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**SOLICITATION AMENDMENT
MODIFICATION DE L'INVITATION**

The referenced document is hereby revised; unless otherwise indicated, all other terms and conditions of the Solicitation remain the same.

Ce document est par la présente révisé; sauf indication contraire, les modalités de l'invitation demeurent les mêmes.

Comments - Commentaires

Vendor/Firm Name and Address

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

Issuing Office - Bureau de distribution

Services Procurement-Instruments Management
Division/Approvisionnement de services-Gestion des
instruments

Terrasses de la Chaudière 5th Floor

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Title - Sujet COMPLIANCE AUDIT - CGSB-72-34-2017	
Solicitation No. - N° de l'invitation EN929-192145/A	Amendment No. - N° modif. 001
Client Reference No. - N° de référence du client 20192145	Date 2019-02-26
GETS Reference No. - N° de référence de SEAG PW-\$\$ZQ-021-34637	
File No. - N° de dossier 021zq.EN929-192145	CCC No./N° CCC - FMS No./N° VME
Solicitation Closes - L'invitation prend fin at - à 02:00 PM on - le 2019-03-08	Time Zone Fuseau horaire Eastern Standard Time EST
F.O.B. - F.A.B. Plant-Usine: <input type="checkbox"/> Destination: <input checked="" type="checkbox"/> Other-Autre: <input type="checkbox"/>	
Address Enquiries to: - Adresser toutes questions à: Kamanayo, Gatsimbanyi	Buyer Id - Id de l'acheteur 021zq
Telephone No. - N° de téléphone (613) 293-6845 ()	FAX No. - N° de FAX () -
Destination - of Goods, Services, and Construction: Destination - des biens, services et construction:	

Instructions: See Herein

Instructions: Voir aux présentes

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

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EN92-192145/A		021zq
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EN92-192145	021zq EN92-192145	

This amendment is issued to make the following changes:

DELETE:

Annex A – Statement of Work in its entirety.

INSERT:

the following Annex A as modified:

ANNEX A, STATEMENT OF WORK

1.0 TITLE

COMPLIANCE AUDIT WITH CGSB-72-34-2017

2.0 OBJECTIVE

The Document Imaging Solutions Centre (DISC) of Public Services and Procurement Canada (PSPC) requires compliance audits on behalf of itself and its clients for the document imaging processes (business document preparation, workflow, storage, and destruction), IT procedures, controls, client applications and infrastructure associated with the retention of government electronic records, against the following Canadian General Standards Board (CGSB) Standard: CAN/CGSB-72-34-2017 and its successors or equivalents.

3.0 BACKGROUND

The PSPC Document Imaging Solutions Centre (DISC) was established in Matane, QC in 2001 with a mandate to provide cheque scanning and processing services for the Receiver General of Canada (RG). Since that initial mandate, the services provided by Matane have expanded beyond cheque processing. Today, DISC provides a range of "image enabled" services to government client organizations. DISC recently opened an office in Winnipeg, MB to provide similar services and launched the Enterprise Solution in 2015 to accommodate increased demand for services through a managed service model using the private sector to provide imaging services whereby PSPC will negotiate and manage contracts for digitization services and digitization-related services with the private sector, ensuring that appropriate quality levels, privacy, security and information management requirements are met.

DISC utilizes imaging technologies to perform data capture and pre-processing functions (scanning, data field extraction, cleansing, validation) associated with the transformation of largely paper-based materials such as forms into an electronic records as required by a client line-of-business system.

PSPC DISC provides customized services for government departments, agencies and other public sector organizations requiring document storage and shredding, imaging, electronic archiving and file management services as an optional common service provider. PSPC DISC has an electronic imaging service that can be shared with government departments and agencies under negotiated agreements. The service available for imaging gives users access from their workstations to an intranet address where they can view images of their documents from behind the secure federal government firewall for example.

