



RETURN BIDS TO:

**Employment and Social Development
Canada (ESDC)**

ESDC Bid Receiving Unit
Mail and Distribution Services
140 Promenade du Portage
Place du Portage IV, Level 01
Gatineau, Quebec
K1A 0J9

Attention:
Cynthia Carty, Contracting Authority

REQUEST FOR PROPOSAL

Title: Data Capture Services	
Solicitation No. 100006441A	Date 30 May 2017
File No. – N° de dossier	
Solicitation Closes July 11, 2017 At 02 :00 PM / 14 h	Time Zone Eastern Daily Savings Time (EDST)
Address Inquiries to : nc-solicitations-gd@hrsdc-rhdcc.gc.ca Size limit – 13MB	
Destination See Herein	

PROPOSAL TO: EMPLOYMENT AND SOCIAL DEVELOPMENT CANADA

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

Instructions : See Herein

Vendor/Firm Name and address

Vendor/firm Name and address :	
Facsimile No.	
Telephone No.	
Name and title of person authorized to sign on behalf of Vendor/firm (type or print)	
Signature	Date



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Annex "A" Statement of Work

Appendix A to Annex A contains the "Record of Employment General Data Capture Specifications.

Appendix B to Annex A contains a sample of the INS 2106 ROE "A" form and data entry instructions for that form. Forms INS 2106 ROE "E" and "K" are identical to Form "A".

Appendix C to Annex A contains a sample of the INS 2106 ROE "L" form and data entry instructions for that form.

Appendix D to Annex A contains a sample of the INS 2436 ROE "Z" form and data entry instructions for that form.

Appendix E to Annex A contains a sample of the FCI 748 batch header form and data entry instructions for that form.

Appendix F to Annex A contains projected monthly volumes of forms.

Appendix G to Annex A contains business validation rules.

Appendix H to Annex A contains a sample of the validation report.

Appendix I to Annex A contains a sample of the INS5097 and data entry instructions for that form.

Annex "B" Evaluation Criteria

Annex "C" Security Requirements Check List



TITLE DATA CAPTURE SERVICES

PART 1 - GENERAL INFORMATION

1. Introduction

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

Part 1 General Information: provides a general description of the requirement;

Part 2 Bidder Instructions: provides the instructions, clauses and conditions applicable to the bid solicitation;

Part 3 Bid Preparation Instructions: provides Bidders with instructions on how to prepare their bid;

Part 4 Evaluation Procedures and Basis of Selection: indicates how the evaluation will be conducted, the evaluation criteria that must be addressed in the bid, and the basis of selection;

Part 5 Certifications: includes the certifications to be provided;

Part 6 Security, Financial and Other Requirements: includes specific requirements that must be addressed by Bidders; and

Part 7 Resulting Contract Clauses: includes the clauses and conditions that will apply to any resulting contract.

The Annexes include the Statement of Work, the Evaluation Criteria, and the Security Requirements Checklist.

2. Summary

The Department of Employment and Social Development Canada, Integrity Services Branch, requires the services of a Contractor to provide data entry services of information from the Request for Payroll Information Form and Record of Employment form, and other forms on an “as and when requested” basis.

The Period of the proposed Contract will be from 01 October 2017 to 30 September 2018, with options to extend the Contract period for up to an additional two, one-year periods.

There is a security requirement associated with this requirement. For additional information, consult Part 6 - Security, Financial and Other Requirements, and Part 7 - Resulting Contract Clauses.



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), and the Agreement on Internal Trade (AIT).

3. Debriefings

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



PART 2 - BIDDER INSTRUCTIONS

1. Standard Instructions, Clauses and Conditions

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

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

The 2003 (2017-04-27) Standard Instructions - Goods or Services - Competitive Requirements, are incorporated by reference into and form part of the bid solicitation, with the exception of the following:

1. Replace references to 'Public Works and Government Services Canada' with 'Employment and Social Development Canada';
2. Delete Section 02, Procurement Business Number, in its entirety;
3. Revise Subsection 2d. of Section 05, Submission of Bids, to read:
"send its bid only to the physical or e-mail address specified on Page 1".
4. Subsection 5.4 of Section 05 is amended as follows:
Delete: sixty (60) days
Insert: ninety calendar (90) days
5. Delete Subsections 1a. and 1b. of Section 12, Rejection of Bid, in their entirety.
6. Delete Subsection 2. of Section 20, Further Information, in its entirety.

2. Submission of Bids

Bids must be submitted only to the Employment and Social Development Canada (ESDC) Bid Receiving Unit by the date, time and place indicated on page 1 of the bid solicitation.

For security reasons, any information submitted on a USB key will not be evaluated.



3. Enquiries - Bid Solicitation

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

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

4. Applicable Laws

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

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

5. Basis for Canada's Ownership of Intellectual Property

ESDC has determined that any intellectual property rights arising from the performance of the Work under the resulting contract will belong to Canada, on the following grounds:

6.5 Where the Foreground IP consists of material subject to copyright, with the exception of computer software and all documentation pertaining to that software.



PART 3 - BID PREPARATION INSTRUCTIONS

1. Bid Preparation Instructions

Canada requests that Bidders provide their full company name and address, e-mail address, as well as contact name, and telephone number.

Canada requests that bidders provide their bid in separately bound sections, in two separate envelopes, when submitted in hard copy, and in two separate files, when in soft copy, as follows:

Section I: Technical Bid (four hard copies),

Section II: Financial Bid (two hard copies)

Section III: Certifications (one hard copy) (insert in envelope with Financial Bid)

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

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

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

In April 2006, Canada issued a policy directing federal departments and agencies to take the necessary steps to incorporate environmental considerations into the procurement process [Policy on Green Procurement](http://www.tpsgc-pwgsc.gc.ca/ecologisation-greening/achats-procurement/politique-policy-eng.html) (<http://www.tpsgc-pwgsc.gc.ca/ecologisation-greening/achats-procurement/politique-policy-eng.html>). To assist Canada in reaching its objectives, Bidders are encouraged to:

- 1) use 8.5 x 11 inch (216 mm x 279 mm) paper containing fiber certified as originating from a sustainably-managed forest and/or containing minimum 30% recycled content; and
- 2) use an environmentally-preferable format including black and white printing instead of color printing, printing double sided/duplex, using staples or clips instead of cerlox, duotangs or binders.

Section I: Technical Bid

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

The technical bid should address clearly and in sufficient depth the points that are subject to the evaluation criteria against which the bid will be evaluated. Simply repeating the statement



contained in the bid solicitation is not sufficient. In order to facilitate the evaluation of the bid, Canada requests that Bidders address and present topics in the order of the evaluation criteria under the same headings. To avoid duplication, Bidders may refer to different sections of their bids by identifying the specific paragraph and page number where the subject topic has already been addressed.

All mandatory technical criteria are identified specifically with the words “shall”, “must”, or “will”. The Technical Bid must demonstrate compliance with all mandatory evaluation criteria and must also specifically respond to each of the point-rated evaluation criteria.

Section II: Financial Bid

Bidders must submit their Financial Bid in Canadian funds, in accordance with the Pricing Schedule detailed in Attachment 1 to Part 3. The total amount of Goods and Services Tax (GST) or Harmonized Sales Tax (HST), as applicable, must be shown separately, if applicable.

Section III: Certifications

Bidders must submit the certifications required under Part 5.

Section IV: Additional Information

1.1 Bidder’s Proposed Site or Premises Requiring Safeguard Measures

As indicated in Part 6 under Security Requirement, the Bidder must provide the required information below, on the Bidder’s proposed site or premises for which safeguard measures are required for Work Performance.

Address:

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

City, Province, Territory / State

Postal Code / Zip Code

Country



ATTACHMENT 1 TO PART 3 Pricing Schedule

The bidder must complete this pricing schedule and include it in its Financial Bid.

Any estimated level of services specified in this pricing schedule is provided for bid evaluation price determination purposes only. Levels of efforts are provided as estimates only, and must not be construed as a commitment by ESDC to respect those estimates in any resulting contract.

Item	Record of Employment Document	(A)-Initial Period 01 Oct. 2017 to 30 Sept.2018		Optional Periods				Sub Total A+B+C
		Estimated quantity	Firm Price (per 1000)	(B)-01 Oct. 2018 to 30 Sep. 2019	Firm Price (per 1000)	(C)-01 Oct. 2019 to 30 Sep.2020	Estimated quantity	
1	INS 2106 Record of Employment (ROE) Forms without Blocks 6, 12 & 15C Shipping cost in both directions is included in the bidder's firm unit price.	540,000 forms	\$ _____	432,000 forms	\$ _____	345,600 forms	\$ _____	\$ _____
2	INS2106 Record of Employment (ROE) including Blocks 6, 12 &15C Shipping cost in both directions is included in the bidder's firm unit price.	660,000 forms	\$ _____	528,000 forms	\$ _____	422,400 forms	\$ _____	\$ _____
3	INS 2436 Self-employed Fisher (ROE) Shipping cost in both directions is included in the bidder's firm unit price.	60,000 forms	\$ _____	48,000 forms	\$ _____	38,400 forms	\$ _____	\$ _____
4	INS 5097 Request for Payroll Information Form Shipping cost in both directions is included in the bidder's firm unit price.	700,000 forms	\$ _____	700,000 forms	\$ _____	700,000 forms	\$ _____	\$ _____
Total Evaluated Price (items 1 to 4) (Customs duties are included and Applicable Taxes are extra)								\$ _____

Bidders to note Article 13 – Data Capture Error Rate, Annex A – Statement of Work.



PART 4 - EVALUATION PROCEDURES AND BASIS OF SELECTION

1. Evaluation Procedures

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

1.1 Technical Evaluation

Mandatory and point rated technical evaluation criteria are included in Annex "B".

1.2 Financial Evaluation

The price of the bid will be evaluated in Canadian dollars, Applicable Taxes excluded, FOB destination, Canadian customs duties and excise taxes included.

2. Basis of Selection

2.1 Basis of Selection – Lowest Responsive Price-Per-Point Proposal (50% Technical and 50% Price)

- 1. To be declared responsive, a bid must:
 - a. comply with all the requirements of the bid solicitation; and
 - b. meet all mandatory criteria; and
 - c. obtain the required minimum specified in the point rated criteria.
- 2. Bids not meeting a. or b. or c. will be declared non-responsive.
- 3. For each responsive bid, the technical merit score will be divided into the evaluated price to determine a cost per point.
- 4. Neither the responsive bid obtaining the highest technical score nor the one with the lowest evaluated price will necessarily be accepted. The responsive bid with the lowest evaluated price per point will be recommended for award of a contract.
- 5. Tie Breaker: When two or more responsive proposals achieve the identical score, the proposal with the highest score in the Rated Criteria will be recommended for contract award.



PART 5 – CERTIFICATIONS AND ADDITIONAL INFORMATION

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

The certifications provided by Bidders to Canada are subject to verification by Canada at all times. Canada will declare a bid non-responsive, or will declare a contractor in default, if any certification made by the Bidder is found to be untrue whether during the bid evaluation period or during the contract period.

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

1. Mandatory Certifications Precedent to Contract Award

The certifications and additional information listed below should be submitted with the bid but may be submitted afterwards. If any of these required certifications or additional information is not completed and submitted as requested, the Contracting Authority will so inform the Bidder and provide the Bidder with a time frame within which to meet the requirement.

Failure to provide the certifications or the additional information listed below within the time frame specified will render the bid non-responsive.

1.1 Declaration of Convicted Offences

If requested by the Contracting Authority, pursuant to subsection Declaration of Convicted Offences of section 01 of the Standard Instructions, the Bidder must provide a completed [Declaration Form](http://www.tpsgc-pwgsc.gc.ca/ci-if/formulaire-form-eng.html) (<http://www.tpsgc-pwgsc.gc.ca/ci-if/formulaire-form-eng.html>), to be given further consideration in the procurement process.

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.

1.2 Federal Contractors Program for Employment Equity - Bid Certification

By submitting a bid, the Bidder certifies that the Bidder, and any of the Bidder's members if the Bidder is a Joint Venture, is not named on the Federal Contractors Program (FCP) for employment equity "[FCP Limited Eligibility to Bid](#)" list (



<https://www.canada.ca/en/employment-social-development/programs/employment-equity/federal-contractor-program.html#afed>) available from [Human Resources and Social Development Canada \(ESDC\) - Labour's](#) website

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

1.3 Former Public Servant Certification

Contracts awarded to former public servants (FPS) in receipt of a pension or of a lump sum payment must bear the closest public scrutiny, and reflect fairness in the spending of public funds. In order to comply with Treasury Board policies and directives on contracts awarded to FPS, bidders must provide the information required below before contract award. If the answer to the questions and, as applicable the information required have not been received by the time the evaluation of bids is completed, Canada will inform the Bidder of a time frame within which to provide the information. Failure to comply with Canada’s request and meet the requirement within the prescribed time frame will render the bid non-responsive.

DEFINITIONS

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

- a. an individual;
- b. an individual who has incorporated;
- c. a partnership made of former public servants; or
- d. a sole proprietorship or entity where the affected individual has a controlling or major interest in the entity.
- e. "lump sum payment period" means the period measured in weeks of salary, for which payment has been made to facilitate the transition to retirement or to other employment as a result of the implementation of various programs to reduce the size of the Public Service. The lump sum payment period does not include the period of severance pay, which is measured in a like manner.
- f. "pension" means a pension or annual allowance paid under the [Public Service Superannuation Act](#) (PSSA), R.S., 1985, c.P-36, and any increases paid pursuant to the [Supplementary Retirement Benefits Act](#), R.S., 1985, c.S-24 as it affects the PSSA. It does not include pensions payable pursuant to the [Canadian Forces Superannuation Act](#), R.S., 1985, c.C-17, the [Defence Services Pension Continuation Act](#), 1970, c.D-3, the [Royal Canadian Mounted Police Pension Continuation Act](#), 1970, c.R-10, and the [Royal Canadian Mounted Police Superannuation Act](#), R.S., 1985, c.R-11, the [Members](#)



of Parliament Retiring Allowances Act, R.S., 1985, c.M-5, and that portion of pension payable to the *Canada Pension Plan Act*, R.S., 1985, c.C-8.

FORMER PUBLIC SERVANT IN RECEIPT OF A PENSION

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

* Bidder (For greater clarity, the “Bidder” means the vendor legal entity (e.g. not a resource of the vendor legal entity).

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

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

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

WORK FORCE ADJUSTMENT DIRECTIVE

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

If so, the Bidder must provide the following information:

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

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

2.2 Status and Availability of Resources



The Bidder certifies that, should it be awarded a contract as a result of the bid solicitation, every individual proposed in its bid will be available to perform the Work as required by Canada's representatives and at the time specified in the bid solicitation or agreed to with Canada's representatives. If for reasons beyond its control, the Bidder is unable to provide the services of an individual named in its bid, the Bidder may propose a substitute with similar qualifications and experience. The Bidder must advise the Contracting Authority of the reason for the substitution and provide the name, qualifications and experience of the proposed replacement. For the purposes of this clause, only the following reasons will be considered as beyond the control of the Bidder: death, sickness, maternity and parental leave, retirement, resignation, dismissal for cause or termination of an agreement for default.

If the Bidder has proposed any individual who is not an employee of the Bidder, the Bidder certifies that it has the permission from that individual to propose his/her services in relation to the Work to be performed and to submit his/her résumé to Canada. The Bidder must, upon request from the Contracting Authority, provide a written confirmation, signed by the individual, of the permission given to the Bidder and of his/her availability. Failure to comply with the request may result in the bid being declared non-responsive.

2.3 Education and Experience

The Bidder certifies that all the information provided in the résumés and supporting material submitted with its bid, particularly the information pertaining to education, achievements, experience and work history, has been verified by the Bidder to be true and accurate. Furthermore, the Bidder warrants that every individual proposed by the Bidder for the requirement is capable of performing the Work described in the resulting contract.



