



Procurement and Contracting Services
30 Victoria Street, Gatineau QC K1A 0M6

Supplier@elections.ca

REQUEST FOR INFORMATION

Office of the Chief Electoral Officer File No.:

ECTD-RFI-2022-1247

Title:

Audit of the Performance of
the Duties and Functions of
Election Officers

Date:

August 8, 2022

Closing Date and Time:

August 26, 2022 at 2pm Gatineau Time

ENQUIRIES

Address enquiries to:

Supplier@elections.ca

Attention:

Tiffany Denny

Tel No.

873-416-1259

RESPONSES

Option 1 - email:

Submit responses to:

Supplier@elections.ca

Option 2 – mail:

Submit responses to:

Tiffany Denny
c/o Business Centre
30 Victoria Street
Gatineau QC K1A 0M6

This Request for Information (“RFI”) contains the following information:

PART 1. Background and Purpose

PART 2. Nature of Request for Information

PART 3. Nature and Format of Responses Requested

PART 4. Response Costs

PART 5. Treatment of Responses

PART 6. Official Languages

PART 7. Information Requested by Elections Canada

PART 8. Format of Responses

PART 9. Enquiries

PART 10. Submission of Responses

Annexes

Annex A – Draft Statement of Work

Annex B – Questions to Industry

REQUEST FOR INFORMATION

Audit of the Performance of the Duties and Functions of Election Officers

PART 1. Background and Purpose

1.1. Purpose

In order to assist Elections Canada (EC) in refining its requirements, EC is seeking feedback from suppliers regarding its requirement for Audit of the Performance of the Duties and Functions of Election Officers.

The Canada Elections Act (CEA) requires that an independent audit take place for each federal general election and by-election to determine whether election officers properly exercised the powers conferred on them and performed specific duties on all days of advance polling and on polling day.

An independent audit was first conducted during the 42nd general election.

1.2. EC Mandate

EC, headed by the Chief Electoral Officer (CEO), an agent of Parliament, is an independent, non-partisan agency with unique organizational features that reports directly to Parliament. EC exercises general direction and supervision over the conduct of election events such as general elections, by-elections and referendums at the federal level. Its mandate is to:

- a) be prepared to conduct a federal general election, by-election or referendum;
- b) administer the political financing provisions of the Canada Elections Act (CEA);
- c) monitor compliance with electoral legislation;
- d) conduct public information campaigns on voter registration, voting and becoming a candidate;
- e) conduct education programs for students on the electoral process;
- f) provide support to the independent commissions in charge of adjusting the boundaries of federal electoral districts following each decennial census;
- g) carry out studies on alternative voting methods and, with the approval of parliamentarians, test alternative voting processes for future use during electoral events; and
- h) provide assistance and cooperation in electoral matters to electoral agencies in other countries or to international organizations.

1.3. OVERVIEW

A detailed overview of this requirement can be found in the attached Annex A – Draft Statement of Work.

1.4. Anticipated Procurement Timeline

EC is at the preliminary stage of the procurement process. The high-level procurement timeline will follow a multi-phase procurement process that will likely include the following key activities:

Procurement Phase	Estimated Timeline
RFI – questions to industry	August 2022
RFI – review of responses, requirement refinement	September 2022
RFP - Solicitation	October 2022
RFP - Evaluation	November 2022
Contract Award	January-February 2023

PART 2. Part 2. Nature of Request for Information

This is not a solicitation of bids or proposals. This RFI may not lead to the launching of a procurement process, the award of any contract or the creation of a source list. As a result, suppliers of any goods or services described in this RFI should not reserve stock or facilities, nor allocate resources, as a result of any information contained in this RFI. Therefore, whether or not any supplier responds to this RFI, it will not preclude that supplier from participating in any future procurement. Also, the decision to whether or not to launch a procurement process for any of the goods or services described in this RFI is entirely at the sole discretion of EC. EC reserves the right to cancel or modify any of the preliminary requirements described herein. This RFI is simply intended to solicit feedback from industry with respect to the matters described herein and should not be considered as an authorization to undertake any work that would result in costs being charged to EC. EC reserves the right to accept or reject any or all comments received. Further respondent engagement may be conducted by EC which may include supplier engagement days, one-on-one meetings, product demonstrations, requesting additional information from respondents, etc.

PART 3. Part 3. Nature and Format of Responses Requested

Respondents are invited to provide their comments, concerns and, where applicable, alternative recommendations regarding how the requirements or objectives described in this RFI could be satisfied. Respondents are also invited to provide comments regarding the content, format and/or organization of any draft documents included in this RFI. Respondents should explain any assumptions they make in their responses.

PART 4. Part 4. Response Costs

EC will not reimburse any respondent for any expenses or costs incurred in responding to this RFI.

PART 5. Part 5. Treatment of Responses

5.1. Use of Responses

Responses will not be formally evaluated. However, the responses received may be used by EC to develop or modify procurement strategies or any draft documents contained in this RFI. EC will review all responses received by the RFI closing date. EC may, in its discretion, review responses received after the RFI closing date.

5.2. Review Team

A review team composed of representatives from EC will review the responses. EC reserves the right to hire any independent consultant, or use any government resources that it considers necessary to review any response. Not all members of the review team will necessarily review all responses.

5.3. Confidentiality

Respondents are solely responsible for marking any portions of their response that they consider proprietary or confidential. EC will handle the responses in accordance with the *Access to Information Act* and the *Privacy Act*

5.4. Follow-Up Activity

EC may, at its discretion, contact any respondents to follow up with additional questions or for clarification of any aspect of a response or for one-on-one meetings.

PART 6. Official Languages

Responses to this RFI may be submitted in either of the official languages of Canada, French or English.

PART 7. Information Requested by Elections Canada

7.1. Comments on Preliminary Document

Attached to this RFI is the following document for which EC is seeking comments from industry:

- a) Annex A – Draft Statement of Work

This document is currently at a preliminary stage only and new clauses or requirements may be added at EC's sole discretion to any solicitation that may ultimately be published by EC. Any of the clauses or requirements may be deleted or revised if used in any procurement process, at EC's sole discretion. Comments regarding any aspect of the draft document are welcome.

