Office des transports du Canada
Canadian Transportation Agency

RETOURNER LES SOUMISSIONS À:
RETURN BIDS TO:

Bernadette.Beaudoin@otc-cta.gc.ca

REQUEST FOR INFORMATION DEMANDE DE RENSEIGNEMENTS

Comments - Commentaires

Raison sociale et adresse du Fournisseur/de l'entrepreneur

Vendor/Firm Name and address

No. de téléphone:
Telephone No.:

Title – Sujet: **Risk assessment software platform**	
No. de demande de renseignements – Request for information No. G410018003	**Date** November 24, 2017

Sollicitation Closes – L'invitation prend fin at – à 2 :00 PM EST on – le December 12, 2017	**Time Zone Fuseau horaire** Eastern Standard Time EST

F.O.B. - F.A.B.
Plant-Usine: ☐   **Destination:** ☑   **Other-Autre:** ☐

Address Inquiries to : - Adresser toutes questions à: Bernadette Beaudoin at Bernadette.Beaudoin@otc-cta.gc.ca	**Email:**

Telephone No. – N° de téléphone : 819-953-8958	**FAX No. – N° de FAX**

Destination – of Goods, Services, and Construction:
Destination – des biens, services et construction :
TBD

Delivery required - Livraison exigée
See Herein   Delivered Offered – Livraison proposée

Vendor/firm Name and address
Raison sociale et adresse du fournisseur/de l'entrepreneur

Facsimile No. – N° de télécopieur
Telephone No. – N° de téléphone

Name and title of person authorized to sign on behalf of Vendor/firm (type or print)-
Nom et titre de la personne autorisée à signer au nom du fournisseur/de l'entrepreneur (taper ou écrire en caractères d'imprimerie)

Signature   **Date**

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REQUEST FOR INFORMATION
Risk Assessment Tool

Part 1   Background and Purpose

1.   Background

The Canadian Transportation Agency (CTA) is an independent, quasi-judicial tribunal and regulator with the powers of a superior court. It operates within the context of the very large, multi-modal and complex Canadian Transportation System. The CTA makes decisions on economic regulation; consumer protection, and accessibility as it relates to federally-regulated modes of transportation (air, rail and marine) . The Agency exercises its powers through its members, who are appointed by the Governor-in-Council (GIC). It has three mandates

1. The CTA helps ensure that the national transportation system runs efficiently and smoothly in the interests of all Canadians: those who work and invest in it; the producers, shippers, travellers and businesses who rely on it; and the communities where it operates;

2. The CTA protects the human right of persons with disabilities to an accessible transportation network; and

3. The CTA provides consumer protection for air passengers.

To help advance its mandate, the CTA has three tools at its disposal:

1. **Rule-making:** The CTA develops and applies ground rules that establish the rights and responsibilities of transportation service providers and users and that level the playing field among competitors. These rules can take the form of binding regulations or less formal guidelines, codes of practice or interpretation notes.

2. **Dispute resolution:** The CTA resolves disputes that arise between transportation providers on the one hand and their clients and neighbours on the other, using a range of tools from facilitation and mediation to arbitration and adjudication.

3. **Information provision:** The CTA provides information on the transportation system, the rights and responsibilities of transportation providers and users, and the CTA's legislation and services.

In May 2016, the Agency announced its Regulatory Modernization Initiative (RMI) – a full review of all the regulations, guidelines and tools that it administers. The Agency intends to transform its regulations and tools to keep pace with changes in business models, user expectations and best practices in the regulatory field.

The RMI has three key goals:

- Ensuring that industry's obligations are clear, predictable, and relevant to a range of existing and emerging business practices;

- Ensuring that the demands **associated with compliance** are only as high as necessary to achieve the regulations' purposes; and,

- **Facilitating the efficient and effective identification and correction of instances of non-compliance.**

1.1   Introduction to the CTA Requirement

The CTA's, Determinations and Compliance Branch (DCB) developed a framework for a risk-based approach (RBA) to monitoring and ensuring compliance with CTA legislation, regulations, determinations, decisions, orders and codes of practice for the air, rail and marine modes of transportation that it regulates. The RBA framework was developed to support the Agency objectives of having a data-driven, standardized, evidence-based and consistent approach to assess non-compliance risk among its regulated entities. A key component of the RBA framework is a compliance risk assessment methodology. The current methodology assesses the risk of non-compliance by domestic air carriers, and is being adapted to other modes (e.g., foreign air, rail and marine) in alignment with emerging legislation and regulatory changes.

