gc.ca/app-acq/spc-cps/31-eng.html>, but other SRCL's may be used. Each bid solicitation will identify the SRCL that will apply to any resulting contract.
- 6A.2.7 In the case of a joint venture, for any given resulting contract the highest level of corporate security attainable through CISD of PWGSC is the lowest level held by any single member of the joint venture. For example, a joint venture with five (5) members is comprised of four (4) members holding a valid Facility Security Clearance (FSC) at the Secret level and one member holding a valid Designated Organizational Screening (DOS). The highest corporate security level for which the joint venture would be considered under a bid solicitation run under this Supply Arrangement would be DOS, until such time as the member holding a valid DOS clearance has requested sponsorship via the Supply Arrangement Authority and obtained a valid FSC at the

Secret level as issued by CISD.

### 6A.3 Standard Clauses and Conditions

All clauses and conditions identified in the Supply Arrangement and resulting contract(s) 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>) issued by Public Works and Government Services Canada.

#### 6A.3.1 General Conditions

2020 (2014-09-25) General Conditions - Supply Arrangement - Goods or Services, apply to and form part of the Supply Arrangement.

#### 6A.3.2 Supply Arrangement Reporting

- a) The Supplier must provide a Quarterly Usage Report (QUR) to the Supply Arrangement Authority on a quarterly basis. These submissions must be made by completing and forwarding an electronic copy of the QUR (in Excel format) to the Supply Arrangement Authority.
- b) Each QUR should be submitted using the electronic template entitled "<Supplier Name> Quarterly Usage Report" (see Annex C for a sample QUR) and should include a list of all Contracts issued to it under each Supply Arrangement, including Category, Level of Expertise, Client department and contact name, Contract number, start and end dates, number of days billed all-inclusive firm per diem rate and dollar value (both including and excluding applicable taxes).
- c) The reports must be submitted to the SA Authority according to the following schedule:

1 <sup>st</sup> Quarter	April 1 to June 30	Due on or before July 15
2 <sup>nd</sup> Quarter	July 1 to September 30	Due on or before October 15th
3 <sup>rd</sup> Quarter	October 1 to December 31	Due on or before January 15th
4 <sup>th</sup> Quarter	January 1 to March 31	Due on or before April 15th

- d) If a Supplier does not receive any Contracts during the period, the Supplier must confirm this by submitting a NIL QUR report. The Supplier understands that failure to comply may result in the suspension of the Supply Arrangement.
- e) The Supplier understands that failure to comply with this requirement may result in the suspension of authority to utilize the Supply Arrangement. PWGSC reserves the right to suspend the Supplier's Supply Arrangement without notice, if reports are not submitted on time or are inaccurate or incomplete.

### 6A.4 Term of Supply Arrangement

#### 6A.4.1 Period of the Supply Arrangement

The period for awarding contracts under the Supply Arrangement ends July 31, 2018.

### 6A.5 Authorities

#### 6A.5.1 Supply Arrangement Authority

## a) The Supply Arrangement Authority is:

Name: Philip de Leon  
 Title: Supply Team Leader  
 Public Works and Government Services Canada  
 Acquisitions Branch  
 Professional Services Procurement Directorate  
 Address: Place du Portage III, 11C1, 11 Laurier Street, Gatineau, Quebec, K1A 0S5  
  
 Telephone: 819-956-6489  
 Facsimile: 819-997-2229  
 E-mail address: SPSVAAutorite.PASSSAAuthority@tpsgc-pwgsc.gc.ca

## b) The Supply Arrangement Authority is responsible for the issuance of the Supply Arrangement, its administration and its revision, if applicable.

**6A.5.2 Supplier's Representative**

## a) This individual is the central point of contact within the Supplier for all matters pertaining to this Supply Arrangement. The Supplier confirms that this individual has the authority to bind the Supplier. It is the Supplier's sole responsibility to ensure that the information related to the Supplier Representative is correct. If a replacement or a new Supplier Representative is required, the Supplier will:

- (i) inform CPSS by e-mail at [sspc.cpss@tpsgc-pwgsc.gc.ca](mailto:sspc.cpss@tpsgc-pwgsc.gc.ca); and
- (ii) inform the Supply Arrangement Authority by e-mail.

Name: \_\_\_\_\_  
 Title: \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 Facsimile: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Email: \_\_\_\_\_

*[Note to Supplier: This information is as per your arrangement and is available to be viewed by Clients via the Centralized Professional Services System (CPSS) website]*

## b) The Supplier may designate another individual to represent the Supplier for administrative and technical purposes under any contract resulting from this Supply Arrangement.

**6A.6 Proactive Disclosure of Contracts with Former Public Servants (if applicable)**

By providing information on its status, with respect to being a former public servant in receipt of a *Public Service Superannuation Act* (PSSA) pension, the Contractor has agreed that this information will be reported on departmental websites as part of the published proactive disclosure reports, in accordance with Contracting Policy Notice: 2012-2 of the Treasury Board Secretariat of Canada.

**6A.7 Identified Users**6A.7.1 The Identified Users include any government department, agency or Crown Corporation listed in Schedules I, I.1, II, III, of the *Financial Administration Act*, R.S., 1985, c. F-11 and any other party for which the Department of Public Works and Government Services has been authorized to act from time to time under section 16 of the *Department of Public Works and Government*



*Services Act.*

6A.7.2 Canada may, at any time, withdraw authority from any of the Identified Users to use the Supply Arrangement.

## 6A.8 On-going Opportunity for Qualification

6A.8.1 A Notice will be posted on the Government Electronic Tendering Service (GETS) to allow new suppliers to become qualified after the supply arrangements have been issued as a result of the renewal or any subsequent refresh. Existing qualified suppliers, who have been issued a supply arrangement, will not be required to submit a new arrangement. This process enables the pre-qualification of new suppliers and/or further pre-qualification to add Streams for existing Suppliers already included in the ePortal of the Centralized Professional Services System (CPSS).

6A.8.2 Suppliers may submit an arrangement for a Supply Arrangement at any time by responding to the most recent refresh terms and conditions posted on GETS. Canada reserves the right to issue Supply Arrangements to suppliers who qualify throughout the entire period of the Supply Arrangement, as long as the arrangement is valid. Evaluations of such arrangements will be processed on a quarterly basis as identified below.

