Public Works and Government Services Canada | Travaux publics et Services gouvernementaux Canada

RETURN BIDS TO:
RETOURNER LES SOUMISSIONS À:

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

SOLICITATION AMENDMENT
MODIFICATION DE L'INVITATION

The referenced document is hereby revised; unless otherwise indicated, all other terms and conditions of the Solicitation remain the same.

Ce document est par la présente révisé; sauf indication contraire, les modalités de l'invitation demeurent les mêmes.

Comments - Commentaires

Vendor/Firm Name and Address
Raison sociale et adresse du fournisseur/de l'entrepreneur

Issuing Office - Bureau de distribution

Shared Systems Division (XL)/Division des systèmes partagés (XL)
Terrasses de la Chaudière
4th Floor, 10 Wellington Street
4th etage, 10, rue Wellington
Gatineau
Québec
K1A 0S5

Title - Sujet NICEMS National Integrated Compliance and Enforcement Management Solution (NICEMS)	
Solicitation No. - N° de l'invitation HT372-192532/A	**Amendment No. - N° modif.** 005
Client Reference No. - N° de référence du client HT372-192532	**Date** 2021-01-12
GETS Reference No. - N° de référence de SEAG PW-$$XL-135-38567	
File No. - N° de dossier 135xl.HT372-192532	**CCC No./N° CCC - FMS No./N° VME**
Solicitation Closes - L'invitation prend fin **at - à** 02:00 PM Eastern Standard Time EST **on - le** 2021-03-31 Heure Normale du l'Est HNE	
F.O.B. - F.A.B. **Plant-Usine:** ☐ **Destination:** ☐ **Other-Autre:** ☐	
Address Enquiries to: - Adresser toutes questions à: Higgins, Conner	**Buyer Id - Id de l'acheteur** 135xl
Telephone No. - N° de téléphone (873) 354-7158 ( )	**FAX No. - N° de FAX** (819) 956-2675
Destination - of Goods, Services, and Construction: **Destination - des biens, services et construction:**	

Instructions: See Herein

Instructions: Voir aux présentes

Delivery Required - Livraison exigée	**Delivery Offered - Livraison proposée**
Vendor/Firm Name and Address **Raison sociale et adresse du fournisseur/de l'entrepreneur** **Telephone No. - N° de téléphone** **Facsimile No. - N° de télécopieur**	
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**

Canada

APPENDIX A TO ANNEX A – CAPABILITY AND USABILITY ASSESSMENT

GENERAL

Purpose

This document outlines the Capability, Usability, Accessibility, Official Languages, General Specifications, Work Plan/Workload, User Interface, and Search Assessment process.

Instructions

Upon the award of up to 3 Contracts, Contractors must plan, design, develop, configure, test and deliver a production quality, hosted, working prototype solution for Canada's assessment.

The Contractor must provide both support for and unrestricted access to the Prototype Solution, including all Solution usage rights grants, Software Documentation, Warranty, Hosting, Storage, and Maintenance and Support (excluding Training), waivers, non-disclosure agreements, CUA Scenario test scripts, or other releases to Canada for up to 25 Authorized Users to use the Prototype Solution for Capability and Usability Assessment purposes during the initial contract period. These designated hands-on capability/usability assessment will be conducted by Health Canada. The testers may include inspectors and managers from the Regional Operations and Enforcement Branch (ROEB), staff from the Reports Control Division and the Compliance Division, TCD. Their structured feedback will be included in the Capability and Usability Assessment score.

Any document referenced in this document will be provided at time of contract award.

Any *italicized* text indicates the name of a data element (that is, data field).

Selection of Prototype Solution

The Capability and Usability Assessment (CUA) Prototype Solution deliverables provided under the Contract will be assessed by Canada against the criteria detailed in this Appendix A Capability and Usability Assessment to Annex A – Statement of Work.

Capability and Usability Assessment (CUA) Categories

The Capability and Usability Assessment will be comprised of the following individual Assessment Categories:

Part 1: Capability Scenarios Assessment: Measures the functional technical ability of the Prototype Solution to perform and meet the specified requirements under Annex A – Statement of Work.

Part 2: General Solution Specifications Assessment: Assesses the ability of the Prototype Solution to perform and meet the requirements that are general to the entire Prototype.

Part 3: Work Plan/Workload Assessment: Assesses the ability of the Prototype Solution to perform and meet the requirements specific to work planning and workload.

Part 4: User Interface and Usability Assessment: Assesses the ability of the Prototype Solution to meet specific user interface and usability requirements.

Part 5: **Search Assessment:** Assesses the ability of the Prototype Solution to perform and meet the requirements specific to search capabilities.

Part 6: **User Account Administration**: Assesses the ability of the Prototype Solution to perform and meet the requirements specific to user account administration.

Part 7: **System Usability Scale (SUS)**: Measures user ease-of-use within the Prototype Solution, including assessing overall user experience and satisfaction with the Prototype Solution.

Maximum Points

The maximum amount of points that can be assessed is listed in the table below:

CUA Assessment Category	Maximum Score	Percent of Total
Part 1: Capability Scenarios Assessment		42.1%
Establishment Profile	225 Points	
Compliance and Enforcement (C&E) Activity	775 Points	
Electronic Data Submission	50 Points	
Pre-defined Reporting and Templates	25 Points	
Part 2: General Specifications Assessment	260 Points	10.2%
Part 3: Work Plan/Workload Assessment	50 Points	2.0%
Part 4: User Interface and Usability Assessment	660 Points	25.8%
Part 5: Search Assessment	160 Points	6.2%
Part 6: User Account Administration Assessment	150 Points	5.9%
Part 7: System Usability Scale Assessment	200 Points	7.8%
TOTAL CUA Score:	**2555 Points**	**100%**

Sum of Individual Assessment Scores

The sum of the scores for each individual Assessment Category will be calculated in accordance with the assessment criteria and maximum points listed in each category of this Appendix A Capability and Usability Assessment to Annex A – Statement of Work to arrive at the total CUA Score for the Prototype Solution.

Ranking of Prototype Solution

The top ranked Prototype Solution will be determined based on the highest responsive combined rating of price, technical merit, and CUA.

- 20% weighting will be given to the Financial Evaluation Score from the Bid Evaluation.
- 10% weighting will be given to the Technical Evaluation Score from the Bid Evaluation.
- 70% weighting will be given to the CUA Score, as per the following table:

Assessment	Weighting
Financial Evaluation Score	20%
Technical Evaluation Score	10%
Capability and Usability Assessment Score	70%

In the event of a tie, the CUA Score will be used to rank the Contractors from highest to lowest score. If there are further ties, the lowest Financial Score will be used to rank the Contractor.

Canada will, at its discretion, exercise its irrevocable option to select a Contractor to perform all or a portion of the Work under article 3. Phase 2 - Solution of Annex A – Statement of Work. Canada may also, at its discretion, exercise its irrevocable option with other Contractors who participated in the CUA for all or a portion of the Work if it is determined that this would best meet the needs of Canada.

PART 1: CAPABILITY SCENARIOS ASSESSMENT

CAPABILITY AND USABILITY ASSESSMENT – PART 1: CAPABILITY SCENARIOS ASSESSMENT
LEGEND **Did Not Demonstrate = 0 Points –** Prototype Solution does not demonstrate capability and functionality requirements. **Partially Demonstrated = 1 (or 10) Points –** Prototype Solution has minimal capability and has demonstrated more than two deficiencies in meeting the requirements. **Mostly Demonstrated = 3 (or 30) Points –** Prototype Solution has high degree of capability and has demonstrated no more than one deficiency in meeting the requirements. **Fully Demonstrated = 5 (or 50) Points –** Prototype Solution fully meets all requirements. Prototype Solution has not demonstrated any deficiencies in meeting the requirements. Scenario components include: • Establishment Profile • Compliance and Enforcement (C&E) Activity • Electronic Data Submission • Pre-defined Reporting and Templates.

Establishment Profile

Scenario 1. Create Establishment Profile

SCENARIO #1 – Create Establishment Profile

Context

The User has identified the need to create a "Convenience Store" type of "Retailer" establishment within their assigned region. The establishment has a business address and a mailing address, and two contacts, one of whom is the owner. The User wants to include comments regarding the establishment prior to confirming and saving the new establishment profile.

A new draft activity is automatically created when the new establishment profile information is confirmed.

The Prototype Solution should allow the User to:

1. Select the "Create New Establishment Profile" function.
2. Enter the establishment field set information, including the name and address of the establishment.
3. Initiate the address validation function.
4. Have the option to correct an invalid address, as required.
5. Initiate the establishment duplicate check function.
6. Have the option to identify potential matching establishment profile(s) and views the details of any potential match as required.
7. Confirm the establishment profile is not a duplicate.
8. Enter values for all remaining mandatory information as required for the establishment type.
9. Enter values for all optional information according to establishment type, as required.
10. Save the completed establishment profile.
11. Enter the establishment create reason.
12. Confirm the new establishment profile.
13. Exit the "Create New Establishment Profile" function.
14. The prototype solution creates an activity for the newly created and confirmed establishment.

Create Establishment Profile – Scoring Grid

Indicator #	Indicators	Did Not Demonstrate (0)	Partially Demonstrated (10)	Mostly Demonstrated (30)	Fully Demonstrated (50)
	The Prototype Solution should provide the functionality to allow the user to:				
1.	**Create New Establishment Profile** Select to create a new establishment profile and be provided with a new establishment "tabbed pane", formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 36, in which to enter all information relating to an establishment.	☐			☐

2.	**Guided Workflow Steps to Create a New Establishment Profile record** Be guided through the following establishment workflow steps to create a new establishment profile record: • Enter establishment information for the data elements in the Establishment field set and related data elements, including all mandatory information. • Verify establishment uniqueness. • Continue to enter the establishment profile information. **The outcome of this requirement is based on the cumulative result of indicators 3 to 12 below.** **0** ***Points Did Not Demonstrate*** *(Scored 0 points on indicators 3-12)* ***10 Points Partially Demonstrated*** *(Scored 1-29 points on indicators 3-12)* ***30 Points Mostly Demonstrated*** *(Scored 30-49 points on indicators 3-12)* ***50 Points Fully Demonstrated*** *(Scored 50 points on indicators 3-12)*	☐	☐	☐	☐
	Score for Indicators 1 and 2:				**/100**
	Scoring for indicators 3-12 below:	**Did Not Demonstrate (0)**	**Partially Demonstrated (1)**	**Mostly Demonstrated (3)**	**Fully Demonstrated (5)**
3.	**Establishment Information Component** The Prototype Solution should enable, for input, update, and viewing, the Establishment Information component of the Establishment “tabbed pane”, formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 37.	☐			☐
4.	**Enter Establishment Information** Enter the establishment information in the Establishment Information Component of the Establishment “tabbed pane”, formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 37,	☐			☐
5.	**Verify establishment uniqueness** Perform a verification for already existing establishments with the same establishment information.	☐			☐
6.	**Establishment Verification** When the establishment has been verified as unique, the Prototype Solution should enable for input, update, and viewing, the following components of the Establishment “tabbed pane”, formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 36:	☐			☐

	1. Concerns and Issues, formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 38, 2. Contacts, formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 39 3. Associated Activities, formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 40 4. Comments, formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 41				
7.	**Associate an Establishment** Associate (link) an existing establishment to the selected establishment.	☐			☐
8.	**Remove Associated Establishment** Remove an associated (linked) establishment from the selected establishment.	☐			☐
9.	**Concerns and Issues** Enter concerns and issues information for the establishment.	☐			☐
10.	**Contacts** Enter contact information for the establishment.	☐			☐
11.	**Comments** Enter comments concerning the establishment.	☐			☐
12.	**Create/Update Establishment Reason** When prompted, select the value "New Establishment" for *Reason for Establishment Create/Update* and enter background text. Confirm the establishment profile information is complete.	☐			☐
	Score for Indicators 3 - 12:				**/50**
	Scoring for indicator 13 below:	**Did Not Demonstrate (0)**	**Partially Demonstrated (10)**	**Mostly Demonstrated (30)**	**Fully Demonstrated (50)**
13.	**Create New Activity to be Associated with New Establishment Profile** When a new establishment profile is confirmed as complete the Prototype Solution should create a new activity "tabbed pane", formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 44, in which to enter all information relating to an activity.	☐			☐
	Score for Indicator 13:				**/50**
	Scoring for indicators 14 - 16 below:	**Did Not Demonstrate (0)**	**Partially Demonstrated (1)**	**Mostly Demonstrated (3)**	**Fully Demonstrated (5)**
14.	**Populate New Activity with Default Values**	☐			☐

	The Prototype Solution should populate the following data elements in the new activity record with the following values as follows: • *Activity Reason Type* to “Scheduled: Workplan” • *Activity Type* to “Inspection” • *Priority* value to “Normal”				
15.	**Associate New Activity with New Establishment Profile** The Prototype Solution should associate the new activity record with the new establishment profile.	☐			☐
16.	**Establishment Comments** The Prototype Solution should copy all *Comments* entered during the creation of a new establishment profile into the *Activity Comments History* upon the creation of the new activity.	☐			☐
	Score for Indicators 14 – 16	**/15**			
	Create Establishment Profile Total Score:	**/215**			

Scenario 2. Update Establishment Profile

SCENARIO #2 – Update Establishment Profile

Context

The User has identified the need to update a “Convenience Store” type of “Retailer” establishment within their assigned region. The user wants to update the address and a contact associated with the establishment.