7.2. Responses to Questions to Industry

EC requests responses to the questions found in Annex B – Questions to Industry.

PART 8. Format of Responses

8.1. Cover Page

If the response includes multiple volumes, respondents should indicate on the front cover page of the response the title of the response, the RFI number, and the number of volumes and the full legal name of the respondent.

8.2. Title Page

The first page of each volume of the response should be the title page, which should contain:

- a) the title of the respondent's response and the volume number;
- b) the name and address of the respondent;
- c) the name, address, telephone number and email address of the respondent's contact;
- d) the date; and
- e) the RFI number.

8.3. Numbering System

Respondents should prepare their response using a numbering system corresponding to the one in this RFI. All references to descriptive material, technical manuals and brochures included as part of the response should be referenced accordingly.

PART 9. Enquiries

This is not a solicitation, therefore EC will not necessarily respond to enquiries in writing or by circulating answers to all potential respondents. However, respondents with questions regarding this RFI may direct their enquiries to the Contracting Authority via the email address identified on the cover page of this document.

PART 10. Submission of Responses

10.1. Time and Place for Submission of Responses

Respondents interested in providing a response should submit it by email to the Contracting Authority via the email address and by the closing date and time identified on the cover page of this document.

Respondents also have the option to providing their response by mail to the Contracting Authority via the address and by the closing date and time identified on the cover page of this document.

10.2. Responsibility for Timely Delivery

Each respondent is solely responsible for ensuring its response is delivered on time to the correct location.

10.3. Identification of Response

Each respondent should ensure that its name, contact person and email address, the RFI number and the closing date are included in their response in a prominent location.



Audit of the Performance of the Duties and Functions of Election Officers

Annex A

Statement of Work (SOW)

DRAFT

PART I – INTERPRETATION

1. DEFINITIONS

1.01. Unless the context clearly requires otherwise, the capitalized terms used in the SOW shall have the definitions assigned to them in the Contract or in this section. These definitions shall apply equally to both the singular and plural forms of the terms defined, and words of any gender shall include the other gender when appropriate.

440 Coventry means EC's distribution centre located at 440 Coventry Rd, Ottawa, ON, where Election Material is assembled prior to shipping and is sorted once it is returned from RO Offices and AARO Offices;

AARO means an Additional Assistant Returning Officer responsible for assisting the RO in the performance of all duties in connection with an Electoral Event in the area for which they are appointed. AAROs are appointed in EDs that cover a wide area, where communication is unusually difficult or to fulfill a supervisory role relating to Special Voting Rules Expansion locations (e.g. campuses, Friendship Centres, etc.).

AARO Office means the additional satellite offices established by ROs for between one and four AAROs in key population centres with concentrations of Electors within geographically large EDs.

Advance Poll means a period of four consecutive days during the Electoral Calendar when the polls are open between 9:00 a.m. and 9:00 p.m. on the Friday, Saturday, Sunday and Monday, the 10th, 9th, 8th and 7th days before Election Day (day 0), for those Electors who wish to vote early. The ballots are kept in a sealed envelope until Election Day and are counted at the same time as the other ballots.

Advance Polling District means a grouping of multiple PDs for Advance Polling.

Advance Polling Site means the physical location where Electors go to vote at an Advance Poll, which contains one or more Advance Polling Stations.

Advance Polling Station	means as stated in the CEA “An advance polling station shall be established in each advance polling district.” For the purposes of this SOW, it also refers to an administrative unit located within an Advance Polling Site where Electors vote during an Advance Poll, composed of one ballot box and one List of Electors per Advance Polling District assigned to the Advance Polling Station.
ARO	means an Assistant Returning Officer appointed by an RO to assist in the performance of all duties in connection with an Electoral Event. The RO may delegate responsibility to the ARO for specific duties.
Audit Approach	means the Audit methodology and timeline the Contractor submitted in their proposal.
Business Day	means a day other than a Saturday, Sunday or statutory holiday in the Province of Quebec;
C-23	means Bill C-23, an Act to amend the CEA, which received Royal Assent in June 2014;
C-76	Bill C-76, an Act to amend the CEA, which received Royal Assent in December 2018.
CEA	means the <i>Canada Elections Act</i> (S.C. 2000, c.9), as amended from time to time;
CEO	means the Chief Electoral Officer of Canada.
Conceptual Report	means the conceptual report the Contractor submitted in their proposal.
Contractor	means the individual(s) performing the Work.
DAC	means the Departmental Audit Committee that provides objective advice to the CEO on all audit work undertaken by external assurance providers relating to EC;
DCEO	means a Deputy Chief Electoral Officer who is responsible for assisting the CEO in carrying out their mandate in administering elections, referendums and other important aspects of the Canadian federal electoral system.

EC	means the Office of the CEO, commonly known as Elections Canada.
EC Audit Project Team	means Election Personnel with responsibilities related to the management of the Audit project.
ECHQ (QGEC)	means EC's offices located at 30 Victoria Street, Gatineau, QC.
ED	means an electoral district, a geographical area which returns a member of Parliament to the House of Commons.
Election Day	means the date for voting in an Electoral Event.
Election Material	means material used by Election Officers during the electoral period to conduct the election including but not limited to the registration/correction certificates, Poll Book, book of oaths, List of Electors, training material, procedures manuals, Statement of the Electors Who Voted on Polling Day (also known as sequence number sheet), ballot box, etc.
Election Officers	The field liaison officers, ROs, assistant returning officers, Special Voting Rules administrators, special ballot officers, liaison officers for correctional institutions and persons appointed by the RO under the CEO's delegated authority to perform election-related duties at a polling place for an event.
Election Personnel	Any individual working for or on behalf of EC, EC staff and EC contractors, excluding the Contractor, for the purposes of this Contract.
Elector	means any person who is qualified to vote pursuant to Section 3 of the CEA.
Electoral Calendar	means EC's electoral calendar that starts on the day that the Writ is issued and ends on day 0 (Election Day). At a minimum, the Electoral Calendar is 36 days.
Electoral Event	means either a federal general election or by-election; General elections and by-elections. The CEA states that an Electoral Event must last a minimum of 36 days. For the purpose of this SOW, an Electoral Event commences when the Writ is issued and concludes on Election Day.