6A.8.3 This schedule may require a revision due to operational requirements and in which case all suppliers will be advised.

6A.8.4 It is important to note that suppliers will not be eligible to bid each quarter. For example, if a supplier submits an arrangement in Refresh 1, the supplier will not be eligible to bid in Refresh 2 as their profile will be disabled in the data collection component while the bid is under evaluation. This will in no way impact the search results for an existing suppliers current arrangement.

	Submission Period	Submission Due Date	Evaluation Start Date	Estimated Award Date
<b>Supply Arrangement Year 1</b>				
Refresh 1	July 1, 2015 to September 30, 2015	September 30, 2015	October 1, 2015	December 15, 2015
Refresh 2	October 1, 2015 to December 31, 2015	December 31, 2015	January 2, 2016	March 15, 2016
Refresh 3	January 1, 2016 to March 31, 2016	March 31, 2016	April 1, 2016	June 15, 2016
Refresh 4	April 1, 2016 to June 30, 2016	June 30, 2016	July 2, 2016	September 15, 2016
<b>Supply Arrangement Year 2</b>				
Refresh 5	July 1, 2016 to September 30, 2016	September 30, 2016	October 1, 2016	December 15, 2016
Refresh 6	October 1, 2016 to December 30, 2016	December 30, 2016	January 2, 2017	March 15, 2017
Refresh 7	January 1, 2017 to March 31, 2017	March 31, 2017	April 1, 2017	June 15, 2017
Refresh 8	April 1, 2017 to June 30, 2017	June 30, 2017	July 2, 2017	September 15, 2017
<b>Supply Arrangement Year 3</b>				
Refresh 9	July 1, 2017 to September 29, 2017	September 29, 2017	October 1, 2017	December 15, 2017
Refresh 10	October 1, 2017 to	December 29, 2017	January 2, 2018	March 15, 2018

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## 6A.9 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 the Supply Arrangement;
- (b) the general conditions 2020 (2015-09-03), General Conditions - Supply Arrangement - Goods or Services
- (c) Annex E, Qualified Streams;
- (d) Annex A, Statement of Requirements;
- (e) Annex B, Generic Security Requirements Check Lists (SCRLs);
- (f) Annex C, Quarterly Usage Report Sample;
- (g) Annex D, Client Satisfaction Form; and
- (i) the Supplier's arrangement dated \_\_\_\_\_ (*insert date of arrangement*), as clarified on \_\_\_\_\_ OR as amended \_\_\_\_\_ (*Insert date(s) of clarification(s) or amendment(s), if applicable*).

## 6A.10 Certifications

The continuous compliance with the certifications provided by the Supplier in its arrangement and the ongoing cooperation in providing associated information are conditions of issuance of the Supply Arrangement (SA). Certifications are subject to verification by Canada during the entire period of the SA and of any resulting contract that would continue beyond the period of the SA. If the Supplier does not comply with any certification, fails to provide the associated information, or if it is determined that any certification made by the Supplier in the arrangement is untrue, whether made knowingly or unknowingly, Canada has the right to terminate any resulting contract for default and suspend or cancel the Supply Arrangement.

## 6A.11 Applicable Laws

The Supply Arrangement (SA) and any contract resulting from the SA must be interpreted and governed, and the relations between the parties determined, by the laws in force in Ontario unless otherwise stipulated in the Supplier's arrangement or resulting contract.

## 6A.12 Suspension or Cancellation by Canada

In addition to the circumstances identified in 2020 09, Canada may, by sending written notice to the Supplier, suspend or cancel the Supply Arrangement where the Supplier has made public any information that conflicts with the terms, conditions, pricing or availability of systems identified in this Supply Arrangement, or where the Supplier is in default in carrying out any of its obligations under this Supply Arrangement.

## 6A.13 Aboriginal Business Certification (if applicable)

6A.13.1 Where an Aboriginal Business Certification has been provided, the Supplier warrants that its certification of compliance is accurate and complete and in accordance with the "Requirements for the Set-aside Program for Aboriginal Business" detailed in Annex 9.4 of the Supply Manual.

6A.13.2 If such a Certification has been provided, the Supplier must keep proper records and documentation relating to the accuracy of the certification provided to Canada. The Supplier must obtain the written consent of the Supply Arrangement Authority before disposing of any such records documentation supporting the accuracy of the certification until the expiration of six

(6) years after final payment in a contract made under the Supply Arrangement, or until settlement of all outstanding claims and disputes, resulting from a dispute in a contract made under the Supply Arrangement, whichever is later. All such records and documentation must at all times during the retention period be open to audit, inspection and examination by representatives of Canada, who may make copies and take extracts. The Supplier must provide all facilities for such audits.

6A.13.3 Nothing in this clause may be interpreted as limiting the rights and remedies, which Canada may otherwise have pursuant to a Contract made under the Supply Arrangement.

#### **6A.14 Delivery Requirements Outside a Comprehensive Land Claims Settlement Area**

The Supply Arrangement 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 submitted to the Department of Public Works and Government Services for individual processing.

#### **6A.15 Environmental Considerations**

6A.15.1 As part of Canada's policy directing federal departments and agencies to take the necessary steps to acquire products and services that have a lower impact on the environment than those traditionally acquired, Suppliers should:

- a) Paper consumption:
  - Provide and transmit draft reports, final reports and bids in electronic format. Should printed material be required, double sided printing in black and white format is the default unless otherwise specified by the Project Authority.
  - Printed material is requested on minimum recycled content of 30% and/or certified as originating from a sustainable managed forest.
  - Recycle unneeded printed documents (in accordance with Security Requirements).
- b) Travel requirements:
  - Supplier is encouraged to use video and/or teleconferencing where possible to cut down unnecessary travel.
  - Use of Properties with Environmental Ratings: Contractors to the Government of Canada may access the PWGSC Accommodation directory, which includes Eco-Rated properties. When searching for accommodation, contractors can go to the following link and search for properties with Environmental Ratings, identified by Green Keys or Green Leafs that will honour the pricing for contractors:  
<http://rehelv-acrd.tpsgcpwgsc.gc.ca/rechercher-search-eng.aspx>
  - Use of public/green transit where feasible.

