



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

**REQUEST FOR PROPOSAL**  
**DEMANDE DE PROPOSITION**

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

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

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

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

**Comments - Commentaires**

|  |   |
|--|---|
| <b>Title - Sujet</b><br>Cheque Image Exchange Services   |   |
| <b>Solicitation No. - N° de l'invitation</b><br>EN891-193251/B   | <b>Date</b><br>2019-12-09   |
| <b>Client Reference No. - N° de référence du client</b><br>20193251  |   |
| <b>GETS Reference No. - N° de référence de SEAG</b><br>PW-\$\$ZG-404-37119   |   |
| <b>File No. - N° de dossier</b><br>404zg.EN891-193251  | <b>CCC No./N° CCC - FMS No./N° VME</b>                                    |
| <b>Solicitation Closes - L'invitation prend fin</b><br><b>at - à 02:00 PM</b><br><b>on - le 2020-02-10</b>   | <b>Time Zone</b><br><b>Fuseau horaire</b><br>Eastern Standard Time<br>EST |
| <b>F.O.B. - F.A.B.</b><br><b>Plant-Usine:</b> <input type="checkbox"/> <b>Destination:</b> <input checked="" type="checkbox"/> <b>Other-Autre:</b> <input type="checkbox"/>  |   |
| <b>Address Enquiries to: - Adresser toutes questions à:</b><br>Papineau, Alain   | <b>Buyer Id - Id de l'acheteur</b><br>404zg                               |
| <b>Telephone No. - N° de téléphone</b><br>(613) 858-8997 ( )   | <b>FAX No. - N° de FAX</b><br>( ) -                                       |
| <b>Destination - of Goods, Services, and Construction:</b><br><b>Destination - des biens, services et construction:</b><br>DEPARTMENT OF PUBLIC WORKS AND GOVERNMENT SERVICES CANADA<br>PORTAGE III<br>11 LAURIER ST<br>Gatineau<br>Quebec<br>K1A0S5<br>Canada |   |

**Instructions: See Herein**

**Instructions: Voir aux présentes**

**Vendor/Firm Name and Address**

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

**Issuing Office - Bureau de distribution**

Business Management and Consulting Services Division /  
Division des services de gestion des affaires et de consultation  
Terrasses de la Chaudière 5th Floor  
Terrasses de la Chaudière 5e étage  
10 Wellington Street  
10, rue Wellington  
Gatineau  
Québec  
K1A 0S5

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

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## **PART 1 – GENERAL INFORMATION**

### **1.1 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 and Additional Information: includes the certifications and additional information to be provided;
- Part 6 Security, Financial and Other Requirements: includes specific requirements that must be addressed by Bidders; and
- Part 7 Resulting Contract Clauses: includes the clauses and conditions that will apply to any resulting contract.

The Attachments include Pricing Schedule, Technical Criteria, Certifications Precedent to Contract Award. The Annexes include the Statement of Work, Basis of Payment, Security Requirements Check List and IT Security Requirements.

### **1.2 Summary**

The Receiver General (RG) is looking to acquire the services of a contractor who will help the RG move to Image Captured Payment (ICP) exchange, which is being adopted across the Canadian payments industry. Today, cashed RG cheques or clearing replacement documents are shipped by Canadian Direct Clearers from their processing sites to the RG's office in Matane, QC where they are reconciled. The move to ICP file exchange will eliminate the requirement to ship physical cheques to the RG office in Matane by replacing the cheques with image files captured according to Payments Canada's ICP standards.

The Contractor will be responsible for the services related to the processing of ICP files of cashed RG cheques received from Canadian Direct Clearers including:

- Accepting incoming ICP files from the Direct Clearers
- Processing ICP files and then transmitting redeemed item data to the RG
- Maintaining an image archive of cashed RG cheques
- Providing a facility for Government employees to have real time access to search, view, and print images

The term of the Contract will be for a period of 5 years with the option to extend up to an additional 3 years.

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### **1.3 Debriefings**

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

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## **PART 2 – BIDDER INSTRUCTIONS**

### **2.1 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 (2019-03-04), Standard Instructions - Goods or Services - Competitive Requirements, are incorporated by reference into and form part of the bid solicitation.

Subsection 3.a) of Section 01, Integrity Provisions - Bid, of Standard Instructions 2003 incorporated by reference above is deleted in its entirety and replaced with the following:

Subsection 4 of Section 05, Submission of Bids, of Standard Instructions 2003 incorporated by reference above, is amended as follows:

Delete: 60 days

Insert: 120 calendar days.

#### **2.1.1 SACC Manual Clauses**

A7035T (2007-05-25) List of Proposed Subcontractors

### **2.2 Submission of Bids**

Bids must be submitted only to Public Works and Government Services Canada (PWGSC) Bid Receiving Unit by the date, time and place indicated on page 1 of the bid solicitation.

Note: For bidders choosing to submit using epost Connect for bids closing at the Bid Receiving Unit in the National Capital Region (NCR), the address is:

[tpsgc.dgareceptiondessaoumissions-abbidreceiving.pwgsc@tpsgc-pwgsc.gc.ca](mailto:tpsgc.dgareceptiondessaoumissions-abbidreceiving.pwgsc@tpsgc-pwgsc.gc.ca)

Note: Bids will not be accepted if emailed directly to this email address. This email address is to be used to open an epost Connect conversation, as detailed in Standard Instructions 2003, or to send bids through an epost Connect message if the Bidder is using its own licensing agreement for epost Connect.

### **2.3 Former Public Servant**

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

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If the Contracting Authority has not received the answer to the question and, as applicable, the information required by the time the evaluation of bids is completed, Canada will inform the Bidder of a time frame within which to provide the answer and, as applicable, the information required. 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,

"fee abatement formula" means the formula applied in the determination of the maximum fee payable during the one-year fee abatement period when the successful bidder is a former public servant in receipt of a pension paid under the [Public Service Superannuation Act](#).

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

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

"lump sum payment period" means the period measured in weeks of salary, for which payment has been made to facilitate the transition to retirement or to other employment as a result of the implementation of various programs to reduce the 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.

"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 ( )

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; and
  - (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](#).

A contract awarded to a FPS who has been retired for less than one year and who is in receipt of a pension as defined above is subject to the fee abatement formula, as required by Treasury Board Policy.

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### **Work Force Adjustment Directive**

Is the Bidder a FPS who received a lump sum payment pursuant to the terms of the Work Force Adjustment Directive?

Yes ( ) No ( )

If so, the Bidder must provide the following information:

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

### **2.4 Enquiries - Bid Solicitation**

All enquiries must be submitted in writing to the Contracting Authority no later than seven (7) calendar days before the bid closing date. Enquiries received after that time may not be answered.

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

### **2.5 Applicable Laws**

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

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

## PART 3 – BID PREPARATION INSTRUCTIONS

### 3.1 Bid Preparation Instructions

- a) Due to the nature of the bid solicitation, bids transmitted by facsimile will not be accepted.
- b) The bid must be separated as follows:
- Section I: Technical Bid
  - Section II: Financial Bid
  - Section III: Certifications
  - Section IV: Additional Information
- c) If the Bidder chooses to submit its bid electronically using the epost Connect service provided by Canada Post Corporation,
- o Canada requests that the bidder submits its bid in accordance with section 08, Transmission by facsimile or by epost Connect, of the 2003 standard instructions. Sub-section 2, epost connect, contains instructions and conditions;
  - o The epost Connect system has a limit of 1GB per single message posted and a limit of 20GB per conversation.
- d) If the Bidder chooses to submit its bid to the PWGSC Bid Receiving Unit electronically not using the epost Connect service provided by Canada Post Corporation, Canada requests one envelope containing one copy of the bid on a USB key or a CD. The Bidder should ensure that the Bidder's name and address and bid solicitation number are clearly visible on the envelope.
- e) Canada is not requesting hard copies of the bid. However, if the Bidder chooses to submit its bid to the PWGSC Bid Receiving Unit in hard copies, Canada requests:
- Section I: 2 hard copies
  - Sections II, III and IV: 1 hard copy of the 3 sections
- f) If there is a discrepancy between the wording of any copies of the bid that appear on the following list, the wording of the copy that first appears on the list has priority over the wording of any copy that subsequently appears on the list:
- o the electronic copy of the bid submitted by using the epost Connect service provided by Canada Post Corporation;
  - o the electronic copy of the bid submitted to the PWGSC Bid Receiving Unit on a USB key or a CD;
  - o the hard copies of the bid submitted to the PWGSC Bid Receiving Unit.

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

If the Bidder chooses to submit its bid in hard copies, Canada requests that bidders follow the format instructions described below in the preparation of their bid:

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

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

To assist Canada in reaching its objectives, bidders should:

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

### **Section I: Technical Bid**

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

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

### **Section II: Financial Bid**

- A. Bidders must submit their financial bid in Canadian funds and in accordance with the pricing schedule detailed in Attachment 1 to Part 3.
- B. Bidders must submit their prices FOB destination; Canadian customs duties and excise taxes included, as applicable; and Applicable Taxes excluded.
- C. When preparing their financial bid, Bidders should review clause 4.1.2, Financial Evaluation, of Part 4 of the bid solicitation; and article 7.6, Payment, of Part 7 of the bid solicitation.

### **D. SACC Manual Clauses**

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

### **E. Electronic Payment of Invoices – Bid**

Canada requests that bidders:

- A) select option 1 or, as applicable, option 2 below; and
- B) include the selected option in Section II of their bid.

Acceptance of Electronic Payment Instruments will not be considered as an evaluation criterion.

#### **Option 1:**

The Bidder accepts to be paid by the following Electronic Payment Instrument(s):

- VISA Acquisition Card
- MasterCard Acquisition Card
- Direct Deposit (Domestic and International)
- Electronic Data Interchange (EDI)

#### **Option 2:**

- The Bidder does not accept to be paid by Electronic Payment Instruments.

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### Section III: Certifications

In Section III of their bid, bidders should provide the certifications required under Part 5 and, as applicable, any associated additional information.

### Section IV: Additional Information

In Section IV of their bid, bidders should provide:

1. their legal name;
2. their Procurement Business Number (PBN);
3. the name of the contact person (provide also this person's mailing address, phone and facsimile numbers and email address) authorized by the Bidder to enter into communications with Canada with regards to their bid, and any contract that may result from their bid;
4. for Part 2, article 2.3, Former Public Servant, of the bid solicitation: the required answer to each question; and, if the answer is yes, the required information;
5. for Part 6, article 6.1, Security Requirement, of the bid solicitation:
  - a) for each individual who will require access to classified or protected information, assets or sensitive work sites:
    - 1) the name of the individual;
    - 2) the date of birth of the individual; and
    - 3) if available, information confirming the individual meets the security requirement as indicated in Part 7 - Resulting Contract Clauses;

and

- b) for each proposed location of work performance or document safeguarding, the address containing the information below.

Address:

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

City, Province, Territory

Postal Code

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## **ATTACHMENT 1 TO PART 3 PRICING SCHEDULE**

The Bidder should complete this pricing schedule and include it in its financial bid once completed. As a minimum, the Bidder must respond to this pricing schedule by including in its financial bid for each of the periods specified below its quoted firm all-inclusive fee (in Canadian dollars) for each of the categories identified.

The inclusion of volumetric data in this document does not represent a commitment by Canada that Canada's future usage of the services described in the bid solicitation will be consistent with this data. Volume forecasts are provided in *Annex A – Section 9 RG Cheque Image Volumes*.

Any estimated level of services specified in the pricing schedule detailed in Attachment 1 to Part 3 is provided for bid evaluation price determination purposes only. It is only an approximation of the requirements and is not to be considered as a contract guarantee.

The only categories of fees that may be proposed is:

A. Per Cheque Image Processing Fee

**Note:** All other costs to the Bidder must be recovered in the above fees.

### **1.0 Calculation of Total Evaluated Price (TEP)**

For evaluation purposes only, the Total Evaluated Price (TEP) will be the arithmetic sum of the annual fees calculated in Row 3 of Table A1.

**Any grey fields are for evaluation purposes only and should not be completed by the Bidder.**

A. Per Cheque Image Processing Fee:

The firm all-inclusive unit price per cheque image processed as described in the Statement of Work (Annex A). This all-inclusive item processing fee must include all processing and reporting requirements.

### **Instructions**

Bidders should clearly specify a firm all-inclusive cheque image processing price for each contract year in Row 2 of Table A1 (Columns A, B, C, D, E, F and G).

The total annual estimated cheque image processing fees will be calculated as: (Forecasted Annual Cheque Image Volumes) x (Per Cheque Image Processing Fee). This calculation will be completed in Row 3 of Table A1.

**Table A1 – Cheque Image Processing Fees**

|   | A         | B          | C          | D          | E          | F             | G             |
|---|-----------|------------|------------|------------|------------|---------------|---------------|
| Category  | Year 1    | Year 2     | Year 3     | Year 4     | Year 5     | Option Year 1 | Option Year 2 |
| 1 Forecasted Annual Cheque Image Volumes                          | 5,800,000 | 12,320,000 | 17,280,000 | 26,000,000 | 25,500,000 | 25,000,000    | 24,500,000    |
| 2 Per Cheque Image Processing Fee                                 | \$        | \$         | \$         | \$         | \$         | \$            | \$            |
| 3 Annual Cheque Image Processing Fees (Row 1 multiplied by Row 2) | \$        | \$         | \$         | \$         | \$         | \$            | \$            |

**B. Summary of Charges – Total Evaluated Price (TEP) – FOR EVALUATION PURPOSES ONLY**

The Total Evaluated Price (TEP) will be the arithmetic sum of the annual fees calculated in Row 3 of Table A1.

Table B1 is for evaluation purposes only and should **not** be completed by the bidder.

**Table B1 – Total Evaluated Price (TEP)**

|   | 1                      | 2                      | 3                      | 4                      | 5                      | 6             | 7             |           |
|---|------------------------|------------------------|------------------------|------------------------|------------------------|---------------|---------------|-----------|
| Description   | Contract Period Year 1 | Contract Period Year 2 | Contract Period Year 3 | Contract Period Year 4 | Contract Period Year 5 | Option Year 1 | Option Year 2 |           |
| A Annual Cheque Image Processing Fees (Row 3 of Table A1)       | \$                     | \$                     | \$                     | \$                     | \$                     | \$            | \$            |           |
| <b>Total Evaluated Price (TEP) = Sum of Columns 1 through 7</b> |                        |                        |                        |                        |                        |               |               | <b>\$</b> |

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

### **4.1 Evaluation Procedures**

Bids will be assessed in accordance with the entire requirement of the bid solicitation including the technical and financial evaluation criteria.

An evaluation team composed of representatives of Canada will evaluate the bids.

The evaluation team will determine first if there are two (2) or more bids with a valid Canadian Content certification. In that event, the evaluation process will be limited to the bids with the certification; otherwise, all bids will be evaluated. If some of the bids with a valid certification are declared non-responsive, or are withdrawn, and less than two responsive bids with a valid certification remain, the evaluation will continue among those bids which contain a valid certification. If all bids with a valid certification are subsequently declared non-responsive, or are withdrawn, then all the other bids received will be evaluated.

#### **4.1.1 Phased Bid Compliance Process**

##### **4.1.1.1 General**

- (a) Canada will conduct the Phased Bid Compliance Process (PBCP) described below for this requirement ONLY if Canada receives 4 or fewer Bids by the bid solicitation closing date.
- (b) Notwithstanding any review by Canada at Phase I or II of the PBCP, Bidders are and will remain solely responsible for the accuracy, consistency and completeness of their Bids and Canada does not undertake, by reason of this review, any obligations or responsibility for identifying any or all errors or omissions in Bids or in responses by a Bidder to any communication from Canada.