To provide these services, PSPC DISC has established two facilities containing high performance equipment and employees with more than 15 years of experience in large volume document processing and archiving and launched the Enterprise Solution.

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Approximately 40 million documents are currently processed in a year. PSPC DISC has been recognized for service quality and adheres to the ISO 9001 (2015) standards and accommodates the national business hours from 7:00 am to 7:00 pm (EST). Library and Archives Canada (LAC) retains government records of enduring value.

To meet this increased demand in a timely and effective manner, PSPC is broadening its document imaging services to provide end to end managed services as a Common Service provider to government departments and agencies. The managed services provided by PSPC to departments and agencies will include consultation and expertise related to:

- Identification of image and index requirements, including the intended use within the client business processes and information management systems;
- CGSB compliance for evidentiary requirements;
- Identification of imaging and indexing options and related costs;
- Document preparation requirements, processes and alternatives;
- Image return, storage and use;
- Quality assurance of images and index data;
- Document destruction; and
- Contract management including issuance and control of TAs, quality and security inspections, delivery acceptance, invoice receipt and payment.

Departments and agencies invariably want to use document images to replace paper documents in the provision of services or for their business processes. Departmental 'scan and destroy' policies may require certification of the image development and image handling processes in compliance with CGSB standards for the use of evidentiary evidence. This requires certification of the client processes from the point of sending documents for imaging, and from the point of return of the document images through to destruction.

3.1 Structure and Role of PSPC

PSPC has established a Document Imaging Center of Expertise to provide managed services to government departments and agencies for document imaging and related services and it includes the following stakeholders;

- A Director of Document Imaging Services with overall responsibility for the Document Imaging Services.
- Project managers who are responsible for representing PSPC to the client department organizations to identify document imaging requirements, review and approve the relevant business deliverables and work to obtain the deliverables, and manage the MOU/URA/TAs as applicable. Works with various entities within the client organization who are stakeholders in the Document Imaging deliverables, such as program management, IT, Information Management. Responsible for the review and approval of relevant business deliverables and resolution of any issues related to the deliverables.
- A Contract Management component, responsible for supporting the Project Authority in contract management activities including TA approval process,

tracking TA start and end dates, schedules, values and delivery, acceptance tracking of deliverables and approval of payments. Responsible for ensuring approval of deliverables related to in service delivery aspects of the solution provided by the Contractor(s).

- A Finance and Accounting component, reporting to the Director General Cheque Redemption and Control (CRC) is responsible for the financial and administrative procurement responsibilities including budgeting, variance analysis, financial system recording and processing of TAs, invoices, accounts payable functions, procurement file management.
- A Quality Assurance component, reporting to the Director Document Imaging Services, responsible for the review and analysis of quality, security, information management and privacy reviews performed on behalf of PSPC.
- The PSPC client department or agency will provide a Client Representative as the prime point of contact at the client site with the Contractor and with PSPC, to provide department/agency specific information and contacts, as required.

4.0 DESCRIPTION OF RESOURCE CATEGORIES

4.1 Partner/Managing Director

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

4.2 Project Manager/Leader

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

4.3 Senior Auditor

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

4.4 Auditor

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

4.5 Junior Auditor

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

5.0 SCOPE OF SERVICES

The scope of services typically contains the following components but may include other elements depending on individual client requirements;

Planning:

Prepare work plan and kick-off meeting to include objectives, scope, approach, schedule, constraints etc.

Documentation Review:

Receive and review and analyze preliminary client documentation related to business, process, and system documentation.

Fieldwork:

Conduct a site visit and to map out high-level overview of major processes, systems and responsibilities.

Reporting:

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Document observations to identify and analyze observed conformance gaps within project scope. Develop and deliver verbal/written briefing on results and observations to include recommendations to address CGSB conformance gaps/risks.

Closure:

Synthesize findings and recommendations and prepare recommended roadmaps and prepare and deliver conformance readiness assessment report of findings and recommendations (PowerPoint format).

