

Part 1 - Introduction

This Request for Information (RFI) is issued solely for information and planning purposes and does not constitute a solicitation or obligation on the part of the National Energy Board of Canada (NEB). Neither unsolicited proposals nor any other kind of offers will be considered in response to this RFI. Vendors will not be reimbursed any costs associated with developing responses and/or providing information in response to this RFI and/or any follow-up information requests.

Any information submitted in response to this RFI will become the property of the NEB and will not be returned. Any/all information received in response to this RFI that is marked Proprietary will be handled accordingly. Such restrictions should be clearly indicated on each sheet containing such information.

A Request for Information (RFI) is used when detailed information and feedback are required. Responses are used to assist the NEB in finalizing their plans for the requirement and in developing achievable objectives and deliverables in order to launch a competitive Request for Proposal process.

The main objectives of this RFI are to gain information about potential solutions for a Confidential Disclosure Program Solution.

This is not a bid solicitation. A contract will not result from this activity.

This RFI is for informational purposes only and does not constitute a commitment by the NEB. Responses to this RFI will not constitute a commitment from the industry provider. The NEB will not reimburse any expenses incurred for the preparation of responses to this RFI.

CONFIDENTIALITY

All information contained in this RFI must be treated as confidential. All information obtained with this RFI is treated as confidential. Any/all information received in response to this RFI that is marked Proprietary will be handled accordingly. Such restrictions should be clearly indicated on each sheet containing such information.

Part 2 Respondent Instructions

1. Responses are to be submitted electronically to the following address:

Lorna.Kettles@neb-one.gc.ca and Nafissa.Diop@neb-one.gc.ca

2. It is requested that responses are not submitted by facsimile (fax) or physical mail, but rather only in softcopy format, submitted to the electronic mailing address above.

3. Any response submitted will become the sole property of the National Energy Board and will not be returned to the Respondent. The response will be used to assist the NEB in further analysing the presented requirement and, as such, may be used in the development of a future solicitation process.

National Energy Board Request for Information – Confidential Disclosure Program Solution File 84084-16-0076

4. The RFI document is available on <https://buyandsell.gc.ca>.

5. Response required by: 14:00 MT on June 6, 2016.

6. Inquiries

Please address all inquiries about this RFI to the Contracting Authority:

Lorna Kettles and Nafissa Diop
Management Services
The National Energy Board
517 10th Ave SW
Calgary AB, T2R 0X8
E-mail: Lorna.Kettles@neb-one.gc.ca; Nafissa.Diop@neb-one.gc.ca

To ensure the equality of information among bidders, answers to enquiries will be forwarded through Buy and Sell simultaneously to every bidder without revealing the sources of the inquiry.

Part 3 – Statement of Work

Title

Confidential Disclosure Program Solution – National Energy Board, Calgary AB

Background

The National Energy Board (NEB or the Board) is an independent federal, quasi-judicial regulator established in 1959 to promote safety and security, environmental protection and economic efficiency in the Canadian public interest within the mandate set by Parliament for the regulation of pipelines, energy development and trade. For more information see the Board's web site www.neb-one.gc.ca.

On April 26, 2016, the NEB released its new Confidential Disclosure (Whistleblower) Procedure, which will provide the NEB with a formalized way to receive, track and handle confidential disclosures with respect to activities at NEB regulated pipelines and facilities. For more information on the program see the program page <http://www.neb-one.gc.ca/cntcts/cntctwhstlblwr-eng.html>.

Objective

The objective of the RFI is to gather information from respondents in order to prepare for a competitive Request for Proposal process.

Requirement and Scope

The NEB requires a software solution to support the Board's Confidential Disclosure Procedure. The following are high level requirements for the solution:

1. Employees of regulated companies and other people, collectively called tipsters, are able to report online to disclose alleged acts of non-compliance.
2. The system must also accommodate manual entry of disclosures alleging acts of non-compliance received from employees of regulated companies and other people. NEB may receive written disclosures by mail or from inspectors in the field and require the ability to enter them in the system.
3. System access will be limited to authorized NEB staff, only.
4. The system will allow two way communications between the tipster and authorized NEB staff in a controlled and secure manner while maintaining the anonymity of the tipster.
5. The system will support the delivery of standardized and customized messaging to tipsters.

6. Tipsters can access the system to see the status of their disclosure and find out what further information is required by the NEB.
7. The information provided by tipsters, regardless of the form is considered sensitive.
8. Physical security and control over all documents, correspondence and other physical and electronic records relating to the tipster and tipster's disclosures are maintained and kept separate from all other NEB IT infrastructure.
9. The system will facilitate the workflow of the confidential disclosure procedure and allow NEB staff to link internal activities (e.g. compliance verification activities like inspections and audits) to the tipster case.
10. The system should be able to reference NEB master data, like regulated company, facility, etc. For example, as the tipster completes his or her disclosure on line they may be able to select from a list of regulated companies, and or facilities.
11. The system will have anonymous reporting capabilities so that authorized NEB staff can provide reports to the Disclosure Evaluation Committee for the purposes of program oversight and evaluation of program efficiency and effectiveness.