THE BIDDER ACKNOWLEDGES THAT THE REVIEWS IN PHASE I AND II OF THIS PBCP ARE PRELIMINARY AND DO NOT PRECLUDE A FINDING IN PHASE III THAT THE BID IS NON-RESPONSIVE, EVEN FOR MANDATORY REQUIREMENTS WHICH WERE SUBJECT TO REVIEW IN PHASE I OR II AND NOTWITHSTANDING THAT THE BID HAD BEEN FOUND RESPONSIVE IN SUCH EARLIER PHASE. CANADA MAY DEEM A BID TO BE NON-RESPONSIVE TO A MANDATORY REQUIREMENT AT ANY PHASE. THE BIDDER ALSO ACKNOWLEDGES THAT ITS RESPONSE TO A NOTICE OR A COMPLIANCE ASSESSMENT REPORT (CAR) (EACH DEFINED BELOW) IN PHASE I OR II MAY NOT BE SUCCESSFUL IN RENDERING ITS BID RESPONSIVE TO THE MANDATORY REQUIREMENTS THAT ARE THE SUBJECT OF THE NOTICE OR CAR, AND MAY RENDER ITS BID NON-RESPONSIVE TO OTHER MANDATORY REQUIREMENTS.

- (c) Canada may, in its discretion, request and accept at any time from a Bidder and consider as part of the Bid, any information to correct errors or deficiencies in the Bid that are clerical or administrative, such as, without limitation, failure to sign the Bid or any part or to checkmark a box in a form, or other failure of format or form or failure to acknowledge; failure to provide a procurement business number or contact information such as names, addresses and telephone numbers; inadvertent errors in numbers or calculations that do not change the amount the Bidder has specified as the price or of any component thereof that is subject to evaluation. This shall not limit Canada's right to request or accept any information after the bid solicitation closing in circumstances where the bid solicitation expressly provides for this right. The Bidder will have the time period specified in writing by Canada to provide the necessary documentation. Failure

to meet this deadline will result in the Bid being declared non-responsive.

- (d) The PBCP does not limit Canada's rights under Standard Acquisition Clauses and Conditions (SACC) 2003 (2018-05-22) Standard Instructions – Goods or Services – Competitive Requirements nor Canada's right to request or accept any information during the solicitation period or after bid solicitation closing in circumstances where the bid solicitation expressly provides for this right, or in the circumstances described in subsection (c).
- (e) Canada will send any Notice or CAR by any method Canada chooses, in its absolute discretion. The Bidder must submit its response by the method stipulated in the Notice or CAR. Responses are deemed to be received by Canada at the date and time they are delivered to Canada by the method and at the address specified in the Notice or CAR. An email response permitted by the Notice or CAR is deemed received by Canada on the date and time it is received in Canada's email inbox at Canada's email address specified in the Notice or CAR. A Notice or CAR sent by Canada to the Bidder at any address provided by the Bidder in or pursuant to the Bid is deemed received by the Bidder on the date it is sent by Canada. Canada is not responsible for late receipt by Canada of a response, however caused.

#### **4.1.1.2 Phase I: Financial Bid**

- (a) After the closing date and time of this bid solicitation, Canada will examine the Bid to determine whether it includes a Financial Bid and whether any Financial Bid includes all information required by the solicitation. Canada's review in Phase I will be limited to identifying whether any information that is required under the bid solicitation to be included in the Financial Bid is missing from the Financial Bid. This review will not assess whether the Financial Bid meets any standard or is responsive to all solicitation requirements
- (b) Canada's review in Phase I will be performed by officials of the Department of Public Works and Government Services.
- (c) If Canada determines, in its absolute discretion that there is no Financial Bid or that the Financial Bid is missing all of the information required by the bid solicitation to be included in the Financial Bid, then the Bid will be considered non-responsive and will be given no further consideration.
- (d) For Bids other than those described in c), Canada will send a written notice to the Bidder ("Notice") identifying where the Financial Bid is missing information. A Bidder, whose Financial Bid has been found responsive to the requirements that are reviewed at Phase I, will not receive a Notice. Such Bidders shall not be entitled to submit any additional information in respect of their Financial Bid.
- (e) The Bidders who have been sent a Notice shall have the time period specified in the Notice (the "Remedy Period") to remedy the matters identified in the Notice by providing to Canada, in writing, additional information or clarification in response to the Notice. Responses received after the end of the Remedy Period will not be considered by Canada, except in circumstances and on terms expressly provided for in the Notice.

- (f) In its response to the Notice, the Bidder will be entitled to remedy only that part of its Financial Bid which is identified in the Notice. For instance, where the Notice states that a required line item has been left blank, only the missing information may be added to the Financial Bid, except that, in those instances where the addition of such information will necessarily result in a change to other calculations previously submitted in its Financial Bid, (for example, the calculation to determine a total price), such necessary adjustments shall be identified by the Bidder and only these adjustments shall be made. All submitted information must comply with the requirements of this solicitation.
- (g) Any other changes to the Financial Bid submitted by the Bidder will be considered to be new information and will be disregarded. There will be no change permitted to any other Section of the Bidder's Bid. Information submitted in accordance with the requirements of this solicitation in response to the Notice will replace, in full, **only** that part of the original Financial Bid as is permitted above, and will be used for the remainder of the bid evaluation process.
- (h) Canada will determine whether the Financial Bid is responsive to the requirements reviewed at Phase I, considering such additional information or clarification as may have been provided by the Bidder in accordance with this Section. If the Financial Bid is not found responsive for the requirements reviewed at Phase I to the satisfaction of Canada, then the Bid shall be considered non-responsive and will receive no further consideration.
- (i) Only Bids found responsive to the requirements reviewed in Phase I to the satisfaction of Canada, will receive a Phase II review.

#### **4.1.1.3 Phase II: Technical Bid**

- (a) Canada's review at Phase II will be limited to a review of the Technical Bid to identify any instances where the Bidder has failed to meet any Eligible Mandatory Criterion. This review will not assess whether the Technical Bid meets any standard or is responsive to all solicitation requirements. Eligible Mandatory Criteria are all mandatory technical criteria that are identified in this solicitation as being subject to the PBCP. Mandatory technical criteria that are not identified in the solicitation as being subject to the PBCP, will not be evaluated until Phase III.
- (b) Canada will send a written notice to the Bidder (Compliance Assessment Report or "CAR") identifying any Eligible Mandatory Criteria that the Bid has failed to meet. A Bidder whose Bid has been found responsive to the requirements that are reviewed at Phase II will receive a CAR that states that its Bid has been found responsive to the requirements reviewed at Phase II. Such Bidder shall not be entitled to submit any response to the CAR.
- (c) A Bidder shall have the period specified in the CAR (the "Remedy Period") to remedy the failure to meet any Eligible Mandatory Criterion identified in the CAR by providing to Canada in writing additional or different information or clarification in response to the CAR. Responses received after the end of the Remedy Period will not be considered by Canada, except in circumstances and on terms expressly provided for in the CAR.
- (d) The Bidder's response must address only the Eligible Mandatory Criteria listed in the CAR as not having been achieved, and must include only such information as is necessary to achieve such compliance. Any additional information provided by the Bidder which is not necessary to achieve such compliance will not be considered by Canada, except that, in those instances where such a response to the Eligible Mandatory Criteria specified in the CAR will necessarily result in a consequential change to other parts of the Bid, the Bidder shall identify such additional changes, provided that its response must not include any change to the Financial Bid.
- (e) The Bidder's response to the CAR should identify in each case the Eligible Mandatory Criterion in the CAR to which it is responding, including identifying in the corresponding

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section of the original Bid, the wording of the proposed change to that section, and the wording and location in the Bid of any other consequential changes that necessarily result from such change. In respect of any such consequential change, the Bidder must include a rationale explaining why such consequential change is a necessary result of the change proposed to meet the Eligible Mandatory Criterion. It is not up to Canada to revise the Bidder's Bid, and failure of the Bidder to do so in accordance with this subparagraph is at the Bidder's own risk. All submitted information must comply with the requirements of this solicitation.

- (f) Any changes to the Bid submitted by the Bidder other than as permitted in this solicitation, will be considered to be new information and will be disregarded. Information submitted in accordance with the requirements of this solicitation in response to the CAR will replace, in full, only that part of the original Bid as is permitted in this Section.
- (g) Additional or different information submitted during Phase II permitted by this section will be considered as included in the Bid, but will be considered by Canada in the evaluation of the Bid at Phase II only for the purpose of determining whether the Bid meets the Eligible Mandatory Criteria. It will not be used at any Phase of the evaluation to increase or decrease any score that the original Bid would achieve without the benefit of such additional or different information. For instance, an Eligible Mandatory Criterion that requires a mandatory minimum number of points to achieve compliance will be assessed at Phase II to determine whether such mandatory minimum score would be achieved with such additional or different information submitted by the Bidder in response to the CAR. If so, the Bid will be considered responsive in respect of such Eligible Mandatory Criterion, and the additional or different information submitted by the Bidder shall bind the Bidder as part of its Bid, but the Bidder's original score, which was less than the mandatory minimum for such Eligible Mandatory Criterion, will not change, and it will be that original score that is used to calculate any score for the Bid.
- (h) Canada will determine whether the Bid is responsive for the requirements reviewed at Phase II, considering such additional or different information or clarification as may have been provided by the Bidder in accordance with this Section. If the Bid is not found responsive for the requirements reviewed at Phase II to the satisfaction of Canada, then the Bid shall be considered non-responsive and will receive no further consideration.
- (i) Only Bids found responsive to the requirements reviewed in Phase II to the satisfaction of Canada, will receive a Phase III evaluation.

#### **4.1.1.4 Phase III: Final Evaluation of the Bid**

- (a) In Phase III, Canada will complete the evaluation of all Bids found responsive to the requirements reviewed at Phase II. Bids will be assessed in accordance with the entire requirement of the bid solicitation including the technical and financial evaluation criteria.
- (b) A Bid is non-responsive and will receive no further consideration if it does not meet all mandatory evaluation criteria of the solicitation.

#### **4.1.2 Technical Evaluation**

Refer to Attachment 1 to Part 4.

The Phased Bid Compliance Process will apply to all mandatory technical criteria.

##### **4.1.2.1 Mandatory Technical Criteria**

Refer to Attachment 1 to Part 4.

The Phased Bid Compliance Process will apply to all mandatory technical criteria.

#### **4.1.3 Financial Evaluation**

**4.1.3.1** For bid evaluation and Contractor selection purposes only, the evaluated price of a bid will be determined in accordance with the Pricing Schedule detailed in Attachment 1 to Part 3.

##### **4.1.3.2 Mandatory Financial Criteria**

Refer to Attachment 1 to Part 4.

#### **4.2 Basis of Selection**

##### **4.2.1. Lowest Evaluated Price**

**4.2.1.1** A bid must comply with the requirements of the bid solicitation and meet all mandatory evaluation criteria to be declared responsive.

**4.2.1.2** The responsive bid with the lowest evaluated price will be recommended for award of a contract.

## ATTACHMENT 1 TO PART 4, TECHNICAL CRITERIA

### 1.1.1 Mandatory Technical Criteria

The bid must meet the mandatory technical criteria specified below. The Bidder must provide the necessary documentation to support compliance with this requirement. Bids which fail to meet the mandatory technical criteria will be declared non-responsive.

| <b>Mandatory Technical Criteria (MT)</b> |   |   |                                       |
|--|---|---|---------------------------------------|
|  | <b>A</b>  | <b>B</b>  | <b>C</b>                              |
| <b>Number</b>                            | <b>Mandatory Technical Criterion</b>  | <b>Bid Preparation Instructions</b>   | <b>Signature or Initials</b>          |
| <b>MT1</b>                               | The Bidder must have acquired a minimum of 2 years' experience processing Image Captured Payment (ICP) files as described by Payment Canada's Standard 015, as either an Automated Clearing Settlement System (ACSS) direct clearer, an ACSS group clearer or as a service provider for an ACSS member.   | The Bidder must provide a concise explanation of their experience with processing Image Captured Payment (ICP) files, which includes:<br>1. the start date;<br>2. the image processing activities for which the Bidder is responsible; and<br>3. the financial institution(s) involved. | <b>A written response is required</b> |
| <b>MT2</b>                               | The Bidder must ensure that all of the RG's cheque image data is processed, transmitted, stored, and disposed of only within Canada.  | The Bidder must confirm this capability by providing a signature or initials in Column C of this table.   |                                       |
| <b>MT3</b>                               | The Bidder must ensure that all websites and web services, accessible by the Government and used for the work under this contract, are configured to provide access only through a secure connection, and that all connections support the cryptographic algorithms and certificates as recommended by the Canadian Centre for Cyber Security within the Communications Security Establishment (CSE). | The Bidder must confirm this capability by providing a signature or initials in Column C of this table.   |                                       |
| <b>MT4</b>                               | The Bidder must be able to ensure that all data sent to the RG is transmitted using Payments Canada's CPA Services Network (CSN).   | The Bidder must confirm this capability by providing a signature or initials in Column C of this table.   |                                       |

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## **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. Unless specified otherwise, 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 made knowingly or unknowingly, during the bid evaluation period or during the contract period. The Contracting Authority will have the right to ask for additional information to verify the Bidder's certifications. Failure to comply and to cooperate with any request or requirement imposed by the Contracting Authority will render the bid non-responsive or constitute a default under the Contract.

### **5.1 Certifications and Additional Information Required with the Bid**

#### **5.1.1 Integrity Provisions - Declaration of Convicted Offences**

In accordance with the [Integrity Provisions of the Standard Instructions](#), all bidders must provide with their bid, if applicable, the Integrity declaration form available on the Forms for the Integrity Regime website (<http://www.tpsgc-pwgsc.gc.ca/ci-if/declaration-eng.html>), to be given further consideration in the procurement process.

### **5.2 Certifications and Information Required Precedent to Contract Award**

The required certifications and additional information below should be submitted with the bid but may be submitted afterwards. If the required certifications and additional information are not submitted with the bid, the Contracting Authority will inform the Bidder of a time frame within which they must be submitted by the Bidder. Failure to provide the required certifications and additional information within the time frame specified will render the bid non-responsive.

#### **5.2.1 Integrity Provisions – Required Documentation**

In accordance with the section titled Information to be provided when bidding, contracting or entering into a real property agreement of the [Ineligibility and Suspension Policy](#) (<http://www.tpsgc-pwgsc.gc.ca/ci-if/politique-policy-eng.html>), the Bidder must provide the required documentation, as applicable, to be given further consideration in the procurement process.

#### **5.2.2 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" available at the bottom of the page of the [Employment and Social Development Canada \(ESDC\) - Labour's](#) website (<https://www.canada.ca/en/employment-social-development/programs/employment-equity/federal-contractor-program.html#>).

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.

Canada will also have the right to terminate the Contract for default if a Contractor, or any member of the Contractor if the Contractor is a Joint Venture, appears on the "FCP Limited Eligibility to Bid List" during the period of the Contract.

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The Bidder must provide the Contracting Authority with a completed Federal Contractors Program for Employment Equity certification before contract award. If the Bidder is a Joint Venture, the Bidder must provide the Contracting Authority before contract award with a completed Federal Contractors Program for Employment Equity certification for each member of the Joint Venture. Attachment 1 to Part 5, Additional Certifications Precedent to Contract Award, includes a copy of the certification to provide.

### **5.2.3 Additional Certifications Required Precedent to Contract Award**

The required additional certifications to provide are included in Attachment 1 to Part 5, Additional Certifications Required Precedent to Contract Award .