PART 6 – SECURITY

1. Security Requirement

1.1 At the date of bid closing, the following conditions must be met:

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

In the case of a joint venture bidder, each member of the joint venture must meet the security requirements.

1.2. Prior to contract award, the following conditions must be met:

- (a) the Bidder's proposed individuals requiring access to classified or protected information, assets or sensitive work site(s) must meet the security requirement as indicated in Part 7 - Resulting Contract Clauses;

1.3 The proposed personnel who will require access to PROTECTED information must EACH hold a valid RELIABILITY STATUS. Bidders should provide the following information as part of their proposal. ESDC will not delay award of contract pending required security clearances.

Team Member	Security Level Clearance	Security Clearance Number	Department Holding Clearance	Date of Birth



PART 7 - RESULTING CONTRACT CLAUSES

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

1. Applicable Laws

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

2. Priority of Documents

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

- (a) the Articles of Agreement including Annex B – Pricing Schedule;
- (b) the General Conditions 2035 - Higher Complexity - Services (2016-04-04);
- (c) Annex “A”, Statement of Work;
- (d) Annex “C”, Security Requirements Check List;
- (e) the signed Task Authorizations (including all of its annexes, if any)
- (f) the Contractor's bid dated _____.

3. Statement of Work

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

4. Standard Clauses and Conditions

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

Whenever ‘Public Works and Government Services Canada’ appears in any of the standard clauses or the General or Supplemental Conditions replace with “Employment and Social Development Canada”.

4.1 General Conditions

2035 (2016-04-04), General Conditions - Higher Complexity - Services, apply to and form part of the Contract, with the following exceptions:

- 4.1.1** Delete reference to ‘Client Reference Number (CRN)’ and ‘Procurement Business Number (PBN)’ from Section 12, sub-section 2.a



- 4.1.2 Delete sub-sections 14
- 4.1.3 Delete sub-sections 15
- 4.1.4 Delete sub-sections 19
- 4.1.5 Delete sub-sections 20

5. Security Requirement

5.1 The Contractor must treat all information as “Protected B”, during as well as after the services contracted for, any information of a designated character of the affairs of ESDC, to which his employees or agents become privy.

The Contractor must, at all times during the performance of the Contract, hold a valid Designated organization Screening (DOS) with approved Document Safeguarding at the level of Protected B, issued by the Canadian and International Industrial Security Directorate (CIISD) of Public Works and Government Services Canada (PWGSC).

The Contractor’s personnel requiring access to PROTECTED information, assets or work site(s) must each hold a valid RELIABILITY screening, granted or approved by the Departmental Security Office or the Canadian and International Industrial Security Directorate (CIISD) of Public Works and Government Services Canada (PWGSC).

The Contractor must not remove any PROTECTED information or assets from the identified work site and the Contractor must ensure that its personnel are made aware of and comply with this restriction.

Subcontracts which contain security requirements are NOT to be awarded without the prior written permission of CIISD/PWGSC.

The Contractor must comply with the provisions of:

- 6.1.1 Security Requirements Checklist; and
- 6.1.2 Industrial Security Manual (Latest Edition).

5.2 Contractor’s Site or Premises Requiring Safeguard Measures

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

Address:

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

City, Province, Territory / State

Postal Code / Zip Code

Country



5.3 IT Security Requirements

ESDC is responsible for the safeguarding of Protected/Classified information and assets under its control as per the *Policy on Government Security*. It extends to Contractor where Protected/Classified information and assets are entrusted to, or developed, by a Contractor. To ensure the **confidentiality, integrity and availability** of information and assets, ESDC¹ will assess the security risks associated with the Contractor's IT/IM environment by means of an IT threat and risk assessment² in order to identify the appropriate security measures to be applied via the Industrial Security Program, PWGSC. This will ensure compliance with the *Operational Security Standard: Management of Information Technology Security, Policy on Departmental IT Security Management*³, and *CSEC IT Security Guideline-33/38/22* as a minimum security baseline. Additional safeguards and IT security guidelines may be referenced based on the security posture of the contractor IT/IM environment.

5.3.1 Validation for Physical Security

(Company name) must comply with the provisions of the Security Requirements Check List (SRCL) and ESDC IT Security Architecture Assessment Document.

(Company name) must, at all times during the performance of the Contract/Standing Offer, hold a valid Designated Organization Screening (DOS) with approved Document Safeguarding and Production Capabilities at the level of PROTECTED B, issued by the Canadian Industrial Security Directorate (CISD), Public Works and Government Services Canada (PWGSC).

On a frequency to be determined by the Safety, Security and Emergency Management Division (SSEMD), CISD retains the right to conduct inspections of **(Company name)** IT environment and IT systems to ensure compliance with Government of Canada standards and policies with respect to the handling, storage and processing of sensitive information.

Following the inspection and upon compliance to Government of Canada and ESDC requirements, CISD will issue **(Company name)** an 'Authority to Process' letter indicating that **(Company name)** has been approved to use its IT systems to process, handle and store ESDC's protected information. CISD is to send it to **(Company name)** the 'Authority to Process' letter, cc the Project Authority and IT Security Architecture at NA-ITSCOE-CEMSTI-GD@servicecanada.gc.ca.

Subcontracts which contain security requirements are NOT to be awarded without the prior written permission of CISD/PWGSC or ESDC IT Security Architecture in cases where CISD has recently inspected this **(Company name)**'s IT systems.

¹ Departmental IT Security Coordinator

² ESDC templates

³ ESDC/ITSCOE



5.3.2. Information Security

(Company name) MUST NOT utilize its Information Technology systems to electronically process, produce or store PROTECTED information unless the CISD/PWGSC has approved its use.

All hard copy documents and other media and IT media support formats must be handled and transported in accordance with RCMP G1-009 “Transport and Transmittal of Protected and Classified Information.

Only (Company name) personnel may transport documents associated with this Contract (XXX XXX-XXX) into or out of the Operational or Security zone with the approval of the ESDC Departmental Security Officer (DSO) and ESDC IT Security Architecture. These documents will be marked with the appropriate security classification as provided by ESDC Project Authority. Any covering letter, transmittal form or circulation slip will be marked to indicate the highest level of classification of the attachments.

5.3.3 Physical Security within the IT Security Environment

(Company name) will provide ESDC Project Authority with the list of physical safeguards which are implemented in the facility which is used to process and store Protected B information. All equipment processing sensitive information is to reside in a Operation zone as per RCMP - Guide to the Application of Physical Security Zones” (G1-026).

The equipment within the Operation zone, which is used to process the sensitive information, must be standalone / Local Area Network / an ‘island’ network as per Security Requirements for Network Security Zones in the Government of Canada ITSG-22. It should be self-contained and used for the purposes of processing the information related to the contract and have no external connection to the internet or other network, internal or otherwise.

5.3.4. Identification, Storage, Disposal and Destruction of IT Media

(Company name) will provide ESDC Project Authority with the list of all material such as CD/DVDs, flash/thumb drives, workstation identification number and any other devices used to process or store sensitive information.

These devices or material must be retained and properly stored or disposed of by ESDC Project Authority in the event of failure and replacement of the equipment or termination of the final contract.



5.3.5. Network Security, Cryptography and Perimeter Defence

For Protected B information, (Company name) must segregate its networks into IT security zones and implement perimeter defence and network security safeguards as per Communications Security Establishment Canada (CSEC) ITSG-41, ITSG-33, ITSG-38 and ITSG-22. The electronic storage, processing and handling of Protected B information associated with this contract must be within a CISD approved IT environment.

(Company name) must apply strict control of all access to the protected zone where the information associated with this contract resides. Network perimeter defence safeguards (e.g. firewalls, routers) must be used to mediate all traffic and to protect servers that are accessible from the internet.

To ensure confidentiality, integrity, authentication and non-repudiation, electronic storage and transmission of Protected B information must be encrypted as per ITSA-11E. The secure use of approved portable data storage devices associated with this contract is subjected to ESDC Portable Storage Devices Directive (2015) and ITPIN: 2014-01.

(Company name) must ensure that all the databases containing any information related to the Work (including billing and/or call detail information) or data are located in Canada or, if the Project Authority has first consented in writing, to an alternate jurisdiction where:

- (i) equivalent protections are afforded to personal information as in Canada under legislation such as the Privacy Act and the Personal Information Protection and Electronic Documents Act and under any applicable policies of the Government of Canada; and
- (ii) the laws do not allow the government of that jurisdiction or any other entity or person to seek or obtain the right to view or copy any information relating to this Contract without first obtaining the written consent of the Contracting Authority.

Unless otherwise required by law or authorised in writing by the individuals to whom that information relates, (Company name) shall not make any copies of the information referred to in this contract except with the written consent of ESDC Project Authority.

5.3.6. Mobile Computing and Teleworking

For the purpose of this contract, the requirements have stipulated an island network configuration, mobile computing and teleworking need not be expressly addressed. However, it is important to state that the processing of sensitive information associated with ESDC related contracts may only be performed in the facility which has been validated by the ESDC DSO and the Project Authority.



5.3.7. Software Integrity and Security Configuration

(Company name) should configure the security of their operating systems and application software being used to process Protected B information in accordance with Government of Canada policies, directives and guidelines to safeguard IT software and hardware components at their external site.

5.3.8. Malicious Code

The (Company name) must install, use and regularly update antivirus software and conduct scans on all electronic files from external systems.

5.3.9. Incident Response

The Policy on Government Security requires departments to ‘establish mechanisms to respond effectively to IT incidents and exchange incident-related information with designated lead departments in a timely fashion. Similarly, ESDC requires (Company name) to have a documented incident response process. All documentation pertaining to incident response must be provided to the ESDC IT Security Architecture.

5.3.10. Incident Reporting

It is paramount that ESDC DSO and IT Security Architecture are made aware of any security-related incidents with respect to the facilities and equipment used to process and store Protected B information associated with ESDC contracts and subcontracts if applicable.

(Company name) must report any security-related incidents to the ESDC DSO and IT Security Architecture within one hour of an incident being detected or reported. CISD shall also be notified of such incident.

5.3.11 Recovery

The ability to recover systems and information is extremely important in any IT environment. ESDC requires (Company name) demonstrate the ability to address systems recovery by providing documentation relating to systems and server backup policies (e.g. processes used, tests restores, retention periods and storage of backup media). This documentation shall be forwarded to the ESDC IT Security Architecture.



5.4 Disclosure or Collection of Personal Information

5.4.1 For the purpose of allowing the Contractor to perform the work under the Contract, ESDC shall make available to the Contractor, in accordance with section 34(1) of the *Department of Human Resources and Skills Development Act* and other applicable laws governing the protection of information under its control, the following information, which is stored in ESDC's Personal Information Bank ESDC PPU 171 – Record of Employment – Second Copy and ESDC PPU 150 – Insurance Claim file (Local Office). This includes all data elements displayed on the sample forms in Appendices B, C, D and I of Annex A.

5.4.2 The Contractor and its employee(s) who have access to protected data, during and after the rendering of the service must treat as confidential any data of a sensitive or valuable nature to the Government of Canada, to which it/they may become privy as a result of this contract.

5.4.3 Unless otherwise required by law or authorized in writing by the individuals to whom that information relates, the Contractor must not use or disclose the information referred to in section 5.4.1 above except for the purpose of performing the work under the Contract.

5.4.4 The Contractor must maintain all information referred to in section 5.4.1 above, and make sure it is only accessible, in Canada.

5.4.5 The Contractor must segregate all records containing information referred to in section 5.4.1 above (whether in electronic format or in hard copy) from its other records, and keep all databases in which such records are to be maintained physically independent from all other database, directly or indirectly, which are located outside Canada.

5.4.6 The Contractor must ensure that all aspects of the processing of information referred to in section 5.4.1 above are conducted and only accessible in Canada.

5.4.7 Unless otherwise required by law or authorized in writing by the individuals to whom that information relates, The Contractor must ensure that no information referred to in section 5.4.1 above, is disclosed to a third party for a purpose authorized herein, unless there is a written agreement between the Contractor and the third party, imposing upon the third party obligations that are the same as those that are imposed upon the Contractor under this contract with respect to the protection of this information.

5.4.8 The information referred to in section 5.4.1 above remains at all times under the control of ESDC.

5.4.9 The information referred to in section 5.4.1 above is protected by the *Privacy Act* and any other applicable federal laws governing the protection of



personal information held by federal institutions. That information shall be treated as such by the Contractor in accordance with the *ESDC Security Policy and Procedures Manual*, the Government of Canada Security Policy or other instructions that ESDC may issue.

5.4.10 Unless otherwise required by law or authorized in writing by the individuals to whom that information relates, the Contractor must not make any copies of the information referred to in section 5.4.1 above except with the written consent of ESDC.

5.4.11 The Contractor must ensure that arrangements are made for the marking, storage, transportation, communication, and disposal of protected data as approved by ESDC's security officials.

5.4.12 The Contractor must ensure any recording media containing protected data is degaussed or over-written prior to maintenance or use for other data.

5.4.13 In the event the successful bidder subcontracts courier service, the Contractor remains fully liable for ensuring that the sub-contractor is capable of meeting the requirements stipulated herein as well as the security requirements relating the transportation of protected material and media:

5.4.14 The Contractor must ensure that all courier service companies used under this Contract are bonded;

5.4.15 The Contractor must ensure that courier service employees are escorted to and from any area containing protected material and media; and

5.4.16 The Contractor must ensure that procedures are implemented to monitor, direct, and resolve incidents involving the loss or misrouting of material or media.

5.4.17 The Contractor must notify the ESDC client and security officials immediately after he becomes aware that a breach of any provision of this contract governing the protection of personal information has occurred.

5.4.18 The Contractor must take all necessary measures to ensure that every person it hires, or the services of whom it retains to fulfill its obligations under this contract, knows and complies with all the terms and conditions of this contract with respect to the protection of information referred to in section 5.4.1 above.

5.4.19 The Contractor and its employee(s) who have access to protected data must be screened for enhanced reliability according to the Reliability Screening procedures, established within the policy of the Government of Canada.



5.4.20 The Contractor must designate as restricted all areas where the protected data is processed or stored, and must post "RESTRICTED AREA" signs at all entrances to these areas.

5.4.21 The Contractor must authorize and control access privileges to:

5.4.22 restricted areas;

5.4.23 security containers and

5.4.24 system resources where the protected data is processed or stored

5.4.25 The Contractor must have the protected data either in security-approved container, or open shelving in an operations zone or other approved secure areas. The Contractor must supply these containers if used.

5.4.26 The Contractor's premises must be open for inspection by authorized representatives of ESDC at reasonable times to ensure compliance with the provisions of this contract governing the protection of personal information.

5.4.27 The Contractor must notify ESDC immediately after he becomes aware that a breach of any provision of this contract governing the protection of personal information has occurred.

5.4.28 From time to time ESDC may have reason to modify the security procedures applicable to the facility and the handling and processing of information. The Contractor must respond accordingly.

5.4.29 The Contractor must establish the following procedures to be implemented when it becomes known that the employment of any individual who has access to the protected data is to be terminated:

5.4.30 Revocation of access privileges to restricted areas and systems which contain the protected data, and

5.4.31 Retrieval of protected material, including access control items

5.4.32 The Contractor must prohibit entry to RESTRICTED AREAS where the protected data is processed or stored except to the authorized personnel.

5.4.33 Unless otherwise required by law or authorized in writing by the individuals to whom that information relates, upon expiry or termination of the contract, whichever is earlier, the Contractor must return to ESDC the information referred to in section 5.4.1 above and copies thereof, if any. All other information compiled or produced by the Contractor in performing the work under the Contract must be disposed of in such manner as ESDC may direct.