NEB expectations:

NEB has developed the following expectations:

- Any online systems available to the public are available in both official languages.
- System availability to be 24 hours a day, 365 days a year.
- Data and documents sent or received through the system must be adequately protected.
- System data and documents must be hosted within Canada.
- The NEB retains ownership of all system data and documents.
- Proposed solutions must adhere to the requirements of the Communications Security Establishment (CSE) Information Technology Security Guidance – [ITSG 33 Annex 3A](#), or the American equivalent from the National Institute of Standards and Technology (NIST), [Special Publication 800-53](#).

The questions in part 4 will provide respondents with the opportunity to make suggestions.

Part 4 –Questions for Industry

All respondents will answer the questions in section (A). Respondents with a hosted solution will also answer questions in section (B).

Generally responses should be limited to two pages per questions, except for question Q1.

(A) General Questions

Function	
Q1	How does the respondent propose to meet each of the business requirements listed in Part 3 of this document? Please limit your response to one page per requirement.
Q2	How does the respondent propose to offer bidirectional communications with tipsters while protecting their identity?
Q3	How will authorized NEB personnel be given access to tips submitted while maintaining the information provided by the tipsters and their identity?
Q4	The NEB expects that any online systems accessed by the public are available in both official languages of Canada (English and French). How does the respondent propose to meet the requirement for bilingual capability?
Q5	Describe how your system ensures that all disclosures from tipsters cannot be changed or deleted by anyone?
Q6	Describe your records retention program. Can your record retention practices be adapted readily to meet NEB's needs?
Infrastructure	
Q7	What measures has the respondent implemented to provide high system availability? What is the system availability, in percentage terms? Does the respondent offer this availability as part of the Service Level Agreement (SLA)?
Data Management	
Q8	Describe what out of the box reporting and analytical capabilities exist in your solution?
Software	
Q9	Does the solution have a mobile app or responsive User Interface design for your solution (e.g. the user interface automatically adapts its appearance

	depending on the size of the screen)?
Q10	What configuration options are available in your solution related to personalization and branding?
Q11	Describe how additional customization development can be performed on your solution, should any aspect of the solution require tailoring to NEB’s needs.
Q12	List the modern web browsers with which your solution is compatible.
Q13	Describe the workflow capabilities of your solution and describe how these can be configured.
Hardware	
Q14	Describe how your solution can work on tipsters’ mobile devices. What mobile devices does your solution support?
Security	
Q15	Describe how the identification, authorization and access to the information by tipsters, your support personnel and authorized NEB staff will be managed over the life cycle of the information.
Q16	Describe what security controls have been implemented in your solution to protect data in transit.
Q17	Describe what security controls have been implemented in your solution to protect data at rest.
Q18	Describe the security architecture of your solution.
Support	
Q19	Describe your support offerings. Are there different tiers or levels for different levels of service and cost?
Q20	The NEB expects system availability 24 hours a day, 365 days a year. How does the respondent propose meet this service standard?
Q21	Does the respondent sub-contract any of the services that you offer?

Q22	Based on your experience, how long is a typical ramp up period for a project of this magnitude?
Licensing and Price	
Q23	Describe your pricing model for the proposed solution; include one-time costs as well as operating costs after go-live. Provide sufficient details for the NEB to estimate the total cost of ownership of the solution for the first three years after go-live.
Vendor Background	
Q24	Has the respondent provided similar service and/or solutions to other clients? Provide a brief description of the services provided indicating the implementation duration, size of client and other pertinent details.
Q25	How long has the respondent been in the business of providing this type of service and/or solution to other clients?
Q26	Does the respondent have other suggestions or concerns about this requirement it would like to bring to the attention of NEB?

(B) Questions for Hosted Solutions:

Architecture	
Q27	Is this a hosted solution? If hosted, describe your hosting environment.
Q27	Is your architecture based on a push model (you send the tips to authorized NEB personnel automatically) or pull model (authorized NEB personnel have to login to your system periodically to check on submitted tips). Describe the architecture that you have implemented.
Infrastructure	
Q29	Does your solution support a virtualized environment?
Data Management	
Q30	Is your solution single or multi-tenant?
Q31	Could the services be provided on a separate and dedicated server?

Security	
Q32	Has your IT infrastructure received any formal security certification (e.g. SOC 2/SSAE 16), ISO 27002, etc.) from a recognized independent third party? If so, would the compliance reports be available for review?
Q33	What security controls have been implemented in your solution to protect your system from hackers?
Q34	What security monitoring capability has been deployed in your solution to detect abnormal activities on your systems?
Q35	Describe your data center physical security measures.