A new draft activity is automatically created when the updated establishment profile information is confirmed.

The Prototype Solution should allow the User to:

1. Search for the establishment.
2. Select the establishment for updating from the search results.
3. Update the establishment information as applicable.
4. Initiate the address validation function, if the address was modified.
5. Have the option to correct an invalid address, as required.
6. Initiate the establishment duplicate check function, if the address was modified.
7. Have the option to identify potential matching establishment profile(s) and views the details of any potential match as required.
8. Confirm the establishment profile is not a duplicate.
9. Save the completed establishment profile.
10. Enter the establishment update reason.

11. Confirm the updated establishment profile.
12. Exit the "Establishment Profile".
13. The prototype solution creates an activity for the updated and confirmed establishment.

Update Establishment Profile – Scoring Grid

Indicator #	Indicators	Did Not Demonstrate (0)	Partially Demonstrated (1)	Mostly Demonstrated (3)	Fully Demonstrated (5)
	The Prototype Solution should provide the functionality to allow the User to:				
1.	**Update Establishment Profile** Update an existing establishment profile record.				
2.	**Perform a Pre-defined Establishment Profile Search** Perform a pre-defined Establishment Profile Search, as described in Part 5: Search Assessment, Indicator 2. Establishment Profile Search, and assessed in Part 1: Capability Scenarios Assessment, Scenario 3, Indicator 1.				
3.	**Select an Existing Establishment** Select an establishment from the pre-defined Establishment Profile Search results list as described in Part 4: User Interface and Usability Assessment, Indicator 29, and assessed in Part 1: Capability Scenarios Assessment, Scenario 3, Indicator 2.				
4.	**Update Establishment Profile Information** Follow any of the Indicators 3 to 11 in Part 1: Capability Scenarios Assessment, Establishment Profile, Scenario 1, to update establishment profile information.				
5.	**Create/Update Establishment Reason** When prompted, select the value "Update of Establishment Profile" for *Reason for Establishment Create/Update* and enter background text. Confirm the updated establishment profile information is complete.	☐	☐	☐	☐
6.	**Create New Activity to be Associated with Updated Establishment Profile** When an updated establishment profile is confirmed as complete the Prototype Solution should create a new activity "tabbed pane", as described in Part 4: User Interface and Usability Assessment, Indicator 44, and assessed in Part 1: Capability Scenarios Assessment, Scenario 1, Indicator 13.				
7.	**Populate New Activity with Default Values** The Prototype Solution should populate the following data elements in the new activity record with the following values as follows: • *Activity Reason Type* to "Unscheduled: Update of Establishment Profile" • *Activity Type* to "Inspection" • *Priority* value to "Normal"	☐	☐	☐	☐

8.	**Associate New Activity with Updated Establishment Profile** The Prototype Solution should associate the new activity record with the updated establishment profile as assessed in Part 1: Capability Scenarios Assessment, Scenario 1 Indicator 15.				
9.	**Establishment Comments** The Prototype Solution should copy all *Comments* entered during the update of the establishment profile into the *Activity Comments History* upon the creation of the new activity as assessed in Part 1: Capability Scenarios Assessment, Scenario 1, Indicator 16.				
	Update Establishment Total Score:	**/10**			
	Establishment Profile: Scenario 1 and Scenario 2 Total Score:	**/225**			

Compliance and Enforcement (C&E) Activity

C&E Activity – On-site Retail Inspection - Overview

C&E Activity – On-site Retail Inspection Overview

Context

An Inspector needs to create a new C&E activity to add to his/her own workload as part of workload planning. The new activity will involve planning and documenting an inspection at the premises of an establishment. The activity is part of the inspector's annual inspection plan. The establishment's location is in the same region as the inspector. At the previous inspection, the establishment was selling both tobacco and vaping products. The inspector will plan, conduct, and document the inspection activity following the procedures outlined in the Tobacco Control Directorate's (TCD) Procedures for Inspection document.

Prior to conducting the inspection, the inspector should review all aspects of the selected establishment's profile and history stored in the solution, including previous activities, before the inspector can proceed to entering inspection activity information. The inspector will plan the inspection to take place the following week. The scope of the inspection will be a general inspection that, by default, should encompass all legislative sections/subsections of the Tobacco and Vaping Products Act (TVPA), and specific legislation of the Canada Consumer Product Safety Act (CCPSA) and the Food and Drugs Act (FDA).

During the inspection at the establishment's premises, the inspector should verify the establishment's location, record the person spoken to, verify the establishment's profile information with the person spoken to, and update the profile information stored in the solution as necessary. The inspector should follow steps outlined in the appropriate procedures/guidelines/tools to perform the inspection and document information gathered during the on-site inspection.

After conducting the on-sight inspection, the inspector should document the outcomes/results of analysis performed on the gathered information. The inspector will determine and document the state of compliance of the establishment based on the assessment of relevant outcomes/results.

After the assessment of compliance is completed the inspector will determine, based on the state of compliance, if an enforcement action is required. The inspector should document all information of the selected enforcement action(s) if required, and its implementation.

Once all documentation on the enforcement action(s) is completed, the inspector will close the activity.

Because the C&E Activity scenario involves many processes and steps, this scenario has been broken down into separate scenarios as follows:

- Scenario 3 - Create and Initialize a New activity
- Scenario 4 - Select the Scope of the Activity
- Scenario 5 - Document the Onsite portion of the activity
- Scenario 6 - Document Compliance Assessment and Analysis
- Scenario 7 - Document Enforcement Actions
- Scenario 8 - Close Activity

The Prototype Solution should allow the User to:

1. Create and initialize a new activity:
   (i) Search for and select an establishment to connect to the new activity.

(ii) Review all aspects of the establishment's history stored in the solution, including previous activities.
(iii) Plan the inspection by completing, at a minimum, the mandatory information.
(iv) Select a General scope for the inspection.
(v) De-select any legislative section(s)/subsection(s) that will not be assessed during the inspection.

2. Document the onsite inspection:
   (i) Verify the establishment's location.
   (ii) Record the name of all people spoken to during the inspection.
   (iii) Verify the establishment's profile information with that stored in the solution, and update the profile information as necessary.
   (iv) Document information gathered during the on-site inspection.
3. Document compliance analysis and assessment results:
   (i) Document the outcomes/results of analysis performed on the gathered information.
   (ii) Determine and document the state of compliance of the establishment based on the assessment of relevant outcomes/results.
4. Document Enforcement Actions:
   (i) Determine, based on the state of compliance, if an enforcement action is required.
   (ii) If an enforcement action is required, document all information of the selected enforcement action and its implementation.
5. Close the activity.

Scenario 3. C&E Activity - Create and Initialize a New Activity

SCENARIO #3 - C&E Activity - Create and Initialize a New Activity

Context

An Inspector needs to create a new activity to add to their own workload as part of workload planning. The activity is part of the inspector's annual inspection plan. The establishment's location is in the same region as the inspector and, at the previous inspection, was selling both tobacco and vaping products. The inspector will plan the activity.

During the creation of the activity, the inspector should review all aspects of the selected establishment's profile and history stored in the solution, including previous activities, before the inspector can proceed to entering the initial inspection activity information. The inspector will plan the inspection to take place during the following week.

The Prototype Solution should allow the User to:

1. Search for and select an establishment to connect to the new activity.
2. Review all aspects of the establishment's history stored in the solution, including previous activities.
3. Plan the inspection by completing, at a minimum, the mandatory information.

C&E Activity - Create and Initialize a New Activity – Scoring Grid

Indicator #	Indicators	Did Not Demonstrate (0)	Partially Demonstrated (1)	Mostly Demonstrated (3)	Fully Demonstrated (5)

	The Prototype Solution should provide the functionality to allow the User to:				
1.	**Perform a Pre-defined Establishment Profile Search** Perform a pre-defined Establishment Profile Search, as described in Part 5: Search Assessment, Indicator 2. Establishment Profile Search, for an establishment that matches the following criteria: • an *Establishment Status* value of "Active" • an *Establishment Type* value of "Retailer" • an *Establishment Subtype* value of "Convenience Store"	☐			☐
2.	**Select an Existing Establishment** Select an establishment from the pre-defined Establishment Profile Search results list to connect with a new activity, formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 29.	☐			☐
3.	**Create a New Activity Associated with an Existing Establishment** The Prototype Solution should create a new activity "tabbed pane" to be associated with an existing active establishment, formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 44, and assessed in Scenario 1, Indicator 13.				
4.	**General Information Component** The Prototype Solution should enable, for input, update, and viewing, all data in the General Information component of the Activity "tabbed pane", formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 45.	☐			☐
	Score for Indicators 1-4:				**/15**
	Scoring for Indicator 5 below:	**Did Not Demonstrate (0)**	**Partially Demonstrated (10)**	**Mostly Demonstrated (30)**	**Fully Demonstrated (50)**
5.	**Guided Workflow Steps to Create a New Activity** Be guided through the following activity workflow steps to create a new activity: 1. Select to view detailed profile information for the selected establishment. (Scenario 3, Indicator 6) 2. Update concerns and issues. (Scenario 3, Indicator 7) 3. Update establishment contact information. (Scenario 3, Indicator 8) 4. Confirm the review of establishment information is complete. (Scenario 3, Indicator 9 and 10) 5. Select to view detailed information about an establishment associated with the selected establishment (if any). (Scenario 3, Indicator 11) 6. Select to view detailed information about an activity connected to the selected establishment (if any). (Scenario 3, Indicator 12)	☐	☐	☐	☐