5.4.34 Any intentional breach by the Contractor of any provision of this Contract governing the protection of personal information constitutes a fundamental breach of Contract such that the Contract may be terminated by ESDC.

6. Period of the Contract

The period of the Contract is from **01 October 2017 to 30 September 2018** inclusive.

6.1 Option to Extend the Contract

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

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

7. Authorities

7.1 Contracting Authority

The Contracting Authority for the Contract is:

Name: Cynthia Carty

Title: Senior Contracting Specialist

Organization: Employment and Social Development Canada,

Procurement and Contracting Address: 140 Promenade du Portage, Gatineau, Quebec K1A 0J9

Telephone: 819-654-5925

Facsimile: 819-953-6859

E-mail Address: cynthia.carty@hrsdc-rhdcc.gc.ca

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

7.2 Project Authority

The Project Authority for the Contract is:

To be provided at time of Contract award



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

7.3 Contractor's Representative

The Contractor's Representative for the Contract is:
To be provided at time of Contract award.

8. Payment

PART 1 - 8.1 Basis of Payment – Firm Price(s)

In consideration of the Contractor satisfactorily completing all of its obligations under the Contract, the Contractor will be paid firm prices in accordance with the table below. Customs duties are included, and Applicable Taxes are extra.

Item	Record of Employment Document	Initial Period 01 Oct. 2017 to 30 Sept. 2018	Optional Periods	
			01 Oct. 2018 to 30 Sept. 2019	01 Oct. 2019 to 30 Sept. 2020
		Firm Price per 1000 forms) * See (a) below	Firm Price (per 1000 forms) * See (a) below	Firm Price (per 1000 forms) * See (a) below
1	INS 2106 Record of Employment (ROE) Forms without Blocks 6, 12 & 15C	\$_____	\$_____	\$_____
2	INS2106 Record of Employment (ROE) including Blocks 6, 12 &15C	\$_____	\$_____	\$_____
3	INS 2436 Self- employed Fisher (ROE)	\$_____	\$_____	\$_____
4	INS 5097 Request for Payroll Information Form	\$_____	\$_____	\$_____

Delivery as specified below.



- (a) The Contractor will be responsible for all shipping costs in both directions. (see Shipment and Turnaround time – Annex A for further details on shipment.
- (b) For work determined by ESDC to exceed the minimum data entry error rates as described in Article 13 – Data Capture Error Rate, Statement of Work, Annex A, the work will be returned in its entirety to the Contractor for correction at their expense, including pick-up and delivery costs and material to be furnished by the Contractor. All errors prior or after the data entry function whether caused by ESDC or the Contractor must be corrected by the Contractor at no additional cost to ESDC. This service is included in the firm unit prices specified above.

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

Total Estimated Expenditure: \$ _____

8.2 Limitation of Expenditure

8.2.1 Canada's total liability to the Contractor under the Contract must not exceed the amount set out on Page 1 of the Contract. Customs duties are included and Applicable Taxes are extra.

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

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

whichever comes first.

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



9. Method of Payment

9.1 Monthly Payment

Canada will pay the Contractor on a monthly basis for work performed during the month covered by the invoice in accordance with the payment provisions of the Contract if:

- a. an accurate and complete invoice and any other documents required by the Contract have been submitted in accordance with the invoicing instructions provided in the Contract;
- b. all such documents have been verified by Canada;
- c. the Work performed has been accepted by Canada.

10. Invoice Submission

1. Invoices must be submitted in the Contractor's name. The Contractor must submit invoices for each delivery; invoices must only apply to the Contract. Each invoice must indicate whether it covers partial or final delivery.
2. Invoices must show:
 - a. the date, the name and address of the client department, item or reference numbers, deliverable/description of the Work, contract number, and financial code(s);
 - b. details of expenditures (such as item, quantity, unit of issue, unit price, fixed time labour rates and level of effort, subcontracts, as applicable) in accordance with the Basis of Payment, exclusive of Applicable Taxes;
 - c. deduction for holdback, if applicable;
 - d. the extension of the totals, if applicable; and
 - e. if applicable, the method of shipment together with date, case numbers and part or reference numbers, shipment charges and any other additional charges.
3. Applicable Taxes must be specified on all invoices as a separate item along with corresponding registration numbers from the tax authorities. All items that are zero-rated, exempt or to which Applicable Taxes do not apply, must be identified as such on all invoices.
4. By submitting an invoice, the Contractor certifies that the invoice is consistent with the Work delivered and is in accordance with the Contract.



10.1. T1204 Information Reporting by Contractor

1. Pursuant to paragraph 221 (1)(d) of the [Income Tax Act](#), R.S. 1985, c.1 (5th Supp.), payments made by departments and agencies to contractors under applicable services contracts (including contracts involving a mix of goods and services) must be reported on a T1204 Government Service Contract Payments slip.

11. Foreign Nationals (Canadian Contractor)

The Contractor must comply with Canadian immigration requirements applicable to foreign nationals entering Canada to work temporarily in fulfillment of the Contract. If the Contractor wishes to hire a foreign national to work in Canada to fulfill the Contract, the Contractor should immediately contact the nearest Service Canada regional office to enquire about Citizenship and Immigration Canada's requirements to issue a temporary work permit to a foreign national. The Contractor is responsible for all costs incurred as a result of non-compliance with immigration requirements.

12. 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](#) of the Treasury Board Secretariat of Canada

13. Certifications

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

Nothing in this clause must be interpreted as limiting the rights and remedies which Canada may otherwise have pursuant to the Contract.



14. Intellectual Property

CANADA TO OWN INTELLECTUAL PROPERTY RIGHTS IN FOREGROUND INFORMATION

- **01** Interpretation
- **02** Disclosure of Foreground Information
- **03** Canada to Own Intellectual Property Rights in Foreground Information
- **04** License to Intellectual Property Rights in Background Information
- **05** Right to License
- **06** Access to Information; Exception to Contractor Rights
- **07** Waiver of Moral Rights
- Copyright (Re: 6.5)

01 Interpretation

1. In the Contract,

"Background Information" means all Technical Information that is not Foreground Information and that is proprietary to or the confidential information of the Contractor, its Subcontractors or any other supplier of the Contractor;

"Firmware" means any computer program stored in integrated circuits, read-only memory or other similar devices;

"Foreground Information" means any Invention first conceived, developed or reduced to practice as part of the Work under the Contract and all other Technical Information conceived, developed or produced as part of the Work under the Contract;

"Intellectual Property Right" means any intellectual property right recognized by the law, including any intellectual property right protected through legislation (such as that governing patents, copyright, industrial design, integrated circuit topography, or plant breeders' rights) or arising from protection of information as a trade secret or as confidential information;

"Invention" means any new and useful art, process, machine, manufacture or composition of matter, or any new and useful improvement in any art, process, machine, manufacture or composition of matter, whether or not patentable;

"Software" means any computer program whether in source or object code (including Firmware), any computer program documentation recorded in any form or medium, and any computer database, and includes modifications to any of the foregoing;

"Technical Information" means all information of a scientific, technical or artistic nature relating to the Work, whether oral or recorded in any form or medium and whether or not subject to



copyright, including but not limited to any Inventions, designs, methods, processes, techniques, know-how, models, prototypes, patterns, samples, schematics, experimental or test data, reports, drawings, plans, specifications, photographs, collections of information, manuals and any other documents, and Software. Technical Information does not include data concerned with the administration of the Contract by Canada or the Contractor, such as internal financial or management information, unless it is a deliverable under the Contract.

02 Disclosure of Foreground Information

1. The Contractor shall promptly report and fully disclose to the Minister all Foreground Information that could be Inventions, and shall report and fully disclose to the Minister all other Foreground Information not later than the time of completion of the Work or at such earlier time as the Minister or the Contract may require.
2. Before and after final payment to the Contractor, the Minister shall have the right to examine all records and supporting data of the Contractor which the Minister reasonably deems pertinent to the identification of Foreground Information.

03 Canada to Own Intellectual Property Rights in Foreground Information

1. Without affecting any Intellectual Property Rights or interests therein that have come into being prior to the Contract, all Intellectual Property Rights in the Foreground Information shall immediately, as soon as they come into existence, vest in and remain the property of Canada. The Contractor shall have no right in or to any such Intellectual Property Rights in the Foreground Information except any right that may be granted in writing by Canada.
2. The Contractor shall incorporate the copyright symbol and either of the following copyright notices, as appropriate, into all Foreground Information that is subject to copyright, regardless of the form in or medium upon which it is recorded:

(c) HER MAJESTY THE QUEEN IN RIGHT OF CANADA (year)

or

(c) SA MAJESTÉ LA REINE DU CHEF DU CANADA (year)

3. (i) For greater certainty, the Contractor agrees that where the Work under the Contract involves the preparation of a database or other compilation using information or data supplied by Canada or personal information referred to in paragraph (ii), then the Contractor shall not use or disclose any such information or data or personal information for any purpose other than completing the Work under the Contract. The Contractor shall not dispose of such information or data or personal information except by returning it to Canada. The Contractor shall comply with the General Conditions of the Contract in regard to maintaining the confidentiality of such information, data, or personal information. Unless the Contract otherwise expressly provides, the Contractor shall deliver to Canada all such information, data, or personal information, together with every copy, draft, working paper and note thereof that contains such information, data, or personal information upon completion or termination of the Contract or at such earlier time as the Minister may require.



- (ii) For greater certainty and without limiting sub-section 03(1), if the Work under the Contract involves the collection of personal information as that term is defined in the Privacy Act (R.S.C., c. P-21), then all Intellectual Property Rights in and title to that personal information shall, immediately upon the collection of it by the Contractor, vest in Canada, and the Contractor shall have no right or interest in it.
4. The Contractor shall execute such conveyances or other documents relating to the Intellectual Property Rights in the Foreground Information as the Minister may require, and the Contractor shall, at Canada's expense, afford the Minister all reasonable assistance in the preparation of applications and in the prosecution of any applications for registration of any Intellectual Property Right in any jurisdiction, including without limitation the assistance of the inventor in the case of Inventions.

04 License to Intellectual Property Rights in Background Information

1. The Contractor hereby grants to Canada a non-exclusive, perpetual, irrevocable, world-wide, fully-paid and royalty-free license to exercise such of the Intellectual Property Rights in any Background Information incorporated into the Work or necessary for the performance of the Work as may be required for the following purposes:
1. for the use, operation, maintenance, repair or overhaul of the Work;
 2. in the manufacturing of spare parts for maintenance, repair or overhaul of any custom part of the Work by Canada if those parts are not reasonably available to enable timely maintenance, repair or overhaul;
 3. for disclosure to any contractor engaged by Canada (or bidder for such a contract) to be used solely for a purpose set out in paragraph (a) or (b), but only if the Contractor is unable or unwilling to carry out the maintenance, repair or overhaul or provide the spare parts on reasonable commercial terms and within reasonable delivery times;

and the Contractor agrees to make any such Background Information (including, in the case of Software, source code) promptly available to Canada for any such purpose.

2. The Contractor hereby further grants to Canada a non-exclusive, perpetual, irrevocable, world-wide, fully-paid and royalty-free license to exercise such of the Intellectual Property Rights in the Background Information incorporated into the Work or necessary for the performance of the Work as are necessary in order for Canada to modify, improve or further develop the Foreground Information. Canada's rights under this subsection 2 shall not include the right to reproduce the whole or part of any deliverable under the Contract that does not incorporate Foreground Information, save that Canada may reproduce any drawings, plans, designs, or other Background Information that are subject to copyright or industrial design protection, for purposes of modification, improvement or further development of the Foreground Information by or for Canada. The Contractor agrees to make any such Background Information (including, in the case of Software, source code) promptly available to Canada for any such purpose.



3. Notwithstanding subsections 1 and 2, the license set out therein shall not apply to any Software that is subject to detailed license conditions that are set out elsewhere in the Contract.
4. The Contractor acknowledges that, subject to paragraph (c) of subsection 1, Canada may wish to award contracts for any of the purposes contemplated in subsections 1 and 2 and that such contract awards may follow a competitive process. The Contractor agrees that Canada's license in relation to the Intellectual Property Rights in Background Information includes the right to disclose the Background Information to bidders for such contracts, and to sub-license or otherwise authorize the use of that information by any contractor engaged by Canada solely for the purpose of carrying out such a contract. Canada shall require bidders and the contractor not to use or disclose any Background Information except as may be necessary to bid for or to carry out that contract.
5. Where the Intellectual Property Rights in any Background Information are owned by a Subcontractor at any tier, the Contractor shall either obtain a license from that Subcontractor that permits compliance with subsections 1 and 2 or arrange for the Subcontractor to convey directly to Canada the same rights by execution of the form provided for that purpose by the Minister, in which case the Contractor shall deliver that form to the Minister, duly completed and executed by the Subcontractor, no later than the time of disclosure to Canada of that Background Information.

05 Right to License

The Contractor represents and warrants that the Contractor has, or the Contractor undertakes to obtain, the right to grant to Canada the license to exercise the Intellectual Property Rights in the Background Information as required by the Contract.

06 Access to Information; Exception to Contractor Rights

1. Subject to the Access to Information Act, R.S.C., c. A-1 and to any right of Canada under the Contract, Canada shall not release or disclose outside the Government of Canada any Background Information delivered to Canada under the Contract that is confidential information or a trade secret of the Contractor or a Subcontractor.
2. Nothing in these terms and conditions shall be construed as limiting Canada's right to exercise the Intellectual Property Rights in any Background Information, or to disclose any Background Information, to the extent that such information:
 1. is or becomes in the public domain, or to the extent that the Contractor does not benefit from or ceases to benefit from any intellectual property rights protection for such information under legislation or at law (other than under the terms of the Contract), for any reason including as a result of Canada's use or disclosure of deliverables under the Contract for any purpose whatever that is not expressly excluded under the Contract;
 2. is or becomes known to Canada from a source other than the Contractor, except from any source that is known to Canada to be under an obligation to the Contractor not to disclose the information;



3. is independently developed by or for Canada; or
4. is disclosed under compulsion of a legislative requirement or any order of a court or other tribunal having jurisdiction.

07 Waiver of Moral Rights

1. The Contractor shall provide to Canada, at the completion of the Work or at such other time as the Minister may require, a written permanent waiver of moral rights (as that term is defined in the Copyright Act, R.S.C., c. C-42), in a form acceptable to the Minister, from every author that contributed to any Foreground Information which is subject to copyright protection and which is deliverable to Canada under the terms of the Contract.
2. If the Contractor is an author of the Foreground Information referred to in subsection 1, the Contractor hereby permanently waives the Contractor's moral rights in that Foreground Information.

Copyright (Re: 6.5)

Copyright

1. In this section, "Material" means anything that is created or developed by the Contractor as part of the Work under the Contract, and in which copyright subsists, but does not include computer programs and related software documentation.

"Moral Rights" has the same meaning as in the Copyright Act, R.S.C. 1985, c. C-42.

2. Copyright in the Material shall vest in Canada and the Contractor shall incorporate in all Material the copyright symbol and either of the following notices, as appropriate:

(c) HER MAJESTY THE QUEEN IN RIGHT OF Canada (year)

or

(c) SA MAJESTÉ LA REINE DU CHEF DU CANADA (year)

3. At the completion of the Contract, or at such other time as the Contract or the Minister may require, the Contractor shall fully and promptly disclose to the Minister all Material created or developed under the Contract.
4. Where copyright in any Material vests in Canada under the Contract, the Contractor shall execute such conveyances and other documents relating to title or copyright as the Minister may require.
5. The Contractor shall not use, copy, divulge or publish any Material except as is necessary to perform the Contract.
6. At the request of the Minister, the Contractor shall provide to Canada, at the completion of the Work or at such other time as the Minister may require a written permanent waiver



of Moral Rights, in a form acceptable to the Minister, from every author that contributed to the Material.