#### **6A.16 Insurance Requirement**

The Supplier is responsible for deciding if additional insurance coverage is necessary to fulfill its obligation under any resulting contract issued under the PASS SA and to ensure compliance with any applicable law. Any additional insurance coverage is at the Supplier's expense, and for its own benefit and protection.

#### **6A.17 Travel and Living**

The Travel and Living expenses are calculated differently between the Regions and Metropolitan areas and this may affect the total cost of a PASS Supply Arrangement requirement. Accordingly, if any contract resulting from a solicitation let under this Supply Arrangement permits payment to a Contractor

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in its basis of payment for Travel and Living expenses, such expense will only be reimbursed in accordance with the information provided at the following CPSS link:  
<http://www.tpsgc-pwgsc.gc.ca/app-acq/spc-cps/rfdso-sotli-eng.html>

## 6A.18 Regions and Metropolitan Areas

6A.18.1 The document titled "Definitions of the National Zone, Regions and Metropolitan Areas" at the following link are incorporated by reference into this Supply Arrangement, with the exception that for the purposes of this Supply Arrangement, the National Zone is to be considered as another Region: <http://www.tpsgc-pwgsc.gc.ca/app-acq/spc-cps/dznrrm-dnzrma-eng.html>

6A.18.2 The following Regions and Metropolitan areas may receive Services under this Supply Arrangement, where a Supplier is qualified to do so:

<b>Regions</b>	<b>Metropolitan Areas:</b>
National Zone	
Atlantic	Halifax, Moncton
Quebec	Montreal, Quebec City
Ontario	Toronto
Western	Calgary, Edmonton, Saskatoon, Winnipeg
Pacific	Vancouver, Victoria
National Capital	National Capital Region

## 6B. BID SOLICITATION

### 6B.1 Bid Solicitation Documents

6B.1.1 Canada will use the bid solicitation template HC for more complex requirements, available in the *Standard Acquisition Clauses and Conditions Manual* (<https://buyandsell.gc.ca/policy-and-guidelines/standard-acquisition-clauses-and-conditions-manual>) based on the estimated dollar value and complexity of the requirement.

6B.1.2 The bid solicitation will contain as a minimum the following:

- a) security requirements;
- b) a complete description of the Work to be performed;
- c) 2003, Standard Instructions - Goods or Services - Competitive Requirements **OR** 2004, Standard Instructions - Goods or Services - Non-competitive Requirements, modified as follows;

Subsections 04 and 05 of Section 01, Integrity Provisions - Bid of the Standard Instructions (insert, as applicable: 2003 or 2004) incorporated by reference above are deleted in their entirety and replaced with the following:

- 4. Suppliers who are incorporated or who are a sole proprietorship, including those bidding as a joint venture, have already provided a list of names of all individuals who are directors of the Supplier, or the name of the owner, at the time of submitting an arrangement under the Request for Supply Arrangement (RFSA). These bidders must diligently inform Canada in writing of any changes affecting the list of directors during this procurement process as well as during the contract period.
- 5. Canada may, at any time, request that a bidder provide properly completed and Signed Consent Forms (Consent to a Criminal Record Verification form - PWGSC-TPSGC 229) for any or all individuals mentioned above within a specified time frame. Failure to provide such consent forms and associated information within the time frame provided, or failure to cooperate to the verification process, will result in the bid being declared non-responsive."

- d) bid preparation instructions;
- e) instructions for the submission of bids (address for submission of bids, bid closing date and time);
- f) evaluation procedures and basis of selection;
- g) financial capability (*if applicable*);
- h) certifications; and
- i) conditions of the resulting contract.

### 6B.2 Bid Solicitation Process

#### 6B.2.1 General

- a) Bids will be solicited for specific requirements within the scope of the Supply Arrangement (SA) from suppliers who have been issued a SA.
- b) The bid solicitation will be posted on the Government Electronic Tendering Service (GETS) (or as applicable with a GoC web-based electronic procurement tool) or will be e-mailed directly to suppliers, depending on the selection methodology selected.

- c) Canada may consolidate requirements across Clients and award Contracts on a periodic basis to receive best or better pricing.

### 6B.2.3 Identification of Contract Authorities

Provided a Client has the legal authority to contract, it may choose to award contracts under this SA in accordance with the Requirement Limitations described below. All contracts for Clients without authority to contract or that surpass the contracting authority delegated to it by Treasury Board will be managed by PWGSC. The Supplier agrees only to perform individual contracts made by an authorized representative of Canada pursuant to this SA that do not exceed the applicable Contract Authority value limitations.

### 6B.2.4 Requirement Limitations

Clients may award contracts to Suppliers qualified in the applicable Stream(s) only in accordance with the following:

- a) **Requirement Valued below \$25,000 (applicable taxes included):** Competitive procurement strategy is the standard for most requirements under this Supply Arrangement. However, Clients may direct a contract to a Supplier, without soliciting competitive bids, providing that the Contract, including any subsequent amendment(s), is valued at \$25,000.00 or less (applicable taxes included), with the exception of Stream 4, Forensic Audits, which must follow a competitive procurement strategy and must go to all Suppliers in the Stream.
- b) **Requirement Valued at or below NAFTA Threshold (applicable taxes included):** Clients may, if deemed cost effective and efficient, invite a minimum of two (2) Suppliers in the applicable Stream to bid, with the exception of Stream 4, Forensic Audits, which must go to all suppliers in the Stream, with the Client:
- (i) selecting by name two Suppliers from the CPSS Client Module, or
  - (ii) selecting by name one Supplier from the CPSS Client Module with the second Supplier randomly selected by the CPSS Client Module, or
  - (iii) not selecting any Supplier by name in which case, the CPSS Client Module will randomly select two Suppliers.
- c) **Requirement Valued Above NAFTA Threshold but less than \$2 million (applicable taxes included):** Clients must invite a minimum of fifteen (15) Suppliers in the applicable Stream to bid, with the exception of Stream 4, Forensic Audits, which must go to all Suppliers in the Stream, and a Notice of Proposed Procurement (NPP) identifying the requirements will be posted on GETS, with the Client:
- (i) selecting by name ten Suppliers from the CPSS Client Module, with the following five randomly selected by the CPSS Client Module, or
  - (ii) selecting more than ten Suppliers from the Client Module, in which case five additional Suppliers will be randomly selected by the CPSS Client Module, or
  - (iii) selecting less than ten Suppliers from the Client Module, in which case the CPSS Client Module will randomly select a number of Suppliers that, in addition to the Suppliers selected by the Client, will total fifteen.