IIA	means the Institute of Internal Auditors.
Importance of Controls	means the document completed by EC in an effort to assess the importance of certain internal activities/controls.
International Elector	means any person who is qualified to vote pursuant to Section 3 of the CEA who resides outside Canada and would vote by Special Ballot. They must have resided in Canada at some point before applying for registration. Applications for registration from International Electors are stored in electronic format at ECHQ.
List of Electors	means the list showing the surname, given names, civic address and mailing address of every Elector in a Polling Division and the identifier that is assigned to the Elector by the Chief Electoral Officer.
Local Elector	means any person who is qualified to vote pursuant to Section 3 of the CEA who votes by Special Ballot in their own ED because they cannot or do not wish to vote at the Ordinary Polls or Advance Polls. Applications for registration from Local Electors are received at RO Offices and stored in paper format.
Mobile Polling Station	means a Polling Station that travels between institutions where seniors or persons with a physical disability reside, in order to facilitate voting.
National Elector	means any person who is qualified to vote pursuant to Section 3 of the CEA who resides in Canada but votes by Special Ballot outside their own ED, either within Canada or abroad. Applications for registration from National Electors are stored in electronic format at ECHQ.
Oath	A solemn affirmation and a statutory declaration.
Ordinary Poll	means a type of Polling Station at which the majority of Electors vote on Election Day.
PD	means a numbered Polling Division based on geographic boundaries in an ED, each of which has a corresponding Polling Station on Election Day, serving at least 250 electors, unless the CEO agrees otherwise.

Poll Bag	means a large plastic envelope for Advance Polls, Ordinary Polls and SVR that is used to store certain documents after the polls have closed and ballots have been counted. The Poll Book, the official List of Electors, the ballots and certain other documents or forms used at the Polling Station are placed in the Poll Bag and then sealed, signed by the DRO and any candidate representatives that are present at the end of the ballot counting process, and placed inside the ballot box, which is also sealed and signed by the DRO.
Poll Book	A register document kept under the direction of the DRO, to maintain an accurate record of the proceedings throughout Election Day with respect to special or exceptional voting procedures including but not limited to an Oath taken or refused.
Polling Site	means the physical location housing one or more Polling Stations for Advance, Ordinary or Mobile Polls, the majority of which are located at community centres and schools, also commonly referred to as “polling place.”
Polling Station	means an administrative unit located within a Polling Site where Electors vote on Election Day, composed of one ballot box and one List of Electors, also commonly referred to as a “poll.”
Registration Process	means the process by which Electors are added to the List of Electors whether it be at Advance Polls, on Election Day or during the 28-day revision period, which begins on day 33 before Election Day and ends at 6 p.m. on day 6 before Election Day.
RO	means the Returning Officer appointed by the CEO to manage the conduct of an Electoral Event in an ED.
RO Office	means an office that is set up in each ED at the start of the Electoral Event from which the RO and their staff serve the public, also commonly referred to as a “local Elections Canada office.”

Special Ballot	means a ballot that can be sent in by mail or cast at an RO Office, for use by Electors who cannot or do not wish to vote at Advance Polls or on Election Day.
SVR	means the process for registration and voting by Special Ballot as set out under the Special Voting Rules, Part 11 of the CEA.
Tariff of Fees	means the Regulations made pursuant to the CEA entitled the Federal Elections Fees Tariff, which set out the fees, costs, allowances and expenses paid and allowed to ROs and other persons employed at or in relation to elections.
Technical Authority	means the EC representative who is responsible for all matters concerning the technical content of the Work under the Contract.
Validation of the Results	means the process by which every RO validates the election in their assigned ED by adding the totals recorded on each Statement of the Vote. The RO then delivers a certificate announcing the validated results to the candidates. In the absence of an application for a judicial recount, on the seventh day after the validation, the RO writes the name of the candidate who has received the most votes on the Writ, signs the Writ and returns it to the CEO.
VIC	means the Voter Information Card that EC sends to every Elector whose name appears on the preliminary List of Electors during an Electoral Event. It informs Electors when and where they can cast their ballot on Election Day or at an Advance Poll. A VIC is also sent to every Elector who is added to the List of Electors during the revision period.
Work Schedule	means the document prepared by the Contractor in accordance with Section 7.04.
Workspace	means a desk space and a chair, with no computer, telephone or internet access, provided by EC.
Writ	The Writ of election.

1.02. **APPENDICES (PLACEHOLDER AS FUTURE REFERENCE MATERIAL)**

- a) Appendix A - Risk and Control Map;
- b) Appendix B - EC Background Material;
- c) Appendix C - Walkthrough of Voting Processes; and
- d) Appendix D - Returning Officer's Aide-Mémoire (44th General Election).

2. EC MANDATE

EC, headed by the CEO, an agent of Parliament, is an independent, non-partisan agency with unique organizational features that reports directly to Parliament. EC exercises general direction and supervision over the conduct of elections and referendums at the federal level. Its mandate is to:

- a) be prepared to conduct a federal general election, by-election or referendum;
- b) administer the political financing provisions of the CEA;
- c) monitor compliance with electoral legislation;
- d) conduct public information campaigns on voter registration, voting and becoming a candidate;
- e) conduct education programs for students on the electoral process;
- f) provide support to the independent commissions in charge of adjusting the boundaries of federal electoral districts following each decennial census;
- g) carry out studies on alternative voting methods and, with the approval of parliamentarians, test alternative voting processes for future use during electoral events; and
- h) provide assistance and cooperation in electoral matters to electoral agencies in other countries or to international organizations.