7. If the Contractor is an author of the Material, the Contractor hereby permanently waives the Contractor's Moral Rights in respect of the Material.



ANNEX “A”

STATEMENT OF WORK

1. **Title**

Data Capture Services

2. **Objective**

The Integrity Services Branch (ISB) of Employment and Social Development Canada mandate is to contribute to service excellence by ensuring the delivery of the client's full entitlement to government benefits and services. Enhancing service integrity is fundamental to delivering citizen-centered service and meeting the expectations of Canadian citizens, improving public trust and confidence in government, and achieving savings through the reduction of errors and the identification of overpayments

The Employment Insurance Act requires all employers to complete a *Record of Employment* each time there is an interruption of earnings of an employee who was in an insurable employment or upon request by the Commission. The information contained on the second copy Record of Employment is captured and entered into the ROE Information System for the purpose of the Computer Post Audit and EI Benefit programs.

3. **Background Information**

The primary objective of this Contract is to obtain services as described herein, however, the Integrity Services Branch of Employment and Social Development Canada is presently assessing options with regards to internal processing simplification. Namely, during the term of this contract, ESDC could be implementing an imaging solution, thereby reducing the carrying of paper forms from one location to another. As such, the Contractor may be asked to access the forms for which data entry is required from a digital repository, as opposed to receiving the forms in a paper format

4. **Scope**

The Contractor must provide data entry services on an "as and when requested" basis. The work will be performed in accordance with detailed specified requirements related to the information to be data captured and to technical conditions as to an acceptable error rate, security standards, turnaround time, input data, storage media to be kept until permission to destroy them is received.

There are **four 4** types of documents:

(1) INS2106 – Record of Employment (ROE) (A Series ROE) Form; (Appendix B to Annex A)



- (2) INS2106 – Record of Employment (ROE) (L Series ROE) Form; (Appendix C to Annex A)
- (3) INS2436 - Self-employed Fisher: (Z Series ROE) (Appendix D to Annex A)
- (4) INS5097 – Request for Payroll Information Form; (Appendix I to Annex A)

The Contractor must data capture an amount varying between 1 million and 3 million documents in the first year with potential decreases in the subsequent years.

The variance in range can be the result of other departmental initiatives and/or decisions.

5. **Applicable Laws governing the protection of information**

For the purpose of allowing the Contractor to perform the work under the Contract, ESDC shall make available to the Contractor, in accordance with section 34(1) of the *Department of Human Resources and Skills Development Act* and other applicable laws governing the protection of information under its control, the following information, which is stored in ESDC’s Personal Information Bank ESDC PPU 171 – Record of Employment – Second Copy and ESDC PPU 150 – Insurance Claim file (Local Office). This includes all data elements displayed on the sample forms in Appendices B, C, D and I of Annex A.

6. **Applicable Documents:**

Appendix A to Annex A contains the “Record of Employment General Data Capture Specifications

Appendix B to Annex A contains a sample of the INS 2106 ROE “A” form and data entry instructions for that form. Forms INS 2106 ROE “E” and “K” are identical to Form “A”.

Appendix C to Annex A contains a sample of the INS 2106 ROE “L” form and data entry instructions for that form.

Appendix D to Annex A contains a sample of the INS 2436 ROE “Z” form and data entry instructions for that form.

Appendix E to Annex A contains a sample of the FCI 748 batch header form and data entry instructions for that form.

Appendix F to Annex A contains projected monthly volumes of forms.

Appendix G to Annex A contains business validation rules.

Appendix H to Annex A contains a sample of the validation report.

Appendix I to Annex A contains a sample of the INS5097 and data entry instructions for that form.



7. Work Specifications

There are three (3) distinct types of ROE forms. Refer to appendices for samples and instructions. Each batch will contain 99 documents plus a batch header. All one hundred (100) documents must be data captured.

Maximum characters to data capture per form will be 488 characters for the INS 2106 (including Block 15C).

Block 15C includes earnings amounts provided by the employer. This block is completed by employers in approximately 55% of ROEs and can contain anywhere from 1 to 27 numeric entries.

Data in blocks 6 and 12 of the INS 2106 form must only be data captured when data is present in Block 15C.

A separate quote must be provided for the data capture of the INS2106 when data capture of blocks 6, 12 and 15C is necessary.

Maximum characters to data capture per form will be 116 characters for the INS 2436 form.

In all records there are a minimum of 9 alpha characters and a maximum of 26 alpha characters. The remainder are numeric.

Only one record will be created per form.

The estimated volume is 4775 ROE documents per day but it is only an approximation given by Employment and Social Development Canada in good faith. (See Appendix "F" to Annex A).

The estimated annual form (document type) usage is:

INS 2106 "A", "E", "K"	- 97% total
INS 2106 "L"	- 1% total
INS 2436 "Z"	- 2% total

The documents will be the second copy of a three part form (carbon copy) and possibly photocopies, and will vary in quality from good to very good.

There is one (1) type of document for the Request for Payroll Information (INS5097). Refer to Appendix I to Annex A for sample and instructions.

There may be more than one record per form for the INS5097 form and a maximum of 132 characters per record.



A header record which contains 40 characters is required for the form.

A separate quote must be provided for the data capture for each form.

The documents will be printed on white bond paper and will vary in quality from very good to excellent.

8. Data Capture Error Rate

A data entry error rate exceeding 5%, based on the field, is not acceptable. The various fields on the forms are important. Any error in a field will render the field and perhaps the whole form invalid.

The error rate on the field is defined as follows:

Any error in a field will be considered an error in the whole field (i.e. if one number of the Social Insurance Number is entered wrong, the whole number and therefore the field will be considered in error).

If the error rate is exceeded on a complete or random basis, this will be considered to have exceeded the acceptable error rate.

ESDC will carry out monitoring of data entry quality on a regular basis. A statistically valid sample of records will be monitored to determine the quality of the work performed.

Any material not meeting this criterion will be returned in its entirety to the Contractor for correction at their expense, including pick-up and delivery costs and material to be furnished by the Contractor.

Any material returned for correction must be given priority and returned to ESDC within ten (10) days.

All errors prior to or after the data entry function whether caused by ESDC or the Contractor must be corrected by the Contractor at no additional cost to ESDC. This service must be included in the base price.

9. Validation Rules

Several fields will require validation by business rules (see Appendix G to Annex A).

ROE Forms failing a validation rule must be removed from their respective batches and returned to ESDC as per specifications in Appendix H to Annex A.

The Contractor must data capture ROE Forms failing a validation rule, as usual. Special processing only applies to the return of the paper forms.



The Contractor must maintain a count of all instances of validation errors and provide ESDC with a validation report for each batch processed.

The report must be subdivided into Fields categories and contain a listing of each ROE serial number which failed validation in said field.

A sample of the validation report is included in Appendix H to Annex A.

This report is only for forms failing a *business rule*. Other data capture errors will be handled as specified in section 11.

5097 contains two fields with validation rules, the Social Insurance Number (SIN) and the Business Number (BN). Please refer to Section 1 of Appendix G to Annex A for details.

10. Shipping and Turn-Around Time

ROE:

ESDC will ship secure bins with forms on a weekly or bi-weekly basis to the Contractor, depending on volumes.

Typically, the shipment consists of about 8-10 secure bins, each weighing approximately 50 pounds.

Bins and locks will be provided by ESDC.

The shipment is sent on a palette, via the courier service company designated by the Contractor.

The turnaround time must not exceed 27 calendar days from time of pick up at Employment and Social Development Canada, Bathurst to the delivery of processed data back in Bathurst.

The Contractor must maintain weekly or bi-weekly return shipments depending on volumes.

The Contractor must be responsible for all shipping costs in both directions.

INS 5097:

Canada Post will deliver the forms on a daily basis to the Contractor.

Typically, the shipment consists of forms being returned by employers and/or clients using return envelopes provided by ESDC.

The Contractor must open the envelopes and extract the forms in preparation for data entry.

The Contractor must date stamp the forms, staple all documents to prevent information loss.



The turnaround time must not exceed 72 hours from time of receipt to the shipment of processed data back to ESDC. The captured forms must be sorted by regions and returned to ESDC on a weekly basis to 5 different locations (Edmonton, Toronto, Brossard, Bathurst and Miramichi).

Bins and locks will be provided by ESDC.

The Contractor must be responsible for all shipping costs in both directions

The Contractor must maintain weekly or bi-weekly return shipments depending on volumes.

11. Deliverables

The Contractor must transfer data through a secure electronic mechanism (File Transfer Protocol). Data will be transmitted using Data Gateway. The Data Gateway application is used as a secure transfer mechanism by various Service Canada Programs to exchange data with Service Canada. It provides the identification, authentication and ensures the privacy of data as it is transmitted from your browser to our site.

If the data being returned represents corrections to previous work, then each batch or date must be listed on the label.

Backup storage media containing information captured from all forms must be kept by the Contractor after completion until permission to destroy them is received from ESDC.

The information is required not to exceed 27 calendar days for the ROE and 72 hours for the other forms in order that discrepancies of unreported work and earnings under the Employment Insurance Act can be detected as quickly as possible.



APPENDIX A TO ANNEX A

RECORD OF EMPLOYMENT

GENERAL DATA CAPTURE SPECIFICATIONS

GENERAL

There are three (3) different source documents to be data captured.

- (1) INS 2106 serie A
- (2) INS 2106 serie L
- (3) INS 2436 serie Z

Each field on the document is identified by a block number. The data to be captured from each block is identified in the detailed specifications. The record length form must be of 488 characters for the INS2106 and of 116 characters for the INS2436. The data must be stored and sent in a text (.txt) file format.

Data from block 6 and 12 must only be data captured when data is present in Block 15C of the INS2106 form.

All forms will be batched (99 forms plus a batch header Form FCI 748). Forms for different series and/or formats will be batched separately.

Refer to Appendices “B”, “C”, “D”, “E” for samples of source documents and Appendices “B.1”, “C.1”, “D.1”, “E.1” for data entry instructions for each type of transaction.



APPENDIX B TO ANNEX A

Development Canada / numaires Canada
RECORD OF EMPLOYMENT (ROE) Protected when completed - B

1 SERIAL NO. **A 51752560** 2 SERIAL NO. OF ROE AMENDED OR REPLACED 3 EMPLOYER'S PAYROLL REFERENCE NO.

4 EMPLOYER'S NAME AND ADDRESS 5 CCRA'S BUSINESS NO. (BN)

6 PAY PERIOD TYPE 7 POSTAL CODE 8 SOCIAL INSURANCE NO.

9 EMPLOYEE'S NAME AND ADDRESS 10 FIRST DAY WORKED (OR FIRST DAY WORKED SINCE LAST ROE ISSUED) D M Y
 11 LAST DAY FOR WHICH PAID D M Y
 12 FINAL PAY PERIOD ENDING DATE D M Y

13 OCCUPATION 14 EXPECTED DATE OF RECALL D M Y
 UNKNOWN NOT RETURNING

15A TOTAL INSURABLE HOURS ACCORDING TO CHART ON REVERSE 16 REASON FOR ISSUING THIS ROE ENTER CODE
 15B TOTAL INSURABLE EARNINGS ACCORDING TO CHART ON REVERSE \$ TELEPHONE NO. ()
 17 ONLY COMPLETE IF PAYMENTS OR BENEFITS (OTHER THAN REGULAR PAY) PAID IN OR IN ANTICIPATION OF THE FINAL PAY PERIOD OR PAYABLE AT A LATER DATE.

P.P.	INSURABLE EARNINGS	P.P.	INSURABLE EARNINGS	P.P.	INSURABLE EARNINGS
1		2		3	
4		5		6	
7		8		9	
10		11		12	
13		14		15	
16		17		18	
19		20		21	
22		23		24	
25		26		27	

A - VACATION PAY \$ B - STATUTORY HOLIDAY PAY FOR D M Y \$
 C - OTHER MONIES (SPECIFY) \$
 18 COMMENTS

19 ONLY COMPLETE IF PAID SICK/MATERNITY/PARENTAL LEAVE OR GROUP WAGE LOSS INDEMNITY PAYMENT (AFTER THE LAST DAY WORKED).
 PAYMENT START DATE D M Y AMOUNT \$ PER DAY PER WEEK

20 COMMUNICATION PREFERRED IN ENGLISH FRENCH 21 TELEPHONE NO. ()

22 I AM AWARE THAT IT IS AN OFFENCE TO MAKE FALSE ENTRIES AND HEREBY CERTIFY THAT ALL STATEMENTS ON THIS FORM ARE TRUE. 22.A DATE D M Y

SIGNATURE OF ISSUER NAME OF ISSUER (please print) DATE



MAIL THIS COPY TO: HUMAN RESOURCES DEVELOPMENT CANADA P.O. BOX 9000 BATHURST, NEW BRUNSWICK, CANADA E2A 4T3

Ce formulaire est également disponible en français.



APPENDIX B.1 TO ANNEX A
FORM INS 2106 ROE “A, E, or K” series

FIELD	COLUMNS	DESCRIPTION	OPERATION AND REMARKS
1	1-9	Serial No.	First character alpha “A” “E” or “K”. Remaining characters are numeric. Data to be taken from Block 1.
2	10-18	Serial No. of record amended or replaced	Data to be taken from Block 2. First character must be alphabetical. Last 8 characters numeric.
3	19-33	Employer’s Payroll Reference No.	Data to be taken from first 15 characters of Block 3.
4	34-48	RCT Employer Acct. No. OR Business Number.	First 3 characters alpha remaining characters numeric. Data to be taken from Block 5. OR First 9 characters numeric, second 2 characters always alpha (RP), last 4 characters numeric. If last 4 characters not indicated or complete, leave that part of block empty. Data to be taken from Block 5.
5	49-54	Postal Code	Format ANANAN. Data to be taken from Block 7.
6	55-63	Employee’s Social Insurance Number	Must be numeric. Data to be taken from Block 8.
7	64-69	First Day Worked	Must be numeric. Data to be taken from Block 10.
8	70-75	Last Day for Which Paid	Must be numeric. Data to be taken from Block 11.
9	76-76	Reason for Issuing this ROE	Must be alpha. Data to be taken from Block 16.
10	77-80	Total Insurable Hours	Must be numeric. Data to be taken from Block 15A.
11	81-87	Total Insurable Earnings	Must be numeric. Left zero fill. Data to be taken from Block 15B.

12	88-92	Filler	
13	93-106	Telephone Number	Must be numeric. Blank if block is empty. Data to be taken from



12	88-92	Filler	
			Block 21
14	107-112	Date of Issue	Must be numeric. Data to be taken from Block 22.
15	113-116	Filler	
16	117-118	Filler	
17	119-119	Pay Period Type W Weekly B Bi-weekly M Monthly O Monthly non-standard S Semi-monthly E Semi-monthly non-standard H Thirteen per year	Must be alphabetical. Use the character associated with each specific Pay Period Type. Data to be taken from Block 6. Leave blank if no data in block 15C.
18	120-123	Filler	
19	124-129	Final Pay Period Ending Date	Must be numeric. Data to be taken from Block 12. Leave blank if no data in block 15C.
20	130-135	Filler	
21	136-137	P.P. (1) (pay period number)	Data to be taken from block 15C. P.Ps. are numbered from 1 to 27. Include a leading zero for numbers 1 to 9 (Ex: 01). There are three (3) P.P. per line. P.P. are to be read from left to right. P.P. in following fields are to be displayed in chronological ascending order
22	138-146	Insurable Earnings	Must be numeric. Data to be taken from block 15C. Maximum of nine (9) characters in total. If less, use leading zeros on the data file. If no decimal and cents are displayed, then use (.00) on the data file. If there are earnings, the employer may display earnings in the following fashions.