	7. Confirm the review of the associated establishments and the review of the establishment activity history information is complete. (Scenario 3, Indicator 13) 8. Enter initial activity information into the Core Information and remaining field sets. (Scenario 3, Indicator 15) 9. Confirm the activity initialization information is complete. (Indicator 16) **Score for this indicator will be based on the cumulative score of the indicators 6-17 specified for each workflow step and the sequence as specified in this requirement.** **0 *Points Did Not Demonstrate*** *(Scored 0 points on indicators 6-17)* ***10 Points Partially Demonstrated*** *(Scored 1-35 points on indicators 6-17)* ***30 Points Mostly Demonstrated*** *(Scored 36-59 points on indicators 6-17)* ***50 Points Fully Demonstrated*** *(Scored 60 points on indicators 6-17)*				
	Score for Indicator 5:	**/50**			
	Scoring for Indicators 6-17 below:	**Did Not Demonstrate (0)**	**Partially Demonstrated (1)**	**Mostly Demonstrated (3)**	**Fully Demonstrated (5)**
6.	**View Entire Establishment Profile from Activity General Information** Select to view from the Establishment field set the entire profile information for the selected establishment, formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 45.	☐			☐
7.	**Update the Concerns and Issues** Update the concerns and issues connected with the selected establishment profile, formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 38.	☐			☐
8.	**Update Contact Information** Update contact information connected with the selected establishment profile, formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 39.	☐			☐
9.	**Confirm Review of Establishment and Establishment Contacts** Confirm the review of the establishment and establishment contacts information is complete.	☐			☐
10.	**Enable Associated Establishments and other Activities Field Sets** When the review of the establishment and establishment contacts information has been confirmed by the User, the Prototype Solution should enable for viewing in	☐	☐		☐

	the Associated Establishments field set and the Other Activities for this Establishment field set the following information: • all establishments associated with the selected establishment, if any • all activities connect to the selected establishment, if any ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if one of the listed actions is demonstrated* ***5 Points*** *if both of the listed actions are demonstrated*				
11.	**Associated Establishments Field Set** Select to view, in the Associated Establishments field set, detailed information about an establishment associated with the selected establishment, if any, formatted and assessed as described and assessed in Part 4: User Interface and Usability Assessment, Indicator 45.	☐			☐
12.	**Other Activities for this Establishment Field Set** Select to view, in the Other Activities for this Establishment field set, detailed information about an activity connected to the selected establishment, if any, formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 45.	☐			☐
13.	**Confirm Review of Information** Confirm the review of the information in the Associated Establishments and the Other Activities for this Establishment field sets is complete.	☐			☐

14.	**Enable Activity Related Information Field Sets**
	
	When the review of the information in the Associated Establishments field set and the Other Activities for this Establishment field set has been confirmed as complete by the User, the Prototype solution should enable for input and viewing the activity related information field sets and data elements, formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 45:
	• Core Information:
	  • *Activity Reason Type*
	  • *Activity Type*
	  • *Priority*
	• Activity Timeline:
	  • *Proposed Start Date*
	  • *Bring Forward Date*
	• Sent To History (viewing only)
	• Online Presence
	• Links
	• Comment History
	
	0 Points *if none of the listed actions are demonstrated*
		☐	☐	☐	☐

	1 Point *if no fewer than two of the listed actions are demonstrated* ***3 Points*** *if no fewer than four of the listed actions are demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*				

15.	**Initial Activity Information**
	
	Enter the following activity detail values into the following field sets and data elements:
	• Core Information:
	  • *Activity Reason Type:* "Scheduled: Workplan" (required)
	  • *Activity Type*: "Inspection" (required)
	• Activity Timeline:
	  • *Proposed Start Date*: [any date value] (required)
	• Online Presence
	• Links
	• Comment History
	
	0 Points *if none of the listed actions are demonstrated*
	1 Point *if no fewer than two of the listed actions are demonstrated*
	3 Points *if no fewer than four of the listed actions are demonstrated*
	5 Points *if all of the listed actions are demonstrated*
		☐	☐	☐	☐

16.	**Confirm General Information is Complete** Confirm that the entry of the initial information for the new activity in the General Information component is complete.	☐			☐

17.	**Set Values and Enable Next Components in Workflow**
	
	When the information in the General Information component of the new activity has been confirmed by the User and successfully verified as complete, the Prototype Solution should perform the following actions:
	• set the following data elements to the following values:
	  • *Activity Status* value to "Planning in Progress"
	  • *Activity Plan Status Type* value to "Draft Plan"
	  • *Priority* value to "Normal"
	• set the mandatory data element values to read only
	• enable for input and viewing the following components of the Activity "tabbed pane":
	  • Scope Plan
	  • Close
	
	0 Points *if none of the listed actions are demonstrated*
	1 Point *if no fewer than two of the listed actions are demonstrated*
	3 Points *if no fewer than four of the listed actions are demonstrated*
	5 Points *if all of the listed actions are demonstrated*
		☐	☐	☐	☐

Score for Indicators 6 to 17	**/60**
Create and Initialize a New Activity Total Score:	**/125**

Scenario 4. C&E Activity - Select Scope of Activity

SCENARIO #4 - C&E Activity - Select Scope of Activity

The scope of the inspection will be a general inspection that, by default, should encompass all legislative sections/subsections of the Tobacco and Vaping Products Act (TVPA), and specific legislation of the Canada Consumer Product Safety Act (CCPSA) and the Food and Drugs Act (FDA).

The Prototype Solution should allow the User to:

1. Select a General scope for the inspection.
2. De-select any legislative section(s)/subsection(s) that will not be assessed during the inspection.

C&E Activity - Select Scope of Activity – Scoring Grid

Indicator #	Indicators	Did Not Demonstrate (0)	Partially Demonstrated (1)	Mostly Demonstrated (3)	Fully Demonstrated (5)
	The Prototype Solution should provide the functionality to allow the User to:				
1.	**Scope Plan Component** The Prototype Solution should provide a Scope Plan component of the Activity "tabbed pane" formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 46, in which to enter, update, and view the planned scope of the activity.				
2.	**Activity Scope Plan Type** Select an *Activity Scope Plan Type* value of "General" to create a scope plan.	☐			☐
3.	**Legislative Section/Subsection** When the User selects an *Activity Scope Plan Type* value of "General", the Prototype Solution should display in the Activity Scope Details field set the legislative section/subsection values appropriate for the following activity data element values: a. *Activity Scope Plan Type* value of "General" b. *Establishment Type* value of "Retailer" c. *Activity Reason Type* value of "Scheduled: Workplan" d. *Proposed Start Date* value entered when the activity was created.	☐	☐	☐	☐

	0 Points *if none of the listed actions are demonstrated* ***1 Point*** *if no fewer than two of the listed actions are demonstrated* ***3 Points*** *if no fewer than three of the listed actions are demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*				
4.	**Default Selected State** When the *Activity Type* value is "Inspection" and the *Activity Scope Plan Type* value is "General", the Prototype Solution should set all legislative section(s)/subsection(s) to a "selected" state.	☐			☐
5.	**Select /De-select Legislative Section/Subsection** Select and de-select any available legislative section/subsection listed in the Activity Scope Details field set at any time prior to confirming the information in the Scope Plan is complete.	☐			☐
6.	**Minimum Legislative Section/Subsection** Select a minimum of one legislative section/subsection prior to confirming the information in the Scope Plan is complete.	☐			☐
7.	**Confirm Scope Plan as Complete** Confirm the information in the Scope Plan component is complete.	☐			☐
8.	**Set Values and Enable Next Components in Workflow** When the information in the Scope Plan component has been confirmed by the User, and successfully validated and verified as complete, the Prototype Solution should perform the following actions: • set the *Activity Status* value to "Pending Compliance" • set the A*ctivity Plan Status Type* value to "Approved" • set all Scope Plan data element values to read only • enable for input and viewing the Compliance Assessment component of the Activity "tabbed pane" and the data elements in the Establishment Location Verification field set. ***0 Points*** *if none of the listed actions are demonstrated* ***1 Points*** *if no fewer than two of the listed actions are demonstrated* ***3 Points*** *if no fewer than three of the listed actions are demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*	☐	☐	☐	☐
	Select Scope of Activity Total Score:				**/35**

Scenario 5. C&E Activity - Document Onsite Portion of the Activity

SCENARIO #5 - C&E Activity - Document Onsite Portion of the Activity

Context

During the inspection at the establishment's premises, the inspector should verify the establishment's location, record the person spoken to, verify the establishment's profile information with the person spoken to, and update the profile information stored in the solution as necessary.

The Prototype Solution should allow the User to:

Document the on-site inspection in the following steps:

1. Verify the establishment's location.
2. Record the name of all people spoken to during the inspection.
3. Verify the establishment's profile information with that stored in the solution,
4. Update the profile information as necessary.

C&E Activity - Document Onsite Portion of the Activity – Scoring Grid

Indicator #	Indicators	Did Not Demonstrate (0)	Partially Demonstrated (1)	Mostly Demonstrated (3)	Fully Demonstrated (5)
	The Prototype Solution should provide the functionality to allow the User to:				
1.	**Compliance Assessment Component** The Prototype Solution should provide the following field sets in the Compliance Assessment component of the Activity "tabbed pane", formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 47, in which to enter, update, and view the onsite portion of the compliance assessment: • Establishment Location Verification • Person Spoken To				
	Scoring for Indicator 2 below:	**Did Not Demonstrate (0)**	**Partially Demonstrated (10)**	**Mostly Demonstrated (30)**	**Fully Demonstrated (50)**
2.	**Guided Workflow Steps for Compliance Assessment Component – Establishment Location Verification Field Set** Be guided through the following workflow steps to document the Establishment Location Verification field set of compliance assessment, as described in Part 4: User Interface and Usability Assessment, Indicator 50: 1. Verify establishment location (Scenario 5, Indicators 3 and 4) 2. Confirm establishment location verification is complete (Scenario 5, Indicator 5) 3. Document person spoken to (Scenario 5, Indicator 7) 4. Confirm establishment profile information was verified (Scenario 5, Indicator 8 and 9) Score for this indicator will be based on the cumulative score of the Indicators 3-9 specified for each workflow step and the sequence as specified in this requirement.	☐	☐	☐	☐

	0 Points Did Not Demonstrate *(Scored 0 points on indicators* 3-9*)* ***10 Points Partially Demonstrated*** *(Scored 1-20 points on indicators* 3-9*)* ***30 Points Mostly Demonstrated*** *(Scored 21-34 points on indicators* 3-9*)* ***50 Points Fully Demonstrated*** *(Scored 35 points on indicators* 3-9)				
	Score for Indicator 2:	**/50**			
	Scoring for Indicators 3-9 below:	**Did Not Demonstrate (0)**	**Partially Demonstrated (1)**	**Mostly Demonstrated (3)**	**Fully Demonstrated (5)**
3.	**Compliance Assessment Component - Establishment Location** Select the *Activity Establishment Verification Code* value of "Establishment Verified At Specified Location" in the Establishment Location Verification field set in the Compliance Assessment component as described in Part 4: User Interface and Usability Assessment, Indicator 50.	☐			☐
4.	**Compliance Assessment Component – Actual Date and Time** Enter the *Actual Start Date* and *Actual Start Time* values in the Establishment Location Verification field set in the Compliance Assessment component.	☐			☐
5.	**Establishment Location Verification** Confirm when finished entering information in the Establishment Location Verification field set in the Compliance Assessment component.	☐			☐
6.	**Establishment Location Verification - Confirm location is verified** When the entry of information in the Establishment Location Verification field set is confirmed as complete by the User the Prototype Solution should perform the following actions: 1. set all data element values in the Establishment Location Verification field set to read only 2. set the following data elements to the following values: • *Activity Status* value to "Compliance In Progress" • *Activity Plan Status Type* value to "Approved" 3. enable for input and viewing the following field sets and data elements of the Compliance Assessment component: • Person Spoken To • Add Person Spoken To • *Establishment Profile Verified* (data element) ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if no fewer than two of the listed actions are demonstrated* ***3 Points*** *if no fewer than four of the listed actions are demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*	☐	☐	☐	☐

7.	**Compliance Assessment Component - Person Spoken To** Perform the following actions in the Person Spoken To field set in the compliance Assessment component as described in Part 4: User Interface and Usability Assessment, Indicator 51: • select a minimum of one person spoken to as the contact • add a new establishment contact to the contact list connected to the establishment profile ***0 Points*** *if neither of the listed actions is demonstrated* ***1 Point*** *if only one of the actions is demonstrated* ***5 Points*** *if both of the listed actions are demonstrated*	☐	☐		☐
8.	**Compliance Assessment Component – Verify Establishment Profile** Confirm the establishment profile information has been verified and updated.	☐			☐
9.	**Set Values and Enable Next Field Sets in Workflow** When the establishment profile information is confirmed as verified by the User the Prototype Solution should enable the following field sets in the Compliance Assessment component of the Activity "tabbed pane", formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 47, in which to enter, update, and view the following information: • Compliance Results • Artifacts Summary • Responsible Party Summary	☐			☐
	Score for Indicators 3-9:				**/35**
	Document Onsite Portion of the Activity Total Score:				**/85**

Scenario 6. C&E Activity - Document Compliance Assessment and Analysis

SCENARIO #6 - C&E Activity - Document Compliance Assessment and Analysis

Context

After conducting the on-sight inspection, the inspector should document the results of the compliance assessments and analysis performed on the gathered information. The inspector will determine and document the state of compliance of the establishment based on the assessment of relevant outcomes/results.