3. INTRODUCTION

Elections Canada requires professional auditing services related to the planning, execution and reporting phases of an Electoral Event as well as ad hoc audits based on the following parameters:

- a) a demographically representative audit aggregated nationally for general elections;
- b) a demographically representative audit aggregated on a per Electoral District specific basis for a single by-election; and

- c) a demographically representative audit aggregated collectively when coinciding multiple by-elections fall on the same election day.

PART II – OVERVIEW

4. PROJECT BACKGROUND

- 4.01. On December 13, 2018, C-76 received Royal Assent. C-76 amended Section 164.1 of the CEA to state the following:

“For each general election and by-election, the Chief Electoral Officer shall engage an auditor that he or she considers to have technical or specialized knowledge — other than a member of his or her staff or an election officer — to perform an audit and report on whether election officers have properly exercised any of the powers conferred on them under this Act, or properly performed any of the duties imposed on them under this Act, that are specified by the Chief Electoral Officer.”

- 4.02. C-23, which received Royal Assent on June 19, 2014, includes timelines for the production of the Final Report for the legislated audit. Section 533 of the CEA states the following:

“The Chief Electoral Officer shall, in the case of a general election, without delay, and, in the case of a by-election, within 90 days after the return of the writ, publish, in the manner and form that he or she considers appropriate, a report that sets out

(a) by polling division, the number of votes cast for each candidate, the number of rejected ballots and the number of names on the final list of electors;

(a.1) by polling division, the number of additions of names and the number of corrections of information that were made to, and the number of deletions of names that were made from, the official list of electors on polling day;

(a.2) the conclusions of the report made by the auditor engaged under section .1 for that general election or by-election; and

(b) any other information that the Chief Electoral Officer considers relevant”

- 4.03. Canada is currently under a minority government. Therefore, the next fixed-date general election is unknown. Historically, minority governments have lasted between 18 and 24 months. With little or no notice, the Governor General of

Canada, with advice from the Prime Minister, may initiate an Electoral Event at an earlier date. Once a Writ is issued by the CEO, EC and an appointed RO in each of Canada's 338 federal EDs mobilize thousands of temporary Election Personnel and set the electoral process in motion.

4.04. The statutory mandate of EC is highly operational. A legal separation of responsibilities prevents formal centralization of authority over the electoral process and demands high levels of direct local participation and management by the political parties and Election Officers involved. Much of the electoral administration policy is explicitly stated in electoral legislation and thus remains directly in the hands of Parliament.

4.05. Key measures, targets and deadlines associated with a general election include but are not limited to:

- a) a minimum Electoral Calendar of 36 days from the issue of the Writ to Election Day, with key deadlines for critical steps;
- b) 338 EDs;
- c) 338 ROs;
- d) more than 14,000 Polling Sites;
- e) 67,337 Polling Stations composed of:
 - i. 60,037 Ordinary Polls
 - ii. 7,300 Advance Polls
- f) more than 195,000 specific election staff positions to be filled;
- g) more than 27 million Electors;
- h) more than 2,000 candidates;
- i) 361 First Nations reserves with Polling Stations (during the 44th general election);
- j) distribution of an updated List of Electors no later than day 11 of the Electoral Calendar and;
- k) production and distribution of VICs to all Electors on the List of Electors by day 24 of the Electoral Calendar, as prescribed in the CEA.

4.06. The election operating environment bears on the performance of Election Officers. As a result of legislative and operational constraints, the vast majority of Election Officers are hired shortly before Election Day and are provided with training, in accordance with the financial allocation for training imposed by the Tariff of Fees.

Election Officers frequently work in similar roles in other electoral jurisdictions where the legislative framework, procedures and tools differ from EC's. Moreover, they are required to work very long hours with few breaks.

- 4.07. In this context, EC has controls to ensure Election Officers have the necessary tools to perform their duties and functions. These controls include:
- a) providing Election Officers with written procedures detailing what steps should be performed, when, how and by whom;
 - b) providing recordkeeping forms and templates, where feasible, to Election Officers to document processes during voting;
 - c) performing registration and revision activities to ensure the quality of the Lists of Electors and simplify the voting process for Electors and Election Officers;
 - d) instructing central poll supervisors to perform quality control checks to ensure that procedures are followed by Election Officers at the polls;
 - e) providing training material, handouts and various tools to ROs to help train Election Officers;
 - f) offering online training modules to Election Officers;
 - g) assessing whether key items in the training material have been successfully communicated to Election Officers;
 - h) offering support to ROs using the Field Support Network (FSN);
 - i) conducting a quality control initiative of key material used by Election Officers;
 - j) integrating technology and continuously adapting procedures to ensure that the electoral process is more efficient; and
 - k) providing recommendations to Parliament regarding legislative changes to improve the federal electoral system.
- 4.08. Recordkeeping measures outlined in the CEA do not make any provisions for EC to document whether Election Officers have properly fulfilled their responsibilities in accordance with the CEA. Where recordkeeping measures exist, such as when Oaths are administered, the records are created and form part of the Election Material.
- 4.09. Election Material at every poll is returned to the applicable RO Office, and subsequently returned in aggregate to 440 Coventry. Election Material may be evaluated by the courts in the case of a judicial recount or other legal challenge.
- 4.10. Further details are provided in Appendices A, B, C and D.

5. OBJECTIVE

5.01. The objective of the Audit(s) is to perform an audit and produce a report as set out in Section 164.1 of the CEA, more specifically:

“For each general election and by-election, the Chief Electoral Officer shall engage an auditor that he or she considers to have technical or specialized knowledge — other than a member of his or her staff or an election officer — to perform an audit and report on whether election officers have properly exercised any of the powers conferred on them under this Act, or properly performed any of the duties imposed on them under this Act, that are specified by the Chief Electoral Officer.”

5.02. The Audit will assess how well Election Officers are performing specific legislated duties and report on the degree to which the established administrative controls by EC, including manuals and training material, support Election Officers in the exercise of their powers and in the performance of their duties and functions in accordance with Section 164.1 of the CEA, this SOW and any associated Task Authorizations.