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## **ATTACHMENT 1 TO PART 5, ADDITIONAL CERTIFICATIONS REQUIRED PRECEDENT TO CONTRACT AWARD**

### **1. Federal Contractors Program For Employment Equity - Certification**

I, the Bidder, by submitting the present information to the Contracting Authority, certify that the information provided is true as of the date indicated below. The certifications provided to Canada are subject to verification at all times. I understand that Canada will declare a bid non-responsive, or will declare a contractor in default, if a certification is found to be untrue, whether during the bid evaluation period or during the contract period. Canada will have the right to ask for additional information to verify the Bidder's certifications. Failure to comply with any request or requirement imposed by Canada may render the bid non-responsive or constitute a default under the Contract.

For further information on the Federal Contractors Program for Employment Equity visit the [Employment and Social Development Canada \(ESDC\) - Labour's website](https://www.canada.ca/en/employment-social-development/programs/employment-equity/federal-contractor-program.html) (<https://www.canada.ca/en/employment-social-development/programs/employment-equity/federal-contractor-program.html>).

Date: \_\_\_\_\_ Instructions to the Bidder:(YYYY/MM/DD) If left blank, the date will be deemed to be the bid solicitation closing date.

Instructions to the Bidder: Complete both A and B.

A. Instructions to the Bidder: Check only one of the following:

- A1. The Bidder certifies having no work force in Canada.
- A2. The Bidder certifies being a public sector employer.
- A3. The Bidder certifies being a [federally regulated employer](#) being subject to the [Employment Equity Act](#).
- A4. The Bidder certifies having a combined work force in Canada of less than 100 permanent full-time and / or permanent part-time employees.
- A5. The Bidder certifies having a combined workforce in Canada of 100 or more permanent full-time and/or permanent part-time employees.
- A5.1. The Bidder certifies already having a valid and current [Agreement to Implement Employment Equity](#) (AIEE) in place with ESDC-Labour.

or

- A5.2. The Bidder certifies having submitted the [Agreement to Implement Employment Equity \(LAB1168\)](#) to ESDC-Labour. *As this is a condition to contract award, proceed to completing the form Agreement to Implement Employment Equity (LAB1168), duly signing it, and transmit it to ESDC-Labour.*

B. Instructions to the Bidder: Check only one of the following:

- B1. The Bidder is not a Joint Venture.

or

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- ( ) B2. The Bidder is a Joint venture. **Instructions to the Bidder: Refer to the Joint Venture section of the Standard Instructions. If the Bidder is a Joint Venture, it must provide the Contracting Authority before contract award with a completed Federal Contractors Program for Employment Equity certification for each member of the Joint Venture.**

## **Canadian Content**

SACC Manual clause A3050T (2018-12-06) Canadian Content Definition

### **2.2 Canadian Content Certification**

This procurement is limited to Canadian services.

The Bidder certifies that:

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

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## **PART 6 – SECURITY, FINANCIAL AND OTHER REQUIREMENTS**

### **6.1 Security Requirement**

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

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

Address:  
Street Number / Street Name, Unit / Suite / Apartment Number  
City, Province, Territory  
Postal Code

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

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

**6.1.3** For additional information on security requirements, Bidders should refer to the [Contract Security Program](http://www.tpsgc-pwgsc.gc.ca/esc-src/introduction-eng.html) of Public Works and Government Services Canada (<http://www.tpsgc-pwgsc.gc.ca/esc-src/introduction-eng.html> ) website.

### **6.2 Financial Capability**

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

### **6.3 Insurance Requirements**

The Contractor is responsible for deciding if insurance coverage is necessary to fulfill its obligation under the Contract and to ensure compliance with any applicable law. Any insurance acquired or maintained by the Contractor is at its own expense and for its own benefit and protection. It does not release the Contractor from or reduce its liability under the Contract.

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## **PART 7 – RESULTING CONTRACT CLAUSES**

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

### **7.1 Statement of Work**

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

### **7.2 Standard Clauses and Conditions**

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

#### **7.2.1 General Conditions**

2035 (2018-06-21), General Conditions - Higher Complexity - Services, apply to and form part of the Contract.

#### **7.2.2 Supplemental General Conditions**

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

### **7.3 Security Requirement**

**7.3.1** The following security requirement (SRCL and related clauses provided by the [Contract Security Program](#) apply and form part of the Contract

#### **SECURITY REQUIREMENT FOR CANADIAN SUPPLIER: PWGSC FILE No EN891-193251**

1. The Contractor/Offeror must, at all times during the performance of the Contract/Standing Offer, hold a valid Designated Organization Screening (DOS) with approved Document Safeguarding at the level of **PROTECTED B**, issued by the Contract Security Program (CSP) of the Industrial Security Sector (ISS), Public Works and Government Services (PWGSC).
2. The Contractor/Offeror personnel requiring access to **PROTECTED** information, assets or work site(s) must EACH hold a valid **RELIABILITY STATUS**, granted or approved by the CSP/ISS/PWGSC.
3. The Contractor **MUST NOT** utilize its Information Technology systems to electronically process, produce or store **PROTECTED** information until the CSP/ISS/PWGSC has issued written approval. After approval has been granted or approved, these tasks may be performed at the level of **PROTECTED B**, including an IT Link at the level of **Protected B**.
4. Subcontracts which contain security requirements are **NOT** to be awarded without the prior written permission of the CSP/ISS/PWGSC.
5. The Contractor/Offeror must comply with the provisions of the:
  - (a) Security Requirements Check List and security guide (if applicable), attached at Annex C;
  - (b) Industrial Security Manual (Latest Edition)

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### 7.3.2 Contractor's Site or Premises Requiring Safeguarding Measures

7.3.2.1 Where safeguarding measures are required in the performance of the Work, the Contractor must diligently maintain up-to-date the information related to the Contractor's and proposed individuals' sites or premises for the following addresses:

Address:  
Street Number / Street Name, Unit / Suite / Apartment Number  
City, Province, Territory  
Postal Code

7.3.2.2 The Company Security Officer (CSO) must ensure through the [Contract Security Program](#) that the Contractor and proposed individuals hold a valid security clearance at the required level.

### 7.4 Term of Contract

#### 7.4.1 Period of the Contract

The period of the Contract is from date of contract award to \_\_\_\_\_ inclusive.

#### 7.4.2 Option to Extend the Contract

The Contractor grants to Canada the irrevocable option to extend the term of the Contract by up to **two (2)** additional **one (1) year** periods 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.

#### 7.4.3 Option to Extend - Transition Period

The Contractor acknowledges that the nature of the services provided under the Contract requires continuity and that a transition period may be required at the end of the Contract. The Contractor agrees that Canada may, at its discretion, extend the Contract by a period of **one (1) year** under the same conditions to ensure the required transition. The Contractor agrees that, during the extended period of the Contract, it will be paid in accordance with the applicable provisions as set out in the Basis of Payment.

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

#### 7.4.4 Termination on Thirty Days Notice

Canada reserves the right to terminate the Contract at any time in whole or in part by giving thirty (30) calendar days written notice to the Contractor.

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In the event of such termination, Canada will only pay for costs incurred for services rendered and accepted by Canada up to the date of the termination. Despite any other provision of the Contract, there will be no other costs that will be paid to the Contractor as a result of the termination.

## 7.5 Authorities

### 7.5.1 Contracting Authority

The Contracting Authority for the Contract is:

Name: Alain Papineau

Title: Supply Specialist

Public Works and Government Services Canada

Acquisitions Branch

Directorate: Business Management and Consulting Services Division - ZG

Address: 10 Wellington, Gatineau, Quebec K1A 0M5

Telephone: 613-858-8997

E-mail address: alain.papineau@tpsgc-pwgsc.gc.ca

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

### 7.5.2 Project Authority

The Project Authority for the Contract is:

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

Title: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: \_\_\_\_ - \_\_\_\_ - \_\_\_\_

Facsimile: \_\_\_\_ - \_\_\_\_ - \_\_\_\_

E-mail address: \_\_\_\_\_

In its absence, the Project Authority is:

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

Title: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: \_\_\_\_ - \_\_\_\_ - \_\_\_\_

Facsimile: \_\_\_\_ - \_\_\_\_ - \_\_\_\_

E-mail address: \_\_\_\_\_

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.

### 7.5.3 Contractor's Representative

Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Organization: \_\_\_\_\_  
Address: \_\_\_\_\_  
Telephone: \_\_\_\_ - \_\_\_\_ - \_\_\_\_\_  
E-mail address: \_\_\_\_\_

### 7.6 Payment

#### 7.6.1 Basis of Payment

##### 7.6.1.1 Limitation of Expenditures

The Contractor will be paid for its costs reasonably and properly incurred in the performance of the Work in accordance with the Basis of Payment in Annex B to a limitation of expenditure of \$ \_\_\_\_\_. Customs duty are included and Applicable Taxes are extra."

#### 7.6.2 Canada's Total Liability

- A. Canada's total liability to the Contractor under the Contract for authorized travel and living expenses must not exceed \$ \_\_\_\_\_. Customs duties are included and the Applicable Taxes are extra.
- B. 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 for travel and living expenses 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:
1. when it is 75 percent committed, or
  2. four (4) months before the Contract expiry date, or
  3. As soon as the Contractor considers that the contract funds provided are inadequate for the completion of the Work,
- whichever comes first.
- C. 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.

#### 7.6.3 Method of Payment

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

#### 7.6.4 SACC Manual Clauses

A9117C (2007-11-30), T1204 – Direct Request by Customer Department  
C0305C (2014-06-26), Cost Submission – Limitation of Expenditure or Ceiling Price

### 7.6.5 Electronic Payment of Invoices - Contract

The Contractor accepts to be paid using any of the following Electronic Payment Instruments:

- a. Visa Acquisition Card;
- b. MasterCard Acquisition Card;
- c. Direct Deposit (Domestic and International);
- d. Electronic Data Interchange (EDI);

### 7.6.6 Discretionary Audit

C0705C (2010-01-11), Discretionary Audit

### 7.7 Invoicing Instructions

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

Each invoice must be supported by:

- a. a copy of the release document and any other documents as specified in the Contract; and
  - b. a copy of the invoices, receipts, vouchers for all direct expenses,
2. Invoices must be distributed as follows:
    - a. The original and one (1) copy must be forwarded to the address shown on page 1 of the Contract for certification and payment; and
    - b. One (1) copy must be forwarded to the Contracting Authority identified under the section entitled "Authorities" of the Contract.

### 7.8 Certifications and Additional Information

#### 7.8.1 Compliance

Unless specified otherwise, the continuous compliance with the certifications provided by the Contractor in its bid or precedent to contract award, and the ongoing cooperation in providing additional information are conditions of the Contract and failure to comply will constitute the Contractor in default. Certifications are subject to verification by Canada during the entire period of the Contract.

#### 7.8.2 Federal Contractors Program for Employment Equity - Default by the Contractor

The Contractor understands and agrees that, when an Agreement to Implement Employment Equity (AIEE) exists between the Contractor and Employment and Social Development Canada (ESDC)-Labour, the AIEE must remain valid during the entire period of the Contract. If the AIEE becomes invalid, the name of the Contractor will be added to the Federal Contractors Program (FCP) for employment equity "FCP Limited Eligibility to Bid List" available at the bottom of the page of the [Employment and Social Development Canada \(ESDC\) - Labour's](https://www.canada.ca/en/employment-social-development/programs/employment-equity/federal-contractor-program.html#) website (<https://www.canada.ca/en/employment-social-development/programs/employment-equity/federal-contractor-program.html#>). The imposition of such a sanction by ESDC will constitute the Contractor in default as per the terms of the Contract.

### **7.8.3 Canadian Content Certification**

SACC Manual clause A3060C (2008-05-12) Canadian Content Certification

### **7.9 Applicable Laws**

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

### **7.10 Priority of Documents**

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

- (a) the Articles of Agreement;
- (b) the supplemental general conditions 4008 ( 2008-12-12)
- (c) the general conditions 2035 (2018-06-21) , Higher Complexity - Services;
- (d) Annex A, Statement of Work;
- (e) Annex B, Basis of Payment ;
- (f) Annex C, Security Requirements Check List ;
- (g) the Contractor's bid dated \_\_\_\_\_ .

### **7.11 Insurance**

The Contractor is responsible for deciding if insurance coverage is necessary to fulfill its obligation under the Contract and to ensure compliance with any applicable law. Any insurance acquired or maintained by the Contractor is at its own expense and for its own benefit and protection. It does not release the Contractor from or reduce its liability under the Contract.

### **7.12 Additional Clauses**

SACC Manual clause A9122C (2008-05-12), Protection and Security of Data Stored in Databases.

## ANNEX A - STATEMENT OF WORK

### 1. Purpose

This Statement of Work (SOW) describes the process, and associated requirements, for a Receiver General cheque image exchange solution. The SOW has been prepared with the intention of procuring the proposed solution as a service. The scope of work includes only those cheques that are exchanged as images, the current processes for exchanging paper cheques will remain as is until the transition to image exchange is complete.

### 2. RG Cheques

The Receiver General (RG) issues a significant number of cheques on behalf of the Government of Canada (GC). RG cheques are also known as 'warrants'. In fiscal year 2018/2019, the RG issued over 31 million cheques. These cheques are issued under various departmental programs such as child tax benefits, tax refunds, senior's benefits and many others.

The RG does not issue the government cheques through a financial institution, the cheques are drawn on the Bank of Canada. The RG exchanges and clears their cheques directly with the Canadian financial institutions. Since the RG participates in the settlement and clearing with the Canadian direct clearers, the RG respects the rules and standards published by Payments Canada, however there are some Payment Canada rules that are specific to the Government.

The RG is somewhat unique in the cheque clearing process in that the RG only issues cheques, the RG does not cash cheques drawn on the other financial institutions. While the RG does receive cheques as a payee (income tax payments, for example), these cheques are processed under an existing financial services contract and are out of scope for this SOW. Only the cheques issued by the RG are to be processed by this cheque image service.

All RG cheques have a unique Cheque Form Number (CFN). The CFN is either 12 digits or 13 digits in length depending on the process and cheque stock used when printing the cheque. The RG cheque number does not include a check digit. Below are images of RG cheques that show these Cheque Form Numbers. The CFN appears on the top right corner of the cheque face as well as within the MICR line. Within the MICR line, the CFN follows the Transit Number which is always '00000', and the Financial Institution which is always '117'.



The cheque sample above shows the 12 digit CFN format.



The cheque sample above shows the 13 digit CFN format.

### 3. Cheque Imaging Project

In 2010, Payments Canada (*then known as the CPA - Canadian Payments Association*) initiated the Image Rule Project. This project was a phased initiative which focused on creating efficiencies in the cheque clearing and exchange process for paper payment items and returns through the use of image technology. Paper payment items include cheques, bonds and warrants (RG cheques). The goals of the image project were to reduce complexity in the exchange and clearing of paper payment items by reducing or eliminating the need to move physical paper items between financial institution processing sites. Physical transportation of paper cheques around Canada creates inefficiencies. In addition, the reliance on air and ground transportation to ship cheques means that a portion of Canada's payment system is vulnerable to interruptions for reasons ranging from bad weather to airport security incidents.

The main deliverable of the Image Rule Project was the documented framework, rules and standards to allow financial institutions to exchange files with images of cheques electronically with other financial institutions. However, this shift to an image based processing of cheques will not only improve efficiency and lower costs; it has also allowed financial institutions to introduce new functionalities that provide faster and more convenient customer services. For example, access to cheque images for customers rather than the previous practice of enclosing cancelled cheques with printed customer statements, or allowing a customer to deposit a cheque using their smartphone or tablet.