Once the risk assessment model is fully adapted to the CTA-regulated modes of transportation, it will serve as the backbone of the CTA compliance program. The risk model will provide a comprehensive and consistent methodology for the assignment of risk profiles and will inform the assignment of CTA resources to manage risk within its mandate. It is therefore imperative that the development of this model be supported by a reliable and adaptable operational platform.

The Agency has assessed options for the most cost-effective operational platforms, taking into consideration the user requirement, the existing information environment and emerging trends. With this in mind, the solution should include:

i.   Complete, reliable and up-to-date information in the risk assessment;
ii. A dynamic system readily adaptable to changes to the model inputs; and
iii. An enhanced functionality that remains current with updates to technology (i.e. will not become obsolete).

Based on this assessment, the Agency would like to further explore the market availability, maturity and growth potential of a commercial-off-the shelf risk software that is adaptable to the Agency's compliance risk assessment methodology.

The CTA requires a user-friendly and dependable automated system that has the capacity to capture data in a structured, consistent and reliable manner. The risk model will be run against the Agency's 1500 regulated air, rail and marine entities, and will be critical to the success of the application of the RBA Framework. It is also an operational requirement for the Monitoring and Compliance Directorate to optimize the use of enforcement and other compliance resources.

1.2 Objective of this Request for Information (RFI)

The purpose of the RFI is to provide the CTA with an enhanced understanding of industry risk assessment capabilities and software products, so that CTA can support decisions, such as:

i. Whether to proceed with a vendor software solution (cloud-based or on-premise);
ii. To develop internal planning, approval and solicitation documents that may potentially lead to solicitation;
iii. To refine the procurement strategy, project structure, cost estimate, timelines, requirements definition, and other aspects of the requirement; and
iv. Assess potential alternative solutions that would meet the Agency's requirements.

2. Scope

This requirement is open to Service Providers that currently have an operating automated risk assessment platform and solution. The CTA requires the configuration of an existing risk assessment tool that can accommodate risk factors and sub-factors for air, rail and marine modes that were developed in the compliance risk assessment methodology. The tool must be able to calculate, rank and display multiple factors based on different dimensions of risk. It is intended that this solution application is based on an existing commercial risk assessment business solution platform and fully supported by the vendor.

It is envisaged that the data that supports risk analysis will reside on CTA-controlled servers. Therefore, it is imperative that the vendor's interface capabilities include the ability to connect to an SQL-based .NET application and Microsoft Dynamics CRM databases. It is essential that the solution has the flexibility (i.e. abstraction layer capabilities) to link with different databases as the CTA could change to other configurations in the future and gain direct access to external databases for risk data. The solution should also have reporting capabilities that can output in common office document formats and therefore can save to RDIMs databases.

3. Concept of Operations (CONOPS)

CTA has a limited number of resources to manage its complex information and regulatory environment. The overall concept is to implement a tool for risk, and in the future control assessment capability that can track risk indicators and flag data that can be used for multiple purposes including:

i. Prioritization of resource allocation for inspections, investigations and analysis;
ii. Enhancement of compliance assurance activities;
iii. Leverage information and data sharing and future analytics capabilities;
iv. Improving the tracking of non-compliance prevention, detection and response capabilities; and providing the flexibility to adapt to changes due to new laws and regulations.

There are a number of initiatives that could have an effect on the features, interoperability and implementation in the next three to five years. This is the main reason for investigating options for implementing a non-developmental platform that can be rapidly configured to adjust risk factors, and to ranking, reporting and display approaches. Some ongoing initiatives that are expected to affect CTA operations include:

i. Passenger rights legislation (Bill C-49);
ii. CTA RMI; and
iii. New federal accessibility legislation.

The actual implementation should ideally also have the flexibility for interoperability and data extraction from external resources.