12	88-92	Filler	<p>1234.80 1,234.08 (remove comma on data file) 1234 (add .00 on data file)</p> <p>If there are no earnings for a given pay period, the employer may include the following in this field.</p> <p>Left blank Zero (0) Zero with a slash across (Ø) NA N/A Bar across (—) Diagonal bar (\), (/)</p> <p>If a zero is used in this field, then include nine (9) characters (000000.00) on the data file, if any other alpha character or line, then leave field blank.</p>
23	147-148	Filler	
24	149-150	P.P. (2) (pay period number)	See explanation for field 21
25	151-159	Insurable Earnings	See explanation for field 22
26	160-161	Filler	
27	162-163	P.P. (3) (pay period number)	See explanation for field 21
28	164-172	Insurable Earnings	See explanation for field 22
29	173-174	Filler	
30	175-176	P.P. (4) (pay period number)	See explanation for field 21
31	177-185	Insurable Earnings	See explanation for field 22
32	186-187	Filler	
33	188-189	P.P. (5) (pay period number)	See explanation for field 21
34	190-198	Insurable Earnings	See explanation for field 22
35	199-200	Filler	
36	201-202	P.P. (6)	



12	88-92	Filler (pay period number)	See explanation for field 21
37	203-211	Insurable Earnings	See explanation for field 22
38	212-213	Filler	
39	214-215	P.P. (7) (pay period number)	See explanation for field 21
40	216-224	Insurable Earnings	See explanation for field 22
41	225-226	Filler	
42	227-228	P.P. (8) (pay period number)	See explanation for field 21
43	229-237	Insurable Earnings	See explanation for field 22
44	238-239	Filler	
45	240-241	P.P. (9) (pay period number)	See explanation for field 21
46	242-250	Insurable Earnings	See explanation for field 22
47	251-252	Filler	
48	253-254	P.P. (10) (pay period number)	See explanation for field 21
49	255-263	Insurable Earnings	See explanation for field 22
50	264-265	Filler	
51	266-267	P.P. (11) (pay period number)	See explanation for field 21
52	268-276	Insurable Earnings	See explanation for field 22
53	277-278	Filler	
54	279-280	P.P. (12) (pay period number)	See explanation for field 21
55	281-289	Insurable Earnings	See explanation for field 22
56	290-291	Filler	
57	292-293	P.P. (13) (pay period number)	See explanation for field 21
58	294-302	Insurable Earnings	See explanation for field 22
59	303-304	Filler	
60	305-306	P.P. (14) (pay period number)	See explanation for field 21
61	307-315	Insurable Earnings	See explanation for field 22
62	316-317	Filler	
63	318-319	P.P. (15) (pay period number)	See explanation for field 21



12	88-92	Filler	
64	320-328	Insurable Earnings	See explanation for field 22
65	329-330	Filler	
66	331-332	P.P. (16) (pay period number)	See explanation for field 21
67	333-341	Insurable Earnings	See explanation for field 22
68	342-343	Filler	
69	344-345	P.P. (17) (pay period number)	See explanation for field 21
70	346-354	Insurable Earnings	See explanation for field 22
71	355-356	Filler	
72	357-358	P.P. (18) (pay period number)	See explanation for field 21
73	359-367	Insurable Earnings	See explanation for field 22
74	368-369	Filler	
75	370-371	P.P. (19) (pay period number)	See explanation for field 21
76	372-380	Insurable Earnings	See explanation for field 22
77	381-382	Filler	
78	383-384	P.P. (20) (pay period number)	See explanation for field 21
79	385-393	Insurable Earnings	See explanation for field 22
80	394-395	Filler	
81	396-397	P.P. (21) (pay period number)	See explanation for field 21
82	398-406	Insurable Earnings	See explanation for field 22
83	407-408	Filler	
84	409-410	P.P. (22) (pay period number)	See explanation for field 21
85	411-419	Insurable Earnings	See explanation for field 22
86	420-421	Filler	
87	422-423	P.P. (23) (pay period number)	See explanation for field 21
88	424-432	Insurable Earnings	See explanation for field 22
89	433-434	Filler	
90	435-436	P.P. (24) (pay period number)	See explanation for field 21



12	88-92	Filler	
91	437-445	Insurable Earnings	See explanation for field 22
92	446-447	Filler	
93	448-449	P.P. (25) (pay period number)	See explanation for field 21
94	450-458	Insurable Earnings	See explanation for field 22
95	459-460	Filler	
96	461-462	P.P. (26) (pay period number)	See explanation for field 21
97	463-471	Insurable Earnings	See explanation for field 22
98	472-473	Filler	
99	474-475	P.P. (27) (pay period number)	See explanation for field 21
100	476-484	Insurable Earnings	See explanation for field 22
101	485-486	Filler	

NOTE: Data from blocks 6 and 12 must only be data captured when data is present in block 15C



APPENDIX C TO ANNEX A

Human Resources Development Canada / Développement des ressources humaines Canada

EMPLOYER: THE GUIDE - HOW TO COMPLETE THE RECORD OF EMPLOYMENT, PROVIDES DETAILED INSTRUCTIONS. Protected when completed - B

RECORD OF EMPLOYMENT (ROE)

1 SERIAL NO. L09823321

2 SERIAL NO. OF RECORD AMENDED OR REPLACED

3 EMPLOYER'S PAYROLL REFERENCE NO.

4 EMPLOYER'S NAME AND ADDRESS

5 CCRA BUSINESS NO. (BN)

6 PAY PERIOD TYPE

7 POSTAL CODE

8 SOCIAL INSURANCE NO.

9 EMPLOYEE'S NAME AND ADDRESS

10 FIRST DAY WORKED D M Y

11 LAST DAY FOR WHICH PAID D M Y

12 FINAL PAY PERIOD ENDING DATE D M Y

13 OCCUPATION

14 EXPECTED DATE OF RECALL D M Y
 UNKNOWN N - NOT RETURNING

15A TOTAL INSURABLE HOURS ACCORDING TO CHART ON REVERSE

15B TOTAL INSURABLE EARNINGS ACCORDING TO CHART ON REVERSE \$

15C ONLY COMPLETE IF THERE HAS BEEN A PAY PERIOD WITH NO INSURABLE EARNINGS. COMPLETE ACCORDING TO CHART ON REVERSE.

P.P.	INSURABLE EARNINGS	P.P.	INSURABLE EARNINGS	P.P.	INSURABLE EARNINGS
1		2		3	
4		5		6	
7		8		9	
10		11		12	
13		14		15	
16		17		18	
19		20		21	
22		23		24	
25		26		27	

16 REASON FOR ISSUING THIS ROE ENTER CODE

FOR FURTHER INFORMATION, CONTACT

TELEPHONE NO. ()

17 ONLY COMPLETE IF PAYMENTS OR BENEFITS (OTHER THAN REGULAR PAY) PAID IN OR IN ANTICIPATION OF THE FINAL PAY PERIOD OR PAYABLE AT A LATER DATE.

A - VACATION PAY \$

B - STATUTORY HOLIDAY PAY FOR

D	M	Y	\$

C - OTHER MONIES (SPECIFY)

	\$

19 ONLY COMPLETE IF SICK/MATERNITY/PARENTAL LEAVE OR GROUP WAGE LOSS INDEMNITY PAYMENT (AFTER THE LAST DAY WORKED).

PAYMENT START DATE D M Y

AMOUNT \$ PER DAY PER WEEK

20 COMMUNICATION PREFERRED IN English French

21 TELEPHONE NO. ()

22 I AM AWARE THAT IT IS AN OFFENSE TO MAKE FALSE ENTRIES AND HEREBY CERTIFY THAT ALL STATEMENTS ON THIS FORM ARE TRUE.


Signature of issuer

Name of issuer

D M Y

18 COMM

**Appendix C
INS 2106
"L" series ROE**





APPENDIX C.1 TO ANNEX A
FORM INS 2106 ROE “L” series

FIELD	COLUMNS	DESCRIPTION	OPERATION AND REMARKS
1	1-9	Serial No.	First character alpha “L”. Remaining characters numeric. Data to be taken from Block 1.
2	10-18	Serial No. of record amended or replaced	Data to be taken from Block 2. First character must be alphabetical. Last 8 characters numeric.
3	19-33	Employer’s Payroll Reference No.	Data to be taken from first 15 characters of Block 3.
4	34-48	RCT Employer Acct. No. OR Business Number.	First 3 characters alpha remaining characters numeric. Data to be taken from Block 5. OR First 9 characters numeric, second 2 characters always alpha (RP), last 4 characters numeric. If last 4 characters not indicated or complete leave that part of block empty. Data to be taken from Block 5.
5	49-54	Postal Code	Format ANANAN. Data to be taken from Block 7.
6	55-63	Employee’s Social Insurance Number	Must be numeric. Data to be taken from Block 8.
7	64-69	First Day Worked	Must be numeric. Data to be taken from Block 10.
8	70-75	Last Day for Which Paid	Must be numeric. Data to be taken from Block 11.
9	76-76	Reason for Issuing this ROE	Must be alpha. Data to be taken from Block 16.
10	77-80	Total Insurable Hours	Must be numeric. Data to be taken from Block 15A.
11	81-87	Total Insurable Earnings	Must be numeric. Left zero fill. Data to be taken from Block 15B.
12	88-92	Filler	
13	93-106	Telephone Number	Must be numeric. Blank if block is empty. Data to be taken from Block 21
14	107-112	Date of Issue	Must be numeric. Data to be taken from Block 22.
15	113-116	Filler	
16	117-118	Filler	



17	119-119	Pay Period Type W Weekly B Bi-weekly M Monthly O Monthly non-standard S Semi-monthly E Semi-monthly non- standard H Thirteen per year	Must be alphabetical. Use the character associated with each specific Pay Period Type. Data to be taken from Block 6.
18	120-123	Filler	
19	124-129	Final Pay Period Ending Date	Must be numeric. Data to be taken from Block 12.
20	130-135	Filler	
21	136-137	P.P. (1) (pay period number)	Data to be taken from block 15C. P.Ps. are numbered from 1 to 27. Include a leading zero for numbers 1 to 9 (Ex: 01). There are three (3) P.P. per line. P.P. are to be read from left to right. P.P. in following fields are to be displayed in chronological ascending order
22	138-146	Insurable Earnings	Must be numeric. Data to be taken from block 15C. Maximum of nine (9) characters in total. If less, use leading zeros on the data file. If no decimal and cents are displayed, then use (.00) on the data file. If there are earnings, the employer may display earnings in the following fashions. 1234.80 1,234.08 (remove comma on data file) 1234 (add .00 on data file) If there are no earnings for a given pay period, the employer may



			<p>include the following in this field.</p> <p>Left blank Zero (0) Zero with a slash across (Ø) NA N/A Bar across (—) Diagonal bar (\), (/)</p> <p>If a zero is used in this field, then include nine (9) characters (000000.00) on the data file, if any other alpha character or line, then leave field blank.</p>
23	147-148	Filler	
24	149-150	P.P. (2) (pay period number)	See explanation for field 21
25	151-159	Insurable Earnings	See explanation for field 22
26	160-161	Filler	
27	162-163	P.P. (3) (pay period number)	See explanation for field 21
28	164-172	Insurable Earnings	See explanation for field 22
29	173-174	Filler	
30	175-176	P.P. (4) (pay period number)	See explanation for field 21
31	177-185	Insurable Earnings	See explanation for field 22
32	186-187	Filler	
33	188-189	P.P. (5) (pay period number)	See explanation for field 21
34	190-198	Insurable Earnings	See explanation for field 22
35	199-200	Filler	
36	201-202	P.P. (6) (pay period number)	See explanation for field 21
37	203-211	Insurable Earnings	See explanation for field 22
38	212-213	Filler	
39	214-215	P.P. (7) (pay period number)	See explanation for field 21
40	216-224	Insurable Earnings	See explanation for field 22



41	225-226	Filler	
42	227-228	P.P. (8) (pay period number)	See explanation for field 21
43	229-237	Insurable Earnings	See explanation for field 22
44	238-239	Filler	
45	240-241	P.P. (9) (pay period number)	See explanation for field 21
46	242-250	Insurable Earnings	See explanation for field 22
47	251-252	Filler	
48	253-254	P.P. (10) (pay period number)	See explanation for field 21
49	255-263	Insurable Earnings	See explanation for field 22
50	264-265	Filler	
51	266-267	P.P. (11) (pay period number)	See explanation for field 21
52	268-276	Insurable Earnings	See explanation for field 22
53	277-278	Filler	
54	279-280	P.P. (12) (pay period number)	See explanation for field 21
55	281-289	Insurable Earnings	See explanation for field 22
56	290-291	Filler	
57	292-293	P.P. (13) (pay period number)	See explanation for field 21
58	294-302	Insurable Earnings	See explanation for field 22
59	303-304	Filler	
60	305-306	P.P. (14) (pay period number)	See explanation for field 21
61	307-315	Insurable Earnings	See explanation for field 22
62	316-317	Filler	
63	318-319	P.P. (15) (pay period number)	See explanation for field 21
64	320-328	Insurable Earnings	See explanation for field 22
65	329-330	Filler	
66	331-332	P.P. (16) (pay period number)	See explanation for field 21
67	333-341	Insurable Earnings	See explanation for field 22
68	342-343	Filler	



69	344-345	P.P. (17) (pay period number)	See explanation for field 21
70	346-354	Insurable Earnings	See explanation for field 22
71	355-356	Filler	
72	357-358	P.P. (18) (pay period number)	See explanation for field 21
73	359-367	Insurable Earnings	See explanation for field 22
74	368-369	Filler	
75	370-371	P.P. (19) (pay period number)	See explanation for field 21
76	372-380	Insurable Earnings	See explanation for field 22
77	381-382	Filler	
78	383-384	P.P. (20) (pay period number)	See explanation for field 21
79	385-393	Insurable Earnings	See explanation for field 22
80	394-395	Filler	
81	396-397	P.P. (21) (pay period number)	See explanation for field 21
82	398-406	Insurable Earnings	See explanation for field 22
83	407-408	Filler	
84	409-410	P.P. (22) (pay period number)	See explanation for field 21
85	411-419	Insurable Earnings	See explanation for field 22
86	420-421	Filler	
87	422-423	P.P. (23) (pay period number)	See explanation for field 21
88	424-432	Insurable Earnings	See explanation for field 22
89	433-434	Filler	
90	435-436	P.P. (24) (pay period number)	See explanation for field 21
91	437-445	Insurable Earnings	See explanation for field 22
92	446-447	Filler	
93	448-449	P.P. (25) (pay period number)	See explanation for field 21
94	450-458	Insurable Earnings	See explanation for field 22
95	459-460	Filler	
96	461-462	P.P. (26)	



		(pay period number)	See explanation for field 21
97	463-471	Insurable Earnings	See explanation for field 22
98	472-473	Filler	
99	474-475	P.P. (27) (pay period number)	See explanation for field 21
100	476-484	Insurable Earnings	See explanation for field 22
101	485-486	Filler	

NOTE: Data from blocks 6 and 12 must only be data captured when data is present in block 15C



APPENDIX D TO ANNEX A

Development Canada / Ressources Humaines Canada A SPECIAL MAILING ENVELOPE IS AVAILABLE FROM YOUR HRCC

RECORD OF EMPLOYMENT (ROE) — SELF-EMPLOYED FISHER

Protected when completed - B

1 Serial No. Z00537400		2 Serial No. of ROE Amended or Replaced		3 Employer's Payroll Reference No.		
4 Employer's Name and Address				6 Starting with the final trip or purchase date, enter insurable earnings for period of employment up to a maximum of 31 consecutive weeks or to the last ROE, whichever is less.		
5 Postal Code				6A Trip(s) Start Date (Fresh Catch Only)	6B Trip(s) End Date (Fresh) OR Date of Purchase (Cured)	6C \$ Share of Insurable Earnings
				1.		
7 Canada Customs and Revenue Agency Business No. (CCRA - BN)				2.		
8 Name and Address of Self-Employed Fisher <input type="checkbox"/>				3.		
				4.		
				5.		
				6.		
				7.		
				8.		
9 Social Insurance Number				9.		
10 Commercial Fishing Vessel Number (CFVN)				10.		
11 Reason for issuing this ROE. If other than end of fishing specify in Block 12 - Comments. (A) <input type="checkbox"/> End of Fishing (B) <input type="checkbox"/> Other				11.		
12 Comments				12.		
				13.		
				14.		
				15.		
				16.		
				16.		