**Note:** If the number of Suppliers that meet the requirement is less than fifteen, all Suppliers will be automatically selected.

- d) **Requirement Valued Above \$2 million (applicable taxes included):** Clients must invite all pre-qualified Suppliers in the applicable Stream to bid and an NPP identifying the requirements will be posted on GETS.
- e) **No Limit to Invitation Process:** Once the minimum of Suppliers has been selected as per b) or c) above, at any time during the course of the procurement process the Client may choose to invite additional Suppliers using the CPSS Client Module. There is no limit to the maximum number of Suppliers that may be invited to submit a proposal; However, Suppliers may not submit a proposal in response to a solicitation unless they have been invited to do so. Should an uninvited SA Holder wish to be invited, it may contact the Contracting Authority to request an invitation at any time prior to five days before the published bid closing date, and an invitation will be made to that SA Holder unless it would not be consistent with the efficient operation of the procurement system. In no circumstance will such an invitation require Canada to extend a bid closing date. Where additional invitations are made during the solicitation process, they may not be reflected in a bid solicitation amendment.
- f) **Minimum Period to submit proposal:** At a minimum, each bid solicitation issued will provide Suppliers with the following minimum number of calendar days to submit their proposal, which time may be extended based upon a requirement's complexity:
- (i) Requirements less than or equal to the NAFTA threshold (applicable taxes included) = five calendar days;
  - (ii) Requirements greater than the NAFTA threshold up to and including \$2M (applicable taxes included) = fifteen calendar days;
  - (iii) Requirements greater than \$2M (applicable taxes included) = twenty calendar days; and
  - (iv) Forensic Audits (all values): A Client may, at its sole discretion, reduce the above minimum bidding periods, to as short as one (1) day, for Forensic Audit requirements and other urgent requirements to meet the operational needs of the Authorized User with the approval of the Supply Arrangement Authority and validated by the Comptroller General's Office at Treasury Board.

PWGSC reserves the right to decrease the minimum bidding period for specific requirements.



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## **6C. RESULTING CONTRACT CLAUSES**

### **6C.1 General**

6C.1.1 The conditions of any contract awarded under the Supply Arrangement will be in accordance with the resulting contract clauses of the template used for the bid solicitation.

6C.1.2 For any contract to be awarded using the template HC (for higher complexity requirements), General Conditions 2035 – Higher Complexity – Services, will apply to the resulting contract.

6C.1.3 The above templates are set out in the *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.

6C.1.4 A model RFP and Resulting Contract will be created and available for use for Identified Users.

**ANNEX A****STATEMENT OF REQUIREMENTS****1.0 DESCRIPTION OF RESOURCE CATEGORIES****1.1 Partner/Managing Director**

May be an owner of the firm. The resource exercises project sign-off authority on behalf of the Contractor, and oversees and assures the quality of work of Project Managers/Leaders responsible for individual projects. Negotiates the final agreement for the Work on behalf of the firm. Supervises the creation, development and implementation of significantly new or modified audit approaches to solve problems and obtains approval from the Project Authority for their application. Reports progress of the project on an as needed basis and at key milestones in the life cycle. Meets with senior level auditees, as required, to outline audit objectives and approaches, to gather key perspectives, and to present audit observations and recommendations.

**1.2 Project Manager/Leader**

Manages the project team during the planning, implementation and reporting phases of the audit Work. Ensures that resources are made available and that the project is developed and is fully implemented within agreed time, cost and performance parameters of the Contract. Determines budgetary requirements, the composition, roles and responsibilities and deadlines for the project team. Defines and documents the objectives and scope for the project. Identifies problems impeding successful completion of the project and proposes, develops and implements significantly new or modified audit approaches to solve them. Reports progress of the project to the Project Authority on an ongoing basis and at scheduled points in the life cycle. Meets with auditee management to outline audit objectives and approaches, to gather key perspectives, and to present audit observations and recommendations. Prepares plans, charts, tables and diagrams to assist in presenting or displaying observations and recommendations.

**1.3 Senior Auditor**

Develops and designs approaches and programs for significant segments of projects. Participates in the development of the overall plan and strategy for specific projects. Carries-out, or supervises auditors and junior auditors in the performance of project tasks according to approved programs or plans. Prepares and presents project observations and recommendations to the Project Manager/Leader for approval. Presents observations and findings from work completed to the Project Authority and to auditees. Drafts and revises audit reports.

**1.4 Auditor**

Participates in the planning, conduct and reporting phases of projects. Organizes and conducts project tasks according to approved programs or plans. Drafts portions of, or content leading to, drafts and final reports, including audit observations, conclusions and recommendations. Presents oral briefings and debriefings to auditees on assigned segments of projects.

**1.5 Junior Auditor**

Conducts assigned tasks. Normally supports resources provided by the Contractor where there is a justified requirement for audit tests or other support activities not requiring the level of qualification or expertise associated with the other resource categories.

**1.6 Audit Support Specialist**

Provides specialized knowledge and advice in support of the audit work being done by those in one or more professional categories described above. Depending on the nature of the requirement, audit support specialists may include experts in data extraction, data analysis and spreadsheet development statistical sampling, data recovery and reconstruction specialist, engineers, etc.

The requirement for Audit Support Specialists must be addressed on a case-by-case basis with, and authorized by, the Contracting Authority, during the Request for Proposal (RFP) stage in keeping with the Professional Audit and Support Services Supply Arrangement (PASS SA).