There are 3 methods for exchanging imaged items:

- a '*Clearing Replacement Document*' (CRD) – a printout of the cheque image including the MICR coding, also referred to as '*forward items*'
- a '*Return Replacement Document*' (RRD) – a printed image of the cheque including the return information and the MICR coding, also referred to as '*returned items*'
- an '*Image Captured Payment*' (ICP) File – a cheque image file that includes a digital image of the front and back of the cheque and the MICR line coding, which can be used for both forward items and returned items

Similar to the RG's experience, financial institutions are still processing significant volumes of paper cheques despite the decline in overall cheque usage. It is the RG's understanding that the majority of

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financial institutions have made some progress on a cheque imaging solution but are at varying stages of implementation. The financial institutions have begun to image a significant volume of cheques at source, this includes via ATMs, at the branch and via mobile devices (smartphones, tablets, etc.). However, because most financial institutions are not yet fully capable of creating and/or receiving cheque image files, a large volume of items are still cleared as paper. In these situations the captured images are printed and exchanged as CRDs.

#### **4. RG Treasury Systems Renewal**

The Receiver General manages and operates a central suite of treasury related applications on behalf of the Government. These applications handle a variety of essential processes that include payment issuance, revenue collection, reconciliation, settlement and reporting. The RG is currently planning a modernization strategy for some of these core applications. This modernization effort will likely take several years to implement. The proposed solution that is described in the SOW has been prepared in an attempt to minimize any modifications or upgrades to the current suite of RG applications.

#### **5. Current Situation**

The vast majority of RG cheques are printed, enveloped and prepared for mail distribution at two PSPC production centres; one in Quebec City and one in Winnipeg. A small percentage of RG cheques are printed in departmental print sites across Canada.

The cheque recipients cash the RG cheques at a branch of the financial institution of their choice. Methods of deposit vary and include over the counter, via an ATM, via a smart phone, etc. At the end of the business day, the paper cheques collected by each branch are bundled, totaled and bagged, then couriered to the regional processing centre for that financial institution in one of six cities across Canada. The six cities are Halifax, Montreal, Toronto, Winnipeg, Calgary and Vancouver. The RG cheques that have been imaged during the deposit process must be printed as CRDs since the RG does not currently accept cheque image files.

All the paper items, cheques and CRDs, are transported to the RG's cheque processing centre which is located in Matane, Quebec. Each direct clearer enters a redemption claim against the Government for the value and volume of the cheques said to be contained in the bags of paper items. This redemption claim is entered into a Payments Canada application called the Automated Clearing and Settlement System (ACSS).

Receiver General operational staff manually prepare the cheques and CRDs into trays to be loaded and scanned by the cheque readers. The number of RG operational staff engaged in this activity varies as RG cheque volumes fluctuate during the month with peaks usually occurring a few days after high volume Government program payment dates (e.g. GST/HST Rebates). The scanning of the cheques serves two purposes – the paper item is imaged and a data file is created. This data file carries the cheque form number and the redeemed amount. This data file is input to the RG's cheque redemption and reconciliation application for item reconciliation. The item is verified to ensure that it was issued by the RG, has not been previously cashed and the amount recorded by the financial institution where the cheque was cashed agrees with the issued amount. RG operational staff are alerted to any exceptions or discrepancies.

RG operational staff analyze the exceptions and reconciliation issues, and assist in fraud investigations. RG operational staff also manually prepare any returned items or adjustments, using paper items (e.g. a cheque, a CRD or a photocopy), which are sent to the Bank of Canada (BoC) for redistribution to the financial institutions. RG operational staff reconciles the volume and value of the items processed with the redemption claims submitted by the financial institutions.

## 6. Cheque Image Files

A cheque image file (*'Image Captured Payment'* (ICP) File) must adhere to the current Payments Canada file layout standard which is the ANSI X9.100-187-2008 file layout (refer to Payments Canada Standard 015: [https://www.payments.ca/sites/default/files/standard\\_015.updated.pdf](https://www.payments.ca/sites/default/files/standard_015.updated.pdf)). Within the SOW, this file layout will be referred to as an *'ICP file'*.

Under the RG's proposed solution as described in this SOW, the RG's treasury applications will not be required to directly process an ICP file.

The data from the ICP files that is essential to the RG is:

- a quality, usable, retrievable image that can be considered as the official and legal representation of the original cheque
- the data needed to confirm that a valid issued cheque has been redeemed only once for the correct amount

The following sections further explain how this data is to be provided by the Contractor to the RG.

## 7. Cheque Image Detail Requirements

This section describes the detailed requirements of the RG cheque image exchange solution which must be delivered by the Contractor.

### 7.1 Objective

The objective of the RG's cheque image exchange solution is for the Contractor to:

- handle the processing of all RG bound ICP files
- provide one standardized data input stream to the RG
- maintain an image archive for all RG imaged items

### 7.2 Rules and Standards

The rules and standards for cheque imaging within Canada are administered by Payments Canada.

The Contractor must ensure that all Payment Canada rules and standards that are applicable to the Government of Canada are respected at all times.

The complete set of Payment Canada rules and standards can be found at the following web address: <http://www.payments.ca/about-us/our-systems-and-rules/retail-system/rules-and-standards>

### 7.3 Mandatory Elements

The Contractor must provide a cheque image exchange solution that includes the following elements:

- a process to accept incoming ICP files
- a process to transmit redeemed item data to the RG
- an image archive
- a facility for Government employees to have real time access to search, view, and print images
- a business continuity and disaster recovery plan

- 
- all required security and privacy controls

#### 7.4 Direct Clearer Bilateral Agreements

The RG will also enter into bilateral agreements with each Direct Clearer that will exchange ICP files with the RG. The Direct Clearers will be on-boarded to the RG Cheque Image Exchange process in a gradual, phased approach. These bilateral agreements will specify the ICP file exchange times and the End-of-Day (EOD) ICP File Transmission Notice formats. Within these bilateral agreements, the Direct Clearers will be instructed to send the RG bound ICP files to the Contractor and not to the RG. The ACSS claim amounts will continue to be entered as is today, the Contractor is not required to enter or verify the claim amounts.

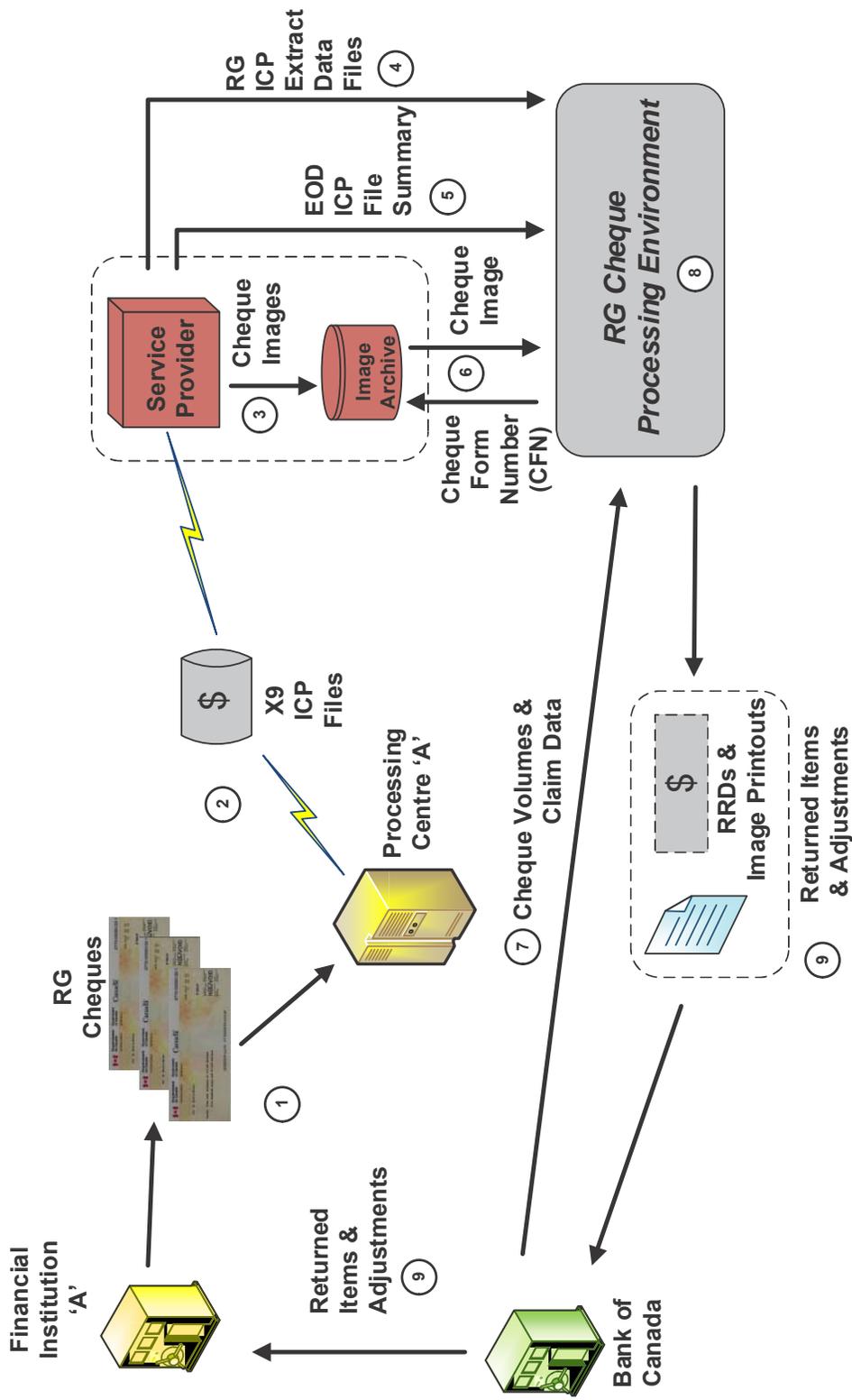
#### 7.5 RG Cheque Image Exchange Process Flow

The diagram on the following page illustrates how the cheque images are integrated into the overall process flow for RG cheque redemption and reconciliation. The numbers in the narrative below correspond to the circled numbers on the diagram.

##### Diagram Key Entities

- Financial Institution 'A' – has implemented ICP file functionality
  - Processing Centre 'A' – item processing facility for Financial Institution 'A'
  - Service Provider – the Contractor that delivers the RG services described in this SOW
1. All the RG cheques cashed at the branches of Financial Institution 'A' are transported to their Processing Centre where the items will be imaged. Financial Institution 'A' may also transmit cheque images directly to Processing Centre 'A'.
  2. All the images for the RG cheques originating from Financial Institution 'A' are formatted into an ICP file which is transmitted to the Service Provider by Processing Centre 'A'. It may also be possible for Financial Institution 'A' to transmit an ICP file directly to the Service Provider.
  3. All the images extracted from the ICP files are saved in the Image Archive. The images are indexed to facilitate ease of access by GC personnel.
  4. The essential data elements are extracted from each ICP file and reformatted into an RG ICP Extract Data File. The RG ICP Extract Data Files are transmitted to PSPC for processing by the RG's cheque redemption and reconciliation applications.
  5. After the last ICP file exchange, the Service Provider will send an RG EOD ICP File Summary listing all the ICP files received, successfully processed and the RG ICP Extract Data Files sent to the RG for that processing day.
  6. GC personnel can query the Image Archive and retrieve, display and/or print an image.
  7. The Bank of Canada transmits to the RG the daily expected volume of RG cheques and the redemption claim amounts submitted by the Direct Clearers against the GC.
  8. The RG's cheque reconciliation application will perform all the item reconciliation edits and verifications.
  9. If an exception is encountered during the item reconciliation process, RG operational staff will investigate the situation. If the results of the investigation determine that the item must be returned to the negotiating institution, RG operational staff will prepare the necessary paperwork. Any returned cheques, that have been imaged, will be sent with the necessary debit/credit adjustment forms and any related correspondence. The Bank of Canada will redistribute the returned items and adjustments to the appropriate financial institution. It must be noted that all items must be returned to the negotiating institution by the RG, the Contractor is not required to process any returned items.

**RG Cheque Image Exchange Process Flow**



## 7.6 Image Files

1. The Contractor must have the capability of receiving ICP files containing RG items from other Direct Clearers or Clearing Agents.
2. The Contractor must have the capability of providing an acknowledgment of ICP file receipt to the sending Direct Clearer or Clearing Agent (*as per Payments Canada Rule A10 - Section 26*).
3. The Contractor must have the capability of validating the format and completeness of an ICP file at both the file level and the item level.
4. The Contractor must have the automated capability of verifying the image quality and image usability. (*refer to Section 7.8 – Image Quality and Usability*)
5. The Contractor must have the automated capability of correcting unreadable MICR digits (*refer to Section 7.9 – MICR Line Corrections*) and detecting incorrectly scanned Cheque Form Numbers (*refer to Section 7.10 – Incorrectly Scanned Cheque Form Numbers*).
6. The Contractor must have the capability of creating a rejected ICP file notification when either the entire file has format or integrity issues, or the count of items with format or integrity issues exceeds a predetermined threshold. The Contractor must have the capability of sending the rejected ICP file notification to the sending Direct Clearer or Clearing Agent (*as per Standard 015 – Section 7.3*) (*refer to Section 7.11 – Rejected ICP File Notification*).
7. The Contractor must provide, to the RG, an RG EOD ICP File Summary that lists all ICP files received from the Direct Clearers and Clearing Agents and successfully processed for that day (*refer to Section 7.14 – RG EOD ICP File Summary*).
8. The Contractor must provide the capability to extract the RG required data elements from the ICP files and populate the 'RG ICP Extract Data File' (*refer to Section 7.30 - RG ICP Extract Data File Layout*). The file naming conventions will be negotiated at a later date.
9. The Contractor must provide the capability to store all images received on accepted ICP files in an image archive.
10. For each image set (*front image and back image*) stored in the image archive, the Contractor must generate and assign a unique Item Locator Number (ILN) to the image. The ILN must be provided to the RG on the 'RG ICP Extract Data File'. The format of the ILN is YYJJnnnnn where YYJJ is the Julian date format of the current processing cycle date and nnnnn is a sequential number starting at 000001 on each processing day.
11. With each image, at a minimum, the following data must also be stored along with the image:
  - the Delivering Direct Clearer (Record 10 – Cash Letter)
  - the Processing Cycle Date (Record 10 – Cash Letter)
  - the Item Locator Number (ILN) – as generated by the Contractor in Step 10
  - the data content of Record 25 - Cheque Detail
  - the data content of Record 26 - Cheque Addendum A
  - the data content of Record 28 - Cheque Addendum C

For each ICP file received from a Direct Clearer or Clearing Agent, and successfully processed by the Contractor, the Contractor must format and send one RG ICP Extract Data File.

## 7.7 Image Archive

1. The Contractor must maintain an image archive that will hold all images of RG items for the images received by the Contactor from the other Direct Clearers or Clearing Agents.
2. The Contractor must ensure that the images can be retrieved using various indexes:
  - Primary Index: Item Locator Number (ILN)
  - Secondary Index: RG Cheque Form Number (CFN)
  - Secondary Index: a combination of Delivering Direct Clearer, Processing Cycle Date Range and/or Cheque Amount

It should be noted that for searches not based on ILN, multiple images may be retrieved.