It is envisaged that the tool would contribute to management systems on multiple levels including:

i. **Strategic** – Comparison of compliance risk assessment approaches and indicators with other federal and international regulators. Another benefit of the tool is that it would support development of risk scenarios[1] (e.g., use cases) to facilitate engagement of stakeholders in the risk assessment process.
ii. **Operational** – Monitoring and enforcement; and alignment with corporate strategic and business planning; and risk, audit, reporting and regulatory regime management systems; and
iii. **Tactical** – Prioritization of resources for inspections, investigations, monitoring, legal; and other CTA core support functions.

3.1   Regulatory Environment

The following taxonomy illustrates the domains that are subject to CTA regulations, authorities, advice and other services. The CTA is implementing a systematic, evidence-based and risk-informed approach to advance its capability and capacity to implement its diverse mandate including:

- helping ensure that the national transportation system runs smoothly and efficiently, which includes dealing with rail-shipper disputes, rail noise and vibration issues, and challenges to port and pilotage fees;
- protecting the fundamental right of persons with disabilities to accessible transportation services; and
- providing consumer protection for air travellers.

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[1] Risk scenarios refers to plain language "if-then" descriptions of the most likely and/or more significant situations that do or could result in significant, intentional or unintentional non-compliance events or risk conditions. Therefore, the concept of operations differentiates between automation support for risk assessments that streamline the process, and the holistic risk analysis capability that focuses attention of the most significant areas of risk and opportunities
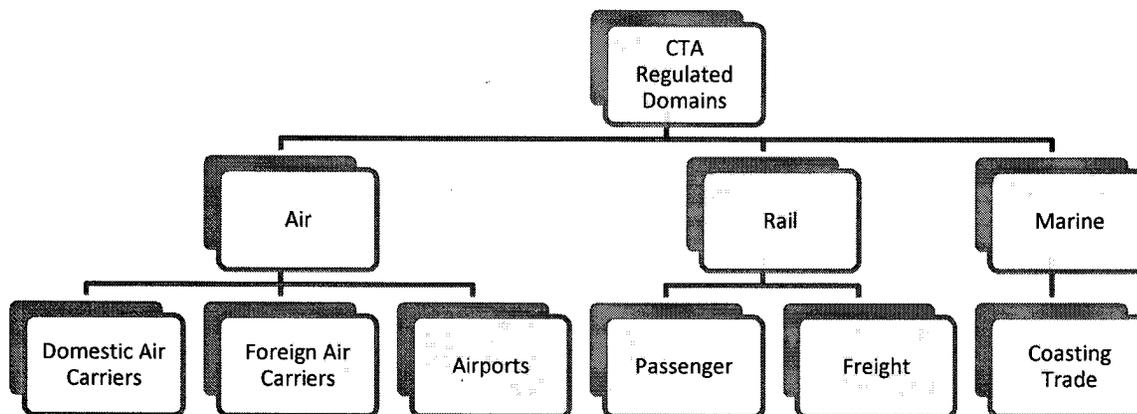
Figure 1: Regulatory Environment (3 Risk Domains)

3.2 Compliance Risk Assessment Framework Building Blocks

The tool would characterize each component of the framework by defining factors and sub-factors that can be rated against common criteria by different groups:

- **Characterize Entities** (*"compare apples to apples, and rank the whole orchard – big picture"*, and *be able to compare individual entities to a mean or average score within their group and/or within the domain*). Referring to the taxonomy above (Figure 1), Domestic Air Carriers were grouped into multiple categories. Therefore, the tool would support ranking entities within groups and within the respective domains (e.g., Domestic Air Carriers; Foreign Air Carriers; Airports). The tool would also display the entities on a risk matrix to enable visual comparisons within a group or across the domain. Therefore, the tool would combine factors using mathematical formulas, and generate lists based on indicators (e.g. indicate that an air carrier is more likely to be non-compliant; the level of impact on stakeholder groups of an air carrier's non-compliance; etc.)
- **Likelihood Factors** – define factors and sub-factors that directly or indirectly differentiate carriers based on their likelihood to be non-compliant. The tool is used to rate sub-factors using a defined scale (e.g., preferably, not to exceed a five-point scale) that is described in plain language. The tool rolls up the ratings into a single rating by factor, and the factors are combined for an overall likelihood rating. In this way, carriers can be ranked by likelihood.
- **Stakeholders Analysis** – a key feature of the risk assessment methodology is the consideration of risk from multiple perspectives. The methodology characterizes stakeholders, which can be done once to establish a baseline that can easily managed as changes occur. Stakeholders are grouped by common characteristics;
- **Impact Assessment Framework** - The tool would characterize impact and consequences (e.g., ripple effects) from multiple stakeholders' perspectives and enable assessors to rank risk by using scenarios. The tool defines impact categories and sub-factors that directly or indirectly differentiate carriers based on the level of impact of non-compliance. The tool is used to rate sub-factors using a scale (e.g. a five-point scale) that is described in plain language. The tool rolls up the ratings into a single rating by category. The categories are combined for an overall impact rating per stakeholder group. The impact rating for each stakeholder group is then aggregated so that the entities can be ranked by the overall impact of non-compliance.
- **Control and Capability Analysis** –The approach follows the same methodology wherein, controls are organized and described in plain language (e.g., framework and taxonomy), and then, individual controls and groups of controls can be evaluated based on common criteria.