5.03. In the case of a single by-election, the Audit will follow the scope of work set forth in this SOW, with the results reported on a national scale (i.e. not ED-specific).

PART III – SCOPE OF WORK

6. EC requires that the Contractor carry out the services identified in this SOW, by fulfilling the following requirements;
- performing their duties in accordance with the Standards for the Professional Practice of Internal Auditing (SPPIA) or Canadian Standards on Assurance Engagements (CSAE);
 - performing their duties in accordance with the Scope of Work, including any complementary services (Section 9) that are authorized; and
 - not preventing or impeding any Election Officers or other Election Personnel from carrying out their duties as prescribed in the CEA.

7. Planning Phase

7.01. Initial Understanding

7.01.01. From the Effective Date of the Contract, the Contractor shall perform a review and gain an understanding of all relevant procedures, powers, duties, functions and tools that fall within the scope of Section 164.1 of the CEA; for example, Election Officers' manuals, training material, memos, instructions, etc.

7.02. Kick-Off Meeting

7.02.01. Within five Business Days of the Effective Date, the Contractor must attend a meeting with the EC audit project team and the Contractor. At least three Business Days in advance of the meeting, EC shall send the Contractor the meeting agenda, date, time and location. The purpose of the meeting will be to establish the following for Electoral Events that are subject to the Audit:

- a) review the Audit Approach;
- b) review the Contractor's Conceptual Report, submitted as a part of their proposal, and identify any required changes;
- c) provide the Contractor with the Importance of Controls for the Contractor's consideration during the Audit;
- d) provide the Contractor with the mandatory pre-established EC protocol for the review and handling of Election Material;
- e) discuss anticipated information and resources to be made available by EC;
- f) participate in a question and answer session to assist the Contractor in drafting the Work Schedule; and
- g) discuss emerging issues that could impact the Audit.

7.02.02. At least two Business Days in advance of the Kick-Off Meeting, the Contractor shall provide the Technical Authority with a list of the names, titles and contact information of the Contractor's senior project participants who shall attend the Kick-Off Meeting, and must include the Contractor's single point of contact (SPOC).

7.02.03. Within five Business Days following the Kick-Off Meeting, the Contractor shall incorporate any changes that were mutually agreed to by EC and the Contractor into the Conceptual Report and submit a revised Conceptual Report to EC, subject to final approval by EC.

7.03. Other Meetings

7.03.01. The Contractor shall meet with EC during the Contract period, either via conference call or in person, determined at the Technical Authority's option, to provide a verbal audit progress update and discuss any issues, if applicable and requested by the Technical Authority.

7.04. Work Schedule

7.04.01. Within 10 Business Days following the Kick-Off Meeting, the Contractor shall submit a draft Work Schedule that outlines the delivery dates of key phases of the Audit, meets the requirements and objectives of Sections 164.1 and 533 of the CEA and adheres to the dates set out in Section 8 of this SOW, as applicable.

7.04.02. At a minimum, the draft Work Schedule must include the following:

- a) a timeline of key tasks, milestones and phases; and
- b) dates and details of required EC support.

7.04.03. Within five Business Days of receipt of the draft Work Schedule, the Technical Authority will review and ensure that there are no further clarifications needed where EC support or involvement is required therein, and provide comments, if any, to the Contractor.

7.04.04. Within five Business Days of receipt of the revised draft from the Technical Authority, the Contractor shall incorporate any comments from EC into the draft Work Schedule and submit a final Work Schedule to the Technical Authority for approval.

7.04.05. If an Electoral Event is called prior to the completion of the draft Work Schedule, the Contractor shall submit the draft Work Schedule to EC no later than seven Business Days following the issuance of the Writ for the Electoral Event. EC shall have two Business Days from the date of receipt of the draft Work Schedule to provide comments, if any. Within two Business Days of receipt, the Contractor shall incorporate any comments from EC into the draft Work Schedule and submit a final Work Schedule to EC for approval.

7. Execution Phase

7.01. For each Electoral Event, the Contractor shall perform an Audit of the performance of the duties and functions of Election Officers in accordance with Section 164.1 of the CEA, this SOW and any associated Task Authorizations, considering and leveraging the Importance of Controls, as applicable. The specific audit criteria will be provided by EC prior to the Effective date of the Contract. Complementary Audit Services criteria may be added at a future date (Section 9).

7.02. For each Electoral Event, the Contractor shall perform a review and assessment of the degree to which the established administrative controls by EC, including manuals and

training material, support Election Officers in the exercise of their powers and performance of their duties and functions in accordance with Section 164.1 of the CEA. Audit criteria is outlined in Appendix A and Complementary Audit Services criteria may be added at a future date (Section 9).

8. Reporting Phase

8.01. Draft Report

8.01.01. The Contractor shall submit one Draft Report for a general election, one Draft Report for a single by-election or one Draft Report that collectively addresses coinciding multiple by-elections that fall on the same Election Day, in English or French, to the Technical Authority no later than 40 calendar days following Election Day in the case of a by-election or coinciding multiple by-elections and no later than 120 calendar days following Election Day in the case of a general election.

8.01.02. The Draft Report shall:

- a) conform to the format and structure of the Conceptual Report as agreed to by the Contractor and EC at the Kick-Off Meeting;
- b) outline the Audit Approach;
- c) include any relevant information describing the environment Election Officers operate within (EC-established controls, environmental context, challenges and constraints);
- d) express an audit opinion that meets the Audit Objectives outlined in Section **Error! Reference source not found.** and adheres to the relevant provisions of the CEA;
- e) present audit findings and conclusions for a general election that can be generalized and are aggregated at the national level without identifying specific EDs, or generalized and aggregated collectively without identifying specific EDs in the case of coinciding multiple by-elections that fall on the same Election Day, or generalized and aggregated on a per ED specific basis for a single by-election; and
- f) offer audit recommendations that may assist EC and Parliament in identifying controls or areas where improvements could be made.

8.01.03. EC shall review the Draft Report and EC shall provide comments, if any, to the Contractor within 10 Business Days of receipt of the Draft Report in the case of a by-election or coinciding multiple by-elections and within 20 Business Days of receipt of the Draft Report in the case of a general election.