Appendix D
INS 2436
"Z" series ROE

13 I am aware that it is an offense to make false entries and hereby certify that all statements on this form are true.

Communication preferred in: English French

Telephone No.
()

Name of Issuer (Print)

13A D M Y

Signature of Issuer

Date

NS-2436-09-00E

THIS IS A VALUABLE DOCUMENT — KEEP IT IN A SAFE PLACE

PART 2

MAIL THIS COPY (PART 2) TO:



Human Resources Development Canada
P.O. Box 9000, Bathurst, New Brunswick, Canada E2A 4T3

Ce formulaire est également disponible en français.



APPENDIX D.1 TO ANNEX A

FORM INS 2436 ROE “Z” series

FIELD	COLUMNS	DESCRIPTION	OPERATION AND REMARKS
1	1-9	Serial No.	First character alpha “Z”. Remaining characters numeric. Data to be taken from Block 1.
2	10-18	Serial No. of record amended or replaced	Data to be taken from Block 2. Last 8 characters numeric.
3	19-33	Employer’s Payroll Reference No.	Data to be taken from first 15 characters of Block 3.
4	34-39	Postal Code	Format ANANAN. Data to be taken from Block 5.
5	40-54	RCT Employer Acct. No. Business Number.	First 3 characters alpha remaining characters numeric. Data to be taken from Block 7. First 9 characters numeric, second 2 characters always alpha (RP), last 4 characters numeric. If last 4 characters not indicated or complete leave that part of block empty. Data to be taken from Block 7.
6	55-63	Social Insurance No.	Must be numeric. Data to be taken from Block 9.
7	64-64	Reason for Issue	Must be alpha. Data to be taken from Block 11.
8	65-69	Filler	
9	70-71	Filler	
10	72-85	Telephone Number	Must be numeric. Data to be taken from Block 13.
11	86-91	Trip Start Date	Must be numeric. Data to be taken from box 16 of Block 6A.
12	92-97	Trip End Date	Must be numeric. Data to be taken from box 16 of Block 6B.
13	98-104	Share of Insurable Earnings	Must be numeric. Data to be taken from box 16 of Block 6C.
14	105-110	Date of Issue	Must be numeric. Data to be taken from Block 13A.
15	111-116	Filler	



APPENDIX E TO ANNEX A

NATIONAL SERVICES - Central Index
SERVICES NATIONAUX - Fichier central

**Appendix E
FCI 748
Batch Header**

**RECORD OF EMPLOYMENT BATCH CONTROL SLIP
FICHE DE CONTRÔLE DE LOT DE RELEVÉS D'EMPLOI**

QUANTITY / QUANTITÉ		
0	9	9

FIRST NUMBER / PREMIER NUMÉRO						

DECADE / DÉCENNIE	JULIAN DATE / DATE JULIENNE		

LAST NUMBER / DERNIER NUMÉRO						

SEQUENCE NUMBER / NUMÉRO SÉQUENTIEL				
0	0	0	0	0

A 001



APPENDIX E.1 TO ANNEX A

KEYPUNCH SPECIFICATION

BATCH HEADER FCI 748

FIELD	COLUMNS	DESCRIPTION	OPERATION AND REMARKS
1	1	Transaction Code	ALWAYS "1" . This data is not shown on the form.
2	2 to 4	Quantity	Must be numeric. Left zero fill.
3	5 to 12	First Number	Must be numeric.
4	13 to 14	Decade	Must be numeric.
5	15 to 17	Julian Date	Must be numeric.
6	18 to 25	Last Number	Must be numeric.
7	26 to 30	Sequence Number	Must be numeric.
8	31 to 34	Batch Number	Must be alphanumeric
9	35 to 116	Blank	



APPENDIX F TO ANNEX A

ESTIMATED ROE MONTHLY VOLUMES

October 2017 to September 2018

MONTH	VOLUME
October	98 300
November	98 300
December	92 250
January	122 900
February	104 480
March	129 050
April	110 650
May	110 650
June	104 460
July	104 460
August	92 250
September	92 250
TOTAL	1,260,000

The above volumes are based on estimates of ROEs received in Bathurst; they are given in good faith by ESDC and are not binding. The volumes are subject to change as a result of other departmental initiatives and/or decisions.



APPENDIX G TO ANNEX A

VALIDATION BUSINESS RULES

Validation of data by business rules only applies to the different versions of the INS 2106 forms, e.g. the “A”, “E”, “K” and “L” series. The INS 2436 is not subject to this validation.

Validation of data by business rules will be performed on the following fields:

- a. The Business Number (first 9 numbers in box 5)
 - b. The Social Insurance Number (box 8)
 - c. The First Day Worked and the Last Day for Which Paid (boxes 10 and 11)
 - d. The Reason for Issuing the ROE (box 16)
1. The business rule for box 5 and box 8 is the modulus 10 check. The following is an example of the modulus 10 validation, using the number: 998 986 731
 - a. Starting with the 1st digit, add every 2nd digit: **9 9 8 9 8 6 7 3 1**.

Therefore, $9 + 8 + 8 + 7 + 1 = 33$
 - b. Double and add the other digits. If the doubling results in more than 9, add the two digits in the result, i.e., $2 \times 9 = 18$, so $1 + 8 = 9$.

Therefore, $9 9 6 3 = (1 + 8) + (1 + 8) + (1 + 2) + 6 = 27$
 - c. Add the results of 1 and 2.

Therefore, $33 + 27 = 60$.
 - d. The results of this addition should be a multiple of 10. If it is not, the SIN and/or Business Number is invalid.
 2. The First Day Worked and the Last Day for Which Paid, boxes 10 and 11, is information in date format e.g. *ddmmyy*.
 - e. The Contractor should ignore century information in the year.
 - f. Validation rule for these fields: the value in box 11 should be greater than the value in box 10.
 3. The Reason for Issuing a ROE is a controlled list. Only the following characters are valid:

A, B, C, D, E, F, G, H, J, K, L, M, N, P, ZAPPENDIX H
SAMPLE VALIDATION REPORT



Processing date: 03-apr-2007

page 1 of 4

Batch: **B251**

Business Number (Box 5):

A11244577

SIN (Box 8):

A65498721

A12345678

A52241352

A95184621

A24357657

Dates worked (Box 10 & 11):

A85285285

A74174174

Reason code (Box 16):

A15926487

A32615948

A78495162

Batch: **L252**

Business Number (Box 5):

L11244577

L78495162

L12345678

L95184621

SIN (Box 8):

L65498721

L24357657

L52241352

Dates worked (Box 10 & 11):

L85285285

L74174174

Reason code (Box 16):

L15926487

L32615948

Documents which failed validation must be deemed “rejects”.

Rejects are to be pulled from their original batch and placed in four distinct bundles, one for each type of validation.

All four reject bundles should be returned to ESDC attached to this report.



APPENDIX I

Request for Payroll Information Form (INS5097) Request for Payroll Information Form (INS5097) (English text first) - Front of Form

Form header with Service Canada logo, QR Code, and fields for PROGRAMME, LIBRE, CODE DE L'UTILISATEUR, and SOCIAL INSURANCE NUMBER.

SECOND REQUEST / DEUXIEME DEMANDE

Service Canada is presently reviewing the claim for Employment Insurance (EI) benefits for one of your employees. As a result, we require work and employment related information on the employee named above.

Service Canada examine présentement la demande de prestations d'assurance-emploi pour l'un de vos employés. Par conséquent, nous avons besoin d'information concernant le travail et l'emploi de la personne mentionnée ci-dessus.

This information is requested under Subsection 126 (14) of the Employment Insurance Act, which authorizes the Department to collect required information in support of the EI program.

Cette information est demandée conformément au paragraphe 126(14) de la Loi sur l'assurance-emploi, autorisant le ministère à recueillir les renseignements dans le cadre du programme de l'assurance-emploi.

Please sign and return this form in the enclosed envelope by: 09 JAN 2015

Veillez signer et retourner ce formulaire en utilisant l'enveloppe ci-jointe d'ici le: 09 JANV 2015

Section 1) Earnings

Did this person work and/or have earnings for the week(s) shown below? YES NO

Section 1) Gains

Est-ce que cette personne a travaillé pour la(les) semaine(s) indiquée(s) ci-après ou a-t-elle reçu une rémunération pendant cette période? OUI NON

- Complete the payroll data for the week(s) requested below. It is essential that ALL GROSS EARNINGS be shown by calendar week (Sunday to Saturday) even though this may differ from your pay period.

- Fourir les données de paie requises ci-dessous. Il est essentiel d'indiquer TOUTE LA RÉMUNÉRATION BRUTE par semaine civile (dimanche au samedi) même si votre période de paie diffère de ce cycle.

- Answer the questions in section 2 and any additional questions in section 3.

- Répondre aux questions de la section 2 et aux questions supplémentaires figurant à la section 3.

Sign the reverse of this page.

Signer l'endos du formulaire.

For more information on how to complete this form visit: http://www.canada.ca/tales/emploi/ars5097-15.shtml

Pour plus d'information sur la façon de remplir ce formulaire, visitez : http://www.canada.ca/tales/emploi/ars5097-15.shtml

Table with 6 columns: Office use, For the week of (Sunday to Saturday), Gross earnings - Rémunération brute, Office use, For the week of (Sunday to Saturday), Gross earnings - Rémunération brute. Rows 1646-1697.

SEE MESSAGES ON REVERSE / VOIR LES MESSAGES AU VERSO



Request for Payroll Information Form (INS5097) (English text first) - Back of

SIN / NAS: Case No. / No. du CAS:

Section 2 Vacation pay

a) Was 4% vacation pay paid and included in the gross earnings for weeks listed on the reverse page? YES NO

b) Was a lump sum vacation pay paid but not included in the gross earnings of the weeks included on the reverse page? YES NO

Amount paid: Date of payment:

c) Was money paid as result of termination of employment? YES NO

Amount paid: Date of payment:

Section 2 Paié de vacances

a) Un montant de 4% pour paie de vacances a-t-il été versé pendant les semaines indiquées au verso et inclus dans la rémunération brute? OUI NON

b) Un montant forfaitaire pour paie de vacances a-t-il été versé pendant les semaines indiquées au verso mais non inclus dans la rémunération brute? OUI NON

Montant versé: Date du versement:

c) Est-ce que d'autres sommes ont été versées suite à la cessation d'emploi? OUI NON

Montant versé: Date du versement:

Section 3 Additional information

IF THIS PERSON'S EMPLOYMENT WITH YOU EITHER STARTED OR ENDED DURING THE PERIOD ABOVE, PLEASE PROVIDE THE FIRST AND LAST DAY WORKED ON THE REVERSE OF THIS FORM.

Section 3 Information supplémentaire

SI L'EMPLOI À VOTRE SERVICE DE CETTE PERSONNE A DÉBUTÉ OU S'EST TERMINÉ PENDANT LA PÉRIODE SUSMENTIONNÉE, VEUILLEZ INDICER LE PREMIER ET LE DERNIER JOUR DE TRAVAIL, AU VERSO DE CE FORMULAIRE.

IF THE FIRST AND/OR LAST DAY WORKED FALL IN THE FIRST AND/OR LAST WEEK REQUESTED, PLEASE PROVIDE EARNINGS IN THE SAME WEEKS. IF NOT, PROVIDE THE ACTUAL FIRST AND/OR LAST DAY WORKED.

SI LE PREMIER ET/OU DERNIER JOUR DE TRAVAIL TOMBE DANS LA PREMIÈRE ET/OU DERNIÈRE SEMAINE DEMANDÉE, VEUILLEZ FOURNIR DES GAINS DANS LES MÊMES SEMAINES. OU FOURNIR LE PREMIER ET/OU DERNIER JOUR DE TRAVAIL.

IF YOU HAVE COMPLETED AND RETURNED OUR ORIGINAL REQUEST FOR PAYROLL INFORMATION * (INS5097), PLEASE IGNORE THIS NOTICE.

SI VOUS AVEZ REMPLI ET RETOURNÉ NOTRE "DEMANDE DE RENSEIGNEMENTS - REGISTRE DE PAIE" (INS5097) ORIGINAL, VEUILLEZ IGNORER CET AVIS.

CERTIFICATION / ATTESTATION

I hereby certify that I am authorized to respond on behalf of the employer.

Je déclare par la présente être autorisé(e) à signer au nom de l'employeur.

I also understand that it is an offence under Paragraphs 135(1)(b) and 135(1)(c) of the Employment Insurance Act to provide false or misleading information and that in doing so I could be subject to an administrative penalty under Paragraphs 39(1)(a), 39(1)(b), or 39(1)(c), or criminal proceedings.

Je comprends également qu'il s'agit d'une infraction à l'article 135(1)(b) et 135(1)(c) de la Loi sur l'assurance-emploi que de fournir des renseignements faux ou trompeurs, et qu'en agissant ainsi, je pourrais être assujéti à une sanction administrative en vertu de l'article 39(1)(a), 39(1)(b), or 39(1)(c) ou à une procédure criminelle.

Table with columns: Date, Print name / Nom en lettres moulées, Signature, Area Code / Ind. régional, Tel. no. / N. de tél., Ext. / Poste, Position / Titre ou fonction

Information collected on this form is used for the application of the Employment Insurance program. Its collection is authorized under the Employment Insurance Act. Under the Privacy Act, individuals have the right to access their income benefit file which will include this form once completed.

Les renseignements recueillis sur le présent formulaire sont utilisés aux fins de l'application du Régime de l'assurance-emploi. Leur collecte est autorisée en vertu de la Loi sur l'assurance-emploi. En vertu de la Loi sur la protection des renseignements personnels, chaque personne a le droit de consulter son dossier de prestations, incluant le présent formulaire, une fois rempli.

The Commission undertakes to respect the confidentiality of the information obtained on this form and to use this information solely for the purpose for which it is obtained. For more information refer to the Index of Personal Information Banks available at all Service Canada Centres quoting registration number HRSDC PPU 005 or HRSDC PPU 150.

La Commission s'engage à respecter le caractère confidentiel des renseignements obtenus sur le présent formulaire et à utiliser ces renseignements uniquement aux fins pour lesquelles ils ont été obtenus. Pour plus d'information, veuillez consulter le Répertoire des fichiers de renseignements personnels RHDC PPU005 ou RHDC PPU 150 disponible dans tous les Centres Service Canada.

Did you know? Submitting electronic Records of Employment (ROEs) improves the quality and accuracy of your ROEs, which means fewer phone calls and requests for payroll information from Service Canada. Register for ROE Web now at servicecanada.gc.ca/roewebpayrol.

Le saviez-vous? La transmission des relevés d'emploi par voie électronique augmente leur qualité et leur exactitude, ce qui signifie moins d'appels de suivi de Service Canada et moins de demandes de renseignements sur le registre de paie. Inscrivez-vous à RE Web dès maintenant au servicecanada.gc.ca/roewebpaie.