3.2.1 Characterize Entities

For Domestic Air Carriers, seven (7) categories were identified to differentiate entities. Grouping the carriers into categories helps to avoid a one-size-fits-all approach to risk assessment and compliance assurance. In this way, the risk assessment can differentiate between low likelihood - high impact, and high likelihood and low impact carriers for an overall risk score. The next step defined indicators that a carrier is more likely to be non-compliant.

3.2.2   Likelihood Factors

CTA subject matter experts (SMEs) identified four likelihood factors, related assumptions and indicators and sources of data. In cases where it was not clear where the data was available in existing databases, proxy factors were used based on best judgement of SMEs.

Multiple likelihood indicators are described for each of the four factors to limit subjectivity and to facilitate an evidence-based, data-driven, standard and consistent approach and to allow for the automation of the assessment. The methodology incorporated some data from CTA's internal SQL database used for Case Management; and other techniques, such as carrier-specific Excel spreadsheets managed by the Designated Enforcement Officers. The tool will need to capture the data and use algorithms to calculate a score for the likelihood that a Canadian Air Carrier would be non-compliant with its obligations. In this way, air carriers are compared to other air carriers within a group or ranked in comparison to all carriers. The likelihood factors can also be weighted. The tool must allow the CTA user to add or modify likelihood factors, indicators and descriptions.

3.2.3   Stakeholder and Impact Assessment Framework

The CONOPS includes considering the impact of non-compliance by the regulated entity (e.g. the Canadian Air Carrier) from multiple stakeholders' perspectives (e.g. the public, communities served, etc.). Once there is a clear understanding of likelihood and impact, these factors can be combined using risk scenarios[2] to produce a comprehensive risk assessment that provides actionable information on next steps including: risk treatment; capability and control improvements; data collection; and performance measurement.

The tool must allow the CTA user to add or modify groups and descriptions. Any changes would be centrally controlled. It is envisaged that if the control and capability assessment feature were included in the tool, then CTA would be included as a separate stakeholder group.

For example, five (5) impact categories could be assessed in relation to five main areas of obligations to complete an impact assessment that considered the impact from multiple perspectives. 5-level scales could be used and examples of impacts provided in plain language using quantitative and qualitative terms, where readily available. Estimates could be used to provide a range of impacts for each level of impact to avoid reliance on single-point estimates. An ongoing activity is the prioritization of Regulatory Provisions in terms of the impact of non-compliance.

3.2.4   Internal Control and Capability Analysis

The concept is that developing a structured approach to internal controls (i.e. compliance risk mitigation measures encompassing management, technical, processes and procedures elements), and being able to rank them based on common criteria would help to identify opportunities for improvement such as: highlight areas of uncertainty or ambiguity in regulation provisions; improve

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[2] Risk scenarios are explicit descriptions of entities not being compliant with specific obligations, and identification of likely impacts, considering existing controls. A set of risk scenarios defines the most significant risks from CTA and other stakeholders' perspectives. This is the value of a systematic approach to evidence-based and risk-informed decision-making.

performance measurement and data collection; and contribute to resource optimization decisions. Examples of the latter include:

- Prioritize Regulatory Provisions for further analysis (e.g., based on the impact of non-compliance by the regulated entities on identified stakeholder groups);
- Decision support for RMI and other decisions including:
  - o Planning Designated Enforcement Officers (DEO) inspections, reviews of documentation, compliance outreach, education, targeted enforcement and other interventions;
  - o Systematic approach to monitoring and collaboration by different groups of CTA specialists (e.g., Licensing and Permits, Tariffs, Accessibility etc.); and
- Compliance case management and prioritization of follow-up actions based on risk and other factors (e.g. compliance outreach activities to enhance awareness among the regulated entities of their obligations).