Ongoing Project Management:

Prepare bi-weekly status meetings/reports and hold ongoing and ad hoc calls, as required.

5.1 Stream 1: Internal Audit Services

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

This stream will require the services of internal audit professionals who have the skills and experience to assist in the development of independent and objective assurance that, in turn, supports the achievement of program objectives. In addition, professional internal audit resources will be required to assist in conducting horizontal or sectoral audits led by the Comptroller General. These resources will be expected to support the development and implementation of approaches and processes that help integrate the results from audit work completed at the department or agency level with results arising from horizontal and sectoral work.

Also required under this stream are professional internal audit resources with the expertise needed to help conduct audit in relation to the management controls that the Comptroller General has deemed as core to the effective management of departmental operations. These core management controls address a range of issues including financial reporting controls.

The scope of audits undertaken in the context of this stream will vary depending on a variety of factors such as the size and complexity of the client department, the risks associated with core management controls, or the area subject to horizontal audit.

- The range of activities under this stream include CGSB Compliance audit.

Minimum Mandatory Qualifications and Experience for the Resources categories.

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

Partner/Managing Director

- a) Education/Professional Qualifications: Must have a professional designation in any one of the following: CPA, CA, CMA, CGA, CGAP or CIA.
- b) Experience: Must have a minimum of eight (8) cumulative years of audit experience within the past ten (10) years, including at least two (2) cumulative years of experience in internal audit. Must have a minimum of two CGSB compliance audits within the last five years.

Project Manager/Leader

- a) Education/Professional Qualifications: Must have a professional designation in any one of the following: CPA, CA, CMA, CGA, CGAP or CIA.
- b) Experience: Must have a minimum of six (6) cumulative years of audit experience within the last ten (10) years, including at least two (2) cumulative years experience in internal audit.

Senior Auditor

- a) Education/Professional Qualifications: Must have a degree/diploma from a recognized university that is relevant to the Stream OR a professional designation in any one of the following: CA, CMA, CGA or CIA.
- b) Experience: Must have a minimum of three (3) cumulative years of audit experience within the past ten (10) years and one CGSB compliance audit.

Auditor

- a) Education/Professional Qualifications: Must have a degree/diploma from a recognized university that is relevant to the Stream or Statement of Work OR a professional designation in any one of the following: CPA, CA, CMA, CGA, CGAP or CIA.
- b) Experience: Must have a minimum of two (2) cumulative years of audit experience within the past ten (10) years.

Junior Auditor

- a) Education/Professional Qualifications: Must be in the process of obtaining a degree/diploma from a recognized university or college that is relevant to the Stream or in the process of completing an apprenticeship program relevant to the Stream.

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6.0 TASKS

6.1 Types of Compliance Services

The Contractor must provide professional audit services to conduct the following five (5) types of compliance services. Each Task Authorization issued by DISC/PSPC will stipulate which of these types of compliance services is required, as well as the PSPC departmental or agency client for which the audit is required, if applicable.

During the completion of the first compliance audit of any type, the Contractor must develop any audit tools specific to the standards which are being assessed that may be required to complete the work. The Contractor must reuse these audit tools in the subsequent compliance audits to the extent they are relevant and applicable.

The sampling methodology must be designed and performed to provide statistical assurance that the quality level, as stated in the TA, has been obtained through methodologies acceptable to PSPC, such as MIL-STD-105E, ISO 2859, or similar standards.

6.1.1 Type 1 Compliance Audit

Type 1 is a CGSB compliance audit of PSPC document imaging processes, production environment and image repositories, or segments thereof, which are required due to the introduction of new software applications, new hardware, process changes and/or the introduction of new imaging instances.

6.1.2 Type 2 Compliance Audit

Type 2 is a CGSB compliance audit of PSPC departmental or agency clients, as part of managed services provided by DISC/PSPC, to certify the compliance of client processes from before records are sent for imaging and after the receipt of document images to the point of document destruction, as applicable, at the client locations.