3. The Contractor must provide the capability such that the RG can retrieve and display an image from an RG online application within the PSPC technical environment. This would include system documentation in the event the RG wants to integrate direct access to the image archive within the RG's applications.
4. The Contractor must provide training materials, in both official languages, on how to use the Contractor's image archive service.
5. The Contractor must ensure that the image archive has redundant copies of all images in order to prevent image loss in the event there is hardware and/or electronic storage device failures.
6. The Contractor must ensure that the image archive has the required security and data segregation mechanisms in place to prevent unauthorized or accidental access to images of RG items.
7. The Contractor must ensure that the image archive is a key component within the business continuity and disaster recovery plan.
8. The Contactor must provide the capability for authorized Government of Canada personnel to have online access to the image archive to view RG imaged items.
9. The Contactor must provide the capability for authorized Government of Canada personnel to print an RG imaged item (*refer to Section 7.15 Return Replacement Documents and Section 7.16 Image Printouts*).
10. The Contractor must ensure that the image archive is available to authorized Government of Canada personnel during the processing hours of the Receiver General Operations in Matane, Quebec (*refer to Section 7.24 – RG Operations Processing Hours*).
11. The current image archive maintained at the Matane cheque facility is not included in the proposed solution being requested (i.e. the Matane images will not be migrated to the new image archive).

## 7.8 Image Quality and Usability

As per the Payments Canada Image Rules, all images must be usable. A usable image is a digital representation of the front and back of a payment item where any field or portion that would be required to be present and legible (read or deciphered by a human) on the original payment item (e.g. MICR line) is present and legible on the image, and any field or portion that would be required to be present and viewable (seen without obstruction) on the original payment item (e.g. signature) is present and viewable on the image.

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The Contractor must apply an automated process to ensure that all images of RG items are usable. Any image that is either missing or deemed not usable must be flagged on the cheque details record sent to the RG.

### **7.9 MICR Line Corrections**

On occasion a MICR line digit will not be readable. When this occurs, the cheque data record received on the ICP file will have the unreadable characters replaced by asterisks (\*). As previously noted, within the MICR line on RG warrants, the Transit Number is always '00000' and the Financial Institution is always '117'. The MICR line on RG warrants does not use a Serial Number nor a Transaction Code.

To ensure that the highest quality data is forwarded to the RG, the Contractor must correct any unreadable characters found in the RG Cheque Form Number (On-Us field).

The Contractor must implement processes that:

- detect the presence of unreadable characters within a cheque detail data record
- visually present the item to a trained operator
- correct the unreadable characters (*On-Us field only, i.e. the RG Cheque Form Number*)
- continue with all subsequent processes involving the data and image with the corrected data
- flag the cheque detail records where the MICR line was corrected

This process cannot impact the service timelines for delivery of the RG ICP Extract Data File to the RG. Additional data cleansing business rules may be negotiated following contract award.

### **7.10 Incorrectly Scanned Cheque Form Numbers**

On occasion, the Cheque Form Number (CFN) within the MICR line has no digits considered unreadable but nevertheless is incorrectly scanned. The incorrect CFN number is then passed with the image and cheque details. In order to reduce the number of these errors sent onto the RG's cheque reconciliation application, the Contractor must make best efforts to detect and correct these situations.

As noted in *Section 2 RG Cheques*, the RG's CFN is printed in the upper right corner of the cheque face and within the MICR line also on the cheque face. The Contractor must implement a process that ensures that the CFN within the extracted MICR line data matches the CFN in the upper right corner. This CFN is considered the correct number as the MICR line CFN may have been the cause of the incorrect scanned number.

The Contractor must ensure that their CFN matching algorithm achieves a high level of confidence before altering the CFN within the MICR line data. For any item where an incorrectly scanned CFN was corrected must be flagged on the cheque details record sent to the RG.

### **7.11 Rejected ICP File Notification**

As per Payments Canada Rule A10 Section 29, in the event that the receiving Direct Clearer rejects an ICP file, a notice of file rejection must be sent to the delivering Direct Clearer. The format, media, and method of communication will be specified within the bilateral agreements between the RG and each Direct Clearer. The RG will endeavor to standardize the method of file rejection notices across all bilateral agreements. In addition to sending the file reject notice to the delivering Direct Clearer, the Contractor must send a copy of the notice to RG Operations in Matane and to the RG systems management group located in Gatineau, Quebec.

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The file reject notice must include the following information:

- Processing Cycle Date
- File Rejection Date
- File Rejection Time
- Delivering Direct Clearer
- ICP File Name
- Reason For Rejection

Any headings and literals within the file reject notification must be presented in both official languages. The transmission method and destination of the Rejected ICP File Notification will be confirmed if and when a contract is awarded.

The Contractor will not be required to contest the value of the file in ACSS nor be required to request a replacement file. These responsibilities will remain with the RG.

#### **7.12 Duplicate File Detection**

The Contractor must detect that a duplicate file has been sent to the RG. This situation would require a ICP File Reject Notice as described in 7.11 Rejected ICP File Notification.

An ICP file should be considered a duplicate file, if:

- an ICP file with the same name has already been accepted and processed; or
- the ICP file includes a Cash Letter Id (*ICP Record 10 Field 10*) that has already been accepted and processed within a timeframe to be negotiated after contract award.

#### **7.13 Image Archive Data Corrections**

The Contractor must provide a process such that image archive metadata can be corrected. The only data elements that can be modified are:

- the RG Cheque Form Number;
- the Cheque Amount; and
- the Item Locator Number (ILN).

All indexes that include these data elements must also be appropriately updated as well. An audit trail must be maintained to track all image archive data corrections.

These image archive updates will be required for items already reconciled – there will be no requirement to re-process the items.

#### **7.14 RG EOD ICP File Summary**

Following the transmission of the last RG ICP Extract File to the RG for that processing day, the Contractor must send an RG EOD ICP File Summary to the RG (*refer to Section 7.31 - RG EOD ICP File Summary*). The summary data must be provided in electronic format and include, at a minimum, the following data elements:

- Processing Cycle Date

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- For each Direct Clearer:
  - For each ICP File received from that Direct Clearer:
    - ICP File Name
    - Number of Items on the ICP File
    - Total Value of the ICP File
  - Total Number of Items from all ICP Files from that Direct Clearer
  - Total Value of all ICP Files from that Direct Clearer

Any headings and literals within the file summary must be presented in both official languages. The transmission method and destination of the RG EOD ICP File Summary will be confirmed if and when a contract is awarded.

### **7.15 Return Replacement Documents (RRD)**

The RG is planning to use RRDs when payment is refused and the item is returned to the negotiating financial institution (*refer to Step 9 in Section 7.5 RG Cheque Image Exchange Process Flow*).

The Contractor must provide a process such that:

- an authorized RG Operations staff member can retrieve an image from the image archive
- the negotiating institution's return information for that image would also be retrieved from the image archive
- enable the RG Operations staff member to provide a return reason code
- enable the RG Operations staff member to request an RRD print
- the Contractor must provide the functionality to format the RRD as per Payments Canada Standard 013
- the RG Operations staff member will print the RRD on a MICR printer located in the Matane facility

### **7.16 Image Printouts**

Operational processes also require that the RG has the capability to print a copy of an imaged item (as per the Payments Canada Image Printout rules).

The Contractor must provide a process such that:

- an authorized RG Operations staff member can retrieve an image from the image archive
- enable the RG Operations staff member to request an image printout
- the Contractor must provide the functionality to format an image printout that includes, at a minimum, the front and back images, the current date, the negotiating institution, and the Item Locator Number (ILN)
- the RG Operations staff member will print the image printout on a printer located in the Matane facility

### **7.17 Item Threshold Alert**

The daily labour workforce required in RG Operations depends on the volume of reconciliation exceptions and investigations that need to be processed. In order to ensure that adequate staff are available to handle the expected workload, RG Operations requires advance notice of the incoming volume of items.

Once the Contractor has received 100,000 items, within a processing day, that are to be delivered to the RG, the Contractor must notify RG Operations that this threshold has been reached. The method of communication (e.g. telephone or e-mail) for this notification will be negotiated at a later date.

#### **7.18 Fraud Detection and Prevention**

The RG has great interest in reducing the taxpayer burden which is a result of altered and counterfeit Government cheques. At this time there are no specific requirements that the Contractor must meet. However, following contract award, the Contractor must work with the RG to explore possible solutions that will help detect cheque fraud.

#### **7.19 Business Continuity and Disaster Recovery Site**

1. The Contractor must ensure that business continuity plans and procedures are in place in the event that a situation interrupts the course of normal business. The business continuity plans must ensure that any interruption in service does not last longer than 4 hours.
2. The Contractor must follow any contingency procedures that have already been established by Payments Canada (*as per Rule A10 – Part V*).
3. The Contractor must ensure that a disaster recovery site is established and functional (*as per Rule A10 – Sections 20 & 21*).
4. On an annual basis the Contractor must test their disaster recovery plan, the Contractor must agree to include the transmission of files to the RG's production environment during the Contractor's disaster recovery testing to ensure connectivity between the Contractor's disaster recovery site and the RG's production environment.
5. The Contractor must agree to participate in the RG's disaster recovery testing by transmitting files, when requested, to the RG's disaster recovery site from the Contractor's production environment to ensure connectivity between the Contractor's production environment and the RG's disaster recovery site. The RG's disaster recovery testing is not expected to be conducted more than once a year.

#### **7.20 Data Sovereignty**

1. The Contractor must agree and acknowledge that the Contractor is a custodian of the RG's cheque image data, however the Government of Canada remains the legal owner of the cheque data and images.
2. The Contractor must agree and acknowledge that it is a mandatory condition that all of the RG's cheque image data must remain within Canada when the data is in transit and when the data is at rest.

#### **7.21 Data Retention**

1. The Receiver General will have the right to specify the minimum and maximum data retention periods. When the required data retention period has passed, the data must be destroyed or erased. The Contractor must develop guidelines and implement procedures to govern the destruction of the data which are to be approved by the RG. These guidelines and procedures must prevent unauthorized access during the destruction of the data.
2. The Contractor must retain all ICP files received from the Direct Clearers for a period to be negotiated following contract award.

3. The Contactor must provide the capability to retain RG cheque images for a minimum period of 7 years.
4. Due to the need to investigate items, the Contractor must provide a process such that, on an exception basis, an image can be retained past the 7 year retention period. This process must also include a method to indicate that the retention period extension for an image is no longer required.
5. All RG owned data that is held by the Contractor must be deleted according to a regular schedule that follows the stated retention periods.
6. If the Contractor must remove storage media from the Contractor's secure environment that may have been used to store RG data, if the storage media can be overwritten it must be sanitized through a secure software overwrite, or if the storage media cannot be overwritten it must be physically destroyed.
7. Following the purging of ICP files, cheque images, and any other RG data held by the Contractor, the Contactor must provide notification to the RG to confirm that the data has been deleted and list the date range(s) for which the information is no longer available.

## **7.22 Points of Contact**

1. The Contractor must identify personnel to fill two key roles that will be used as points of contact with the RG. These roles include:
  - Executive Sponsor: The Contractor must provide an Executive Sponsor for the Contract. The Executive Sponsor will have overall responsibility, on behalf of the Contractor, for all obligations under the Contract. The Executive Sponsor must be at a senior management level within the Contractor's organization. The Executive Sponsor will be an escalation point for issues that cannot be resolved by the Contract Manager.
  - Contract Manager: The Contractor must provide a Contract Manager as its representative responsible, at an operational level, for successfully delivering the solution under the contract as well as the business relationships between the RG and the Contractor.
2. The RG will assign a Project Manager to act as its point of contact for all matters concerning the initial implementation of the cheque image exchange solution and to handle on-going operations and problem escalation & resolution.

## **7.23 Implementation**

1. The Contractor must provide a detailed implementation plan listing all activities, durations and dependencies required to implement the RG's cheque image exchange solution.
2. The Contractor must include testing activities involving the RG's participation, the RG must agree with the timing and duration of these testing activities.
3. The RG reserves the right to request amendments to the implementation plan.
4. The Contractor must complete all activities within the timeframes stipulated in the final approved implementation plan unless agreement is obtained from the RG to alter the plan.
5. The Contractor must obtain final approval from the Receiver General prior to live implementation of the cheque image exchange solution.
6. Specific implementation activities must begin after the date of contract award, these activities must include:

- within 5 business days of contract award (unless otherwise mutually agreed), provide a list of contact names and contact information for the Contactor's representatives who will handle the implementation and set-up activities
- within 10 business days of contract award (unless otherwise mutually agreed), participate in operational and technical team meetings and/or teleconferences
- within 15 business days of contract award (unless otherwise mutually agreed), present an implementation plan that details all testing, configuration, training and deployment activities

#### **7.24 RG Operations Processing Hours**

The processing hours for the Receiver General Operations in Matane, Quebec are as follows (excluding GC statutory holidays):

- Monday, Tuesday, Wednesday and Saturday: 07:00am to 19:00pm EST
- Thursday and Friday: 07:00am to 22:00pm EST

#### **7.25 Ongoing Operations**

1. The Contractor must be responsible for the day-to-day operational activities required to support effective management of the cheque image exchange service and the production environment in which it operates. These activities include, but are not limited to, system availability and performance, problem management, incident management, change management, communication and escalation procedures, and regular management reporting.
2. The Contractor must also interface with the direct clearers and their processing agents with respect to cheque image exchange activities, issues and enquiries.
3. The Contactor must provide a process to record and track reported problems and incidents. The Contractor must provide the contact names and contact information for the Contactor's representatives who will handle any issues with the cheque imaging service, as well as the second and third level escalation contacts. The Contractor must provide the expected and maximum turnaround times for responding to, and resolution of, reported problems and incidents.
4. The Contractor must provide the contact names and contact information for the authorized personnel responsible for daily operations, security issues and technical support.
5. The Contractor must ensure that qualified, technical support personnel are available during the processing hours of the RG operational staff in Matane, Quebec (*refer to Section 7.24 – RG Operations Processing Hours*). The support personnel provided by the Contractor must be bilingual.

#### **7.26 Service Standards**

1. The service standards and the respective performance levels will specify the Contractor's minimum performance to meet the RG's business requirements. Accordingly, the service standards:
  - must be regularly reviewed by the Contractor and the RG;
  - must be subject to various corrective measures and continuous improvement objectives;

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- may include additions, amendments, and deletions during the term of the contract, within the scope of the contract.
- 2. The Contractor must, unless otherwise agreed with the RG, commence measuring its service levels from the date the cheque image exchange solution goes live in the production environment.
- 3. The Contractor must at its own cost, take appropriate corrective measures when service standards are not met.
- 4. The RG must receive the corresponding RG ICP Extract Data File within two (2) hours after the Contactor has received an accepted ICP file from the delivering Direct Clearer.
- 5. The Contractor must ensure that all images from the successfully processed ICP files for a given processing day, are stored in the Image Archive by 6:00am EST the following business day.
- 6. The Contactor must ensure that an image is available from the Image Archive to be viewed and/or printed, on average, within five (5) seconds after requesting the image.
- 7. The Contractor must ensure that the expected turnaround times for the responding to, and resolution of, reported problems and incidents are met 80% of the time.

#### **7.27 Change Management**

The Contractor must follow a formal and proven change management process that is designed to evaluate and minimize risks when implementing system changes and/or upgrades. The Contactor must agree that their change management process is based on a framework that includes, at a minimum, the following processes and procedures:

- clearly defined business and technical objectives, requirements and benefits
- an articulated options analysis and any associated risks
- establish and monitor a detailed work plan
- regularly scheduled status meetings with all stakeholders
- identify and provide any needed training and updated documentation
- ensure that thorough testing is conducted in a dedicated testing environment, all defects are corrected and re-tested
- ensure that each deployment includes a back-out plan
- the appropriate signoffs before deploying into the production environment

#### **7.28 Contract Transition Period**

When this contract is resolicited, and should there be a new contractor, the current contractor must facilitate the transition to the new contractor. This includes, but is not limited to, the migration of all cheque image data to the RG's new contractor. The Contractor must also provide the RG and the new contractor with the information necessary to map the existing cheque image exchange service to any new solution.