The Prototype Solution should allow the User to:

1. Document the outcomes/results of analysis performed on the gathered information.
2. Determine and document the state of compliance of the establishment based on the assessment of relevant outcomes/results.

C&E Activity - Document Compliance Assessment and Analysis – Scoring Grid

Indicator #	Indicators	Did Not Demonstrate (0)	Partially Demonstrated (10)	Mostly Demonstrated (30)	Fully Demonstrated (50)
	The Prototype Solution should provide the functionality to allow the User to:				
1.	**Compliance Results Field Set** The Prototype Solution should provide a Compliance Results field set, in which to enter, update, and view compliance results information, in the Compliance Assessment component of the Activity "tabbed pane", formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 52..				
2.	**Populate Compliance Results Field Set** The Prototype Solution should populate the *Legislation* data element in the Compliance Results field set with all legislative section/subsection values previously selected in the Scope Plan component as described in Part 4: User Interface and Usability Assessment, Indicator 52.	☐			☐
3.	**Guided Workflow Steps to Document Compliance Assessment and Analysis Portion** Be guided through the following workflow steps to document the Compliance Assessment and Analysis Portion of compliance assessment: 1. Document compliance assessment results by legislative section/subsection a. Document Artifact Collection (Scenario 6, Indicator 10) b. Document Artifact Analysis results for each legislative section/subsection for the artifact (Scenario 6, Indicator 11 and 12) **c.** Document the responsible party for each non-compliant legislative section/subsection in the artifact analysis (Scenario 6, Indicator 13) d. Document Linked files (Scenario 6, Indicator 14) 2. Update Compliance Result data set. (Scenario 6, Indicator 4, 5, and 6) 3. View and update details of an artifact from the Artifacts Summary field set. (Scenario 6, Indicators 17, 18 and 19) 4. View and update details of a responsible party from the Responsible Party Summary field set. (Scenario 6, Indicators 20, 21 and 22)	☐	☐	☐	☐

	5. Confirm Compliance Assessment information is complete. (Scenario 6, Indicator 23) **Score for this indicator will be based on the cumulative score of the indicators 6-17 specified for each workflow step and the sequence as specified in this requirement.** **0** ***Points Did Not Demonstrate*** *(Scored 0 points on indicators 4-24)* ***10 Points Partially Demonstrated*** *(Scored 1-62 points on indicators 4-24)* ***30 Points Mostly Demonstrated*** *(Scored 63-104 points on indicators 4-24)* ***50 Points Fully Demonstrated*** *(Scored 105 points on indicators 4-24)*				
	Score for Indicators 1-3:	**/100**			
	Scoring for Indicator 4-24 below:	**Did Not Demonstrate (0)**	**Partially Demonstrated (1)**	**Mostly Demonstrated (3)**	**Fully Demonstrated (5)**
4.	**Legislation Section Compliance Outcome** Select one of the following *Legislation Section Compliance Outcome* values for a legislative section/subsection listed in the Compliance Results field set where compliance analysis is not required: • "Not Inspected" • "Not Applicable"	☐			☐
5.	**Artifact Analysis Type** Select "Observation" as the *Artifact Analysis Type* value for a legislative section/subsection listed in the Compliance Results field set where compliance analysis is required.	☐			☐
6.	**Add an Artifact** Select to add an artifact for the legislative section/subsection that has the *Artifact Analysis Type* value of "Observation" selected.	☐			☐
7.	**Legislation Section Compliance Outcome Read Only** The Prototype Solution should set the *Legislation Section Compliance Outcome* value for the legislative section/subsection in the Compliance Results field set as read only when an artifact has been added.	☐			☐
8.	**Artifact "Tabbed pane"** The Prototype Solution should enable, for input, update, and viewing, the Artifact "tabbed pane", formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 53.	☐			☐
9.	**Artifact "Tabbed pane" Header Information**	☐	☐	☐	☐

	The Prototype Solution should populate the following artifact information values in the header section of the Artifact "tabbed pane" as described in Part 4: User Interface and Usability Assessment, Indicator 54: • *Establishment Name* (for the activity) • *Artifact Id Number* (system generated by concatenating system generated number + Legislation number + number of artifact for this Legislative section/subsection, starting at the number 1) • *Legislation number and description* (for which the artifact is being assessed) • *Artifact Analysis Type* (User selected in the Compliance Assessment field set) ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if no fewer than one of the listed actions are demonstrated* ***3 Points*** *if no fewer than three of the listed actions are demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*				
10.	**Artifact "Tabbed pane": Collection Component** For an *Artifact Analysis Type* value of "Observation" enter the following artifact information in the Collection component of the Artifact "tabbed pane" as described in Part 4: User Interface and Usability Assessment, Indicator 55: • *Artifact Id Number:* "1" • *Description:* [any text] • *Observed By*: [accept the default value] (default is the User's name) • *Observed Date*: [any date <= system date] ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if only one of the listed actions is demonstrated* ***3 Points*** *if no fewer than three of the listed actions are demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*	☐	☐	☐	☐
11.	**Select Overall Compliance Assessment Outcome** When the artifact is assessed against only one legislative section/subsection, the Prototype Solution should allow the User to select the *Overall Compliance Assessment Outcome* value for the Artifact.	☐			☐
12.	**Artifact "Tabbed pane": Analysis Component** For an *Artifact Analysis Type* value of "Observation" enter the following analysis information in the Analysis component of the Artifact "tabbed pane" as described in Part 4: User Interface and Usability Assessment, Indicator 56: • *Analysis Comments*: [any text] • *Overall Artifact Compliance Outcome*: "Non-Compliance" • *Contact*: [select a name from the provided Contact list] ***0 Points*** *if none of the listed actions are demonstrated*	☐	☐	☐	☐

	1 Point *if only one of the listed actions is demonstrated* ***3 Points*** *if no fewer than two of the listed actions are demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*				
13.	**Responsible Party** Select a name from the Contact List as the value for the *Responsible Party* for each non-compliant legislative section/subsection listed in the Analysis component.	☐			☐
14.	**Artifact "Tabbed pane": Links Component** Enter the following linked document information in the Links component for the artifact as described in Part 4: User Interface and Usability Assessment, Indicator 57: • *Link Id Number*: "1", combination of a unique number generated by the Prototype Solution plus the User updateable number. The Solution generated portion of the Id cannot be changed by the User. • *File name*: [any document file name], name of the document being linked • *Description*: [description of the linked document] • *Linked By*: [defaults to User name], the name of the User who linked the file • *Linked Date*: [any date <= system date], the date the file was linked ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if no fewer than two of the listed actions are demonstrated* ***3 Points*** *if no fewer than four of the listed actions are demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*	☐	☐	☐	☐
15.	**Derive and Display Legislation Section Compliance Outcome** The Prototype Solution should derive and display in the Compliance Results field set the *Legislation Section Compliance Outcome* value for each legislative section/subsection derived from the *Overall Artifact Compliance Outcome* value of each artifact added to the legislative section/subsection, as follows: • If the *Overall Artifact Compliance Outcome* value for any artifact is "Non-Compliance", the *Legislation Section Compliance Outcome* value for the legislative section/subsection is derived as "Non-Compliance". • If no artifact has an *Overall Artifact Compliance Outcome* value of "Non-Compliance" and the *Overall Artifact Compliance Outcome* value for at least one artifact is "No Evidence of Non-Compliance", the *Legislation Section Compliance Outcome* value for the legislative section/subsection is derived as "No Evidence of Non-Compliance". • If the *Overall Artifact Compliance Outcome* value for all artifacts is "Not Applicable", the *Legislation Section Compliance Outcome* value for the legislative section/subsection is derived as "Not Applicable". • If the *Overall Artifact Compliance Outcome* value for all artifacts is "Not Inspected", the *Legislation Section Compliance Outcome* value for the legislative section/subsection is derived as "Not Inspected".	☐			☐

	0 Points *if none of the listed values are derived and displayed* ***5 Points*** *if the correct value is derived and displayed*				
16.	**Total Number of Artifacts** The Prototype solution should display the value for the total number of artifacts added to each legislative section/subsection in the Compliance Results field set.	☐			☐
17.	**Artifact Summary** The Prototype Solution should populate and display details of each added artifact in the Artifacts Summary field set in the Compliance Assessment component as described in Part 4: User Interface and Usability Assessment, Indicator 58.	☐			☐
18.	**Update an Artifact** Select and update a previously documented artifact and all related artifact information from the Artifacts Summary field set.	☐			☐
19.	**Delete an Artifact** Select and delete a previously documented artifact and all related artifact information from the Artifacts Summary field set.	☐			☐
20.	**Responsible Party Summary** The Prototype Solution should populate and display details of each added responsible party in the Responsible Party Summary field set in the Compliance Assessment component as described in Part 4: User Interface and Usability Assessment, Indicator 59.	☐			☐
21.	**Update Responsible Party** Select and update a previously documented Responsible Party from the Responsible Party Summary field set.	☐			☐
22.	**Delete Responsible Party** Select and delete a previously documented Responsible Party and all related artifact information from the Responsible Party Summary field set.	☐			☐

23.	**Confirm Compliance Assessment is Complete**
	
	Confirm the information in the Compliance Assessment component is complete after ensuring the following conditions have been met:
	• each legislative section/subsection has a *Legislative Compliance Outcome* value indicated in the Compliance Result field set
	• for each artifact:
	  • all required artifact information has been completed
	  • an *Overall Artifact Compliance Outcome* value has been selected
	  • a minimum of one *Contact Name* has been selected as the Responsible Party for each legislative section/subsection with a *Overall Artifact Compliance Outcome* value of “Non-Compliance”
		☐	☐	☐	☐

	0 Points *if none of the listed actions are demonstrated* ***1 Point*** *if no fewer than two of the listed actions are demonstrated* ***3 Points*** *if no fewer than three of the listed actions are demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*				
24.	**Set Values and Enable Next Component in Workflow** When the information in the Compliance Assessment component has been confirmed by the User, and successfully validated and verified as complete, and there is a legislative section/subsection with a *Legislation Section Compliance Outcome* value of one of the following: • "Non-Compliance" • "Non-Compliance – Minor" • "Non-Compliance – Major" the Prototype Solution should perform the following actions: • Set the following data elements to the following values: • *Activity Status* value to "Enforcement Action Plan Required" • *Compliance Assessment Completion Date* value to the system date value • *Compliance Assessment Completion Time* value to the system time *value* • Set all data elements to read only • Enable for input and viewing the Enforcement Action component of the Activity "tabbed pane" ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if no fewer than two of the listed actions are demonstrated* ***3 Points*** *if no fewer than four of the listed actions are demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*	☐	☐	☐	☐
	Score for Indicators 4-24:	**/105**			
	Document Compliance Assessment and Analysis Total Score:	**/205**			

Scenario 7. C&E Activity - Document Enforcement Actions

SCENARIO #7 - C&E Activity - Document Enforcement Actions **Context** After the assessment of compliance and analysis is completed the inspector will determine, based on the state of compliance, if an enforcement action is required. The inspector should document all information of the selected enforcement action(s) if required, and it's implementation.
The Prototype Solution should allow the User to:
1. Determine, based on the state of compliance, if an enforcement action is required.

2. If an enforcement action is required, document all information of the selected enforcement action and its implementation.