8.02. Final Report

8.02.01. The Contractor shall review the comments provided by EC and integrate those that are applicable into the Draft Report, in order to submit the Final Report to EC in both official languages in accordance with Section 15.

8.02.02. The Contractor must submit the Final Report to EC within:

- a) 70 calendar days following Election Day for each by-election or coinciding multiple by-elections; and
- b) 180 calendar days following Election Day for each general election.

8.03. Close-Out Meeting

8.03.01. If and when requested by the Technical Authority, the Contractor shall meet the EC Audit Project Team at ECHQ or virtually, within 10 Business Days of submission of the Final Report by the Contractor, to discuss lessons learned from EC's management of the legislated audit to assist in improving overall management of the legislated audit in the future.

8.03.02. Possible discussion topics could include governance, information sharing, logistics, access to Polling Sites or 440 Coventry, availability of Election Personnel, timelines, etc.

9. Audit of Complementary Election Services

9.01. Scope

9.01.01. If and when requested by the Technical Authority, and in accordance with the Task Authorization process, the Contractor shall perform audits, in addition to those required pursuant to Part III Sections 6, 7, and 8 of the SOW, to determine whether Election Officers have properly exercised their powers and properly performed their duties and functions as set out in Section 164.1 of the CEA. Additional audits that may be added through the Task Authorization process may include but are not limited to tasks related to the introduction of new technology at the polls, voting in Special Ballot settings, the production of Voter Information Cards and the revision of Lists of Electors.

10. Limited Audit

10.01. If and when requested by the Technical Authority and in accordance with the Task Authorization process, the Contractor shall perform a limited audit in accordance with this Section 10 (the "Limited Audit").

- 10.02. Should an Election Day occur prior to five Business Days following the Effective Date, the Contractor may be called upon to perform a Limited Audit of the applicable Electoral Event, following Contract award.
- 10.03. During the Limited Audit, the Contractor may not have the opportunity to observe Election Officers at Polling Sites or Advance Polling Sites, or attend training of Election Personnel, as the opportunity to do so may have arose prior to the Effective Date.
- 10.04. The Contractor shall perform the Limited Audit in accordance with the timelines set out in the Task Authorization issued by the Technical Authority.

11. Meetings

11.01. Meeting with the CEO, DCEO

- 11.01.01. If and when requested by the Technical Authority, the Contractor shall meet, in-person or virtually, at the Technical Authority's sole discretion, with the CEO and/or DCEO(s).
- 11.01.02. The Technical Authority shall send the Contractor a meeting request specifying the Contractor participants required, at least five Business Days in advance of the meeting with the CEO and/or DCEO(s), including an agenda with a list of EC attendees, proposed date, time and location of the meeting.
- 11.01.03. Within two Business Days of receipt of a meeting request as set out in Section 11.01.01, the Contractor shall either confirm their attendance to the Technical Authority or propose a new date and time for the meeting. The Contractor shall be provided with a maximum of two opportunities to provide a new date for the meeting.

12. Debrief Presentation

- 12.01. If and when requested by the Technical Authority the Contractor's senior project participants shall provide a debrief presentation of the Audit findings, conclusion and recommendations to EC-identified stakeholders.
- 12.02. The Technical Authority shall send the Contractor a debrief presentation request at least five Business Days in advance of the debrief presentation, including an agenda with a list of EC attendees and proposed date, time and location of the debrief presentation.
- 12.03. Within two Business Days of receipt of a debrief presentation request as set out in Section 12.02, the Contractor shall either confirm their attendance and provide the name and title of their participants, or propose a new date and time for the meeting. The Contractor shall be provided with a maximum of two opportunities to provide a new date for the meeting.

13. Future Electoral Events

13.01. The Contractor will be required to perform the following tasks for all future Electoral Events.

13.02. Readiness

13.02.01. Within five Business Days of EC's notice to the Contractor of an upcoming Electoral Event, the Contractor shall provide an updated Audit Approach for delivering the Electoral Event Audit. The updated Audit Approach must include:

- a) a timeline, including completion dates of key tasks, milestones and phases;
- b) dates and details of required EC support, including anticipated information and resources to be made available by EC; and
- c) the specific number of Contractor designated resources required for the Audit.

13.02.02. At least five Business Days in advance, the Technical Authority shall notify the Contractor of the proposed date for a meeting with the Contractor to discuss the updated Audit Approach. At least three Business Days in advance of the meeting, the Contractor shall provide the Technical Authority with a list of the names and titles of the Contractor's senior project participants who shall attend the meeting and must include the Contractor's SPOC. At least two Business Days in advance of the meeting, the Technical Authority shall send the Contractor the meeting agenda, time and location. The purpose of the meeting will be to:

- a) review the updated Audit Approach;
- b) discuss any necessary changes to the Conceptual Report that the Contractor should make;
- c) discuss anticipated information and resources to be made available by EC; and
- d) discuss emerging issues that could impact the Audit.

13.02.03. Within five Business Days following the meeting noted in Section 13.01.01, the Contractor shall incorporate any changes mutually agreed to by EC and the Contractor into the Conceptual Report and submit a final Conceptual Report to EC for final approval.

13.03. Execution and Reporting

13.03.01. The Contractor shall provide all services related to the execution and reporting phases to provide a demographically representative audit aggregated nationally for general elections, a demographically representative audit aggregated on a per ED specific basis for a single by-election, or a demographically representative audit

aggregated collectively when coinciding multiple by-elections fall on the same Election Day.

PART IV – PARAMETERS

14. LOCATION OF WORK

- 14.01. The majority of the Work will be performed off site, at the Contractor's chosen place of business and at locations involved in the polling process of an election, with the pre-approval of the Technical Authority.
- 14.02. As required and with the pre-approval of the Technical Authority, the Contractor may be required to perform the Work at ECHQ and/or 440 Coventry.