#### **7.29 Languages of Operation**

The Contractor must ensure that all online interfaces and any related documentation that will be used by GC personnel are bilingual and are available in both official languages of Canada (English and French).

### 7.30 RG ICP Extract Data File Layout

1. The file layout described in this section is required in this format to ensure that minimal modifications are necessary to the current suite of RG cheque reconciliation and redemption applications.
2. The file and record layout shown below describes the data and format that the Contractor must transmit to the RG for all ICP items processed by the Contractor.
3. There should be one (1) RG ICP Extract Data File for each ICP file successfully processed by the Contractor.
4. The RG ICP Extract Data File contains the RG required data extracted from the original ICP file.

| <b>File Header</b>         |                  |                         |                       |
|----------------------------|------------------|-------------------------|-----------------------|
| <b>Data Element</b>        | <b>Data Type</b> | <b>Format</b>           | <b>X9 File Source</b> |
| Record Type                | Char(02)         | value '01'              | Record 01 Field 01    |
| Destination Routing Number | Char(09)         | format 'CP00RSNNN'      | Record 01 Field 04    |
| Origin Routing Number      | Char(09)         | format 'CP00RSNNN'      | Record 01 Field 05    |
| X9 File Creation Date      | Char(08)         | format 'YYYYMMDD'       | Record 01 Field 06    |
| X9 File Creation Time      | Char(14)         | format "YYYYMMDDHHMNSS' | Record 01 Field 07    |
| File Creation Time         | Char(14)         | format "YYYYMMDDHHMNSS' | Derived – Note 1      |

Note 1: File Creation Time - The timestamp when the RG ICP Extract Data File was created from the original X9 ICP file sent by the delivering direct clearer

| <b>Cash Letter Header</b>  |                  |                    |                       |
|----------------------------|------------------|--------------------|-----------------------|
| <b>Data Element</b>        | <b>Data Type</b> | <b>Format</b>      | <b>X9 File Source</b> |
| Record Type                | Char(02)         | value '10'         | Record 10 Field 01    |
| Destination Routing Number | Char(09)         | format 'CP00RSNNN' | Record 10 Field 03    |
| Cash Letter Business Date  | Char(08)         | format 'YYYYMMDD'  | Record 10 Field 05    |
| Cash Letter Id             | Char(08)         |                    | Record 10 Field 10    |

| <b>Bundle Header</b>   |                  |               |                       |
|------------------------|------------------|---------------|-----------------------|
| <b>Data Element</b>    | <b>Data Type</b> | <b>Format</b> | <b>X9 File Source</b> |
| Record Type            | Char(02)         | value '20'    | Record 20 Field 01    |
| Bundle Id              | Char(10)         |               | Record 20 Field 07    |
| Bundle Sequence Number | Char(04)         |               | Record 20 Field 08    |

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| <b>Cheque Detail</b>       |                  |  |                       |
|----------------------------|------------------|--|-----------------------|
| <b>Data Element</b>        | <b>Data Type</b> | <b>Format</b>  | <b>X9 File Source</b> |
| Record Type                | Char(02)         | value '25'   | Record 25 Field 01    |
| On-Us                      | Char(20)         |  | Record 25 Field 06    |
| Cheque Amount              | Numeric(10)      | format '\$\$\$\$\$\$\$\$.99'   | Record 25 Field 07    |
| Item Sequence Number       | Char(15)         |  | Record 25 Field 08    |
| Item Locator Number        | Numeric(11)      | YYJJJnnnnnn  | Derived – Note 2      |
| Image Validation Indicator | Char(01)         | Value<br>'0' (valid)<br>'1' (MICR line correction)<br>'2' (incorrectly scanned MICR<br>CFN corrected)<br>'3' (image is missing)<br>'4' (image is unusable) | Derived – Note 3      |

Note 2: Item Locator Number – The unique item number assigned by the Contactor for each image set (*front image and back image*) stored in the image archive.

Note 3: Image Validation Indicator – An indicator used to denote that there were problems detected with the image(s) delivered on the ICP file.

- '0' – no problems encountered with the front or back images
- '1' – the MICR line data was received from the Direct Clearer with unreadable digits and was corrected
- '2' – the MICR data CFN was found to be incorrectly scanned and was corrected
- '3' – no front or back image was included on the ICP file for an item
- '4' – either the front and/or back image of an item is not usable

| <b>Bundle Trailer</b> |                  |                              |                       |
|-----------------------|------------------|------------------------------|-----------------------|
| <b>Data Element</b>   | <b>Data Type</b> | <b>Format</b>                | <b>X9 File Source</b> |
| Record Type           | Char(02)         | value '70'                   | Record 70 Field 01    |
| Bundle Item Count     | Numeric(04)      | format '9999'                | Record 70 Field 02    |
| Bundle Total Amount   | Numeric(12)      | format '\$\$\$\$\$\$\$\$.99' | Record 70 Field 03    |

| <b>Cash Letter Trailer</b> |                  |                              |                       |
|----------------------------|------------------|------------------------------|-----------------------|
| <b>Data Element</b>        | <b>Data Type</b> | <b>Format</b>                | <b>X9 File Source</b> |
| Record Type                | Char(02)         | value '90'                   | Record 90 Field 01    |
| Cash Letter Item Count     | Numeric(08)      | format '99999999'            | Record 90 Field 03    |
| Cash Letter Item Value     | Numeric(14)      | format '\$\$\$\$\$\$\$\$.99' | Record 90 Field 04    |

| <b>File Trailer</b> |                  |                              |                       |
|---------------------|------------------|------------------------------|-----------------------|
| <b>Data Element</b> | <b>Data Type</b> | <b>Format</b>                | <b>X9 File Source</b> |
| Record Type         | Char(02)         | value '99'                   | Record 99 Field 01    |
| Total Record Count  | Numeric(08)      | format '99999999'            | Record 99 Field 03    |
| Total Item Count    | Numeric(08)      | format '99999999'            | Record 99 Field 04    |
| Total File Value    | Numeric(16)      | format '\$\$\$\$\$\$\$\$.99' | Record 99 Field 05    |

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5. The RG ICP Extract Data File has the following structure:

File Header (Record Type '01')  
 Cash Letter Header (Record Type '10') *(first Cash Letter record)*  
 Bundle Header (Record Type '20') *(first Bundle record within the Cash Letter)*  
 Cheque Detail (Record Type '25') *(first Cheque Detail record with the Bundle)*  
 .....  
 Cheque Detail (Record Type '25') *(last Cheque Detail record with the Bundle)*  
 Bundle Trailer (Record Type '70') *(first Bundle Trailer record within the Cash Letter)*  
 .....  
 Bundle Header (Record Type '20') *(last Bundle record within the Cash Letter)*  
 Cheque Detail (Record Type '25') *(first Cheque Detail record with the Bundle)*  
 .....  
 Cheque Detail (Record Type '25') *(last Cheque Detail record with the Bundle)*  
 Bundle Trailer (Record Type '70') *(last Bundle Trailer record within the Cash Letter)*  
 Cash Letter Trailer (Record Type '90') *(first Cash Letter Trailer record)*  
 .....  
 Cash Letter Header (Record Type '10') *(last Cash Letter record)*  
 Bundle Header (Record Type '20') *(first Bundle record within the Cash Letter)*  
 Cheque Detail (Record Type '25') *(first Cheque Detail record with the Bundle)*  
 .....  
 Cheque Detail (Record Type '25') *(last Cheque Detail record with the Bundle)*  
 Bundle Trailer (Record Type '70') *(first Bundle Trailer record within the Cash Letter)*  
 .....  
 Bundle Header (Record Type '20') *(last Bundle record within the Cash Letter)*  
 Cheque Detail (Record Type '25') *(first Cheque Detail record with the Bundle)*  
 .....  
 Cheque Detail (Record Type '25') *(last Cheque Detail record with the Bundle)*  
 Bundle Trailer (Record Type '70') *(last Bundle Trailer record within the Cash Letter)*  
 Cash Letter Trailer (Record Type '90') *(last Cash Letter Trailer record)*  
 File Trailer (Record Type '99')

The RG may request amendments or revisions to the file layout during the contract period, the implementation timing of any such modifications will be negotiated with the Contractor.

**7.31 RG EOD ICP File Summary**

1. The RG EOD ICP File Summary lists all ICP files received from the Direct Clearers and Clearing Agents that were successfully processed for a given processing day.

| File Header           |           |                         |
|-----------------------|-----------|-------------------------|
| Data Element          | Data Type | Format                  |
| Record Type           | Char(02)  | value '01'              |
| Processing Cycle Date | Char(08)  | format 'YYYYMMDD'       |
| File Creation Time    | Char(14)  | format "YYYYMMDDHHMNSS" |

| ICP File                  |             |  |
|---------------------------|-------------|--|
| Data Element              | Data Type   | Format                                   |
| Record Type               | Char(02)    | value '02'                               |
| Delivering Direct Clearer | Numeric(03) | format '999'                             |
| ICP File Name             | Char(44)    |  |
| ICP File Item Count       | Numeric(08) | format '99999999'                        |
| ICP File Item Value       | Numeric(16) | format '\$\$\$\$\$\$\$\$\$\$\$\$\$\$.99' |

| Direct Clearer Totals     |             |  |
|---------------------------|-------------|--|
| Data Element              | Data Type   | Format                                   |
| Record Type               | Char(02)    | value '03'                               |
| Delivering Direct Clearer | Numeric(03) | format '999'                             |
| Total File Count          | Numeric(03) | Format '999'                             |
| Total Item Count          | Numeric(08) | format '99999999'                        |
| Total Item Value          | Numeric(16) | format '\$\$\$\$\$\$\$\$\$\$\$\$\$\$.99' |

2. The RG EOD ICP File Summary has the following structure:

File Header (Record Type '01')  
     ICP File (Record Type '02') (*first ICP file record for the first direct clearer*)  
     .....  
     ICP File (Record Type '02') (*last ICP file record for the first direct clearer*)  
 Direct Clearer Totals (Record Type '03') (*totals record for the first direct clearer*)  
     .....  
     ICP File (Record Type '02') (*first ICP file record for the last direct clearer*)  
     .....  
     ICP File (Record Type '02') (*last ICP file record for the last direct clearer*)  
 Direct Clearer Totals (Record Type '03') (*totals record for the last direct clearer*)

The RG may request amendments or revisions to the file layout during the contract period, the implementation timing of any such modifications will be negotiated with the Contractor.

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## 8. RG Cheque Volumes

The following table provides the actual and forecasted volumes of RG issued cheques. It is anticipated that the volume of cheques will decline over the years as the GC continues to promote direct deposit as the preferred method of payment.

These estimates have been provided to illustrate expected future volumes, there is no guarantee that these predictions will materialize.

| Actual | Fiscal Year | Apr       | May       | Jun       | Jul       | Aug       | Sep       | Oct       | Nov       | Dec       | Jan       | Feb       | Mar       | Annual     | Decrease |
|--------|-------------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|------------|----------|
|        | 2014-2015   | 8,017,301 | 6,950,628 | 4,145,066 | 6,934,490 | 3,701,478 | 3,178,218 | 5,789,820 | 2,832,493 | 3,464,238 | 4,661,939 | 2,569,686 | 3,541,232 | 55,786,589 |          |
|        | 2015-2016   | 6,213,522 | 4,978,604 | 3,199,639 | 5,924,346 | 3,182,090 | 3,106,775 | 4,773,348 | 2,656,503 | 2,905,995 | 3,948,256 | 2,443,944 | 3,344,931 | 46,677,953 | 16.33%   |
|        | 2016-2017   | 5,418,877 | 4,451,286 | 3,531,964 | 4,453,715 | 2,234,159 | 1,739,340 | 3,168,382 | 1,902,414 | 1,544,266 | 3,548,664 | 1,781,496 | 2,481,602 | 36,256,165 | 22.33%   |
|        | 2017-2018   | 4,264,244 | 4,260,392 | 2,336,753 | 3,863,277 | 2,300,669 | 1,570,904 | 3,367,259 | 1,940,776 | 1,509,511 | 3,433,312 | 1,681,764 | 1,918,227 | 32,447,088 | 10.51%   |
|        | 2018-2019   | 4,442,047 | 4,051,952 | 2,109,810 | 3,763,773 | 2,210,071 | 1,974,564 | 3,118,939 | 1,437,295 | 1,480,273 | 3,082,567 | 1,420,697 | 1,986,893 | 31,078,881 | 4.22%    |
|        | Average     | 5,671,198 | 4,938,572 | 3,064,646 | 4,987,920 | 2,725,693 | 2,313,960 | 4,043,550 | 2,153,896 | 2,180,857 | 3,734,948 | 1,979,517 | 2,654,577 | 40,449,335 |          |

| Forecast | Fiscal Year | Annual     | Decrease |
|----------|-------------|------------|----------|
|          | 2019-2020   | 30,000,000 | 3.47%    |
|          | 2020-2021   | 29,000,000 | 3.33%    |
|          | 2021-2022   | 28,000,000 | 3.45%    |
|          | 2022-2023   | 27,000,000 | 3.57%    |
|          | 2023-2024   | 26,000,000 | 3.70%    |
|          | 2024-2025   | 25,500,000 | 1.92%    |
|          | 2025-2026   | 25,000,000 | 1.96%    |
|          | 2026-2027   | 24,500,000 | 2.00%    |

## 9. RG Cheque Image Volumes

To ensure that all processes in the cheque image exchange service are functioning properly, the RG will implement using a phased approach. The RG will onboard the Direct Clearers as the bilateral agreements are made with those Direct Clearers who have implemented ICP file functionality.

The following table provides the estimated volume of images that will be delivered to the Contractor on behalf of the RG.

These estimates have been provided to illustrate expected future volumes, there is no guarantee that these predictions will materialize.

| Fiscal Year | Estimated Number of Cheques | Estimated Number of Images |            |
|-------------|-----------------------------|----------------------------|------------|
|             |                             | Between                    | And        |
| 2019-2020   | 30,000,000                  |                            |            |
| 2020-2021   | 29,000,000                  | 0                          | 5,800,000  |
| 2021-2022   | 28,000,000                  | 5,600,000                  | 12,320,000 |
| 2022-2023   | 27,000,000                  | 11,888,000                 | 17,280,000 |
| 2023-2024   | 26,000,000                  | 16,640,000                 | 26,000,000 |
| 2024-2025   | 25,500,000                  | 17,850,000                 | 25,500,000 |
| 2025-2026   | 25,000,000                  | 20,000,000                 | 25,000,000 |
| 2026-2027   | 24,500,000                  | 22,050,000                 | 24,500,000 |

## 10. RG Cheque Return Volumes

The following table provides the estimated volume of cheques that will be returned by the RG to the negotiating financial institutions.

It should be noted that the estimates of return volumes currently include items that are returned due to CRD quality, encoding errors and printed duplicates. It is expected that implementing an image exchange solution will result in a decrease in the volumes related to those types of issues.