The internal control self-assessment also informs other steps in the risk assessment process (i.e. understanding the control environment, its strengths and weaknesses, allows for the assessment of residual risk).

3.2.5 Summary

The CTA's regulatory role is complicated and multi-dimensional. As with all government agencies and departments, the CTA has finite resources. The RBA Framework, anchored by the multi-modal compliance risk assessment models, will help to inform the appropriate type and level of compliance engagement with regulated industries allowing the Agency to make the most efficient and effective use of its compliance resources. Automation support for risk assessments using a modern, commercial platform that can be configured and adapted to the environment can help CTA stakeholders to share and increase the value of risk information in decision-making and implementing an overall evidence-based and risk-informed decision support system.

4. Desired Outcomes and Expectations

The CTA requires a risk management assessment tool that is intuitive, seamless, and user-friendly to encourage prospective workers to use this tool to quickly and accurately assess risks and entity compliance. Other desired outcomes are as follow.

The solution:

i. Is affordable and sustainable;

ii. Has a user-friendly and intuitive interface;

iii. Is adaptable and agile to new technological changes. CTA expects to have an automated solution that is easily scalable to new requirements allowing for configuration updates, made by the CTA user, to adapt to changes in the internal or external environment (e.g. changes to regulations that may require the collection of new/different information, changes to the risk assessment algorithms and/or risk reports generated, etc.);

iv. Allows advanced capabilities such as workflows (i.e. Compliance tracking and monitoring tools; flags and alerts for follow-up action; internal control assessment); as well as capabilities and/or compatibility with Microsoft Dynamics CRM functionality such as a structured on-line inspection report; letters; notices; one-time generation of questionnaires (for self-assessment), drag-and-drop of inspection reports to automatically store in the database, mobile applications for field inspectors (iOS and Android); etc. to allow for continuous compliance oversight;

v. Provides an efficient interface solution with consolidated data that requires <u>minimal to no</u> manual data entry;

vi. Has a structured data-capture which will enable advanced analytics, and integrated reporting and dashboards (e.g. structured reporting tools, heat maps etc.);

vii. Has the capacity to define multiple parameters, implement algorithms (calculations) and evaluate trends - any errors in data entry or algorithms are easily prevented, or detected and corrected;

viii. Can to link to an external databases via an abstraction layer (i.e. not hard coded) so as to be readily adapting to changing data stores; and,

ix. Is a fully vendor-supported commercial risk assessment business solution platform.

5. Anticipated Procurement Timeline

It is anticipated that the RFI process will be completed late December 2017. The response to the RFI is expected to inform CTA's direction with respect to advancing with its information environment and issuing an RFP, or proceeding with alternate solutions to achieve the Agency's objectives with respect to evidence-based and risk-informed decision-making.

6. Technology Landscape

The CTA technical landscape includes MS and ISS Servers, PowerBuilder and .NET applications, MSSQL 2016 databases, Windows and Office 2016 software, Internal Explorer web browsers, and secure LDAP and Active Directory for user authorization

7. Data Requirements

Data supporting the risk assessment could be up to Protected B and currently resides on an SQL based .NET application database, and Excel spreadsheets. It is essential that the selected tool has the flexibility (i.e. abstraction layer capabilities – not hard coded) to link with different databases as the CTA could change to other configurations in the future (e.g. Microsoft Dynamics CRM), or use risk data from external sources. The risk assessment solution must meet Government of Canada (GoC) standards for IT security and be in both official languages (English and French).

Part 2 Nature of Request for Information

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This is not a solicitation. This RFI will not result in the award of any contract and no source list will be created. As a result, potential 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 potential supplier responds to this RFI, it will not preclude that supplier from participating in any future procurement. Also, the procurement of any of the goods and services described in this RFI will not necessarily follow this RFI. This RFI is simply intended to solicit feedback from suppliers 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 the CTA.