C&E Activity - Document Enforcement Actions – Scoring Grid

Indicator #	Indicators	Did Not Demonstrate (0)	Partially Demonstrated (1)	Mostly Demonstrated (3)	Fully Demonstrated (5)
	The Prototype Solution should provide the functionality to allow the User to:				
1.	**Enforcement Actions Component** The Prototype Solution should provide an Enforcement Actions component of the Activity "tabbed pane", formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 48, in which to enter, update, and view the following enforcement action information: • data in the Recommended Enforcement Actions for Inspection field set • data in the following enforcement action field sets for the following *Enforcement Action Type* values selected in the Recommended Actions for Inspection field set: 1. Warning Letter 2. Warning Letter Links				
2.	**Recommended Enforcement Action** The Prototype Solution should display "Warning Letter" as the *Enforcement Action Type* value in the Recommended Actions for Inspection field set for each legislative section/subsection with a *Legislation Section Compliance Outcome* value of any of the following: • "Non-Compliance" • "Non-Compliance-Minor" • "Non-Compliance-Major"	☐			☐
3.	**Enforcement Action Plan** Select the appropriate *Enforcement Action Type* value for each responsible party and non-compliant legislative section/subsection.	☐			☐
4.	**Standard Letter Generation from a Template: Warning Letter** When the User selects "Warning Letter" as the *Enforcement Action Type* value, the Prototype Solution should use the following information in the Warning Letter template to generate a warning letter: • data elements, with the appropriate options, that can be selected and pre-populated, for example: a. Name, Address, and contact information of the regulated party or establishment b. Legislative sections and subsections associated with the non-compliance	☐	☐		☐

	• standard text, as appropriate, for the purpose of the warning letter, for example: a. text informing the regulated party there are non-compliances b. text outlining the time given to correct the non-compliances and the consequences of not correcting the non-compliances ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if only one of the listed actions is demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*				
5.	**Warning Letter Saved** When the Prototype Solution has generated a warning letter allow the User to: • Save the warning letter document to the HC approved repository • Provide a link to the warning letter document ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if only one of the listed actions is demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*	☐	☐		☐
6.	**Enforcement Action Validation** Confirm that the information in the Enforcement Actions component is complete after ensuring the following conditions have been completed for each non-compliant legislative section/subsection: • a responsible party is assigned • an enforcement action is selected • the enforcement action is in a completed state ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if only one of the listed actions is demonstrated* ***3 Points*** *if no fewer than two of the listed actions are demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*	☐	☐	☐	☐
7.	**Enforcement Action Confirmation** When the information in the Enforcement Actions component is confirmed by the User, and successfully validated and verified as complete, the Prototype Solution should perform the following actions: • set the *Activity Status* value to “Pending Closure” • set all the values in the Enforcement Action field set to read only ***0 Points*** *if neither of the listed actions are demonstrated* ***1 Point*** *if only one of the listed actions is demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*	☐	☐		☐

Document Enforcement Actions Total Score:	/30

Scenario 8. C&E Activity - Close Activity

SCENARIO #8 - C&E Activity - Close Activity

Context

Once all documentation on the enforcement action(s) is completed, the User will close the activity.

The Prototype Solution should allow the User to:

1. Once all documentation on the enforcement action(s) is completed, close the activity.

C&E Activity - Close Activity – Scoring Grid

Indicator #	Indicators	Did Not Demonstrate (0)	Partially Demonstrated (1)	Mostly Demonstrated (3)	Fully Demonstrated (5)
	The Prototype Solution should provide the functionality to allow the User to:				
1.	**Close Component** The Prototype Solution should provide a Close component of the Activity "tabbed pane", formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 49, and assessed in Part 1: Capability Scenarios Assessment, Scenario 3, Indicator 17, for input, update, and viewing at any time after the activity plan information in the General Information component has been confirmed as complete,				

2.	**Activity Workflow Step: Close Activity**
	
	Close an activity in the Close component by performing the following actions:
	• within the Recommended Next Steps field set:
	  • select "No linked activity required at this time" as the value for *Linked To*
	  • select a value for *Activity Close Reason*
	  • select "Yes" as the value for *Close Activity Now*
	• within the Justification field set, provide a justification for closing the activity
	
	0 Points *if none of the listed actions are demonstrated*
	1 Point *if no fewer than two of the listed actions are demonstrated*
	3 Points *if no fewer than three of the listed actions are demonstrated*
		☐	☐	☐	☐

	5 Points *if all of the listed actions are demonstrated*				
3.	**Activity Complete** When the *Close Activity Now* values is "Yes", the Prototype Solution should require the User to confirm that the information in the activity is complete.	☐			☐
4.	**Activity Complete and Close** When the information in the Close component has been confirmed by the User, the information in the activity has been successfully validated and verified as complete, and the *Close Activity Now* value is "Yes", the Prototype Solution should perform the following actions: • set the *Activity Completed* value to "Yes" • set the *Activity Close Date* value to the system date • set the *Activity Status* value to "Closed" • append the *Activity Close Reason* value and the *Activity Close Justification* value to the activity's *Comments* value • set all the activity data element values to read only to prevent further updating to the closed activity • add the closed activity to the "Activities of Previous Interest" list in the User's Workload view ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if no fewer than two of the listed actions are demonstrated* ***3 Points*** *if no fewer than four of the listed actions are demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*	☐	☐	☐	☐
	Close Activity Total Score:				**/15**

C&E Activity - Industry Reports - Overview

C&E Activity - Industry Reports - Overview

Context

Prototype Solution:

When an Industry Report for an establishment is submitted to the Prototype Solution, the Solution should create a new activity (see Scenario 9-Industry Reports-Create a new Activity for a Submitted Industry Report) and perform initial compliance assessment and analysis on the industry report data. Once the initial compliance assessment and analysis is completed, the Solution will add the activity to the workload of the User who is assigned to work on the establishment.

After the assessment of compliance is completed by the User, the Prototype Solution will select a recommended enforcement action for each non-compliant legislative section/subsection.

User:

When a new activity for an Industry Report is added to the User's workload, the User will perform a compliance assessment of an Industry Report that has been submitted into the solution. The User will review the initial compliance assessment results of the industry report performed by the solution. After reviewing the results, the User should document any overrides required of the outcomes/results of analysis performed by the Prototype Solution.

After the assessment of compliance is completed, the User will review the enforcement action(s) recommended by the Prototype Solution and determine if an override of the recommended enforcement action(s) is required. The User should document all information of the selected enforcement action(s) as required, and its implementation.

Once all documentation of the enforcement action(s) is completed, the User will close the activity.

Because the User portion of the C&E of industry reports scenario involves many processes and steps, this scenario has been broken down into separate scenarios as follows:

- Scenario 10 - Industry Reports - Perform Compliance Assessment and Analysis Review
- Scenario 11 - Industry Reports - Review Enforcement Actions and document any overrides required

Scenario 9. A C&E Activity - Industry Report Section 11 - Create a new Activity for a Submitted Industry Report

SCENARIO #9 A - C&E Activity - Industry Report Section 11 - Create a new Activity for a Submitted Industry Report

Context

When an Industry Report for an establishment is successfully submitted to the Prototype Solution via Scenario 14, the Prototype Solution should create a new activity and perform initial compliance assessment and analysis on the industry report data. Once the initial compliance assessment and analysis is completed, the Solution will add the activity to the workload of the User who is assigned to work on the establishment.

The Prototype Solution should:

1. Create a new activity when an Industry Report is submitted.
2. Perform the initial compliance assessment and analysis of the industry report data.
3. Document the outcomes/results of analysis performed on the Industry Report data information.
4. Document the State of Compliance and Level of Compliance of the industry Report data based on the relevant outcomes/results.
5. Add the activity to the workload of the User who is assigned to work on the establishment.

C&E Activity - Industry Report Section 11 - Create a new Activity for a Submitted Industry Report – Scoring Grid

Indicator #	Indicators	Did Not Demonstrate (0)	Partially Demonstrated (10)	Mostly Demonstrated (30)	Fully Demonstrated (50)
	The Prototype Solution should provide the functionality to allow the User to determine if the Prototype Solution completed the following steps to create a new Activity record:				
1.	**Create a New Activity for a Submitted Industry Report Section 11** Create a new activity record connected to an existing active establishment for a submitted industry report formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 44, and assessed in Scenario 1, Indicator 13.				
2.	**Create New Activity Record Connected to Existing Active Establishment** The Prototype Solution should perform the following activity steps to create a new activity record connected to an existing active establishment for a submitted industry report data, as described in Scenario 14: 1. Create and populate a new activity record connected to an existing active establishment as described in Scenario 9.A, Indicator 3, below. 2. Document initial compliance analysis and assessment results, as described in Scenario 9.A, Indicators 4 to 17, below. Score for this indicator will be based on the cumulative score of the indicators 3-17 for the activity created and populated with the appropriate information for an industry report activity. ***0 Points Did Not Demonstrate (Scored 0 points on indicators 3-17)*** ***10 Points Partially Demonstrated (Scored 1-68 points on indicators 3-17)***	☐	☐	☐	☐

	30 Points Mostly Demonstrated (Scored 69-114 points on indicators 3-17) ***50 Points Fully Demonstrated (Scored 115 points on indicators 3-17)***				
3.	**Create and Populate a New Activity Record Connected to Existing Active Establishment** When an industry report is received, the Prototype Solution should perform the following actions: 1. set the *Report Status* value to "Registered" 2. search for and select an existing establishment that matches the establishment information identified in the industry report: e.g., Establishment Name, Street, City, Province, Postal Code 3. update the establishment contact information with the contact information of the *Author of The Report* 4. populate the Product and Brand component with data found in the industry report 5. populate the Industry Reporting History component 6. create an activity for the establishment connected to the industry report based on the industry report information values (for example, *Report Section)* 7. set the value to indicate the review of establishment information is confirmed as complete 8. set the value to indicate the review of the associated establishments and the establishment activity history information is confirmed as complete 9. set the *Activity Type* value to "Inspection" 10. set the *Activity Reason Type* value to "Scheduled: Industry Report" 11. set the *Proposed Start Date* value to the *Report Status Effective Date* value 12. set the value to indicate the activity initialization information is confirmed as complete 13. set the mandatory data element values to read only 14. set the *Activity Scope Plan Type* value to the *Report Section Name* value 15. set the legislative section(s)/subsection(s) appropriate for: • the *Activity Scope Plan Type* value • the *Proposed Start Date* value 16. default all legislative section(s)/subsection(s) to the "selected" state 17. set the value to indicate the Scope Plan is confirmed as complete 18. set the *Activity Status* value to "Pending Compliance" 19. set the A*ctivity Plan Status Type* value to "Approved" 20. set all Scope Plan data element values to read only 21. set *Activity Establishment Verification Code* value to "Verified by Portal" 22. set the *Industry Report Received Date* to the system date 23. set the *Industry Report Received Time* to the system time 24. set all data element values in the Establishment Location Verification field set to read only 25. populate the Legislation data element in the Compliance Results field set with the industry report *Legislation Section* name	☐			☐

	26. set the *Artifact Analysis Type* value to “In House” in the Compliance Results field set 27. set the *Number of Artifacts* value to “1” 28. populate the *Legislative Section/Subsection* data element in the Compliance Results field set with the legislative section/subsection values appropriate for the industry report Legislation section 29. populate the data elements in the Artifacts Summary field set in the Compliance Assessment component with the *Artifact Id* and *Legislation Section* values 30. enable for input and viewing the Compliance Assessment component of the Activity “tabbed pane” 31. add the new activity to the “Activities” list in the *Assigned User*’s workload view **Rating will be dependent on the resultant activity created and populated with the appropriate information for an industry report activity.** ***0 Points*** *if none of the listed actions are demonstrated* ***50 Points*** *if all of the listed actions are demonstrated*				
	Score for Indicators 2-3:	**/100**			
	Scoring for Indicators 4-14 below:	**Did Not Demonstrate (0)**	**Partially Demonstrated (1)**	**Mostly Demonstrated (3)**	**Fully Demonstrated (5)**
4.	**Industry Report Submission Data in Artifact** Populate the following industry report submission data in the Artifacts pane: • *Establishment Name* (for the activity) • *Artifact Id Number* (system generated by concatenating system generated number + Legislation number + number of artifact for this Legislative section/subsection, starting at the number 1) • Submitted industry report data (includes files attached in the industry report submission) ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if only one of the listed actions is demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*	☐	☐		☐
5.	**Artifact Analysis** Perform Artifact Analysis against the appropriate legislation using Indicators 6 to 9, below, in this scenario.				