These estimates have been provided to illustrate expected future volumes, there is no guarantee that these predictions will materialize.

| Fiscal Year | Estimated Number of Cheques | Estimated Number of Returns |
|-------------|-----------------------------|-----------------------------|
| 2019-2020   | 30,000,000                  | 75,282                      |
| 2020-2021   | 29,000,000                  | 72,772                      |
| 2021-2022   | 28,000,000                  | 70,263                      |
| 2022-2023   | 27,000,000                  | 67,754                      |
| 2023-2024   | 26,000,000                  | 65,244                      |
| 2024-2025   | 25,500,000                  | 63,750                      |
| 2025-2026   | 25,000,000                  | 62,500                      |
| 2026-2027   | 24,500,000                  | 61,250                      |

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## 11. User Access – Image Archive

The following table provides the number of RG staff that will require access to the Contractor's image archive.

|   | User Count |
|---|------------|
| <b>Total number of users requiring image archive access</b> | <b>70</b>  |
| <b>Average number of users working during a shift</b>       | <b>40</b>  |

It should be noted that all users working within the same shift will not be simultaneously accessing the image archive. Typically the image archive will only be accessed if an item is flagged as an exception and investigation activities are required.

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## ANNEX B - BASIS OF PAYMENT

During the period of the Contract, the Contractor will be paid as specified below, for Work performed in accordance with the Contract. Customs duties are included and Goods and Services Tax or Harmonized Sales Tax (GST/HST) is extra, if applicable.

### 1.0 Cheque Image Processing Fees

A firm all-inclusive processing fee for each cheque image item received on a ICP file on behalf of the Receiver General for Canada, and processed and archived as per the Statement of Work (Annex A).

This all-inclusive processing item fee must include all processing and reporting requirements.

| Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Option Year 1 | Option Year 2 |
|--------|--------|--------|--------|--------|---------------|---------------|
| \$     | \$     | \$     | \$     | \$     | \$            | \$            |

If a transition period is required (up to 12 months), the fees for the transition period will be the same as the rates applicable at the time of the transaction period notice issuance.

**Total Estimated Cost - Contract Period:** \$ \_\_\_\_\_.

Customs duties are included and Goods and Services Tax or Harmonized Sales Tax (GST/HST) is extra, if applicable.

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## ANNEX C - SECURITY REQUIREMENTS CHECK LIST

| SECURITY REQUIREMENTS CHECK LIST (SRCL)<br>LISTE DE VÉRIFICATION DES EXIGENCES RELATIVES À LA SÉCURITÉ (LVERS)  |   |  |
|---|---|--|
| PART A - CONTRACT INFORMATION / PARTIE A - INFORMATION CONTRACTUELLE  |   |  |
| 1. Originating Government Department or Organization /<br>Ministère ou organisme gouvernemental d'origine   | Public Works and Government Services<br>Canada                            | 2. Branch or Directorate / Direction générale ou Direction<br>RGMd/RGPB                        |
| 3. a) Subcontract Number / Numéro du contrat de sous-traitance  | 3. b) Name and Address of Subcontractor / Nom et adresse du sous-traitant |  |
| 4. Brief Description of Work / Brève description du travail<br>The Canadian payment industry is transitioning from exchanging paper cheques to exchanging cheque images. The Receiver General for Canada requires a service in order to process the cheque image data created by the Canadian financial institutions.   |   |  |
| 5. a) Will the supplier require access to Controlled Goods?<br>Le fournisseur aura-t-il accès à des marchandises contrôlées?  | <input checked="" type="checkbox"/> No<br><input type="checkbox"/> Yes    | <input type="checkbox"/> No<br><input type="checkbox"/> Yes                                    |
| 5. b) Will the supplier require access to unclassified military technical data subject to the provisions of the Technical Data Control Regulations?<br>Le fournisseur aura-t-il accès à des données techniques militaires non classifiées qui sont assujetties aux dispositions du Règlement sur le contrôle des données techniques?  | <input checked="" type="checkbox"/> No<br><input type="checkbox"/> Yes    | <input type="checkbox"/> No<br><input type="checkbox"/> Yes                                    |
| 6. Indicate the type of access required / Indiquer le type d'accès requis   |   |  |
| 6. a) Will the supplier and its employees require access to PROTECTED and/or CLASSIFIED information or assets?<br>Le fournisseur ainsi que les employés auront-ils accès à des renseignements ou à des biens PROTÉGÉS et/ou CLASSIFIÉS?<br>(Specify the level of access using the chart in Question 7. c)<br>(Préciser le niveau d'accès en utilisant le tableau qui se trouve à la question 7. c)                                | <input type="checkbox"/> No<br><input checked="" type="checkbox"/> Yes    | <input type="checkbox"/> No<br><input checked="" type="checkbox"/> Yes                         |
| 6. b) Will the supplier and its employees (e.g. cleaners, maintenance personnel) require access to restricted access areas? No access to PROTECTED and/or CLASSIFIED information or assets is permitted.<br>Le fournisseur et ses employés (p. ex. nettoyeurs, personnel d'entretien) auront-ils accès à des zones d'accès restreintes? L'accès à des renseignements ou à des biens PROTÉGÉS et/ou CLASSIFIÉS n'est pas autorisé. | <input checked="" type="checkbox"/> No<br><input type="checkbox"/> Yes    | <input type="checkbox"/> No<br><input type="checkbox"/> Yes                                    |
| 6. c) Is this a commercial courier or delivery requirement with no overnight storage?<br>S'agit-il d'un contrat de messagerie ou de livraison commerciale sans entreposage de nuit?   | <input checked="" type="checkbox"/> No<br><input type="checkbox"/> Yes    | <input type="checkbox"/> No<br><input type="checkbox"/> Yes                                    |
| 7. a) Indicate the type of information that the supplier will be required to access / Indiquer le type d'information auquel le fournisseur devra avoir accès  |   |  |
| Canada <input checked="" type="checkbox"/>  | NATO / OTAN <input type="checkbox"/>                                      | Foreign / Étranger <input type="checkbox"/>  |
| 7. b) Release restrictions / Restrictions relatives à la diffusion  |   |  |
| No release restrictions<br>Aucune restriction relative à la diffusion <input checked="" type="checkbox"/>   | All NATO countries<br>Tous les pays de l'OTAN <input type="checkbox"/>    | No release restrictions<br>Aucune restriction relative à la diffusion <input type="checkbox"/> |
| Not releasable<br>À ne pas diffuser <input type="checkbox"/>  |   |  |
| Restricted to: / Limité à: <input type="checkbox"/>   | Restricted to: / Limité à: <input type="checkbox"/>                       | Restricted to: / Limité à: <input type="checkbox"/>  |
| Specify country(ies): / Préciser le(s) pays:  | Specify country(ies): / Préciser le(s) pays:                              | Specify country(ies): / Préciser le(s) pays:   |
| 7. c) Level of Information / Niveau d'information   |   |  |
| PROTECTED A<br>PROTÉGÉ A <input type="checkbox"/>   | NATO UNCLASSIFIED<br>NATO NON CLASSIFIÉ <input type="checkbox"/>          | PROTECTED A<br>PROTÉGÉ A <input type="checkbox"/>  |
| PROTECTED B<br>PROTÉGÉ B <input checked="" type="checkbox"/>  | NATO RESTRICTED<br>NATO DIFFUSION RESTREINTE <input type="checkbox"/>     | PROTECTED B<br>PROTÉGÉ B <input type="checkbox"/>  |
| PROTECTED C<br>PROTÉGÉ C <input type="checkbox"/>   | NATO CONFIDENTIAL<br>NATO CONFIDENTIEL <input type="checkbox"/>           | PROTECTED C<br>PROTÉGÉ C <input type="checkbox"/>  |
| CONFIDENTIAL<br>CONFIDENTIEL <input type="checkbox"/>   | NATO SECRET<br>NATO SECRET <input type="checkbox"/>                       | CONFIDENTIAL<br>CONFIDENTIEL <input type="checkbox"/>  |
| SECRET<br>SECRET <input type="checkbox"/>   | COSMIC TOP SECRET<br>COSMIC TRÈS SECRET <input type="checkbox"/>          | SECRET<br>SECRET <input type="checkbox"/>  |
| TOP SECRET<br>TRÈS SECRET <input type="checkbox"/>  |   | TOP SECRET<br>TRÈS SECRET <input type="checkbox"/>   |
| TOP SECRET (SIGINT)<br>TRÈS SECRET (SIGINT) <input type="checkbox"/>  |   | TOP SECRET (SIGINT)<br>TRÈS SECRET (SIGINT) <input type="checkbox"/>                           |

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Security Classification / Classification de sécurité  
UNCLASSIFIED

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|  |
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**PART A (continued) / PARTIE A (suite)**

8. Will the supplier require access to PROTECTED and/or CLASSIFIED COMSEC information or assets?  
 Le fournisseur aura-t-il accès à des renseignements ou à des biens COMSEC désignés PROTÉGÉS et/ou CLASSIFIÉS?  
 If Yes, indicate the level of sensitivity:  
 Dans l'affirmative, indiquer le niveau de sensibilité:  No  Yes  
 Non  Oui

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 du document:  No  Yes  
 Non  Oui

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

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

|   |   |   |  |
|---|---|---|--|
| <input checked="" type="checkbox"/> RELIABILITY STATUS<br>COTE DE FIABILITÉ | <input type="checkbox"/> CONFIDENTIAL<br>CONFIDENTIEL           | <input type="checkbox"/> SECRET<br>SECRET           | <input type="checkbox"/> TOP SECRET<br>TRÈS SECRET               |
| <input type="checkbox"/> TOP SECRET - SIGINT<br>TRÈS SECRET - SIGINT        | <input type="checkbox"/> NATO CONFIDENTIAL<br>NATO CONFIDENTIEL | <input type="checkbox"/> NATO SECRET<br>NATO SECRET | <input type="checkbox"/> COSMIC TOP SECRET<br>COSMIC TRÈS SECRET |
| <input type="checkbox"/> SITE ACCESS<br>ACCÈS AUX EMPLACEMENTS              | Special comments:<br>Commentaires spéciaux: _____               |   |  |

NOTE: If multiple levels of screening are identified, a Security Classification Guide must be provided.  
 REMARQUE: Si plusieurs niveaux de contrôle de sécurité sont requis, un guide de classification de la sécurité doit être fourni.

10. b) May unscreened personnel be used for portions of the work?  
 Du personnel sans autorisation sécuritaire peut-il se voir confier des parties du travail?  No  Yes  
 Non  Oui  
 If Yes, will unscreened personnel be escorted?  
 Dans l'affirmative, le personnel en question sera-t-il escorté?  No  Yes  
 Non  Oui

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

**INFORMATION / ASSETS / RENSEIGNEMENTS / BIENS**

11. a) Will the supplier be required to receive and store PROTECTED and/or CLASSIFIED information or assets on its site or premises?  
 Le fournisseur sera-t-il tenu de recevoir et d'entreposer sur place des renseignements ou des biens PROTÉGÉS et/ou CLASSIFIÉS?  No  Yes  
 Non  Oui

11. b) Will the supplier be required to safeguard COMSEC information or assets?  
 Le fournisseur sera-t-il tenu de protéger des renseignements ou des biens COMSEC?  No  Yes  
 Non  Oui

**PRODUCTION**

11. c) Will the production (manufacture, and/or repair and/or modification) of PROTECTED and/or CLASSIFIED material or equipment occur at the supplier's site or premises?  
 Les installations du fournisseur serviront-elles à la production (fabrication et/ou réparation et/ou modification) de matériel PROTÉGÉ et/ou CLASSIFIÉ?  No  Yes  
 Non  Oui

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

11. d) Will the supplier be required to use its IT systems to electronically process, produce or store PROTECTED and/or CLASSIFIED information or data?  
 Le fournisseur sera-t-il tenu d'utiliser ses propres systèmes informatiques pour traiter, produire ou stocker électroniquement des renseignements ou des données PROTÉGÉS et/ou CLASSIFIÉS?  No  Yes  
 Non  Oui

11. e) Will there be an electronic link between the supplier's IT systems and the government department or agency?  
 Disposera-t-on d'un lien électronique entre le système informatique du fournisseur et celui du ministère ou de l'agence gouvernementale?  No  Yes  
 Non  Oui

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|  |
|--|
| Security Classification / Classification de sécurité<br>UNCLASSIFIED |
|--|





|  |
|--|
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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**

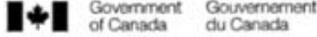
| Category<br>Catégorie  | PROTECTED<br>PROTÉGÉE |   |   | CLASSIFIED<br>CLASSIFIÉE     |        |                           | NATO   |  |             |   | COMSEC                |   |   |              |        |            |
|--|-----------------------|---|---|------------------------------|--------|---------------------------|--|--|-------------|---|-----------------------|---|---|--------------|--------|------------|
|  | A                     | B | C | CONFIDENTIAL<br>CONFIDENTIEL | SECRET | TOP SECRET<br>TRÈS SECRET | NATO RESTRICTED<br>NATO DIFFUSION RESTREINTE | NATO CONFIDENTIAL<br>NATO CONFIDENTIEL | NATO SECRET | COMSEC TOP SECRET<br>COMSEC TRÈS SECRET | PROTECTED<br>PROTÉGÉE |   |   | CONFIDENTIAL | SECRET | TOP SECRET |
|  |                       |   |   |                              |        |                           |  |  |             |   | A                     | B | C |              |        |            |
| Information / Assets<br>Renseignements / Biens<br>Production |                       | ✓ |   |                              |        |                           |  |  |             |   |                       |   |   |              |        |            |
| IT Media /<br>Support TI<br>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).**

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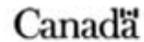


|  |
|--|
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| Security Classification / Classification de sécurité<br>UNCLASSIFIED |

| PART D - AUTHORIZATION / PARTIE D - AUTORISATION  |   |   |  |
|---|---|---|--|
| 13. Organization Project Authority / Charge de projet de l'organisme  |   |   |  |
| Name (print) - Nom (en lettres moulées)<br>Denroche, James  |   | Title - Titre<br>Product Manager                                    | Signature<br>  |
| Telephone No. - N° de téléphone<br>819-420-2660   | Facsimile No. - N° de télécopieur<br>819-420-2660 | E-mail address - Adresse courriel<br>james.denroche@pwgsc.gc.ca     | Date<br>2019/03/04   |
| 14. Organization Security Authority / Responsable de la sécurité de l'organisme   |   |   |  |
| Name (print) - Nom (en lettres moulées)<br>Fleury, Jean-Michel  |   | Title - Titre<br>SO   | Signature<br>  |
| Telephone No. - N° de téléphone<br>819-639-9758   | Facsimile No. - N° de télécopieur<br>-            | E-mail address - Adresse courriel<br>jean-michel.fleury@pwgsc.gc.ca | Date<br>2019.10.03<br>14:44:57 -04'00'   |
| 15. Are there additional instructions (e.g. Security Guide, Security Classification Guide) attached?<br>Des instructions supplémentaires (p. ex. Guide de sécurité, Guide de classification de la sécurité) sont-elles jointes? |   |   | <input type="checkbox"/> No / <input type="checkbox"/> Yes / <input type="checkbox"/> Non / <input type="checkbox"/> Oui |
| 16. Procurement Officer / Agent d'approvisionnement   |   |   |  |
| Name (print) - Nom (en lettres moulées)   |   | Title - Titre   | Signature  |
| Telephone No. - N° de téléphone   | Facsimile No. - N° de télécopieur                 | E-mail address - Adresse courriel                                   | Date   |
| 17. Contracting Security Authority / Autorité contractante en matière de sécurité   |   |   |  |
| Name<br>Vikenti Gorokhovski<br>Contract Security Officer, Contract Security Division<br>vikenti.gorokhovski@tasec-pwgsc.gc.ca<br>Tel/Tel 613-957-9337   |   | Title   | Signature<br>  |
| Telephone No. - N° de téléphone   | Facsimile No. - N° de télécopieur                 | E-mail address - Adresse courriel                                   | Date<br>2019.10.07<br>11:25:14 -04'00'   |

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|  |
|--|
| Security Classification / Classification de sécurité<br>UNCLASSIFIED |
|--|



**ANNEX D - INFORMATION TECHNOLOGY SECURITY REQUIREMENTS**

**A. IT Security Requirements**

The successful Bidder will be required to demonstrate compliance with specific Government of Canada IT security requirements. The table below provides possible criteria to which the successful Bidder must provide complete responses.