Part 3   Nature and Format of Responses Requested

Respondents are requested 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   Response Costs

The CTA will not reimburse any respondent for expenses incurred in responding to this RFI.

Part 5   Treatment of Responses

5.1   Use of Responses

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

The information collected from this RFI will serve to assist the CTA in learning about the products and offerings that are available on the market specific to risk assessments. Your responses will provide an opportunity to identify the various solutions that are available and contribute to a more detailed analysis that will be conducted during the fall and winter of 2017.

5.2   Review Team

A review team composed of representatives from the CTA will review the responses. The CTA 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 should mark any portions of their response that they consider proprietary or confidential. The CTA will handle the responses in accordance with the *Access to Information Act*.

5.4 Follow-up Activity and One-on-One Meetings

The CTA may, in its sole 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.

An Industry Day for Service Providers to demonstrate their risk assessment platform and to provide any further clarifications will be scheduled December 14-20, 2017. Only Service Providers that respond to the RFI will be scheduled for a demonstration of their platform. Other Government departments and agencies with similar requirements for a risk assessment tool may also be present for the demonstrations. Service Providers must advise the Project Authority Leslie.Siegman@otc-cta.gc.ca of the time required before the meeting to set-up for their demonstration and what they will need in the room (equipment, network connections, etc.). The time shall not exceed 90 minutes. Available days and times are envisaged as follows:

Day	AM	PM		Insert SP Name
Thursday	10:00-11:30	1:30-3:00	AM	
			PM	
Friday	10:00-11:30	1:30-3:00	AM	
			PM	
Monday	10:00-11:30	1:30-3:00	AM	
			PM	
Tuesday	10:00-11:30	1:30-3:00	AM	
			PM	
Wednesday	10:00-11:30	1:30-3:00	AM	
			PM	

Part 6 Official Languages

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

Part 7 Information Requested by the CTA

7.1 Responses to Questions to Suppliers

This RFI includes a questionnaire that consists of specific questions for respondents. Additional or supporting documents may be sent by e-mail to Bernadette.Beaudoin@otc-cta.gc.ca by the closing date and time identified on the cover page of this document. These documents remain a work in progress and respondents should not assume that new clauses or requirements will not be added to any solicitation that may ultimately be published by the CTA. Nor should respondents assume that none of the clauses or requirements will be deleted or revised.

Part 8   Format of Responses

Respondents are requested to complete the RFI questionnaire. For additional or supporting documents sent by e-mail, please respond as follows:

8.1   Cover Page

If the response includes multiple volumes, respondents are requested to indicate on the front cover page of the response the title of the response, the RFI number, 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:

i.   The title of the respondent's response and the volume number;
ii. The name and address of the respondent;
iii. The name, address, telephone number and e-mail address of the respondent's contact;
iv. The date; and
v.   The RFI number.

8.3   Numbering System

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

Part 9 Enquiries

All questions regarding this RFI may be directed to the Contracting Authority:

Bernadette Beaudoin
819-953-8958
Bernadette.Beaudoin@otc-cta.gc.ca

Part 10   Submission of Responses

10.1   Time and Place for Submission of Responses

Respondents interested in providing a response should complete the RFI questionnaire and submit it with any additional or supporting documents to the Contracting Authority via e-mail 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, through the RFI questionnaire and to the correct e-mail address (if applicable).

10.3   Identification of Response

Each respondent should ensure that its name, contact address, e-mail address, the RFI number and the closing date are included in their response.

10.4   Use of Request for Information Questionnaire

(a) You must fill out the supplier information (first five fields: Company, Address, Contact Email, Respondent's Name, Contact, and Phone).
(b) Please complete the questionnaire by following the instructions on each question (some are yes/no answers, others require a written response, etc.).
(c) Once you have completed and answered all the questions, please save in PDF or Microsoft Word format and submit it with your response.