6.	**Verify Submission Data and Populate Error Data** Verify the industry report artifact for completeness and correctness for each the Legislative Section/Subsection of the Industry Report and populate errors according to the Canada's Industry Report Verification Requirements, as follows: • Identify information required in the submission but not provided; • Incorrect unit of measures; • Values outside of a range; • Incorrect Totals ***0 Points*** *if none of the listed verifications are demonstrated and displayed* ***1 Point*** *if only one of the listed of the listed verifications is demonstrated and displayed* ***3 Points*** *if 2 to 3 of the listed verifications are demonstrated and displayed* ***5 Points*** *if all of the listed verifications are demonstrated and displayed*	☐	☐	☐	☐
7.	**Perform Calculations** Perform the necessary calculations and set the non-compliance values for the legislative requirements as a read only value as follows: Sum the *Ingredient Amounts* for each brand, and compare it against the reported *Product Weight*. If the sum is greater than ± a specified range of the *Product Weight*, the Solution flags this error and sets the Legislative *Section/Subsection* 11(1)(d) value to "Non-Compliance".	☐			☐
8.	**Populate Error Display in Compliance Results field set** Populate the following values in the Compliance Results field set: • number of the errors by legislative section/subsection • the total number of errors for all legislative sections/subsections ***0 Points*** *if neither of the listed action is demonstrated* ***1 Point*** *if only one of the listed actions is demonstrated* ***5 Points*** *if both of the listed actions are demonstrated*	☐	☐		☐
9.	**Derive and Populate Activity Compliance Outcome Value** Derive and populate the *Activity Compliance Outcome* value for the activity by setting the *State of Compliance* and *Level of Compliance* values in the Compliance Summary field set to one of the following values: • "Non-Compliance-Minor" if the legislative sections/subsections found to be "Non-Compliance" were set to "Minor" Compliance Level to a maximum of 5 instances • "Non-Compliance-Major" if the legislative sections/subsections found to be "Non-Compliance" had at least one where a "Major" Compliance Level was set	☐			☐

	• "No Evidence of Non-Compliance" if at least one legislative section/subsection was found to be "No Evidence of Non-Compliance", and **no** legislative sections/subsections were found to be "Non-Compliance" • "Not assessed" if all legislative sections/subsections were found to be "Not assessed" • "Not Applicable" if all legislative sections/subsections were found to be "Not Applicable" ***0 Points*** *if none of the listed values are derived and displayed* ***5 Points*** *if the correct value is derived and displayed*				
10.	**Calculations of Compliance Outcome Value** Perform the following calculations: • calculate the total number of legislative sections/subsections with a *Legislation Section Compliance Outcome* value of "Non-Compliance-Minor" • calculate the total number of legislative sections/subsections with a *Legislation Section Compliance Outcome* value of "Non-Compliance-Major" • calculate the number of errors for legislative sections/subsections with the *Legislation Section Compliance Outcome* value of "Non-Compliance-Minor" • calculate the number of errors for legislative sections/subsections with the *Legislation Section Compliance Outcome* value of "Non-Compliance-Major" ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if only one of the listed actions is demonstrated* ***3 Points*** *if 2 to 3 of the listed actions are demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*	☐	☐	☐	☐
11.	**Non-compliances Summary** Populate a summary table of non-compliances in the Compliance Summary field set in the following manner: • The number of non-compliances by *Compliance Outcome Level*, Major and Minor • The number of errors by *Compliance Outcome Level*, Major and Minor • The sum total of non-compliances and errors. ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if only one of the listed actions is demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*	☐	☐		☐
12.	**No Override** Prevent the User from overriding the selected value in the Overall Assessment of Compliance Section, for example, by setting the selected value to read only.	☐			☐

13.	**Enable Compliance Assessment Component** Enable for input and viewing the Compliance Assessment component of the Activity "tabbed pane"	☐			☐
14.	**Add New Activity to Workload** Add the new activity to the "Activities" list in the *Assigned User*'s workload view.	☐			☐
	Score for 4 - 14:				**/55**
	Industry Reports Section 11 - Create a new Activity for a Submitted Industry Report Total Score:				**/155**

Scenario 9. B C&E Activity - Industry Report Section 13 - Create a new Activity for a Submitted Industry Report

SCENARIO #9 B - C&E Activity - Industry Report Section 13 - Create a new Activity for a Submitted Industry Report

Context

When an Industry Report for an establishment is successfully submitted to the Prototype Solution via Scenario 14, the Prototype Solution should create a new activity and perform initial compliance assessment and analysis on the industry report data. Once the initial compliance assessment and analysis is completed, the Solution will add the activity to the workload of the User who is assigned to work on the establishment.

The Prototype Solution should:

1. Create a new activity when an Industry Report is submitted.
2. Perform the initial compliance assessment and analysis of the industry report data.
3. Document the outcomes/results of analysis performed on the Industry Report data information.
4. Document the State of Compliance and Level of Compliance of the industry Report data based on the relevant outcomes/results.
5. Add the activity to the workload of the User who is assigned to work on the establishment.

C&E Activity - Industry Report Section 13 - Create a new Activity for a Submitted Industry Report – Scoring Grid

Indicator #	Indicators	Did Not Demonstrate (0)	Partially Demonstrated (10)	Mostly Demonstrated (30)	Fully Demonstrated (50)
	The Prototype Solution should provide the functionality to allow the User to determine if the Prototype Solution completed the following steps to create a new Activity record:				
1.	**Create a New Activity for a Submitted Industry Report Section 13** Create a new activity record connected to an existing active establishment for a submitted industry report formatted and assessed as described in Part 4: User Interface and Usability Assessment, Indicator 44, and assessed in Scenario 1, Indicator 13.				

2.	**Create New Activity Record Connected to Existing Active Establishment** The Prototype Solution should perform the following activity steps to create a new activity record connected to an existing active establishment for a submitted industry report data, as described in Scenario 14: 1. Create and populate a new activity record connected to an existing active establishment as described in Scenario 9.B, Indicator 3, below. 2. Document initial compliance analysis and assessment results, as described in Scenario 9.B, Indicators 4 to 17, below. Score for this indicator will be based on the cumulative score of the indicators 3-17 for the activity created and populated with the appropriate information for an industry report activity. ***0 Points Did Not Demonstrate (Scored 0 points on indicators 3-17)*** ***10 Points Partially Demonstrated (Scored 1-68 points on indicators 3-17)*** ***30 Points Mostly Demonstrated (Scored 69-114 points on indicators 3-17)*** ***50 Points Fully Demonstrated (Scored 115 points on indicators 3-17)***	☐	☐	☐	☐
3.	**Create and Populate a New Activity Record Connected to Existing Active Establishment** When an industry report is received, the Prototype Solution should perform the following actions: 1. set the *Report Status* value to “Registered” 2. search for and select an existing establishment that matches the establishment information identified in the industry report: e.g., Establishment Name, Street, City, Province, Postal Code 3. populate the Product and Brand component with data found in the industry report 4. populate the Industry Reporting History component 5. create an activity for the establishment connected to the industry report based on the industry report information values (for example, *Report Section)* 6. set the value to indicate the review of establishment information is confirmed as complete 7. set the value to indicate the review of the associated establishments and the establishment activity history information is confirmed as complete 8. set the *Activity Type* value to “Inspection” 9. set the *Activity Reason Type* value to “Scheduled: Industry Report” 10. set the *Proposed Start Date* value to the *Report Status Effective Date* value 11. set the value to indicate the activity initialization information is confirmed as complete 12. set the mandatory data element values to read only	☐			☐

	13. set the *Activity Scope Plan Type* value to the *Report Section Name* value 14. set the legislative section(s)/subsection(s) appropriate for: • the *Activity Scope Plan Type* value • the *Proposed Start Date* value 15. default all legislative section(s)/subsection(s) to the "selected" state 16. set the value to indicate the Scope Plan is confirmed as complete 17. set the *Activity Status* value to "Pending Compliance" 18. set the A*ctivity Plan Status Type* value to "Approved" 19. set all Scope Plan data element values to read only 20. set *Activity Establishment Verification Code* value to "Verified by Portal" 21. set the *Industry Report Received Date* to the system date 22. set the *Industry Report Received Time* to the system time 23. set all data element values in the Establishment Location Verification field set to read only 24. populate the Legislation data element in the Compliance Results field set with the industry report *Legislation Section* name 25. set the *Artifact Analysis Type* value to "In House" in the Compliance Results field set 26. set the *Number of Artifacts* value to "1" 27. populate the *Legislative Section/Subsection* data element in the Compliance Results field set with the legislative section/subsection values appropriate for the industry report Legislation section 28. populate the data elements in the Artifacts Summary field set in the Compliance Assessment component with the *Artifact Id* and *Legislation Section* values 29. enable for input and viewing the Compliance Assessment component of the Activity "tabbed pane" 30. add the new activity to the "Activities" list in the *Assigned User*'s workload view **Rating will be dependent on the resultant activity created and populated with the appropriate information for an industry report activity.** ***0 Points*** *if none of the listed actions are demonstrated* ***50 Points*** *if all of the listed actions are demonstrated*				
	Score for Indicators 2-3:				**/100**
	Scoring for Indicators 4-15 below:	**Did Not Demonstrate (0)**	**Partially Demonstrated (1)**	**Mostly Demonstrated (3)**	**Fully Demonstrated (5)**

4.	**Industry Report Submission Data in Artifact** Populate the following industry report submission data in the Artifacts pane: • *Establishment Name* (for the activity) • *Artifact Id Number* (system generated by concatenating system generated number + Legislation number + number of artifact for this Legislative section/subsection, starting at the number 1) • Submitted industry report data (includes files attached in the industry report submission) ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if only one of the listed actions is demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*	☐	☐		☐
5.	**Artifact Analysis** Perform Artifact Analysis against the appropriate legislation using Indicators 6 to 9, below, in this scenario.				
6.	**Verify Submission Data and Populate Error Data** Verify the industry report artifact for completeness and correctness for each the Legislative Section/Subsection of the Industry Report and populate errors according to the Canada's Industry Report Verification Requirements, as follows: • Identify information required in the submission but not provided; • Identify information missing in the submission but found in the Prototype Solution; • Identify information found in the submission but missing in the Prototype Solution; • Incorrect unit of measures; • Values outside of a range; • Incorrect Totals ***0 Points*** *if none of the listed verifications are demonstrated* ***1 Point*** *if only one of the listed of the listed verifications is demonstrated* ***3 Points*** *if 2 to 5 of the listed verifications are demonstrated* ***5 Points*** *if all of the listed verifications are demonstrated*	☐	☐	☐	☐
7.	**Perform Calculations** Perform the necessary calculations and set the non-compliance values for the legislative requirements as a read only value as follows: Verify the *Total Volumes Sold* for each brand in the following manner: • If *Unit of Measure of Package* is "g", then this value should equal *Amount_Per_Package* * *Total_Packs_Sold*/1000 Else: *Total_Volume_Sold* should equal *Amount_Per_Package* * *Total_Packs_Sold*	☐			☐