These requirements are included for **information only** to ensure potential bidders are aware of the IT security compliance requirements that will be required with any resulting contract.

Do **not** respond to these requirements at this time.

| IT Security Area                               | IT Security Compliance Requirements  | Potential Evaluation Criteria  |
|--|--|--|
| IT Security Certification                      | <p>The successful Bidder should provide proof of its security certification(s) and applicable audit standards for its proposed solution in the form of a copy of a valid certificate or audit standard and describe how the certification or audit standard was assessed and obtained (e.g.: 3rd party, self-assessment) for each IT Security certification and audit standard held.</p> <p>Examples are:<br/>           (a) FedRAMP;<br/>           (b) Cloud Security Alliance – STAR;<br/>           (c) COBIT;<br/>           (d) ISO 27001;<br/>           (e) PCI DSS;<br/>           (f) CMM.</p> <p>The successful Bidder should also stipulate if the certification or audit standard applies to the whole solution or to only a specified portion of their solution.</p> | <p>The successful Bidder's response must demonstrate:<br/>           (a) the process and rigor in how the certification(s) were obtained; and<br/>           (b) the relevancy of the certification(s) to this solution.</p> <p><b>Note:</b> depending on the nature of the security certifications, 3<sup>rd</sup> party assessments, etc. held by the successful Bidder may reduce the need to demonstrate compliance to other IT security requirements.</p> |
| IT Security Policies and Procedures (Controls) | <p>The successful Bidder should demonstrate its ability to comply with the IT security requirements by maintaining policies and procedures that support IT security throughout the Contract by providing evidence of any existing policies and procedures that support the security control families described in Annex D and ITSG-33</p>  | <p>The successful Bidder's response must provide sufficient detail with regard to its policies and procedures in order for Canada to evaluate the provided response. The response must demonstrate effective policy and procedural support for IT Security including technical, operational and maintenance security areas.</p>  |

|                                      |   |   |
|--------------------------------------|---|---|
|                                      | <p>(<a href="https://cyber.gc.ca/en/guidance/overview-itsg-33">https://cyber.gc.ca/en/guidance/overview-itsg-33</a>).</p> <p>The Bidder should describe how its policies and procedures align to the security control families by providing the following information on current policies and procedures:</p> <ul style="list-style-type: none"> <li>(a) name of policy and/or procedure</li> <li>(b) its purpose</li> <li>(c) its scope</li> <li>(d) the roles and responsibilities that are described within the policy and/or procedure</li> <li>(e) how it ensures coordination among organizational entities</li> <li>(f) how it ensures compliance within the organization</li> </ul> |   |
| <p>Disposal and Sanitization</p>     | <p>The successful Bidder should provide its proposed approach to the disposal and sanitization of Canada's data, including:</p> <ul style="list-style-type: none"> <li>(a) a plan for hard-drive sanitation or an action plan if the system is hosted in a virtual environment that will ensure Canada's data is not obtainable;</li> <li>(b) a plan for data disposal;</li> <li>(c) system disposal processes and procedures;</li> <li>(d) a plan for destruction of duplicate records that may be stored in a records management system or backups; and</li> <li>(e) the process it plans to follow when the system is no longer required and is being decommissioned.</li> </ul>         | <p>The successful Bidder's response must demonstrate that it's proposed approach to the disposal and sanitization of Canada's data meets, or effectively mitigates the risk where it does not meet, the requirements for disposal and sanitization of data and IT assets.</p>   |
| <p>Continuous Monitoring Service</p> | <p>The successful Bidder should provide its proposed approach to continuous monitoring of, and include the following components:</p> <ul style="list-style-type: none"> <li>(a) the strategy for continuous monitoring;</li> <li>(b) established measures, metrics, and status monitoring and control assessments frequencies;</li> </ul>   | <p>The successful Bidder's response must demonstrate that its proposed approach to continuous monitoring of provides:</p> <ul style="list-style-type: none"> <li>(a) high operational visibility;</li> <li>(b) strong, effective, and efficient change control management;</li> <li>(c) adherence to incident response management; and</li> </ul> |

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|  | <ul style="list-style-type: none"><li>(c) details of data collection and its reporting aspects;</li><li>(d) analysis methods of the data gathered and report findings accompanied by recommendations;</li><li>(e) response mechanisms to assessment findings to include making decisions to either mitigate technical, management and operational vulnerabilities; or accept the risk; or transfer it to another authority; and</li><li>(f) review and update cycles to support continuous improvement and maturing measurement capabilities.</li></ul> | <ul style="list-style-type: none"><li>(d) adherence to effective and efficient monitoring criteria.</li></ul> |
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**B. IT Security Controls**

In addition, the successful Bidder will be requested to demonstrate compliance with specific IT security controls. The table below provides all of the security control families that are suitable for Government of Canada departments engaged in business activities of very low to very high sensitivity and criticality in unclassified, protected, and classified domains.

This list has been created as a tool to assist security practitioners, business owners, and project teams in their efforts to protect information systems in compliance with applicable Government of Canada legislation and Treasury Board policies, directives, and standards.

This list is provided during the RFP (Request for Proposal) stage to convey to potential bidders in relation to the IT security control requirements that will be expected to be satisfied after a contract has been awarded.

| FAMILY                      | CHILD  |
|-----------------------------|--|
| ACCESS CONTROL (AC)         | AC-1 Access control policy and procedures<br>AC-2 Account management<br>AC-3 Access enforcement<br>AC-4 Information flow enforcement<br>AC-5 Separation of duties<br>AC-6 Least privilege<br>AC-7 Unsuccessful login attempts<br>AC-8 System use notification<br>AC-9 Previous logon (access) notification<br>AC-10 Concurrent session control<br>AC-11 Session lock<br>AC-12 Session termination<br>AC-13 Supervision and review — access control<br>AC-14 Permitted actions without identification or authentication<br>AC-15 Automated marking<br>AC-16 Security attributes<br>AC-17 Remote access<br>AC-18 Wireless access<br>AC-19 Access control for mobile devices<br>AC-20 Use of external information systems<br>AC-21 User-based collaboration and information sharing<br>AC-22 Publicly accessible content<br>AC-23 Data mining protection<br>AC-24 Access control decisions<br>AC-25 Reference monitor |
| AWARENESS AND TRAINING (AT) | AT-1 Security awareness and training policy and procedures<br>AT-2 Security awareness<br>AT-3 Role based security training<br>AT-4 Security training records<br>AT-5 Contacts with security groups and associations  |
|                             | AU-1 Audit and accountability policy and procedures<br>AU-2 Auditable events<br>AU-3 Content of audit records<br>AU-4 Audit storage capacity   |

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| <p>AUDIT AND<br/>ACCOUNTABILITY<br/>(AU)</p>                       | <p>AU-5 Response to audit processing failures<br/>         AU-6 Audit review, analysis, and reporting<br/>         AU-7 Audit reduction and report generation<br/>         AU-8 Time stamps<br/>         AU-9 Protection of audit information<br/>         AU-10 Non-repudiation<br/>         AU-11 Audit record retention<br/>         AU-12 Audit generation<br/>         AU-13 Monitoring for information disclosure<br/>         AU-14 Session audit<br/>         AU-15 Alternate audit capability<br/>         AU-16 Cross-organizational auditing</p>  |
| <p>SECURITY<br/>ASSESSMENT<br/>AND<br/>AUTHORIZATION<br/>(CA)</p>  | <p>CA-1 Security assessment and authorization policies and procedures<br/>         CA-2 Security assessments<br/>         CA-3 Information system connections<br/>         CA-4 Security certification<br/>         CA-5 Plan of action and milestones<br/>         CA-6 Security authorization<br/>         CA-7 Continuous monitoring<br/>         CA-8 Penetration testing<br/>         CA-9 Internal system connections</p>  |
| <p>CONFIGURATION<br/>MANAGEMENT<br/>(CM)</p>                       | <p>CM-1 Configuration management policy and procedures<br/>         CM-2 Baseline configuration<br/>         CM-3 Configuration change control<br/>         CM-4 Security impact analysis<br/>         CM-5 Access restrictions for change<br/>         CM-6 Configuration settings<br/>         CM-7 Least functionality<br/>         CM-8 Information system component inventory<br/>         CM-9 Configuration management plan<br/>         CM-10 Software usage restrictions<br/>         CM-11 User installed software</p>   |
| <p>CONTINGENCY<br/>PLANNING<br/>(CONTINUITY<br/>PLANNING) (CP)</p> | <p>CP-1 Contingency planning policy and procedures<br/>         CP-2 Contingency plan<br/>         CP-3 Contingency training<br/>         CP-4 Contingency plan testing and exercises<br/>         CP-5 Contingency plan update<br/>         CP-6 Alternate storage site<br/>         CP-7 Alternate processing site<br/>         CP-8 Telecommunications services<br/>         CP-9 Information system backup<br/>         CP-10 Information system recovery and reconstitution<br/>         CP-11 Alternate communications protocols<br/>         CP-12 Safe mode<br/>         CP-13 Alternative security mechanisms</p> |
| <p>IDENTIFICATION<br/>AND</p>                                      | <p>IA-1 Identification and authentication policy and procedures<br/>         IA-2 Identification and authentication (organizational users)<br/>         IA-3 Device identification and authentication<br/>         IA-4 Identifier management<br/>         IA-5 Authenticator management</p>   |

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| AUTHENTICATION<br>(IA)    | IA-6 Authenticator feedback<br>IA-7 Cryptographic module authentication<br>IA-8 Identification and authentication (non-organizational users)<br>IA-9 Service identification and authentication<br>IA-10 Adaptive identification and authentication<br>IA-11 Re-authentication   |
| INCIDENT<br>RESPONSE (IR) | IR-1 Incident response policy and procedures<br>IR-2 Incident response training<br>IR-3 Incident response testing and exercises<br>IR-4 Incident handling<br>IR-5 Incident monitoring<br>IR-6 Incident reporting<br>IR-7 Incident response assistance<br>IR-8 Incident response plan<br>IR-9 Information spillage response<br>IR-10 Integrated information security analysis team |
| MAINTENANCE<br>(MA)       | MA-1 System maintenance policy and procedures<br>MA-2 Controlled maintenance<br>MA-3 Maintenance tools<br>MA-4 Non-local maintenance<br>MA-5 Maintenance personnel<br>MA-6 Timely maintenance   |
| MEDIA<br>PROTECTION (MP)  | MP-1 Media protection policy and procedures<br>MP-2 Media access<br>MP-3 Media marking<br>MP-4 Media storage<br>MP-5 Media transport<br>MP-6 Media sanitization<br>MP-7 Media use<br>MP-8 Media downgrading   |
| PLANNING (PL)             | PL-1 Security planning policy and procedures<br>PL-2 System security plan<br>PL-3 System security plan update<br>PL-4 Rules of behaviour<br>PL-5 Privacy impact assessment<br>PL-6 Security-related activity planning<br>PL-7 Security concepts of operation<br>PL-8 Information security architecture<br>PL-9 Central management   |
| RISK ASSESSMENT<br>(RA)   | RA-1 Risk assessment policy and procedures<br>RA-2 Security categorization<br>RA-3 Risk assessment<br>RA-4 Risk assessment update<br>RA-5 Vulnerability scanning<br>RA-6 Technical surveillance countermeasures survey  |
|                           | SA-1 System and services acquisition policy and procedures<br>SA-2 Allocation of resources<br>SA-3 System development lifecycle<br>SA-4 Acquisition process<br>SA-5 Information system documentation  |

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| <p>SYSTEM AND SERVICES ACQUISITION (SA)</p>      | <p>SA-6 Software usage restrictions<br/> SA-7 User-installed software<br/> SA-8 Security engineering principles<br/> SA-9 External information system services<br/> SA-10 Developer configuration management<br/> SA-11 Developer security testing<br/> SA-12 Supply chain protection<br/> SA-13 Trustworthiness<br/> SA-14 Criticality analysis<br/> SA-15 Development process, standards, and tools<br/> SA-16 Developer provided training<br/> SA-17 Developer security architecture and design<br/> SA-18 Tamper resistance and detection<br/> SA-19 Component authenticity<br/> SA-20 Customized development of critical components<br/> SA-21 Developer screening<br/> SA-22 Unsupported system components</p>  |
| <p>SYSTEM AND COMMUNICATIONS PROTECTION (SC)</p> | <p>SC-1 System and communications protection policy and procedures<br/> SC-2 Application partitioning<br/> SC-3 Security function isolation<br/> SC-4 Information in shared resources<br/> SC-5 Denial of service protection<br/> SC-6 Resource availability<br/> SC-7 Boundary protection<br/> SC-8 Transmission confidentiality and integrity<br/> SC-9 Transmission confidentiality<br/> SC-10 Network disconnect<br/> SC-11 Trusted path<br/> SC-12 Cryptographic key establishment and management<br/> SC-13 Cryptographic protection<br/> SC-14 Public access protections<br/> SC-15 Collaborative computing devices<br/> SC-16 Transmission of security attributes<br/> SC-17 Public key infrastructure certificates<br/> SC-18 Mobile code<br/> SC-19 Voice over internet protocol<br/> SC-20 Secure name/address resolution service (authoritative source)<br/> SC-21 Secure name/address resolution service (recursive or caching resolver)<br/> SC-22 Architecture and provisioning for name/address resolution service<br/> SC-23 Session authenticity<br/> SC-24 Fail in known state<br/> SC-25 Thin nodes<br/> SC-26 Honeypots<br/> SC-27 Platform-independent applications<br/> SC-28 Protection of information at rest<br/> SC-29 Heterogeneity<br/> SC-30 Concealment and misdirection<br/> SC-31 Covert channel analysis<br/> SC-32 Information system partitioning<br/> SC-33 Transmission preparation integrity</p> |

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|   | SC-34 Non-modifiable executable programs<br>SC-35 Honeyclients<br>SC-36 Distributed processing and storage<br>SC-37 Out-of-band channels<br>SC-38 Operations security<br>SC-39 Process isolation<br>SC-40 Wireless link protection<br>SC-41 Port and I/O device access<br>SC-42 Sensor capability and data<br>SC-43 Usage restrictions<br>SC-44 Detonation chambers<br>SC-100 Source authentication<br>SC-101 Unclassified telecommunications systems in secure facilities  |
| SYSTEM AND<br>INFORMATION<br>INTEGRITY (SI) | SI-1 System and information integrity policy and procedures<br>SI-2 Flaw remediation<br>SI-3 Malicious code protection<br>SI-4 Information system monitoring<br>SI-5 Security alerts, advisories, and directives<br>SI-6 Security functional verification<br>SI-7 Software, firmware, and information integrity<br>SI-8 Spam protection<br>SI-9 Information input restrictions<br>SI-10 Information input validation<br>SI-11 Error handling<br>SI-12 Information output handling and retention<br>SI-13 Predictable failure prevention<br>SI-14 Non-persistence<br>SI-15 Information output filtering<br>SI-16 Memory protection<br>SI-17 Fail-safe procedures |