6.1.3 Type 3 Compliance Audit

Type 3 is a CGSB compliance audit of PSPC document imaging processes that may include production environment and image repositories for shared solutions, where part of the document imaging process is completed by PSPC, and part is completed by PSPC clients.

6.1.4 Type 4 Compliance Assessment

A Type 4 compliance assessment will typically be required when a platform or process is not in full production to ensure that the processes, when implemented, will comply with the standards. A Type 4 assessment may be followed at a later date by a Type 1 audit. Type 4 is a GCSB compliance assessment of PSPC, or the PSPC departmental or agency client as part of managed services provided by DISC/PSPC, to certify

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compliance of the documented processes and related hardware and software applications.

6.1.5 Type 5 Compliance Audit

Type 5 is a CGSB compliance audit of document imaging processes, production environment and image repositories of a private sector imaging service provider under contract with PSPC to provide imaging services, or segments thereof.

6.2 Parts of Compliance Audit or Assessment

For compliance services of types 1, 2, 3 and 5, the Contractor must complete the following three (3) parts, and submit the deliverable(s) associated with that part, as detailed in section 7.0, below. For compliance services of type 4, only parts 1 and 2, as well as their associated deliverables, are required.

6.2.1 Part 1

The Contractor must perform a preliminary review all existing PSPC or client standard operating procedures (SOPs) necessary to conduct an evidentiary standards compliance audit against CGSB Standard CAN/CGSB-72-34-2017, as well as the Canada Evidence Act, as appropriate. The different forms of SOPs that the Contractor must review include, but are not limited to, the following, where applicable:

- a) Procedures;
- b) Protocols;
- c) Log books;
- d) Matrices;
- e) Checklists;
- f) Registries;
- g) Organizational charts and flow diagrams that encompass the imaging processes;
- h) Business document preparation;
- i) Workflow;
- j) Storage;
- k) Documents & data destruction;
- l) Information technology procedures;
- m) Controls; and
- n) Client applications and infrastructure associated with the production environment and image repository of the document imaging infrastructure.

6.2.2 Part 2

The Contractor must conduct a preliminary evidentiary standards compliance audit or assessment against the CGSB Standard CAN/CGSB-72-34-2017 based on the documents and processes identified in Part 1. The Contractor must note any gaps in compliance in any of the following:

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- a) Document preparation and inventory;
- b) Document imaging processes, where applicable;
- c) Digital image receipt and quality assurance processes, where applicable;
- d) Business document preparation;
- e) Workflow;
- f) Storage;
- g) Documents and Data destruction;
- h) Information technology procedures;
- i) Controls; and
- j) Client applications and infrastructure associated with the production environment and image repository and document imaging infrastructure.

6.2.3 Part 3 (Not required for Type 4 Compliance Assessment)

The Contractor must conduct a final evidentiary standards compliance audit against the CGSB Standard CAN/CGSB-72-34-2017, in accordance with the Canadian Institute of Chartered Accountants or the Institute of Internal Auditors professional standards, or similar standards as agreed to by DISC/PSPC. The Contractor must provide an overall opinion or conclusion as to the compliance of the following processes with the standards specified in the TA:

- a) Document preparation and inventory;
- b) Document imaging processes, where applicable;
- c) Digital image receipt and quality assurance processes, where applicable;
- d) Business document preparation;
- e) Workflow;
- f) Storage;
- g) Documents and Data destruction;
- h) Information technology procedures;
- i) Controls; and
- j) Client applications and infrastructure associated with the production environment and image repository and document imaging infrastructure.

6.3 Meetings

The Task Authorization issued for a particular compliance audit will specify, for each meeting below, whether the Contractor's resources must attend in person or virtually, by teleconference or web conferencing.

