

Nova Scotia Provincial Lotteries & Casino Corporation

Request for Proposal

Privacy Impact Assessment for Gaming Management System(s)

RFP #17-001

Issue Date - April 28, 2017

Closing Date - May 15, 2017 (4:00 p.m. Atlantic Standard Time)

———— NOVA SCOTIA PROVINCIAL ————
LOTTERIES & CASINO CORPORATION

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Section A: OVERVIEW

1.0 Introduction

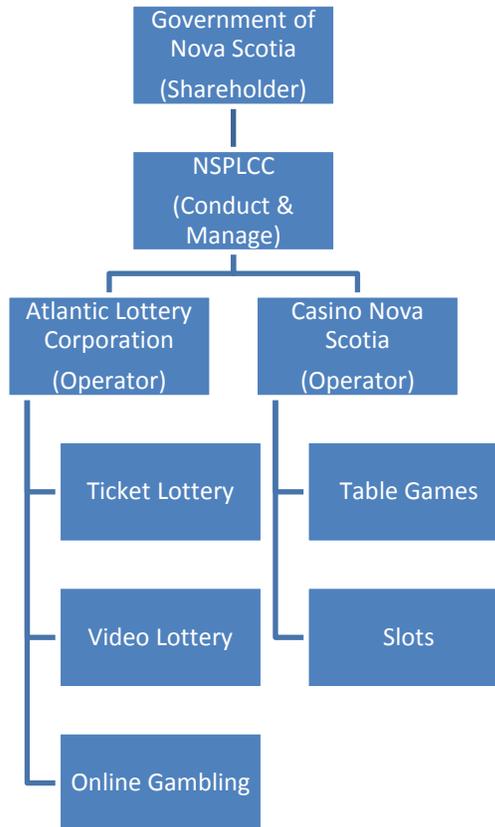
The Nova Scotia Provincial Lotteries and Casino Corporation (NSPLCC) is responsible for managing the regulated gambling industry in Nova Scotia. It is a Crown corporation governed by Part I of the *Gaming Control Act*, that is charged with leading an economically sustainable and socially responsible gambling industry for the benefit of Nova Scotians and their communities. NSPLCC works hard to meet the needs of its citizens and to earn their trust. NSPLCC's vision is to have a gambling industry Nova Scotians are proud of and enjoy.

NSPLCC's role is to ensure that the gambling industry is socially responsible, while generating reasonable profits, which go directly to help the provincial government pay for important programs and services. NSPLCC is a key contributor to Nova Scotia economy with 100% of profits from regulated gaming going directly back to Nova Scotia, helping to pay for valuable programs and services including healthcare, roads and schools.

NSPLCC leads responsible gambling programming and Nova Scotia continues to be among the most socially responsible gambling jurisdictions in the world. NSPLCC will continue to offer responsible gambling initiatives and programs that promote awareness, education, and informed choice for Nova Scotians who choose to gamble.

In carrying out this role, NSPLCC oversees and manages its operators, Atlantic Lottery Corporation (ALC) and Casino Nova Scotia (CNS), who carry out the day-to-day business on NSPLCC's behalf. NSPLCC's business lines include ticket lottery (approximately 1,100 retailers), video lottery (approximately 300 retailers) and casinos (two locations with approximately 520 staff). The Nova Scotia Government, and ultimately the people of Nova Scotia, are the shareholders and owners of the gambling industry.

The following diagram represents the gambling industry NSPLCC is responsible for in Nova Scotia:



NSPLCC is committed to managing information and ensuring the privacy and confidentiality of the information it uses is protected. NSPLCC is committed to following the provisions of the federal *Personal Information Protection and Electronic Documents Act* (PIPEDA), and the *Nova Scotia Freedom of Information and Protection of Privacy Act* (FOIPOP).

It is with this in mind that NSPLCC is proceeding with a Request for Proposal (RFP) to retain a qualified vendor who can complete a Privacy Impact Assessment (PIA) of a the Gaming Management System and Security / Incident Management System being implemented at Casino Nova Scotia.

2.0 Objective and Scope

There are two casinos in Nova Scotia (Halifax and Sydney). CNS is replacing existing IT infrastructure with a gaming management system to operate the backend components of its gaming products, as well as a new security and compliance management system (collectively the Systems). Due to certain timing factors, the systems will substantially be installed by the time the RFP process has been completed.