15. OFFICIAL LANGUAGES

- 15.01. The Contractor must provide final reports in English and French. All other services are to be completed in English or French.

16. EC OBLIGATIONS AND SUPPORT

16.01. Optional Site Visit

- 16.01.01. Should the Contractor wish to conduct a site visit at 440 Coventry at any time during the Contract period, the Contractor must submit a request in writing to the Technical Authority at least two Business Days prior to the proposed date of the site visit to:

- a) identify the proposed date and time of the site visit; and
- b) provide the Technical Authority with the name, title and contact information of the designated resources participating in the site visit at 440 Coventry.

- 16.01.02. All Contractor designated resources visiting 440 Coventry must hold valid visitor passes during their visit of 440 Coventry.

- 16.01.03. EC will ensure that the appropriate EC representative is present during the site visit to answer questions.

16.02. Information Sharing

- 16.02.01. The Contractor may request from the Technical Authority, at any time during the Contract period, any information in EC's possession, which the Contractor determines is necessary to perform the Audit. This information may include but is not limited to training manuals, procedures, videos, flow charts and reports, all of which will be shared with the Contractor, either by means of an in-person meeting, teleconference or via email, at EC's discretion.

16.02.02. The Contractor shall specify whether the attendance of an EC electoral subject matter expert is required. The Technical Authority shall have two Business Days from the date of the receipt of the request to confirm to the Contractor whether the presence of an EC subject matter expert is possible.

16.03. Requests for Parliamentary or Public Appearances and Responses or Interviews

16.03.01. During the Audit and following the publication of the Final Report by the CEO in accordance with Section 533 of the CEA, the Contractor may be requested to make parliamentary or public appearances or respond to questions or conduct interviews with the media.

16.03.02. The Contractor shall:

- a) inform the Technical Authority at least one Business Day in advance of any parliamentary or public appearance, interview with or response to questions from the media, so that the Technical Authority may relay the information to EC's Media Relations and Environmental Monitoring Directorate;
- b) provide the Technical Authority with the source of the request and a brief summary of the information to be provided by the Contractor; and
- c) provide the Technical Authority with a brief summary of the information shared by the Contractor, following any parliamentary or public appearance, interview with or response to questions from the media.

17. OTHER CONSTRAINTS

17.01. Access to Election Material

17.01.01. The Contractor may access Election Material in accordance with the pre-established EC protocol provided to the Contractor at the Kick-Off Meeting. The Contractor must adhere to this protocol for the review and handling of Election Material, such as Poll Bags, to ensure an uninterrupted chain of custody is maintained at all times.

17.01.02. At least one authorized Election Personnel member, as stipulated in the pre-established EC protocol, must be present at all times while Election Material is being reviewed and/or handled. The Contractor shall cooperate with EC to ensure that this uninterrupted chain of custody is maintained at all times during the performance of the Work.

17.02. Work Performed at Polling Sites and Advance Polling Sites

17.02.01. Pursuant to Section 135 (1)(f) of the CEA, the CEO may authorize individual observers to be present at Polling Sites by sanctioning their presence in writing.

- 17.02.02. Should the Contractor wish to perform an observation at Polling Sites or Advance Polling Sites, the Contractor must provide the Technical Authority with the name and title of each of the designated resources that will perform the observation.
- 17.02.03. Within five Business Days of receipt of the information outlined in Section 117.02.01, EC shall provide a written authorization for each of the Contractor's designated resources to the Contractor's SPOC.
- 17.02.04. Any of the Contractor's designated resources requiring access to a Polling Site or Advance Polling Site must present themselves with:
- a) the written authorization obtained in accordance with Section 117.02.01;
 - b) a Government-issued photo ID, which matches the name on the written authorization; and
 - c) a Contractor-issued name tag clearly identifying them as the Contractor's resource.
- 17.02.05. The Contractor's designated resources shall use the official language of the applicable subject's choice if and when the Contractor's designated resources choose to interact with members of the public or Election Personnel while performing Work at a Polling Site or Advance Polling Site.
- 17.03. Work Performed at 440 Coventry
- 17.03.01. There is limited working space available at 440 Coventry given the size of the location and the number of Election Personnel needed to run the operations at 440 Coventry. As a result, the Contractor shall be provided with a maximum of three Workspaces at a time at 440 Coventry.
- 17.03.02. Should the Contractor wish to conduct Audit work at 440 Coventry, the Contractor must:
- a) provide the Contracting Authority with the name, title, date of birth and Security Clearance information of the designated resources performing the Audit at 440 Coventry, no less than five Business Days prior to the start of the Audit at 440 Coventry; and
 - b) provide the Technical Authority with a list of all logistical requirements EC should consider during the Audit at 440 Coventry, no less than five Business Days prior to the start of the Audit at 440 Coventry. EC will make best efforts to fulfill all logistical requirements and, no later than two Business Days prior to the start of the Audit at 440 Coventry, the Technical Authority will advise the Contractor's SPOC if any of the logistical requirements submitted for consideration cannot be fulfilled.