## 2.0 STREAMS AND MINIMUM MANDATORY RESOURCE REQUIREMENTS

Note: When applicable, each individual proposed with a university degree or college diploma, must possess, at a minimum, a certificate from a recognized Canadian university or college, or the equivalent as established by a recognized Canadian academic credentials assessment service, if obtained outside Canada. The list of recognized organizations can be found under the Canadian Information Centre for International Credentials website, at the following internet link:  
<http://www.cicic.ca/415/credential-assessment-services.canada>

The experience of the proposed resources must be clearly identified by providing a summary/description of the previous projects/work experience and indicating when the work was carried out. In the case where the timelines of two or more projects or experience overlap, the duration of time common to each project/experience will not be counted more than once.

### 2.1 Stream 1: Internal Audit Services

Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organization's operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

The range of activities under this Stream could include:

- Value-for-money audit;
- Compliance audit;
- Assurance audit;
- Management controls audit;
- Operational audit;
- Horizontal or sectoral audits led by the Comptroller General; and
- Develop audit or assurance methodologies to meet the requirements of the Treasury Board Policy on Internal Audit

### Minimum Mandatory Qualifications and Experience for the Resource Categories:

The following are the minimum mandatory requirements that must be met by the Contractor's personnel identified under each applicable resource category for work to be performed under this Stream. User departments cannot reduce these minimum requirements but, if necessary, user departments may increase these requirements at the Request for Proposal (RFP) stage:

#### Partner/Managing Director

- Education/Professional Qualifications: Professional Designation in any one of the following: CPA, CA, CMA, CGA, CIA or CGAP; **AND**
- Experience: Must have a minimum of eight (8) cumulative years of audit experience within the past ten (10) years, including at least two (2) cumulative years of experience in internal audit.

#### Project Manager/Leader

- Education/Professional Qualifications: Professional Designation in any one of the following: CPA, CA, CMA, CGA, CIA or CGAP; **AND**

- **Experience:** Must have a minimum of six (6) cumulative years experience of audit experience within the last ten (10) years including at least two (2) cumulative years experience in internal audit.

### Senior Auditor

- **Education/Professional Qualifications:** Professional Designation in any one of the following: CPA, CA, CMA, CGA, CIA or CGAP; **AND**
- **Experience:** Must have a minimum of three (3) cumulative years of audit experience within the past ten (10) years.

### Auditor

- **Education/Professional Qualifications:** Professional Designation in any one of the following: CPA, CA, CMA, CGA, CIA or CGAP **OR** a degree/diploma from a recognized university (see note above) relevant to the Stream and/or the Statement of Work; **AND**
- **Experience:** Must have a minimum of two (2) cumulative years experience in the audit within the last ten (10) years.

### Junior Auditor

- **Education/Professional Qualifications:** Must be in the process of obtaining a degree/diploma from a recognized university or college (see note above) which is relevant to the Stream and/or the Statement of Work; **OR** in the process of completing an apprentice program relevant to the Stream and/or the Statement of Work.

## 2.2 Stream 2: Practice Inspections

Among the requirements of the Treasury Board Policy on Internal Audit is the adherence to professional standards and rigorous methodology in the delivery of internal audit services. This Stream will therefore require the services of internal audit professionals who have the expertise and objectivity needed to assist in conducting Practice Inspections of the internal audit function within a department or agency.

### Minimum Mandatory Qualifications and Experience for the Resource Categories:

The following are the minimum mandatory requirements that must be met by the Contractor's personnel identified under each applicable resource category for work to be performed under this Stream. User departments cannot reduce these minimum requirements but, if necessary, user departments may increase these requirements at the Request for Proposal (RFP) stage:

As of April 1, 2009, it is mandatory that firms qualify either a Partner/Managing Director Resource OR a Project Manager/Leader Resources in The Institute of Internal Auditors (IIA) Certified Internal Auditor (CIA) program. Further, it is expected that, this resource qualify in The IIA's quality assessment training course. These required qualifications will be included in Requests for Proposals (RFPs) as the internal audit community moves to a more mature state.

### Partner/Managing Director

- **Education/Professional Qualifications:** Professional Designation in any one of the following: CPA, CA, CMA, CGA, CIA or CGAP; **AND**
- **Experience:** Must have a minimum of eight (8) cumulative years of audit experience within the past ten (10) years, including at least two (2) cumulative years of experience in internal audit.

### Project Manager/Leader

- **Education/Professional Qualifications:** Professional Designation in any one of the following: CPA, CA, CMA, CGA, CIA or CGAP; **AND**
- **Experience:** Must have a minimum of six (6) cumulative years of audit experience within the

past ten (10) years, including at least two (2) cumulative years of experience in internal audit.

### Senior Auditor

- Education/Professional Qualifications: Professional Designation in any one of the following: CPA, CA, CMA, CGA, CIA or CGAP; **AND**
- Experience: Must have a minimum of three (3) cumulative years of internal audit experience within the past ten (10) years.

### Auditor

Not required in this Stream

### Junior Auditor

Not required in this Stream

## **2.3 Stream 3: Information Technology and Systems Audits**

This Stream will require the services of professionals to assess the adequacy of a range of activities that could include the following:

- Information technology security;
- Business continuity planning/preparedness;
- Information management policy compliance;
- Systems under development;
- Service management;
- Information technology strategic plans;
- Governance processes related to information technology;
- Configuration management and change control;
- Electronic data interchange and electronic funds transfer;
- Data Migration and data integrity;
- IT general controls;
- Internal control on financial systems; and
- System life cycle technical and organizational development.

Also required under this Stream are professional services to provide business and technical information support services to audit organizations and could include anyone of the following:

- Data extraction and basic and advanced data analyses;
- Technical configuration of audit software;
- Business customization of audit software;
- Training and other services for the implementation of audit software;
- Post implementation reviews and evaluations of audit software; and
- Management of information technology consulting services, including technology strategy development, to audit organizations.

### **Minimum Mandatory Qualifications and Experience for the Resource Categories:**

The following are the minimum mandatory requirements that must be met by the Contractor's personnel identified under each applicable resource category for work to be performed under this Stream. User departments cannot reduce these minimum requirements but, if necessary, user departments may increase these requirements at the Request for Proposal (RFP) stage:

**Partner/Managing Director**

- Education/Professional Qualifications: Professional Designation in any one of the following: CPA, CA, CMA, CGA, CIA CGAP, Certified Information Systems Auditor (CISA), Certified Information Security Manager (CISM) or Certified Information Systems Security Professional (CISSP); **AND**
- Experience: Must have a minimum of eight (8) cumulative years experience in the audit of information technology and systems within the last ten (10) years.