The objective of this engagement is for the successful proponent to complete a PIA of the two new Systems as quickly and economically as possible. The Systems will collect and maintain personal information of casino patrons:

- Bally (SGI) Gaming Management System - represents CNS' back-end gaming management system as well as the engine that will host and manage the Player's Club Program.
- iTrak Security & Incident Management System - allows CNS to track and maintain security and compliance records as well as FINTRAC reporting and record keeping to meet anti money laundering reporting requirements.

The PIA should assess the extent these new systems comply with legislation and industry best practice requirements for protecting personal information as well as identify privacy risks or potential areas of non-compliance and provide recommendations for mitigating any identified risks.

Recommendations and reporting are to be delivered to NSPLCC with the expectation that CNS will be provided with copies of draft and final reports. NSPLCC will be the primary contact for the project; however, proponents will be required to work with representatives of CNS in gathering information related to the Systems. NSPLCC expects proponents to outline a proposed reporting format as well as report review and finalization process.

3.0 Timelines

- Issue RFP - April 28, 2017
- Close RFP - May 15, 2017
- Evaluate RFPs and notify proponents - June 2, 2017
- Begin work - June 2017

Timelines may change at any time, at the sole discretion of NSPLCC. Proponents who have responded will be notified of any time changes.

SECTION B: PROPOSAL REQUIREMENTS

1.0 Copies Required

Five (5) copies of the proposal are required as well as an electronic version on a jump drive or disc.

2.0 Registered Supplier

There may be a requirement for the selected Proponent to register as a registered supplier pursuant to Section 68(2) and (3) of the *Gaming Control Act*. Should registration be determined to be required the successful Proponent must agree that it will undergo registration pursuant to Section 68 of the *Gaming Control Act*

with the Nova Scotia Alcohol, Gaming, Fuel, and Tobacco Division of Service Nova Scotia immediately upon learning of this requirement.

3.0 Subcontractors

Attach a list of any subcontractors (name, address, service provided, qualifications) who have agreed to work with the proponent on the engagement. The absence of such a list will be taken to mean that only the proponent's resources will be used. Please note that subcontractors may not be used without the expressed approval of NSPLCC.

4.0 Proposal Contents

The proposal must be no longer than 15 pages (excluding appendices). It should contain the following sections:

- A. *Title Page*: Title page should identify the Request for Proposal, closing date and time, proponent's name and address, contact person, telephone number and email address.
- B. *One Page Letter of Introduction*: Provide a one page summary of key features of the proposal. Proponents are required to demonstrate a clear understanding of the objectives and clearly articulate the proposed services that would be provided. This should be signed by an appropriate authorizing officer, binding it to the statements made in the proposal.
- C. *Table of Contents*: Section headings and page numbers should be included in the table of contents.
- D. *Proposed Approach*: The proposal must include a description of the proponent's proposed approach, key project phases, project schedule, information requirements and methodology to be employed in providing the required services. The proposal should clearly identify communication processes and reporting format and timelines.
- E. *Demonstrated Experience*: The proposal must include a description of the proponent's experience in managing strategic partnerships, and conducting PIAs of technically complex systems and how the proponent has completed similar PIAs. Additionally, the proponent should provide a minimum of two reference clients. NSPLCC reserves the right to verify the level of satisfaction with each reference.
- F. *Project Team*: The proponent must describe the team it proposes to carry out the engagement. For each team member, provide a brief summary of background, relevant skills, knowledge and experience. Also clearly identify

how resources are effectively managed and allocated to accomplish NSPLCC's objectives.

Proponents should detail the personnel proposed to manage NSPLCC's account and detail general credentials, background and roles and responsibilities for each individual listed as well as their expected level of involvement.

G. *Pricing / Cost*: The proposal must list all costs, including the following:

- ▶ Provide a price for the proposed services and provide appropriate details to support figures, including estimates of the work effort and a breakout of expected expenses.
- ▶ Identify the names of all persons who will contribute to the routine management and / or the performance of the required services, and the per diem rate. Per diem rates are based on a seven-hour work day, and do not include taxes.
- ▶ Estimate the travel expenses associated with any proposed personnel who will need to travel to and from the primary work location, in order to perform the required work during the contract. Provide relevant details to support estimates.
- ▶ Identify any other costs that NSPLCC would be obliged to undertake in relation to this arrangement.

5.0 Evaluation Criteria

The following are the evaluation criteria / requirements to be included in the response and the percentage of points allocated to each category that will be used to evaluate proposals:

A. *Proposed approach (30%)*

- ▶ Does the proponent demonstrate an understanding of the requirements and business environment?
- ▶ Does the proponent demonstrate an ability to support NSPLCC / CNS in meeting the objectives?
- ▶ Does the proposal demonstrate how the proponent will work with NSPLCC / CNS and does it appear reasonable?
- ▶ Does the proposal provide detail as to how the project would be completed on schedule?