- 6.3.1 Following the issuance of a Task Authorization, the Contractor's resources must attend a kick-off meeting organized by DISC/PSPC.
- 6.3.2 During the period of a Task Authorization, the Contractor's resources must attend bi-weekly status meetings organized by DISC/PSPC.
- 6.3.3 At the close of the Work under a Task Authorization, the Contractor's resources must attend a meeting with DISC/PSPC management, during which the Project

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Manager/Leader or Senior Auditor must lead a presentation concerning the compliance audit. DISC/PSPC will organize this meeting.

7.0 DELIVERABLES

The Contractor must produce and submit the following deliverables at the completion of each part of any compliance audit or assessment. The Contractor must use a statistically relevant sampling size, as determined in consultation with the Project Authority. DISC/PSPC will stipulate the due dates, format and language of submission for each deliverable in the Task Authorization issued for a given type of compliance service.

7.1 Part 1 Deliverables

The Contractor must submit an audit review inventory that identifies the documents reviewed during Part 1 of a compliance audit or assessment.

7.2 Part 2 Deliverables

The Contractor must submit a management action plan that identifies any gaps in compliance and provides specific and reasonable solutions for each compliance gap.

7.3 Part 3 Deliverables (Not required for Type 4 Compliance Assessment)

The Contractor must submit the following three (3) deliverables:

- 7.3.1 The Contractor must prepare and submit a final audit report that must identify what was reviewed, any discrepancies identified, the impact of these discrepancies, and the measures taken to rectify discrepancies, as applicable. This final audit report must also detail the Contractor's findings, providing an overall opinion, judgement or conclusion as to whether the particular processes audited are in compliance with the standards specified in the TA.
- 7.3.2 The Contractor's resources must prepare and submit a presentation deck, based on its final audit report, identifying the PSPC departmental or agency client that was reviewed, what was reviewed, any discrepancies identified, the impact of these discrepancies, and the measures taken to rectify discrepancies, as applicable. This presentation deck must also summarize the Contractor's findings and provide an overall opinion, judgement or conclusion as to whether the particular processes audited are in compliance with the standards specified in the TA.
- 7.3.3 The Contractor must submit to DISC/PSPC management a statement of compliance certification.

7.4 Meetings

Following each kick-off and status meeting, the Contractor must submit meeting minutes within one (1) week of the meeting.

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8.0 OFFICIAL LANGUAGES

The internal documents and procedures for some PSPC departmental or agency clients are only available in French. As such, the Contractor must be able to provide services in both official languages, by ensuring: that at least one (1) of its Project Manager/Leader resources, one (1) of its Senior Auditor resources, and one (1) of its Auditor resources can communicate effectively, orally and in writing, in French; and that at least one (1) of its Project Manager/Leader resources, one (1) of its Senior Auditor resources, and one (1) of its Auditor resources can communicate effectively, orally and in writing, in English.

In each Task Authorization, DISC/PSPC will indicate in which official language the work must be completed and stipulate whether the deliverables must be submitted in English or in French.

9.0 WORK LOCATION

The Contractor's resources will be required to work at the Contractor's facilities, at PSPC offices and at the offices of PSPC departmental or agency clients.

10.0 CLIENT SUPPORT

DISC/PSPC will provide the Contractor's resources with all relevant background documents, internet links, specifications, samples, and any other information the Project Authority considers necessary to the completion of the Work. When the work must be completed at a government site or facility, the Contractor's resources will be provided with a workspace. However, the Contractor must provide its resources with a desktop or laptop, phone and/or email.

11.0 TRAVEL

The Contractor's resources may be required to travel to PSPC offices, and those of PSPC departmental or agency clients. These locations include, but are not limited to: the NCR; Matane QC; Winnipeg MN; and other locations across Canada.

All travel requirements will be indicated in the Task Authorization issued for a particular compliance audit. All travel costs must be authorized by the Project Authority.

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ALL OTHER TERMS AND CONDITIONS REMAIN UNCHANGED.