	• If the validation fails, then the Prototype Solution should flag this error and set the *Legislative Section/Subsection* 13(2) value to “Non-Compliance”.				
8.	**Brand Validation Check (section 13)** Perform the following brand validation check: • Identify brands found in the report but not in the solution • Identify brands found in the solution but missing in the report	☐			☐
9.	**Populate Error Display in Compliance Results field set** Populate the following values in the Compliance Results field set: • number of the errors by legislative section/subsection • the total number of errors for all legislative sections/subsections ***0 Points*** *if neither of the listed action is demonstrated* ***1 Point*** *if only one of the listed actions is demonstrated* ***5 Points*** *if both of the listed actions are demonstrated*	☐	☐		☐
10.	**Derive and Populate Activity Compliance Outcome Value** Derive and populate the *Activity Compliance Outcome* value for the activity by setting the *State of Compliance* and *Level of Compliance* values in the Compliance Summary field set to one of the following values: • “Non-Compliance-Minor” if the legislative sections/subsections found to be “Non-Compliance” were set to “Minor” Compliance Level to a maximum of 5 instances • “Non-Compliance-Major” if the legislative sections/subsections found to be “Non-Compliance” had at least one where a “Major” Compliance Level was set. • “No Evidence of Non-Compliance” if at least one legislative section/subsection was found to be “No Evidence of Non-Compliance”, and **no** legislative sections/subsections were found to be “Non-Compliance” • “Not assessed” if all legislative sections/subsections were found to be “Not assessed” • "Not Applicable" if all legislative sections/subsections were found to be “Not Applicable” ***0 Points*** *if none of the listed values are derived and displayed* ***5 Points*** *if the correct value is derived and displayed*	☐			☐
11.	**Calculations of Compliance Outcome Value** Perform the following calculations: • calculate the total number of legislative sections/subsections with a *Legislation Section Compliance Outcome* value of “Non-Compliance-Minor” • calculate the total number of legislative sections/subsections with a *Legislation Section Compliance Outcome* value of "Non-Compliance-Major"	☐	☐	☐	☐

	• calculate the number of errors for legislative sections/subsections with a the *Legislation Section Compliance Outcome* value of "Non-Compliance-Minor" • calculate the number of errors for legislative sections/subsections with a the *Legislation Section Compliance Outcome* value of "Non-Compliance-Major" ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if only one of the listed actions is demonstrated* ***3 Points*** *if 2 to 3 of the listed actions are demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*				
12.	**Non-compliances Summary** Display a summary table of non-compliances in the Compliance Summary field set in the following manner: • The number of non-compliances by *Compliance Outcome Level*, Major and Minor • The number of errors by *Compliance Outcome Level*, Major and Minor • The sum total of non-compliances and errors. ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if only one of the listed actions is demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*	☐	☐		☐
13.	**No Override** Prevent the User from overriding the selected value in the Overall Assessment of Compliance Section, for example, by setting the selected value to read only.	☐			☐
14.	**Enable Compliance Assessment Component** Enable for input and viewing the Compliance Assessment component of the Activity "tabbed pane"	☐			☐
15.	**Add New Activity to Workload** Add the new activity to the "Activities" list in the *Assigned User*'s workload view.	☐			☐
	Score for 4 - 15:				**/60**
	Industry Reports Section 13 - Create a new Activity for a Submitted Industry Report Total Score:				**/160**

Scenario 10. C&E Activity - Industry Reports - Perform Compliance Assessment and Analysis Review

SCENARIO #10 - C&E Activity - Industry Reports - Perform Compliance Assessment and Analysis Review

Context

A new activity for a submitted Industry Report has been created by the Prototype Solution and added to the Assigned User's workload. The Assigned User will select and open the new activity. The User will navigate directly to the Compliance Assessment component of the Activity "tabbed pane-like" format and perform a review of the initial compliance assessment and analysis results of the industry report performed by the Prototype Solution.

After reviewing the results, the Assigned User will document any overrides of the compliance assessment outcomes and/or results of analysis performed by the Prototype Solution.

The Prototype Solution should allow the User to:

1. Select an activity from their Activities section of the Workload.
2. Indicate Start of Compliance Assessment in the Compliance Assessment component
3. Review the outcomes/results of analysis performed by the Prototype Solution on the gathered information.
4. Document any overrides to the compliance assessment results, as required.
5. Follow Scenario #6 starting at Indicator 23 to complete the Compliance Assessment of an Industry Report.

C&E Activity – Industry Reports - Perform Compliance Assessment Review - Scoring Grid

Indicator #	Indicators	Did Not Demonstrate (0)	Partially Demonstrated (1)	Mostly Demonstrated (3)	Fully Demonstrated (5)
	The Prototype Solution should provide the functionality to allow the User to:				
1.	**Open Activity from My Workload Field Set** Select and open an activity from My Workload field set.	☐			☐
	Score for Indicator 1:				/5
	Scoring for Indicator 2:	Did Not Demonstrate (0)	Partially Demonstrated (10)	Mostly Demonstrated (30)	Fully Demonstrated (50)
2.	**Guided Workflow Steps to Review Compliance Assessment – Industry Reports** Be guided through the following workflow steps to review compliance assessment of an industry report performed by the Prototype Solution: 1. View submitted industry report data from the Artifacts Summary field set 2. Review compliance assessment results by legislative section/subsection 3. Select to view grouped errors 4. Manually add an error 5. Override a compliance outcome value of a legislative section/subsection 6. Review overall compliance summary 7. View and update details of a responsible party from the Responsible Party Summary field set 8. Confirm Compliance Assessment information is complete	☐	☐	☐	☐

	Score for this indicator will be based on the cumulative score of the indicators specified for each workflow step and the sequence as specified in this requirement. ***0 Points Did Not Demonstrate*** *(Scored 0 points on indicators 3-9)* ***10 Points Partially Demonstrated*** *(Scored 1-20 points on indicators 3-9)* ***30 Points Mostly Demonstrated*** *(Scored 21-34 points on indicators 3-9)* ***50 Points Fully Demonstrated*** *(Scored 35 points on indicators 3-9)*				
	Score for Indicator 2:				**/50**
	Scoring for Indicator 3-9:	**Did Not Demonstrate (0)**	**Partially Demonstrated (1)**	**Mostly Demonstrated (3)**	**Fully Demonstrated (5)**
3.	**Guided to Compliance Results Field Set** Be guided to the Compliance Results field set in the Compliance Assessment component.	☐			☐

4.	**Enable Compliance Assessment Component Field Sets**
	
	The Prototype Solution should perform the following actions:
	• set the *Activity Status* value to "Compliance In Progress"
	• enable for input and viewing the following field sets and data elements in the Compliance Assessment component:
	  • Compliance Results as described in Artifact Pane Format – Industry Report in Part 4: User Interface and Usability Assessment, Indicator 60 and 61
	  • Compliance Summary as described in Artifact Pane Format – Industry Report in Part 4: User Interface and Usability Assessment, Indicator 62
	  • Sections Overridden as described in Artifact Pane Format – Industry Report in Part 4: User Interface and Usability Assessment, Indicator 63
	  • Artifacts Summary as described in Artifact Pane Format – Industry Report in Part 4: User Interface and Usability Assessment, Indicator 64
	  • Responsible Party Summary as described in Artifact Pane Format – Industry Report in Part 4: User Interface and Usability Assessment, Indicator 59
	
	0 Points *if none of the listed actions are demonstrated*
	1 Point *if no fewer than two of the listed actions are demonstrated*
	3 Points *if no fewer than four of the listed actions are demonstrated*
		☐	☐	☐	☐

	5 Points *if all of the listed actions are demonstrated*				
5.	**View Submitted Industry Report Data** Select to view the submitted industry report data in the Artifacts Summary field set as described in the Artifact Pane Format – Industry Report in Part 4: User Interface and Usability Assessment, Indicator 65 where the report data is arranged in a structured form that can be readable by the user.	☐			☐
6.	**View Summary of Errors** After selecting either of the following: • the "*No. of Errors"* by each legislative subsection" or • the "*Total No. of Errors*" as described in the Artifact Pane Format – Industry Report in Part 4: User Interface and Usability Assessment, Indicator 61, access and view a summary of the errors grouped by legislative section/subsection as described in the Artifact Pane Format – Industry Report in Part 4: User Interface and Usability Assessment, Indicator 66 ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if no fewer than two of the listed actions are demonstrated* ***3 Points*** *if no fewer than three of the listed actions are demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*	☐	☐	☐	☐
7.	**Manually Identify and Add Errors** Manually identify and add errors related to the artifact that were not flagged by the Solution's validation.	☐			☐
8.	**Override Compliance Outcome Value** If the *Compliance Outcome* value for a legislative section/subsection needs to be changed from the value selected by the Prototype Solution: • change the *Compliance Outcome* value for the legislative section/subsection • confirm the change in value • enter a reason for the override in the Sections Overridden field set ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if only one of the listed actions is demonstrated* ***5 Points*** *if all of the listed actions are demonstrated*	☐	☐		☐
9.	**Legislative Section/Subsection Refresh After Update** When the *Activity Reason Type* value is "Scheduled: Industry Report" and the User manually identifies an error or overrides the *Compliance Outcome* value	☐			☐

	set by the Solution, the Prototype Solution should update the *Compliance Outcome* value based on the actions of the User.				
10.	**Review the Compliance Summary for Accuracy and Completeness** Review the following in the Compliance Summary field set for accuracy and completeness: • the summary table of non-compliances and errors by *Compliance Level* • *State of Compliance* value • *Level of Compliance* value	☐			☐
11.	**Responsible Party** Select a name from the Contact List as the value for the *Responsible Party* for the non-compliant legislative section of the Industry Report	☐			☐
12.	**Confirm Compliance Assessment is Complete and Set Values and Enable Next Component in Workflow** Follow Scenario 6, Indicator 23 and 24				
	Score for 3-12:	**/45**			
	Industry Reports - Perform Compliance Assessment Review Total Score:	**/100**			

Scenario 11. C&E Activity - Industry Reports - Document Enforcement Actions

SCENARIO #11 - C&E Activity - Industry Reports - Document Enforcement Actions

Context

After the assessment of compliance is completed, The Prototype Solution will select a recommended enforcement action for each non-compliant legislative section/subsection.

The User will review the enforcement action(s) selected by the Prototype Solution for both Section 11 and Section 13 Industry Reports and determine, based on the state of compliance, if an override of the selected enforcement action(s) is required. The User will document all information of the selected enforcement action(s), and its implementation.

Once all documentation on the enforcement action(s) is completed, the User will follow Scenario 8 to close the activity.

The Prototype Solution should allow the User to:

1. Review the *Enforcement Action Type* value(s), if any, selected by the Prototype Solution.
2. Document any overrides to the enforcement action(s) if any, and as required.

3. Follow Scenario 8. C&E Activity - Close Activity to Close the activity.

C&E Activity - Industry Reports - Document Enforcement Actions - Scoring Grid

Indicator #	Indicators	Did Not Demonstrate (0)	Partially Demonstrated (1)	Mostly Demonstrated (3)	Fully Demonstrated (5)
	The Prototype Solution should provide the functionality to allow the User to:				
1.	**Industry Report Section 11 - Recommend Enforcement Action** When the *Activity Reason Type* value is "Scheduled: Industry Report", the Prototype Solution should set the *Enforcement Action Type* value to "Warning Letter" in the "Recommended Actions for Inspection" field set for each non-compliant legislative section/subsection in the Enforcement Action component.	☐			☐
2.	**Industry Report Section 13 - Recommend Enforcement Action** When the *Activity Reason Type* value is "Scheduled: Industry Report", the Prototype Solution should set the *Enforcement Action Type* value to "Warning Letter" in the "Recommended Actions for Inspection" field set for each non-compliant legislative section/subsection in the Enforcement Action component.	☐			☐
3.	**Industry Reports - Enforcement Actions Component** The Prototype Solution should provide an Enforcement Action component of the Activity "tabbed pane", assessed as described in Part 1: Capability Scenarios Assessment, Scenario 7, Indicator 1, in which to enter, update, and view the following enforcement action information: • data in the Recommended Actions for Inspection field set • data in the following enforcement action field sets for the following *Enforcement Action Type* values selected in the Recommended Actions for Inspection field set: 1. Warning Letter 2. Warning Letter Links				
4.	**Industry Reports - Recommended Enforcement Action** As described in Part 1: Capability Scenarios Assessment, Scenario 7, Indicator 2: The Prototype Solution should display "Warning Letter" as the *Enforcement Action Type* value in the Recommended Actions for Inspection field set for each legislative section/subsection with a *Legislation Section Compliance Outcome* value of any of the following: • "Non-Compliance" • "Non-Compliance-Minor" • "Non-Compliance-Major"				

5.	**Industry Report Section 13 - Enforcement Action Override** 1. Select "No Action" as the *Enforcement Action Type* value to override the enforcement action selected by the Prototype Solution, 2. Provide a reason for the override. ***0 Points*** *none of the listed actions are demonstrated* ***1 Point*** *if one of the listed actions is demonstrated* ***5 Points*** *if both of the listed actions are demonstrated*	☐	☐		☐
6.	**Industry Reports - Standard Letter Generation: Warning Letter** As described in Part 1: Capability Scenarios Assessment, Scenario 7, Indicator 4: The Prototype Solution should allow the User to generate and update a warning letter from a Warning Letter template where the following information can be inserted: • The address and contact information of the regulated party or establishment • A list of the non-compliant legislative section(s)/subsection(s) where a Warning Letter has been selected as the Enforcement Action. The list can be modified by the User.				
7.	**Industry Reports - Enforcement Action Validation** As described in Part 1: Capability Scenarios Assessment, Scenario 7, Indicator 6: Confirm that the information in the Enforcement Actions component is complete after ensuring the following conditions have been completed for each non-compliant legislative section/subsection: • a responsible party is assigned • an enforcement action is selected • the enforcement action is in a completed state				
8.	**Industry Reports - Enforcement Action Confirmation** As described in Part 1: Capability Scenarios Assessment, Scenario 7, Indicator 7: When the information in the Enforcement Actions component is confirmed by the User, and successfully validated and verified as complete, the Prototype Solution should perform the following actions: • set the *Activity Status* value to "Pending Closure" • set all the values in the Enforcement Action field set to read only				
9.	**Industry Reports - Close Activity** Follow Scenario 8 to close the activity as described in Part 1: Capability Scenarios Assessment, Scenario 8, Indicators 1 to 4.				
	Industry Reports - Document Enforcement Actions Total Score:				**/15**

Scenario 12. C&E Activity – Update Existing Activity

SCENARIO #12 - C&E Activity - Update Existing Activity

If an activity is not closed, the user is permitted to return at any time to the activity to update the fields available for input.