**Project Manager/Leader**

- Education/Professional Qualifications: Professional designation in any one of the following: CPA, CA, CMA, CGA, CIA, CGAP, CISA, CISM or CISSP; **AND**
- Experience: Must have a minimum of six (6) cumulative years experience in the audit of information technology and systems within the last ten (10) years.

**Senior Auditor**

- Education/Professional Qualifications: Professional Designation in any one of the following: CPA, CA, CMA, CGA, CIA CGAP, CISA, CISM or CISSP; **AND**
- Experience: Must have a minimum of three (3) cumulative years experience in the audit of information technology and systems within the last ten (10) years.

**Auditor**

- Education/Professional Qualifications: Degree/Diploma from a recognized university or college (see note above) relevant to the Stream and/or the Statement of Work; **AND**
- Experience: Must have a minimum of two (2) cumulative years' experience in audit within the last ten (10) years including at least one (1) cumulative year of experience in the audit of information technology and systems.

**Junior Auditor**

- Education/Professional Qualifications: Must be in the process of obtaining a degree/diploma from a recognized university or college (see note above) which is relevant to the Stream and/or the Statement of Work; **OR** in the process of completing an apprentice program relevant to the Stream and/or the Statement of Work.

**2.4 Stream 4: Forensic Audits**

The range of activities under this Stream could include:

- Forensic accounting;
- Establishment of effective continuous auditing for fraud detection;
- Fraud and allegation investigations;
- Attestation of testimony in the courts;
- Business evaluations of damages;
- Anti-Fraud Programs - Fraud Awareness and Prevention Processes;
- Administrative inquiries;
- Evolving fraud related accounting/legal standards; and
- Computer skills related to the various requirements of forensic requirements.

**Minimum Mandatory Qualifications and Experience for the Resource Categories:**

The following are the minimum mandatory requirements that must be met by the Contractor's personnel identified under each applicable resource category for work to be performed under this Stream. User

departments cannot reduce these minimum requirements but, if necessary, user departments may increase these requirements at the Request for Proposal (RFP) stage:

### Partner/Managing Director

- Education/Professional Qualifications: Professional Designation in any one of the following: CPA, CA, CMA, CGA, CIA, CGAP or CFE; **AND**
- Experience: Must have completed a minimum of four (4) forensic audit projects, each valued at more than \$50,000, in the past four (4) years, **AND** must have a minimum of five (5) cumulative years of experience in forensic audit in the past ten (10) years.

### Project Manager/Leader

- Education/Professional Qualifications: Professional Designation in any one of the following: CPA, CA, CMA, CGA, CIA, CGAP; **OR** a CFE accompanied by a degree/diploma from a recognized university or college (see note above), which is relevant to the Stream and/or the Statement of Work; **OR** a police studies diploma including RCMP College and 20 years experience with a police service.
- Experience: Must have completed a minimum of three (3) forensic audit/investigation projects, each valued at more than \$50,000, in the past four (4) years **AND** must have a minimum of five (5) cumulative years of experience in forensic audit /investigation in the past ten (10) years.

### Senior Auditor

- Education/Professional Qualifications: Professional designation in any one of the following: CPA, CA, CMA, CGA, CIA, CGAP; **OR** a CFE accompanied by a degree/diploma from a recognized university or college (see note above), which is relevant to the Stream and/or the Statement of Work; **OR** a police studies diploma including RCMP College and 15 years experience with a police service; **AND**
- Experience: Must have participated in a minimum of two (2) forensic audit /investigation projects, each valued at more than \$50,000, in the past four (4) years, **AND** must have a minimum of three (3) cumulative years of experience in forensic audit /investigation in the past ten (10) years.

### Auditor

- Educational/Professional Qualification: Professional Designation in any one of the following: CPA, CA, CMA, CGA CGAP, CFE; **OR** a Police studies diploma including RCMP College and 10 years experience with a police service; **AND**
- Experience: Must have participated in a minimum of one (1) forensic audit /investigation project, valued at more than \$50,000, in the past four (4) years, and must have a minimum of one (1) cumulative year of experience in forensic audit /investigation in the past ten (10) years.

### Junior Auditor

- Education/Professional Qualifications: Must be in the process of obtaining a degree/diploma from a recognized university or college (see note above) which is relevant to the Stream and/or the Statement of Work; **OR** in the process of completing an apprentice program relevant to the Stream and/or the Statement of Work; **OR** have a police studies diploma including RCMP College and 5 years experience with a police service.

## 2.5 Stream 5: External Audit Services

The range of activities under this Stream could include:

- Financial statement audit readiness assessment;
- Financial statement audit; and
- Other external assurance work as outlined in the CICA Handbook

## Minimum Mandatory Qualifications and Experience for the Resource Categories:

The following are the minimum mandatory requirements that must be met by the Contractor's personnel identified under each applicable resource category for work to be performed under this Stream. User departments cannot reduce these minimum requirements but, if necessary, user departments may increase these requirements at the Request for Proposal (RFP) stage:

### Partner/Managing Director

- Education/Professional Qualifications: Professional Designation in any one of the following: CPA, CA, CMA or CGA; **AND**
- Experience: Must have a minimum of eight (8) cumulative years of experience in external audit of financial statements and related services within the past ten (10) years.

### Project Manager/Leader

- Education/Professional Qualifications: Professional Designation in any one of the following: CPA, CA, CMA, or CGA; **AND**
- Experience: Must have a minimum of six (6) cumulative years of experience in external audit of financial statements and related services within the past ten (10) years.

### Senior Auditor

- Education/Professional Qualifications: Professional Designation in any one of the following: CPA, CA, CMA or CGA; **AND**
- Experience: Must have a minimum of three (3) cumulative years of experience in external audit of financial statements and related services within the past ten (10) years.

### Auditor

- Education/Professional Qualifications: Professional designation in any one of the following: CPA, CA, CMA or CGA; **OR** a degree/diploma from a recognized university or college (see note above), with a specialization relevant to the Stream and/or the Statement of Work; **AND**
- Experience: Must have a minimum of two (2) cumulative years of experience in external audit of financial statements and related services within the past ten (10) years.