Request for Payroll Information Form (INS5097) (French text first) Back of Form

NAS / SIN:	No. du CAS / Case No.:
------------	------------------------

Section 2) Paié de vacances

a) Un montant de 4% pour paie de vacances a-t-il été versé pendant les semaines indiquées au verso et inclus dans la rémunération brute? OUI NON

b) Un montant forfaitaire pour paie de vacances a-t-il été versé pendant les semaines indiquées au verso mais non inclus dans la rémunération brute? OUI NON

Montant versé : _____
Date du versement : _____

c) Est-ce que d'autres sommes ont été versées suite à la cessation d'emploi? OUI NON

Montant versé : _____
Date du versement : _____

Section 2) Vacation pay

a) Was 4% vacation pay paid and included in the gross earnings for weeks listed on the reverse page? YES NO

b) Was a lump sum vacation pay paid but not included in the gross earnings of the weeks included on the reverse page? YES NO

Amount paid: _____
Date of payment: _____

c) Was money paid as result of termination of employment? YES NO

Amount paid: _____
Date of payment: _____

Section 3) Information supplémentaire

SI LE PREMIER ET/OU DERNIER JOUR DE TRAVAIL, TOME DANS LA PREMIERE ET/OU DERNIERE SEMAINE DEMANDÉE, VEUILLEZ FOURNIR DES GAINS DANS LES MÊMES SEMAINES, OU FOURNIR LE PREMIER ET/OU DERNIER JOUR DE TRAVAIL.

SI VOUS AVEZ REMPLI ET RETOURNÉ NOTRE "DEMANDE DE RENSEIGNEMENTS - REGISTRE DE PAIE" (INS5097) ORIGINAL, VEUILLEZ IGNORER CET AVIS.

Section 3) Additional information

IF THE FIRST AND/OR LAST DAY WORKED FALL IN THE FIRST AND/OR LAST WEEK REQUESTED, PLEASE PROVIDE EARNINGS IN THE SAME WEEKS. IF NOT, PROVIDE THE ACTUAL FIRST AND/OR LAST DAY WORKED.

IF YOU HAVE COMPLETED AND RETURNED OUR ORIGINAL "REQUEST FOR PAYROLL INFORMATION" (INS5097), PLEASE IGNORE THIS NOTICE.

ATTESTATION / CERTIFICATION

Je déclare par la présente être autorisé(e) à signer au nom de l'employeur.

I hereby certify that I am authorized to respond on behalf of the employer.

Je comprends également qu'il s'agit d'une infraction à l'article 135(1)(b) et 135(1)(c) de la Loi sur l'assurance-emploi que de fournir des renseignements faux ou trompeurs, et qu'en agissant ainsi, je pourrais être assujéti à une sanction administrative en vertu de l'article 30(1)(a), 30(1)(b), ou 30(1)(c) ou à une procédure criminelle.

I also understand that it is an offence under Paragraphs 135(1)(b) and 135(1)(c) of the Employment Insurance Act to provide false or misleading information and that in doing so I could be subject to an administrative penalty under Paragraphs 30(1)(a), 30(1)(b), or 30(1)(c), or criminal proceedings.

Date	Nom en lettres moulées / Print name	Signature
Ind. régional / Area Code	N. de tél. / Tel. no.	Titre ou fonction / Position
()	-	

Les renseignements recueillis sur le présent formulaire sont utilisés aux fins de l'application du Régime de l'assurance-emploi. Leur collecte est autorisée en vertu de la Loi sur l'assurance-emploi. En vertu de la Loi sur la protection des renseignements personnels, chaque personne a le droit de consulter son dossier de prestations, incluant le présent formulaire, une fois rempli.

Information collected on this form is used for the application of the Employment Insurance program. Its collection is authorized under the Employment Insurance Act. Under the Privacy Act, individuals have the right to access their income benefit file which will include this form once completed.

La Commission s'engage à respecter le caractère confidentiel des renseignements obtenus sur le présent formulaire et à utiliser ces renseignements uniquement aux fins pour lesquelles ils ont été obtenus. Pour plus d'information, veuillez consulter le Répertoire des fichiers de renseignements personnels (RDCC PPU05 ou RDCC PPU 150) disponible dans tous les Centres Service Canada.

The Commission undertakes to respect the confidentiality of the information obtained on this form and to use this information solely for the purpose for which it is obtained. For more information refer to the Index of Personal Information Banks available at all Service Canada Centres quoting registration number HRSDC PPU 005 or HRSDC PPU 150.

Le saviez-vous? La transmission des relevés d'emploi par voie électronique augmente leur qualité et leur exactitude, ce qui signifie moins d'appels de suivi de Service Canada et moins de demandes de renseignements sur le registre de paie. Inscrivez-vous à RE Web dès maintenant au servicecanada.gc.ca/web/payroll.

Did you know? Submitting electronic Records of Employment (ROEs) improves the quality and accuracy of your ROEs, which means fewer phone calls and requests for payroll information from Service Canada. Register for ROE Web now at servicecanada.gc.ca/web/payroll.



Request for Payroll Information Form (INS5097)

1. One (1) form may have from one (1) to five (5) pages
2. The number of pages involved is written in the last cell of row 3 at the top of the page; in the “PAGE” box (1/1, 1/2)
3. The employer may or may not return all pages of the document. Some may be forgotten in error.
4. All pages that are considered as part of the same form are to be data entered together (page 1 front then back, page 2 front and back, etc...).
5. Fields indicated below are those that need be data captured.
6. If an attachment is included with the form, the Contractor must return the attachment stapled to the form to prevent loss of data. Less than three percent (3%) of the forms may contain an attachment.

Header Record

Header Record

FIELD	COLUMNS	DESCRIPTION (Block on Form)	OPERATION AND REMARKS
1	1-4	Will contain the form number for ease of identification 5097	The Request for Payroll Information form is known to our database as form INS 5097 Only the four numeric characters will be input to identify the form data captured.
2	5-12	Date of capture	Numeric value (yyyymmdd)
3	13-15	File Number	Unique File ID Number
4	16-20	Record Count	Total Number of records including header record.
5	21-30	First Case	First Case Number
6	31-40	Last Case	Last Case Number

RECORD 1

Front of Form			
FIELD	COLUMNS	DESCRIPTION (Block on Form)	OPERATION AND REMARKS
1	1-4	Will contain the form	The Request for Payroll



		number for ease of identification 5097	Information form is known to our database as form INS 5097 Only the four numeric characters will be input to identify the form data captured.
2	5-14 This number will be stored without the space i.e. 91977961A0	Case No. / No du cas	Located in the last cell of the first row; in the 'Case No. / No du cas' box. First sequence is from 6 to 8 digits numeric followed by a space, then an alpha character (A,B,C,D,E,H,M,R,S or T), then a numeric character. i.e. 91977961 A0
3	15-29	Business No / No d'entreprise	Located in the last cell of the second row; in the "Business No / No d'entreprise box." . First 9 characters numeric, second 2 characters always alpha (RP), last 4 characters numeric. If last 4 characters not indicated or complete, leave that part of block empty OR Can also be a combination of numeric characters followed by alpha characters totalling 9 to 15 digits
4	30-30	Record Type	Record Type is equal to "1" for the first record.
5	31-39	Social Insurance Number	Will be 9 numeric characters OR A combination of 4 alpha characters followed by 5 numeric characters
6	40-54	Filler	



7	55-60	Date	Represents the date the form was mailed. Consists of 6 numeric characters.
8	61-64	BPC/DPP	Must be numeric
9	65-65	Filler	
10	66-66	Section 1) Row of four (4) check boxes in middle of form.	<p>This is a bilingual form where one language (either English or French) is on the left side of the form and the other language on the right side of the form.</p> <p>Therefore on this row, from left to right of the page: box 1 and 3 = YES box 2 and 4 = NO</p> <p>A one (1) digit alpha character will indicate whether the client has selected the YES box, the NO box, or, left them all blank.</p> <p>Yes = Y No = N Blank = B</p> <p>Although there may be multiple pages to the form, as soon as the YES or NO boxes have been selected by the client on one of the pages, a 'Y or N' will be indicated for this field even though the field may be blank on other pages of the form.</p> <p>For example if the fields are blank on page 1 but have been completed on page 2, then page 2 counter would be kept instead of the field on page1.</p> <p>If a Y has been selected on one page but an N has been selected on a different page, then the 'Y' will</p>



			always take precedence.
11	67-67	Filler	
12	68-68	Filler	
13	69-69	Filler	

Back of Form (continuation or Record 1)			
FIELD	COLUMNS	DESCRIPTION (Block on Form)	OPERATION AND REMARKS
14	70-70	Section 2a)	<p>This is a bilingual form where one language (either English or French) is on the left side of the form and the other language on the right side of the form.</p> <p>Therefore on this row, from left to right of the page: box 1 and 3 = YES box 2 and 4 = NO</p> <p>A one (1) digit alpha character will indicate whether the client has selected the YES box, the NO box, or, left them all blank.</p> <p>Yes = Y No = N Blank = B</p> <p>Although there may be multiple pages to the form, as soon as the YES or NO boxes have been selected by the client on one of the pages, a 'Y or N' will be indicated for this field even though the field may be blank on other pages of the form.</p> <p>For example if the fields are blank on page 1 but have been completed on page 2, then page 2 counter would be kept instead of the field on page1.</p> <p>If a Y has been selected on one</p>



			page but an N has been selected on a different page, then the 'Y' will always take precedence.
15	71-72	Filler	
16	73-73	Section 2b)	<p>This is a bilingual form where one language (either English or French) is on the left side of the form and the other language on the right side of the form.</p> <p>Therefore on this row, from left to right of the page: box 1 and 3 = YES box 2 and 4 = NO</p> <p>A one (1) digit alpha character will indicate whether the client has selected the YES box, the NO box, or, left them all blank.</p> <p>Yes = Y No = N Blank = B</p> <p>Although there may be multiple pages to the form, as soon as the YES or NO boxes have been selected by the client on one of the pages, a 'Y or N' will be indicated for this field even though the field may be blank on other pages of the form.</p> <p>For example if the fields are blank on page 1 but have been completed on page 2, then page 2 counter would be kept instead of the field on page1.</p> <p>If a Y has been selected on one page but an N has been selected on a different page, then the 'Y' will always take precedence.</p>
17	74-75	Filler	



18	76-76	Row beginning with text:: “Amount paid” OR “Montant versé”	<p>This is a bilingual form where one language (either English or French) is on the left side of the form and the other language on the right side of the form.</p> <p>On this row, from left to right of the page there are 2 areas where the employer can write in an amount.</p> <p>A one (1) digit alpha character will indicate whether the employer has written or typed text in one of the 2 designated areas.</p> <ul style="list-style-type: none">- Text in one of the 2 spaces = T- Both areas blank = B <p>Although there may be multiple pages to the form, as soon as the text is included on one of the pages, a ‘T’ will be displayed for this field.</p> <p>For example if the fields are blank on page 1 but have been completed on page 2, then page 2 counter would be kept instead of the counter on page1.</p> <p>A ‘T’ will always take precedence over a ‘B’.</p>
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19	77-77	Row beginning with text: “Date of payment” OR “Date du versement”	<p>This is a bilingual form where one language (either English or French) is on the left side of the form and the other language on the right side of the form.</p> <p>On this row, from left to right of the page there are 2 areas where the employer can write in a a date.</p> <p>A one (1) digit alpha character will indicate whether the employer has written or typed text in one of the 2 designated areas.</p> <ul style="list-style-type: none">- Text in one of the 2 spaces = T- Both areas blank = B <p>Although there may be multiple pages to the form, as soon as the text is included on one of the pages, a ‘T’ will be displayed for this field.</p> <p>For example if the fields are blank on page 1 but have been completed on page 2, then page 2 counter would be kept instead of the counter on page1.</p> <p>A ‘T’ will always take precedence over a ‘B’.</p>
20	78-78	Section 2c)	<p>This is a bilingual form where one language (either English or French) is on the left side of the form and the other language on the right side of the form.</p> <p>Therefore on this row, from left to right of the page: box 1 and 3 = YES box 2 and 4 = NO</p> <p>A one (1) digit alpha character will indicate whether the client has selected the YES box, the NO box, or, left them all blank.</p>



			<p>Yes = Y No = N Blank = B</p> <p>Although there may be multiple pages to the form, as soon as the YES or NO boxes have been selected by the client on one of the pages, a 'Y or N' will be indicated for this field even though the field may be blank on other pages of the form.</p> <p>For example if the fields are blank on page 1 but have been completed on page 2, then page 2 counter would be kept instead of the field on page1.</p> <p>If a Y has been selected on one page but an N has been selected on a different page, then the 'Y' will always take precedence.</p>
21	79-81	Filler	
22	82-82	<p>Row beginning with text::</p> <p>“Amount paid” OR “Montant versé”</p>	<p>This is a bilingual form where one language (either English or French) is on the left side of the form and the other language on the right side of the form.</p> <p>On this row, from left to right of the page there are 2 areas where the employer can write in an amount.</p> <p>A one (1) digit alpha character will indicate whether the employer has written or typed text in one of the 2 designated areas.</p> <p>- Text in one of the 2 spaces = T - Both areas blank = B</p> <p>Although there may be multiple pages to the form, as soon as the text is included on one of the pages, a 'T' will be displayed for this field.</p>



			<p>For example if the fields are blank on page 1 but have been completed on page 2, then page 2 counter would be kept instead of the counter on page1.</p> <p>A 'T' will always take precedence over a 'B'.</p>
23	83-84	Filler	
24	85-85	<p>Row beginning with text::</p> <p>“Date of payment” OR “Date du versement”</p>	<p>This is a bilingual form where one language (either English or French) is on the left side of the form and the other language on the right side of the form.</p> <p>On this row, from left to right of the page there are 2 areas where the employer can write in a date.</p> <p>A one (1) digit alpha character will indicate whether the employer has written or typed text in one of the 2 designated areas.</p> <ul style="list-style-type: none"> - Text in one of the 2 spaces = T - Both areas blank = B <p>Although there may be multiple pages to the form, as soon as the text is included on one of the pages, a 'T' will be displayed for this field.</p> <p>For example if the fields are blank on page 1 but have been completed on page 2, then page 2 counter would be kept instead of the counter on page1.</p> <p>A 'T' will always take precedence over a 'B'.</p>
25	86-87	Filler	
26	88-88	Filler	
27	89-90	Filler	



28	91-91	Free text lines underneath : “ADDITIONAL INFORMATION” OR “INFORMATION ADDITIONNELLE”	<p>There are 9 rows in which the employer can write an explanation.</p> <p>A one (1) digit alpha character will indicate whether the employer has written or typed text in one of the 9 designated rows.</p> <ul style="list-style-type: none">- Text in one of the 9 rows = T- Both columns blank = B <p>Although there may be multiple pages to the form, as soon as the text is included in this area on one of the pages, a ‘T’ will be displayed for this field.</p> <p>For example if the field is blank on page 1 but has been completed on page 2, then page 2 counter would be kept instead of the counter on page 1.</p> <p>A ‘T’ will always take precedence over a ‘B’.</p>
29	92-93	Filler	
30	94-94	Signature	<p>The employer is required to sign the form.</p> <p>The Contractor must only need to determine whether or not the client has written text in this block.</p> <p>A one (1) digit alpha character will indicate if the area has text or is blank.</p> <p style="text-align: center;">Text = T Blank = B</p> <p>Although there may be multiple pages to the form, as soon as this field has been completed with text on one of the pages a ‘T’ will be</p>



			<p>indicated for this field even though the field may be blank on other pages of the form.</p> <p>For example if the field is blank on page 1 but has been completed on page 2, then page 2 counter would be kept instead of the field on page1 and a 'T' will be displayed on the data file.</p>
31	95-96	Filler	
32	97-97	Flag	<p>1 - If there is an attachment to the form</p> <p>0 – If there are no attachment</p>
33	98-131	Filler	
34	132-132	Other	Y = if there is text on the form anywhere other than appointed fields, or if there is any other questionable information on the form.