- 17.03.03. Should the Contractor wish to conduct Audit work at 440 Coventry following Election Day, the Contractor must:
- a) provide the Technical Authority with a list of the EDs and Polling Stations that will be the subject of the Audit at 440 Coventry, no less than one Business Day following Election Day.
- 17.03.04. Within five Business Days of receipt of the information specified in Section 17.03.03, EC will review the list of EDs or Polling Stations submitted by the Contractor and will respond to the Contractor with an expected timeline for the Election Materials to be available at 440 Coventry for the purposes of the Audit.
- 17.04. Work Performed at an RO Office or AARO Office
- 17.04.01. Contact information for each RO will be available on EC's website.
- 17.04.02. Should the Contractor wish to conduct audit work at an RO Office or AARO Office prior to closing of the polls on Election Day, the Contractor must coordinate access to the applicable RO Office or AARO Office directly with the responsible RO, at least two Business Days prior to sending designated resources to the RO Office or AARO Office.
- 17.04.03. Should the Contractor wish to conduct Audit work at an RO Office or AARO Office following the closing of the polls on Election Day, the Contractor must inform the RO no later than 24 hours following Election Day. The notification must include which Polling Stations will be subject to audit. The Contractor will coordinate access to the applicable RO Office or AARO Office directly with the responsible RO.
- 17.04.04. Should the Contractor wish to conduct Audit work at an RO office following the closing of the polls on Election Day, the Contractor shall confirm with the applicable RO, prior to entering the RO office, that the Validation of the Results is complete and that a judicial recount is not required or requested.
- 17.04.05. Should a judicial recount be necessary, a judge must be notified within four calendar days of the Validation of the Results. The recount shall commence within four calendar days of the receipt of the request by the judge. At the conclusion of the recount, the judge delivers a certificate stating the results of the judicial recount process and returns all Election Materials to the RO. Once the Election Materials are received by the relevant RO, the Election Materials could be made available to the Contractor upon request to the relevant RO.
- 17.04.06. Poll Bags and Election Material will only be available to the Contractor, at RO Offices, four days after the Validation of the Results, provided no judicial recount is required or requested. As such, in urban EDs, Poll Bags and Election Material could be available

as early as five days after Election Day, whereas in rural areas they may only be available 12 days after Election Day.

17.04.07. The Contractor's designated resources shall use the official language of the applicable subject's choice if and when the Contractor's designated resources choose to interact with members of the public or Election Personnel while performing Work at an RO Office or AARO Office.

17.05. Training of Election Personnel

17.05.01. At the Kick-Off Meeting, EC shall provide the Contractor with a tentative calendar that provides a general overview of the timeframes when training will occur. The Contractor may request more information about the training and its timing from the Technical Authority at any time during the Contract period.

17.05.02. Should the Contractor wish to observe the training of Election Personnel, the Contractor must contact ROs directly to confirm logistics and timelines related to training in the respective RO's ED, as required.

17.05.03. Should the Contractor wish to observe the training of Election Personnel, the Contractor must provide the Technical Authority with the name and title of the designated resources that will attend training.

17.05.04. No more than two Contractor-designated resources shall attend each training session.

17.05.05. Within five Business Days of receipt of the information outlined in Section 17.05.02, EC shall provide written authorizations for each of the Contractor's designated resources to the Contractor's SPOC. The Contractor's designated resources must present the written authorization as well as Government-issued photo ID upon arrival at any training location and wear a clear Contractor-issued nametag identifying them as the Contractor's resource at all times during the training.

17.05.06. EC will not modify the training schedule to accommodate attendance by the Contractor's designated resources.

17.05.07. If the Contractor observes the training of Election Personnel, the Contractor shall:

- a) not impede or disturb the training session(s) in any way; and
- b) have Government-issued photo ID available.

17.06. Work Performed on Lands Subject to Comprehensive Land Claims Agreements

- 17.06.01. In the event that the Contractor performs Work on lands that are subject to Comprehensive Land Claims Agreements, the Contractor must use the services of a local Aboriginal Business for any required transportation services (local and long distance), hospitality (accommodations and meals), translation, photocopying and shipping supply requirements, including shipping supplies, for the performance of Work on the subject lands, provided that there is an Aboriginal Business that offers such goods or services. The Contractor may contact the claimant groups to obtain a list of Aboriginal Businesses that provide these services in the geographical regions that are subject to Comprehensive Land Claims Agreements.

DRAFT

ANNEX B – QUESTIONS TO INDUSTRY

1. To conduct audits, Elections Canada has used both the International Standards for the Professional Practice of Internal Auditing and the Canadian Standards on Assurance Engagements. In your experience, are there any other standards that would be appropriate to use when conducting the audit that is prescribed by the *Canada Elections Act*? If so, which ones? Why do you think they should be used?
2. Elections Canada requires professional services for its planning, execution and reporting phases in three possible audit situations:
 - i) a demographically representative audit that is aggregated nationally for general elections;
 - ii) a demographically representative audit that is aggregated per electoral district for a single by-election; or
 - iii) a demographically representative audit that is aggregated collectively when multiple by-elections fall on the same election day.

Given the national scope, demographic representation and the three situations above, should Elections Canada consider setting a mandatory evaluation criterion whereby a supplier must have a national presence and the capacity to deploy auditors across Canada for a single-day live audit at an estimated 20,000 polling sites during a general election?

Alternatively, if a national presence is not seen as being mandatory, what other factors should Elections Canada consider in order for a supplier to meet the requirement regarding national scope?

3. In line with the national presence requirement, considerable travel and living expenses may be incurred and be considerable. In your experience, if the related costs are to be included in the all-inclusive proposed price (financial proposal), would this represent any limitations? What alternatives could Elections Canada consider to address travel and living expenses?
4. Based on the attached Annex A – Draft Statement of Work, in your experience, do you see any areas within the scope of work that may need to be defined further? Or do you think we should consider adjusting certain elements of the scope? If so, what are those elements?
5. Based on the attached Annex A – Draft Statement of Work, in your experience, do you feel that it would be beneficial to allow for flexibility in the way the audit program is developed? If so, what would such flexibility consist of and what would be the overall benefit? Do you see any risks or challenges?

6. How could the possibility of changes in processes and tools at the polls (i.e. technology) be reflected in the Annex A – Draft Statement of Work, financial proposal and contract management to allow for more agility? Or flexibility?
7. Elections Canada would like to consider a hybrid approach to the financial evaluation criterion. In your experience, which key areas in the attached Annex A – Draft Statement of Work would you consider to be identifiable costs and which factors do you think should be considered as part of the financial evaluation for this scope of work?
8. In your experience, when responding to other international, federal or provincial procurement processes for similar types of audit services, for those that you consider innovative in their approach and successful, what made them successful? Please include the organization, title of the requirement, and the contact information of the contracting authority.
9. Would your organization be able to provide the services outlined in Annex A – Draft Statement of Work? Please elaborate.
10. Please provide any additional questions, comments, concerns or recommendations regarding any aspect of Annex A – Draft Statement of Work or the subsequent competitive procurement process.