### Junior Auditor

- Education/Professional Qualifications: Must be in the process of obtaining a degree/diploma from a recognized university or college (see note above) which is relevant to the Stream and/or the Statement of Work; **OR** in the process of completing an apprentice program that is relevant to the Stream and/or the Statement of Work.

## 2.6 Stream 6: Financial and Accounting Services

The range of activities under this Stream could include:

- Financial reporting control frameworks;
- Financial statement or report preparation;
- Accounting standards interpretation;
- Policy monitoring;
- Accounting standards research;
- Financial Services, including costing analysis;
- Accounting Services; and
- Statements of responsibility for stewardship and/or internal control.



## Minimum Mandatory Qualifications and Experience for the Resource Categories:

The following are the minimum mandatory requirements that must be met by the Contractor's personnel identified under each applicable resource category for work to be performed under this Stream. User departments cannot reduce these minimum requirements but, if necessary, user departments may increase these requirements at the Request for Proposal (RFP) stage:

### Partner/Managing Director

- Education/Professional Qualifications: Professional Designation in any one of the following: CPA, CA, CMA, or CGA; **AND**
- Experience: Must have a minimum of eight (8) cumulative years experience in financial and accounting and related services within the last ten (10) years.

### Project Manager/Leader

- Education/Professional Qualifications: Professional Designation in any one of the following: CPA, CA, CMA, or CGA; **AND**
- Experience: Must have a minimum of six (6) cumulative years experience in financial and accounting and related services within the last ten (10) years.

### Senior Auditor

- Education/Professional Qualifications: Professional Designation in any one of the following: CPA, CA, CMA, or CGA; **AND**
- Experience: Must have a minimum of three (3) cumulative years experience in financial and accounting and related services within the last ten (10) years.

### Auditor

- Education/Professional Qualifications: Professional designation in any one of the following: CPA, CA, CMA, or CGA; **OR** a degree/diploma from a recognized university or college (see note above) relevant to the Stream and/or the Statement of Work; **AND**
- Experience: Must have a minimum of two (2) cumulative years of experience in financial and accounting and related services within the last ten (10) years.

### Junior Auditor

- Education/Professional Qualifications: Must be in the process of obtaining a degree/diploma from a recognized university or college (see note above) which is relevant to the Stream and/or the Statement of Work; **OR** in the process of completing an apprentice program that is relevant to the Stream and/or the Statement of Work.

## 2.7 Stream 7: Internal Control Training

This Stream will require the services of professionals to deliver Internal Control Training. The training services may include, but is not limited to, internal audit; financial management; financial reporting; financial policy and accounting. The training would be required to cover all aspects of internal control in the Canadian Federal government environment.

## Minimum Mandatory Qualifications and Experience for the Resource Categories:

The following are the minimum mandatory requirements that must be met by the Contractor's personnel identified under each applicable resource category for work to be performed under this Stream. User departments cannot reduce these minimum requirements but, if necessary, user departments may increase these requirements at the Request for Proposal (RFP) stage:

### Partner/Managing Director

- Education/Professional Qualifications: Professional Designation in any one of the following: CPA, CA, CMA, CGA, CIA or CGAP; **AND**
- Experience: Must have a minimum of eight (8) cumulative years experience in Audit within the past ten (10) years; **AND** must have a minimum of two (2) years of experience in developing or delivering internal control training.

#### **Project Manager/Leader**

- Education/Professional Qualifications: Professional Designation in any one of the following: CPA, CA, CMA, CGA, CIA or CGAP; **AND**
- Experience: Must have a minimum of five (5) cumulative years experience in Audit within the past ten (10) years; **AND** must have a minimum of one (1) year of experience in developing or delivering internal control training.

#### **Senior Auditor**

- Education/Professional Qualifications: Professional Designation in any one of the following: CPA, CA, CMA, CGA, CIA or CGAP; **AND**
- Experience: Must have a minimum of two (2) cumulative years of experience in audit within the past six (6) years; **AND** must have a minimum of six (6) months of experience in developing or delivering internal control training.

#### **Auditor**

Not required in this Stream

#### **Junior Auditor**

Not required in this Stream

### **2.8 Stream 8: Recipient/Contribution Agreement Audit**

This Stream will require the services of professionals to provide expert services and advice in support of recipient/contribution agreement audit.

A Recipient audit is an independent assessment to provide assurance on a recipient's compliance with a funding agreement. The scope of a recipient audit may address any or all financial and non-financial aspects of the funding agreement.

#### **Minimum Mandatory Qualifications and Experience for the Resource Categories:**

The following are the minimum mandatory requirements that must be met by the Contractor's personnel identified under each applicable resource category for work to be performed under this Stream. User departments cannot reduce these minimum requirements but, if necessary, user departments may increase these requirements at the Request for Proposal (RFP) stage:

#### **Partner/Managing Director**

- Education/Professional Qualifications: Professional designation in any one of the following: CPA, CA, CMA, CGA, CIA or CGAP; **AND**
- Experience: Must have a minimum of eight (8) cumulative years of audit experience within the past ten (10) years, including at least two (2) cumulative years of experience in recipient/contribution agreement audit.

#### **Project Manager/Leader**

- Education/Professional Qualifications: Professional designation in any one of the following: CPA, CA, CMA, CGA, CIA or CGAP; **AND**
- Experience: Must have a minimum of six (6) cumulative years of audit experience within the

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past ten (10) years, including at least two (2) cumulative years of experience in recipient/contribution agreement audit.

### Senior Auditor

- Education/Professional Qualifications: Professional designation in any one of the following: CPA, CA, CMA, CGA, CIA or CGAP; **AND**
- Experience: Must have a minimum of three (3) cumulative years of audit experience within the past ten (10) years; **OR** must have a minimum of three (3) cumulative years in managing transfer payments within the past ten (10) years.

### Auditor

- Education/Professional Qualifications: Professional designation in any one of the following: CPA, CA, CMA, CGA, CIA or CGAP; **OR** a degree/diploma from a recognized university or college (see note above), relevant to the Stream and/or the Statement of Work; **AND**
- Experience: Must have a minimum of two (2) cumulative years experience audit experience within the last ten (10) years.