B. Experience in doing similar engagements (25%)

- ▶ Does the proponent demonstrate capacity and an ability to provide leadership, management and delivery of Privacy Impact Assessments?
- ▶ Do examples presented have similar objectives to NSPLCC's stated objectives and are they similar in size / scope?
- ▶ Do the examples presented show that the proponent has completed similar engagements / Privacy Impact Assessments?

C. Strength of Proposed Team (20%)

- ▶ Does the proposed team members possess relevant experience and qualifications to conduct the engagement?
- ▶ Have proposed team members carried out similar engagements?
- ▶ Does the proposal identify the personnel responsible for managing the account and do they appear reasonable?
- ▶ Degree to which the references provided support the quality of the proposed team.

D. Price / Cost (25%)

- ▶ Are all costs clearly presented and included in the response?
- ▶ Is the proposed fees (hourly, per diem) reasonable given the experience of the resources noted?
- ▶ Are disbursements reasonable and billed at cost? The proponent must be willing to commit to a no-mark-up policy for all out of pocket expenses.
- ▶ Does the pricing / cost align with the value of services being provided?
- ▶ Does the proposal identify any other costs that NSPLCC / CNS would be obligated to undertake?

Bids will be evaluated on their overall value proposition, with due consideration of the quality, delivery and capacity of the proponent to meet the criteria stated in this section.

SECTION C: GENERAL CONDITIONS

1.0 Definitions

In this RFP, except where otherwise qualified, the following terms mean:

"Closing Date" means May 15, 2017 (4:00 p.m. Atlantic Standard Time).

"CNS" means Casino Nova Scotia and represents both the Halifax and Sydney casinos

"NSPLCC" means Nova Scotia Provincial Lotteries and Casino Corporation.

“Proponent” means a person or entity, submitting a response to the RFP.

“Proposal” means a response or submission to this RFP, including all schedules and attachments thereto and any amendments made in conformity with this RFP.

"RFP" means this Request for Proposal, including all schedules and attachments hereto and any addendum or amendment issued in conformity with this RFP.

"Selected Proponent(s)" means the proponent(s), if any, whose proposal is selected by NSPLCC.

"Subcontractor" refers to any person to whom a proponent intends to delegate all or part of the provision of goods or services to be provided under the RFP.

2.0 Closing Time and Address

All proposals must be submitted by the Closing Date (May 15, 2017 @ 4:00 p.m.) to:

Request for Proposals (#17-001)
Nova Scotia Provincial Lotteries and Casino Corporation
1601 Lower Water Street, Suite 501 (5th floor)
Halifax, NS B3J 1M5
Attention: Andy Fiddes
Business Analyst

Proposals received after the Closing Date will not be considered and will be returned unopened to the proponent.

3.0 Agreement/Contract

Unless otherwise agreed by NSPLCC, the selection of a proposal will be binding upon the selected proponent and the terms and conditions of this RFP will form part of the proposal so selected.

Any proponent whose response to this RFP has been selected must be prepared, at NSPLCC’s sole discretion, to:

- ▶ execute a written agreement on the terms and conditions set out in the proposal; or,
- ▶ enter into exclusive *bona fide* negotiations with NSPLCC to conclude a written agreement.

If a written agreement cannot be negotiated within 30 days of notification to the successful proponent, NSPLCC may, at its sole discretion at any time thereafter, terminate negotiations with that proponent and execute a written agreement or enter into negotiations with another proponent or choose to terminate the RFP and not enter into negotiations or execute an agreement with any of the proponents.

This document is a request for proposals. All proposals must constitute offers open for acceptance by NSPLCC. A proposal does not constitute a binding agreement between NSPLCC and a proponent, unless and until a written agreement is executed by NSPLCC and a proponent.

4.0 Compliance with Law

Proposals must fully comply with all laws, regulations and policies, whether federal, provincial or local, including the *Gaming Control Act* (Nova Scotia), as may be amended from time to time. If any approvals, consents or other discretionary actions are required for the proposal to comply with such laws, such actions must be clearly identified in the proposal with an alternative proposal in the event such approval, consent or discretionary action is not obtained.