If you experience any issues with the questionnaire, please contact the CTA Contracting Authority at Bernadette.Beaudoin@otc-cta.gc.ca

Annex A: Questions to Suppliers – Information Requirements

Service Provider Name:		
Questions	**Yes or No (if applicable)**	**Answers**
IMPORTING DATA		
1. What are your connector capabilities (i.e. code compatibilities – hard coded or use an abstraction layer)?	☐ No ☐ Yes	
2. Do the connector capabilities include the ability to connect to an SQL based .NET application; Microsoft Dynamics?	☐ No ☐ Yes	
PROCESSING DATA		
3. Can your product define multiple levels of risk factors?	☐ No ☐ Yes	
4. What are your implementation capabilities for risk algorithm calculations (risk calculations, trend identification etc.)?	☐ No ☐ Yes	
5. What is the level of ease for the user to change the risk calculations (i.e. are they hard coded)?	☐ No ☐ Yes	
6. Do you display risk calculations? Is so, how?	☐ No ☐ Yes	
7. Does your product allow the business user to add or modify inputs (e.g. add/change criteria, risk factors, sub-factors, etc.)?	☐ No ☐ Yes	
8. Is there a limitation to the number of fields that can be added? If so, what is the limit?	☐ No ☐ Yes	
9. Our risk model is based on a framework adapted to four different assessments (i.e. domestic air carriers, foreign air carriers, rail and marine companies). Can your product accommodate these individual sector assessments?	☐ No ☐ Yes	
10. Can your product assess and manage internal control measures (i.e. mitigation measures such as tasking of stakeholders, linking follow-up actions and results of actions, etc.)?	☐ No ☐ Yes	
REPORTING DATA		
11. Can your product generate reports in common office document formats? (Provide examples and scope of report types.)	☐ No ☐ Yes	

Service Provider Name:		
Questions	**Yes or No (if applicable)**	**Answers**
12. Does your product allow the business user to manage report templates?	☐ No ☐ Yes	
13. What is the extent of your dashboard display capabilities (i.e. real time, extent of display options)?	☐ No ☐ Yes	
ADMINISTRATION		
14. Is your product cloud-based, installed on premise or a hybrid of both?	☐ No ☐ Yes	
15. Is your product a web-based application or deployed on desktop? If your product is web-based, can you demonstrate that you meet the Government of Canada (Treasury Board) accessibility guidelines?	☐ No ☐ Yes	
16. Does your product have the capability to evolve (i.e. can your solution be embedded in other business processes and/or other applications? To what extent is the solution scalable in design?)	☐ No ☐ Yes	
17. Does your product allow for administration rights (e.g. restrictions on user access and use)?	☐ No ☐ Yes	
18. Is your product bilingual (English and French)?	☐ No ☐ Yes	
PRICING MODEL		
19. What is your pricing model and what does it cover (e.g. with/without professional services; per seat; per concurrent user or other method; inclusion or not of on-going maintenance and user support; upgrades; bug fixes; training; new functionality/ enhancements, etc.)?	☐ No ☐ Yes	
TRACK RECORD		
20. How many existing contracts do you have for your risk assessment business solution platform?	☐ No ☐ Yes	
21. How many existing contracts do you have with the Private Sector for a risk assessment tool?	☐ No ☐ Yes	
22. Can you provide customer references?	☐ No ☐ Yes	
PRODUCT		
23. Which specific modules and	☐ No	

Service Provider Name:		
Questions	**Yes or No (if applicable)**	**Answers**
functionalities included in your proposed solution are currently available commercially off-the-shelf (e.g. existing commercially available product that can be used as-is without modification, that is, without new code or alterations to existing code and without new scripting) to provide the functionality described by the CTA?	☐ Yes	
24. Would your proposed solution not need to deviate from your standard approach to meet the CTA's requirements? Why or why not?	☐ No ☐ Yes	
25. Do you have Service-level Standards? If so, what are they?	☐ No ☐ Yes	
SECURITY		
26. What are your capabilities and policies for protecting data (both physically and procedurally)?	☐ No ☐ Yes	
27. How is the application itself protected, and how is that protection maintained over time?	☐ No ☐ Yes	
28. Do you meet GoC standards for IT security? (i.e. is your platform capable of: "Safeguarding the network and all databases including the GoC's data or information about the GoC at all times by taking all measures reasonably necessary to secure it and protect its integrity. To do so, at a minimum, the Service Provider must control access to the databases on which any data relating to this contract is stored"?)	☐ No ☐ Yes	
29. Can your Risk Assessment Platform address the minimum security GoC requirements for this type of application at the Protected B level?	☐ No ☐ Yes	