### Junior Auditor

- Education/Professional Qualifications: Must be in the process of obtaining a degree/diploma from a recognized university or college (see note above), which is relevant to the Stream and/or the Statement of Work; **OR** in the process of completing an apprentice program (see note above) that is relevant to the Stream and/or the Statement of Work.

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## **ANNEX B**

### **GENERIC SECURITY REQUIREMENTS CHECK LISTS**

The list and details of the 31 pre-approved SRCL's for professional services are available for download from the CPSS website: <http://www.tpsgc-pwgsc.gc.ca/app-acq/spc-cps/31-eng.html>

Note to Supplier: It is mandatory to have a minimum security clearance of DOS Reliability prior to issuance of a PASS Supply Arrangement. Should your company require sponsorship at the minimum DOS Reliability level, it is suggested suppliers send an email request to the PASS general email account at [SPSVAAautorite.PASSSAAuthority@tpsgc-pwgsc.gc.ca](mailto:SPSVAAautorite.PASSSAAuthority@tpsgc-pwgsc.gc.ca) as soon as possible.

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## **ANNEX C**

### **QUARTERLY USAGE REPORT SAMPLE**

Annex C will be attached to the PASS Supply Arrangement upon award.

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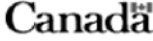
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**ANNEX D****CLIENT SATISFACTION FORM**

	Public Works and Government Services Canada	Travaux publics et Services gouvernementaux Canada	
<b>Annex D - Client Satisfaction Form</b>			
SO# or SA#:		Call-up# / Contract# :	
Professional Services Method of Supply		<input type="checkbox"/> TBIPS SO <input type="checkbox"/> TSPS SO <input type="checkbox"/> Learning Services SO <input type="checkbox"/> ProServices <input type="checkbox"/> TBIPS SA <input type="checkbox"/> TSPS SA-Task <input type="checkbox"/> Learning Services SA <input type="checkbox"/> Other <input type="checkbox"/> SBIPS SA <input type="checkbox"/> TSPS SA-Solution <input type="checkbox"/> PASS SA    Specify _____	
Contractor's Name:		Award Amt:	Award Date:
Contractor's Address:		Amend Amt:	End Date:
		Total Spent:	
		TA Contract:	<input type="checkbox"/> Yes <input type="checkbox"/> No
Description of Work:		Amendment History:	
Client Department:			
Technical Authority	Client Contracting Authority	PWGSC Contracting Authority (if applicable)	
Name:	Name:	Name:	
Telephone #:	Telephone #:	Telephone #:	
e-mail:	e-mail:	e-mail:	
<p><b>1. How do you rate the Contractor's overall performance?</b></p> <p style="text-align: center;"> <input type="checkbox"/> below expectations    <input type="checkbox"/> as expected    <input type="checkbox"/> above expectations         </p> <p><b>2. Resources</b></p> <p>a. Did the Contractor provide the resource(s) as identified in their Proposal? <span style="float: right;"><input type="checkbox"/> Yes    <input type="checkbox"/> No</span></p> <p>b. Did the Contractor's resource(s) conduct their work in a professional manner? <span style="float: right;"><input type="checkbox"/> Yes    <input type="checkbox"/> No</span></p> <p>c. Were replacement resources required? <span style="float: right;"><input type="checkbox"/> Yes    <input type="checkbox"/> No</span></p> <p><b>3. Replacement Resources</b></p> <p>a. Did the Contractor request to replace the resource(s) immediately after Contract Award? <span style="float: right;"><input type="checkbox"/> Yes    <input type="checkbox"/> No    <input type="checkbox"/> NA</span></p> <p>b. Did the Client request to replace the resource(s)? <span style="float: right;"><input type="checkbox"/> Yes    <input type="checkbox"/> No    <input type="checkbox"/> NA</span></p> <p>c. Did the Replacement Resources meet the requirements of the RFP or ACF? <span style="float: right;"><input type="checkbox"/> Yes    <input type="checkbox"/> No    <input type="checkbox"/> NA</span></p> <p>d. How many times were the Contractor's resources replaced? <span style="float: right;">_____ times</span></p> <p><b>4. Was the Contract completed within the predetermined:</b></p> <p>a. Time Estimate? <span style="float: right;"><input type="checkbox"/> Yes    <input type="checkbox"/> No</span></p> <p>b. Cost Estimate? <span style="float: right;"><input type="checkbox"/> Yes    <input type="checkbox"/> No</span></p> <p><b>5. Were the required Reports and Deliverables:</b></p> <p>a. In conformity with the Scope &amp; Tasks of the SOW <span style="float: right;"><input type="checkbox"/> Yes    <input type="checkbox"/> No</span></p> <p>b. Received in the specified time frame? <span style="float: right;"><input type="checkbox"/> Yes    <input type="checkbox"/> No</span></p> <p><b>6. Contract Management</b></p> <p>a. Did the Contractor deal with performance issues in a timely basis? <span style="float: right;"><input type="checkbox"/> Yes    <input type="checkbox"/> No    <input type="checkbox"/> NA</span></p> <p>b. Did the Contractor submit the invoices in accordance with the Invoicing Instructions? <span style="float: right;"><input type="checkbox"/> Yes    <input type="checkbox"/> No</span></p> <p>c. Did the Contractor submit the invoices in accordance with the Basis of Payment? <span style="float: right;"><input type="checkbox"/> Yes    <input type="checkbox"/> No</span></p> <p>d. Did the Contractor submit the invoices in accordance with the Method of Payment? <span style="float: right;"><input type="checkbox"/> Yes    <input type="checkbox"/> No</span></p> <p>e. Did the Contractor respond to every TA Request? <span style="float: right;"><input type="checkbox"/> Yes    <input type="checkbox"/> No    <input type="checkbox"/> NA</span></p> <p>f. Did the Contractor properly respond to every TA Request? <span style="float: right;"><input type="checkbox"/> Yes    <input type="checkbox"/> No    <input type="checkbox"/> NA</span></p> <p><b>7. Remarks</b></p>			

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## **ANNEX E**

### **QUALIFIED STREAMS**

Annex E will be attached to the PASS Supply Arrangement upon award.