5.0 Authorized Contact

The authorized contact in relation to this RFP is Andy Fiddes. Any contact, other than a proponent's submission of a proposal, can be forwarded via email (afiddes@gamingns.ca) or by mail to the following address:

Request for Proposals (#17-001)
Nova Scotia Provincial Lotteries and Casino Corporation
1601 Lower Water Street, Suite 501 (5th floor)
Halifax, NS
Attention: Andy Fiddes
Business Analyst

Other than as specified above, any contact by or on behalf of a proponent with any other proponents or with any official of NSPLCC or the Government of Nova Scotia with respect to this RFP, or any matter related thereto, may disqualify the proponent, in the sole discretion of NSPLCC.

6.0 Additional Information and Instructions

All requests for additional information or instructions concerning the RFP and the preparation of proposals should be received in writing by NSPLCC at least five (5) working days before the Closing Date.

Additional information or instructions that may, in the sole discretion of NSPLCC, be of general interest or represent amendments to the RFP or any other information or instructions that NSPLCC determines appropriate, may be incorporated in an addendum to the RFP which will be distributed to all proponents. Any such addendum will automatically, upon its issuance, become a part of the RFP, provided it is issued by NSPLCC and sent to proponents at least three (3) working days prior to the Closing Date. Proponents will be deemed to have agreed

to the terms of any such addendum and will be automatically bound thereby unless they withdraw their proposals.

7.0 Amendment or Withdrawal of Proposal by NSPLCC

NSPLCC reserves the right to amend the terms of the RFP or to withdraw the RFP at any time before or after the Closing Date in its sole discretion. Proponents will be deemed to have agreed to any such amendments and will be automatically bound thereby unless they withdraw their proposals.

8.0 Amendment or Withdrawal of Proposals by Proponent

Prior to the Closing Date, a proponent may amend or withdraw its proposal by written notice.

No proposal(s) can be amended or withdrawn by a proponent after the Closing Date, except with the written agreement of NSPLCC.

9.0 Negotiation of Amendments

NSPLCC may, in its sole discretion, conduct negotiations with any and all selected proponent(s) to amend their proposal(s), without offering other proponents the right to amend their proposal(s).

10.0 Ownership and Disclosure of Proposals

Proposals will not be returned to proponents and will become the property of NSPLCC at the Closing Date.

Proposals may be subject to disclosure under the *Freedom of Information and Protection of Privacy Act* (Nova Scotia). All proponents, by submission of a proposal, agree to disclose to the public all information in their proposal; except such information as is specifically identified otherwise. An explanation why such information should not be disclosed must be provided. Such information will not be disclosed by NSPLCC except in accordance with the requirements of the *Freedom of Information and Protection of Privacy Act* (Nova Scotia).

The proponent agrees to obtain written approval from NSPLCC prior to issuing a publicity or news release pertaining to this RFP, its proposal, or any selection or contract.

11.0 Costs of Proposals

All costs and expenses incurred by the proponent, directly or indirectly, in connection with its proposal and the selection process are solely and exclusively

the responsibility of the proponent and NSPLCC shall not incur any obligation for any costs or expenses incurred by any proponent.

NSPLCC shall not be liable to any proponent for any loss, cost, expense or damages of any nature whatsoever arising out of, or resulting from this RFP, including any damages resulting from the submission of a proposal in response to this RFP, or the selection of the successful proponent(s), if any, whether based on contract, tort, including negligence, strict liability or otherwise.

12.0 Evaluation of Proposals

Proposals submitted which do not comply with all of the terms and conditions of this RFP or proposals that do not provide sufficient information, may be rejected by NSPLCC in its sole discretion.

Proposals will be evaluated based upon NSPLCC's assessment of the proponent's responses compared to the Evaluation Criteria.

NSPLCC will forward a notice to all proponents advising of the selection or rejection of their proposals.

13.0 Governing Law

This RFP and any response related thereto shall be governed by and construed in accordance with the laws of Canada and the Province of Nova Scotia and the proponents agree to attorn to the exclusive jurisdiction of the courts of Nova Scotia.

14.0 Indemnity

The proponent shall indemnify and hold NSPLCC harmless against any loss, damages, costs and expenses of any nature whatsoever arising out of or resulting from this RFP, any proposal in response to this RFP and any resulting agreement hereunder.

15.0 Conflict of Interest Policy

All proponents must disclose any interests, which could conflict with the interests of NSPLCC or the Government of Nova Scotia.

16.0 Accuracy and completeness of RFP information

NSPLCC makes no representation or warranty as to the accuracy or completeness of the information contained in this RFP.