RECORD 2 and Subsequent Records

Front of Form			
FIELD	COLUMNS	DESCRIPTION (Block on Form)	OPERATION AND REMARKS
1	1-4	<p>Will contain the form number for ease of identification</p> <p>5097</p>	<p>The Request for Payroll Information form is known to our database as form INS 5097</p> <p>Only the four numeric characters will be input to identify the form data captured.</p>
2	<p>5-14</p> <p>This number will be stored without the space</p> <p>i.e. 91977961A0</p>	Case No. / No du cas	<p>Located on the third line of the 'Case No. / No du cas' box.</p> <p>First sequence is from 6 to 8 digits numeric followed by a space, then an alpha character (A,B,C,D,E,H,M,R,S or T), then a numeric character.</p> <p>i.e. 91977961 A0</p>



3	15-29	Business Number (In 'Case No. / No du cas' box)	Located on the second line of the 'Case No. / No du cas' box. First 9 characters numeric, second 2 characters always alpha (RP), last 4 characters numeric. If last 4 characters not indicated or complete, leave that part of block empty OR Can also be a combination of 6 numeric characters followed by 3 alpha characters
4	30-30	Record Type	This record will start its count at 2 as it is the second record for the INS 5097 form. This number will increment by one (1) with each subsequent record for the form. When a new INS5097 is data captured, the record count will be cleared and re-initiated with each new form.
<p>A table is included in the bottom half of the form. It contains three (3) sets of three (3) columns which are to be read from left to right.</p> <p>Office Use = code used by the Department to identify the week for which info is needed For the Week Commencing ... = date corresponding to the code in the previous column Gross Earnings = field to be completed by the employer</p> <p>This area may be blank, may contain a single week, may contain a number of weeks, or, may contain up to five (5) pages of weeks for which the Department needs information.</p>			
5	31-32	Filler	
6	33-36	OFFICE USE OR A L'USAGE DU BUREAU	A four (4) character numeric value When a previous week displayed is not subsequent there will be asterisks in the "Week commencing" field. If this is the case then the OFFICE USE field for that week would be blank. Simply skip to the next field containing a



			number or amount.
7	37-45	GROSS EARNINGS OR RÉMUNÉRATION BRUTE	<p>Nine (9) characters in total but may be less. If less, put leading zeros on the data file. If no period and cents are displayed, then put (.00) on the data file.</p> <p>If there are earnings, the employer may display earnings in the following fashions.</p> <p>1234.80 1,234.08 (take comma out on data file) 1234 (add .00 on data file)</p> <p>If there are no earnings for a given week the employer may put the following in this field.</p> <p>Left blank Zero (0) Zero with a slash across (Ø) NA N/A Bar across (—) Diagonal bar (\), (/)</p> <p>If a zero is included in this field, then 000000.00 will be included on the data file, if any other alpha character or line, then leave field blank.</p> <p>When a previous week displayed is not subsequent there will be asterisks in the “Week commencing” field. If this is the case then the OFFICE USE field for that week would be blank. Simply skip to the next field containing a number or amount.</p>
8	46-47	Filler	
9	48-51	OFFICE USE OR A L’USAGE DU BUREAU	See explanation for field 6



		(second on same row)	
10	52-60	GROSS EARNINGS OR RÉMUNÉRATION BRUTE (second on same row)	See explanation for field 7
11	61-62	Filler	
12	63-66	OFFICE USE OR A L'USAGE DU BUREAU (second on same row)	See explanation for field 6
13	67-75	GROSS EARNINGS OR RÉMUNÉRATION BRUTE (second on same row)	See explanation for field 7
14	76-77	Filler	
15	78-81	OFFICE USE OR A L'USAGE DU BUREAU (first on next row)	See explanation for field 6
16	82-90	GROSS EARNINGS OR RÉMUNÉRATION BRUTE (first on next row)	See explanation for field 7
Continue to display all weeks in ascending Office Use Code order until all weeks have been included on subsequent records.			
17	91-92	Filler	
18	93-96	OFFICE USE	See explanation for field 6
19	97-105	GROSS EARNINGS	See explanation for field 7
20	106-107	Filler	
21	108-111	OFFICE USE	See explanation for field 6
22	112-120	GROSS EARNINGS	See explanation for field 7
23	121-132	Filler	



ANNEX B
EVALUATION CRITERIA

MANDATORY REQUIREMENTS

It is understood by the parties submitting offers that to be considered valid, an offer **MUST** meet all of the following mandatory requirements. Proposals must be supported by proper and adequate detail, particularly where supporting evidence is required by a mandatory item. Those not meeting all of these mandatory requirements at bid closing time will be given no further consideration.

ATTENTION BIDDERS: WRITE THE RELEVANT PAGE NUMBER(S) FROM YOUR PROPOSAL BESIDES THE CRITERIA WHICH ADDRESSES THE ISSUE.

	Description	PAGE #	Compliant/Non-Compliant
M 1	The bidder must demonstrate that it has the logistical capability (appropriate size facility, location, connectivity capability, lockable storage space) for marking, storage, transportation, communication and disposal of data for the number of documents that apply to this requirement.		
M 2	<p>The bidder must demonstrate a minimum of one year’s experience in the delivery of data capture of similar size, scope and complexity to that outlined in Annex A during the past three years.</p> <p>The bidder should include the following information:</p> <ul style="list-style-type: none"> • Name of Client • Dates of contract • Nature and scope of contract (type of data, form types, average monthly/yearly volumes) 		



POINT RATED REQUIREMENTS

In addition to meeting all of the mandatory requirements, the technical proposal at bid closing time will be evaluated on the basis of the following. The proposal must obtain 70% of the maximum total score and must obtain at least 60% of the maximum score in EACH POINT RATED CRITERIA (1, 2, and 3) in order to be deemed responsive.

ATTENTION BIDDERS: WRITE THE RELEVANT PAGE NUMBER(S) FROM YOUR PROPOSAL BESIDES THE CRITERIA BELOW WHICH ADDRESSES THE ISSUE.

	Rated Requirements	Proposal Reference to Criteria (para no./Page No)	Total Points	Minimum Points Required
1	<p>Back-up measures for personnel or equipment: describe back-up measures to be used for personnel and equipment to ensure continuity of operations.</p> <ul style="list-style-type: none"> ➤ <u>Not addressed or poorly addressed (0 points – 0%)</u>: no back-up measures or poor back-up measures for personnel and/or equipment provided in the proposal. ➤ <u>Responsive (21points - 60%)</u>: good measures are in place for the back-up for personnel and/or equipment. <p><u>Excellent (35 points -100%)</u>: very good/ excellent back-up measures are in place to ensure a timely replacement of personnel and equipment.</p>		35	21
2.	<p>Demonstrate experience of the bidder’s work force assigned to the project.</p> <p>Indicate percentage of personnel assigned to the project that have 1 years’ experience in data entry (résumé or other supporting documents required).</p> <ul style="list-style-type: none"> ➤ <u>Not addressed or poorly addressed (0 points – 0%)</u>: No information or insufficient information on the proposed personnel assigned to the project to demonstrate that at least 60% of the proposed personnel assigned to the project have 1 years’ experience in data entry. ➤ <u>Responsive (21points - 60%)</u>: Proposal demonstrates that at least 60% of the proposed personnel assigned to the project have 1 years’ 		35	21



	<p>experience in data entry.</p> <p>➤ <u>Excellent</u> (35 points -100%): Proposal demonstrates that 80% or more of the proposed personnel assigned to the project have 1 years' experience in data entry.</p>			
3.	<p>Proposed methodology for performing quality data entry. Demonstrate:</p> <ul style="list-style-type: none"> • Effective strategies for meeting customer turn-around time • Effective strategies for keeping a low error rate. <p>➤ <u>Not addressed or poorly addressed</u> (0 points – 0%): no information on the proposed methodology is provided in the proposal or the proposed methodology is significantly lacking</p> <p>➤ <u>Responsive</u> (18 points - 60%): good methodology for performing quality data entry was demonstrated in the proposal</p> <p>➤ <u>Excellent</u> (30 points -100%): excellent methodology for performing quality data entry was demonstrated in the proposal</p>		30	18
Total Score			100	60



Annex "c" Security Requirements Checklist

Government of Canada / Gouvernement du Canada

Contract Number / Numéro du contrat
Security Classification / Classification de sécurité

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

Form with sections: 1. Originating Government Department or Organization (ESDC), 2. Branch or Directorate (Integrity Services Branch), 3. a) Subcontract Number, 3. b) Name and Address of Subcontractor, 4. Brief Description of Work (Data capture services), 5. a) Will the supplier require access to Controlled Goods?, 5. b) Will the supplier require access to unclassified military technical data..., 6. a) Will the supplier and its employees require access to PROTECTED and/or CLASSIFIED information..., 6. b) Will the supplier and its employees require access to restricted access areas..., 6. c) Is this a commercial courier or delivery requirement..., 7. a) Indicate the type of information that the supplier will be required to access..., 7. b) Release restrictions / Restrictions relatives à la diffusion, 7. c) Level of Information / Niveau d'information

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Security Classification / Classification de sécurité





Annex "c" Security Requirements Checklist

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PART A PERSONNEL / PARTIE A PERSONNEL

8. Will the supplier require access to PROTECTED and/or CLASSIFIED COMSEC information or assets?
Le fournisseur aura-t-il accès à des renseignements ou à des biens COMSEC désignés PROTÉGÉS et/ou CLASSIFIÉS?
If Yes, indicate the level of sensitivity:
Dans l'affirmative, indiquer le niveau de sensibilité:

9. Will the supplier require access to extremely sensitive INFOSEC information or assets?
Le fournisseur aura-t-il accès à des renseignements ou à des biens INFOSEC de nature extrêmement délicate?
Short Title(s) of material / Titre(s) abrégé(s) du matériel:

Document Number / Numéro de document:

PART B PERSONNEL (SUPPORT) / PARTIE B PERSONNEL (SUPPORT)

10. a) Personnel security screening level required / Niveau de contrôle de la sécurité du personnel requis
RELIABILITY STATUS / COTE DE FIABILITÉ
CONFIDENTIAL / CONFIDENTIEL
SECRET / SECRET
TOP SECRET / TRÈS SECRET
TOP SECRET - SIGINT / TRÈS SECRET - SIGINT
NATO CONFIDENTIAL / NATO CONFIDENTIEL
NATO SECRET / NATO SECRET
COSMIC TOP SECRET / COSMIC TRÈS SECRET
SITE ACCESS / ACCÈS AUX EMPLACEMENTS
Special comments / Commentaires spéciaux
NOTE: If multiple levels of screening are identified, a Security Classification Guide must be provided.
REMARQUE: Si plusieurs niveaux de contrôle de sécurité sont requis, un guide de classification de la sécurité doit être fourni.

10. b) May unscreened personnel be used for portions of the work?
Du personnel sans autorisation sécuritaire peut-il se voir confier des parties du travail?
If Yes, will unscreened personnel be escorted?
Dans l'affirmative, le personnel en question sera-t-il escorté?

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

INFORMATION / ASSETS / RENSEIGNEMENTS / BIENS

11. a) Will the supplier be required to receive and store PROTECTED and/or CLASSIFIED information or assets on its site or premises?
Le fournisseur sera-t-il tenu de recevoir et d'entreposer sur place des renseignements ou des biens PROTÉGÉS et/ou CLASSIFIÉS?

11. b) Will the supplier be required to safeguard COMSEC information or assets?
Le fournisseur sera-t-il tenu de protéger des renseignements ou des biens COMSEC?

PRODUCTION

11. c) Will the production (manufacture, and/or repair and/or modification) of PROTECTED and/or CLASSIFIED material or equipment occur at the supplier's site or premises?
Les installations du fournisseur serviront-elles à la production (fabrication et/ou réparation et/ou modification) de matériel PROTÉGÉ et/ou CLASSIFIÉ?

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

11. d) Will the supplier be required to use its IT systems to electronically process, produce or store PROTECTED and/or CLASSIFIED information or data?
Le fournisseur sera-t-il tenu d'utiliser ses propres systèmes informatiques pour traiter, produire ou stocker électroniquement des renseignements ou des données PROTÉGÉS et/ou CLASSIFIÉS?

11. e) Will there be an electronic link between the supplier's IT systems and the government department or agency?
Disposera-t-on d'un lien électronique entre le système informatique du fournisseur et celui du ministère ou de l'agence gouvernementale?

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Security Classification / Classification de sécurité





Annex "C" Security Requirements Checklist

Government of Canada / Gouvernement du Canada

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PART C (continued) / PARTIE C (suite)

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

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

SUMMARY CHART / TABLEAU RÉCAPITULATIF

Category / Catégorie	PROTECTED / PROTÉGÉ			CLASSIFIED / CLASSIFIÉ			NATO				CONSEC						
	A	B	C	CONFIDENTIAL / CONFIDENTIEL	SECRET	TOP SECRET / TRÈS SECRET	NATO RESTRICTED	NATO CONFIDENTIAL	NATO SECRET	COMSEC TOP SECRET / COMSEC TRÈS SECRET	PROTECTED / PROTÉGÉ			CONFIDENTIAL / CONFIDENTIEL	SECRET	TOP SECRET / TRÈS SECRET	
							NATO DIFFUSION RESTRICTED	NATO CO-FOODS	CONFIDENTIAL / CONFIDENTIEL		A	B	C				
Information / Assets / Informations / Biens		✓															
Production																	
IT Media / Support TI		✓															
IT Link / Lien électronique		✓															

12. a) Is the description of the work contained within this SRCL PROTECTED and/or CLASSIFIED?
 La description du travail visé par la présente LVERS est-elle de nature PROTÉGÉE et/ou CLASSIFIÉE? No / Non Yes / Oui

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

12. b) Will the documentation attached to this SRCL be PROTECTED and/or CLASSIFIED?
 La documentation associée à la présente LVERS sera-t-elle PROTÉGÉE et/ou CLASSIFIÉE? No / Non Yes / Oui

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

Security Classification / Classification de sécurité
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Annex "C"
Security Requirements Checklist



Government of Canada
Gouvernement du Canada

Contract Number / Numéro du contrat
Security Classification / Classification de sécurité

PARTIE A - DÉSIGNATION, PARTIE B - AUTHORITY			
13. Organization Project Authority / Chargé de projet de l'organisme Name (print) - Nom (en lettres moulées)		Title - Titre	Signature
Julie Pelletier		Directrice	<i>[Signature]</i>
Telephone No. - No de téléphone (819) 654-4729	Facsimile No. - No de télécopieur () -	E-mail address - Adresse courriel julie.j.pelletier@	Date 13 June 2014
14 Organization Security Authority / Responsable de la sécurité de l'organisme Name (print) - Nom (en lettres moulées)		Title - Titre	Signature
MARC POWERS DAVID PORZO		Director - IT Security RSO	<i>[Signature]</i> F.P.P.
Telephone No. - No de téléphone () -	Facsimile No. - NO de télécopieur () -	E-mail address - Adresse courriel	Date August 17th, 2014
15 Are there additional instructions (e.g. Security Guide, Security Classification Guide) attached? Des instructions supplémentaires (p. ex. Guide de sécurité, Guide de classification de la sécurité) sont-elles jointes?			<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes Oui
16. Procurement Officer / Agent d'approvisionnement Name (print) - Nom (en lettres moulées)		Title - Titre	Signature
Cynthia Carty		Contract Specialist	<i>[Signature]</i>
Telephone No. - No de téléphone (819) 654-5925	Facsimile No. - No de télécopieur (819) 953-6859	E-mail address - Adresse courriel cynthia.carty@hrsdc	Date 9 Dec 2016.
17. Contracting Security Authority / Autorité contractante en matière de sécurité Name (print) - Nom (en lettres moulées)		Title - Titre	Signature
() -		() -	
Telephone No. - No de téléphone () -	Facsimile No. - NO de télécopieur () -	E-mail address - Adresse courriel	Date

Security Classification / Classification de sécurité
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