The Prototype Solution should allow the User to:

1. Select an activity from the My Workload field set.
2. Navigate to an available component in the Activity tabbed pane-like format to continue working on the activity.
3. Save the work when finished entering information.

C&E Activity - Update Existing Activity – Scoring Grid

Indicator #	Indicators	Did Not Demonstrate (0)	Partially Demonstrated (1)	Mostly Demonstrated (3)	Fully Demonstrated (5)
	The Prototype Solution should provide the functionality to allow the User to:				
1.	**Update Existing Activity** Select and open an activity from the My Workload field set as described in Part 1: Capability Scenarios Assessment, Scenario 10, Indicator 1.				
2.	**Update Activity Comment** Update information in the Activity *Comment* data element.	☐			☐
3.	**Save Updated Information.** Save the updated information.	☐			☐
	Update Existing Activity Total Score:				**/10**

Scenario 13. C&E Activity – No Enforcement Action Required

SCENARIO #13 - C&E Activity - No Enforcement Action Required

Context

At the end of Compliance Assessment, it is determined that the Compliance Assessment Outcome value is "No Evidence of Non-Compliance". The activity can be closed without documenting enforcement actions.

The Prototype Solution should allow the User to:

1. Move directly from the Compliance Assessment Component to the Close component of the Activity tabbed pane-like format.

C&E Activity - No Enforcement Action Required - Scoring Grid					
Indicator #	**Indicators**	**Did Not Demonstrate (0)**	**Partially Demonstrated (1)**	**Mostly Demonstrated (3)**	**Fully Demonstrated (5)**
	The Prototype Solution should provide the functionality to allow the User to:				
1.	**No Enforcement Action Required** When the information in the Compliance Assessment component is confirmed by the User, and successfully validated and verified as complete, and no legislative section/subsection has a *Legislation Section Compliance Outcome* value of any of the "Non-Compliance values, the Prototype Solution should perform the following actions: • Set the following data elements to the following values: 1. *Activity Status* value to "Pending Closure" 2. *Compliance Assessment Completion Date* value to the *system date* value 3. *Compliance Assessment Completion Time* value to the system time value • Set all data elements to read only • Enable for input and viewing the Close component of the Activity "tabbed pane"	☐			☐
2.	**Close Activity** Follow Scenario 8 to close the activity as described in Part 1: Capability Scenarios Assessment, Scenario 8, Indicators 1 to 4.				
	No Enforcement Action Required Total Score:				**/5**

Compliance and Enforcement (C&E) Activity: Scenario 3 - Scenario 13 Total Score:	**/775**

Electronic Data Submission

Scenario 14. Electronic Data Submission via Structured Form and Manner, that is, XML, based submission

SCENARIO #14 – Electronic Data Submission via structured form and manner, that is, XML, based submission

Context

Industry is required to submit reports of different types to Health Canada. These range from sales to product or brand data. Industry reports are submitted according to a mandatory cyclical schedule, a specific business event, or on request. Industry reports are required to be submitted in a

form and manner prescribed by Health Canada. In this instance, the industry report section 11 (Ingredients) is submitted via a structured data format, that is, XML.

The Prototype Solution should allow the User to:

1. Access the Solution
2. Submit the electronic data in the prescribed form and manner
3. Receive an acknowledgement that submission has been successfully received along with a Submission Confirmation Id.

Electronic Data Submission - Scoring Grid

Indicator #	Indicators	Did Not Demonstrate (0)	Partially Demonstrated (1)	Mostly Demonstrated (3)	Fully Demonstrated (5)
	The Prototype Solution should provide the functionality to allow the User to:				
1.	**Capturing and Processing Electronically Submitted Data** The Prototype Solution should capture and process the electronically submitted data.	☐			☐
2.	**Industry Report Section 11 Data Submission** Electronically submit structured industry report data in a prescribed form and manner for the Section 11 (Ingredients) industry report to the Prototype Solution via an XML structured file format.	☐			☐
3.	**Update Views: Registered** When an industry report is submitted the Prototype Solution should perform the following actions: • set the *Report Status* value to "Registered" and display it in the General Information section of the Activity • add the industry report data as the artifact • set the *Submission Timing Status* value to "Prior to or on the submission date" and display it in the General Information section of the Activity	☐			☐
4.	**Data Capture Brand Via Submission of Required Industry Reports** When the Industry Report 11 has been submitted, the Prototype Solution should store the brand information, and set the Brand Status value to "Pending" for any brand submitted in the industry report.	☐			☐
5.	**Industry Report – Submission Confirmation** When industry report data has been successfully submitted the Prototype Solution should send an email confirmation to the submitter acknowledging that the submission has been received along with a Submission Confirmation Id.	☐			☐
	Electronic Data Submission Total Score:				**/25**

Scenario 15. Electronic Data Submission via a Guided Form

SCENARIO #15 – Electronic Data Submission via a Guided Form

Context

Industry is required to submit reports of different types to Health Canada. These range from sales to product or brand data. Industry reports are submitted according to a mandatory cyclical schedule, a specific business event, or on request. Industry reports are required to be submitted in a form and manner prescribed by Health Canada. In this instance, the industry report section 13 (Sales) is submitted via a guided form.

Scenario #15 - Electronic Data Submission via a Guided Form

The Prototype Solution should allow the User to:

1. Access the Solution
2. Submit the electronic data in the prescribed form and manner
3. Receive an acknowledgement that submission has been successfully received along with a Submission Confirmation Id.

Electronic Data Submission - Scoring Grid

Indicator #	Indicators	Did Not Demonstrate (0)	Partially Demonstrated (1)	Mostly Demonstrated (3)	Fully Demonstrated (5)
	The Prototype Solution should provide the functionality to allow the User to:				
1.	**Capturing and Processing Electronically Submitted Data** The Prototype Solution should capture and process the electronically submitted data as assessed in Scenario 14, Indicator 1				
2.	**Industry Report 13 Data Submission** Electronically submit structured industry report data in a prescribed form and manner for the 13 (Sales) industry report to the Prototype Solution via a guided form-based submission process.	☐			☐
3.	**Update Views: Registered** When an industry report is submitted the Prototype Solution should perform the following actions, as assessed in Scenario 14, Indicator 4: • set the *Report Status* value to "Registered" • add the industry report data as the artifact • set the *Submission Timing Status* value to "Prior to or on the submission date"				
4.	**Industry Report Update/View Screen of Tombstone Information** The Prototype Solution should provide an update/view screen of the data elements reflecting mandatory tombstone information as stipulated by S.3 (2) and S.3 (3) of	☐			☐

	the TRR pre-populated with the Establishment Profile information stored in the Solution.				
5.	**Update and Confirm Tombstone Information** Update and confirm the tombstone information.	☐			☐
6.	**Form-based Submission Process - Update Previously Saved Data** Continue updating any previously saved data in the form when an industry report submission has not been completed but saved in progress.	☐			☐
7.	**Data Capture Brand Via Submission of Required Industry Reports** When an industry report 13 has been submitted, the Prototype Solution should perform the following actions for any brand submitted in the industry report where: • If the brand exists and the *Brand Status* value is "Inactive", update the brand information and change the *Brand Status* value to "Active". • If the brand does not exist in the Solution, add the brand information, and set the Brand Status value to "Pending".	☐			☐
8.	**Industry Report – Submission Confirmation** When industry report data has been successfully submitted the Prototype Solution should send an email confirmation to the submitter acknowledging that the submission has been received along with a Submission Confirmation Id as assessed in Scenario 14, Indicator 6.				
	Electronic Data Submission Total Score:				**/25**

Pre-defined Reporting and Templates

Scenario 16. Pre-Defined Reporting and Templates

SCENARIO #16 – Pre-defined Reports and Templates

Context

The User generates pre-defined reports from within the Solution on the stored data, where the field values have been set and a given set of selectable constraints are available to the User. For example, the User generates a pre-defined report of active establishments from their region with the option to narrow the report to certain types and subtypes of establishments. The User then prints and exports the pre-defined report.

In preparing documentation to be sent to a regulated party concerning non-compliances the User generates a warning letter based on a template.

Scenario #16A – Pre-defined Reporting

The Prototype Solution should allow the User to:

1. Generate, print and export a pre-defined report detailing a list of active establishments with their addresses

Scenario #16B – Generating Letters Using Templates

The Prototype Solution should allow the User to:

1. Select the appropriate template for the letter
2. Specify the data elements values to be included in the letter
3. Generate the letter

Reporting and Templates - Scoring Grid

Indicator #	Indicators	Did Not Demonstrate (0)	Partially Demonstrated (1)	Mostly Demonstrated (3)	Fully Demonstrated (5)
	The Prototype Solution should provide the functionality to allow the User to:				
1.	**Pre-defined reports with User selectable constraints: List of Active Establishments** Generate a pre-defined report showing the list of active establishments with their addresses where the following are met: 1. the following field values have already been set: a. *Establishment Status* value of "Active" b. *Region* value of "East" c. *City* value of "Ottawa" 2. the User can select values of other fields to further limit the report results, for example: a. *Establishment Type* b. *Establishment Subtype*	☐			☐
2.	**Print a Pre-defined Report** Print a pre-defined report showing the list of active establishments.	☐			☐
3.	**Export a Pre-defined Report** Export a pre-defined report showing the list of active establishments in various formats, for example, XLS, PDF, CSV. ***0 Points*** *Export is not demonstrated* ***1 Point*** *if the report can be exported in one of the export formats* ***3 Points*** *if the report can be exported in no fewer than two of the export formats*	☐	☐	☐	☐

	5 Points *if the report can be exported in three or more formats*				
4.	**Report Completion Time** Be provided with an estimated time to generate a report once the request has been submitted.	☐			☐
5.	**Create documents from templates** Generate documents based on templates.	☐			☐
	Pre-defined Reporting and Templates Total Score:				**/25**

Part 1: Total Capability Scenarios Assessment Score

PART 1: TOTAL CAPABILITY SCENARIOS ASSESSMENT SCORE: (SUM OF SCORES FOR SCENARIO'S #1-16)	**/1075**

PART 2: GENERAL SOLUTION SPECIFICATIONS ASSESSMENT

CAPABILITY AND USABILITY ASSESSMENT – PART ONE: GENERAL SOLUTION SPECIFICATIONS ASSESSMENT			
Indicator #	**General Solution Specifications Indicators**	**Not Demonstrated (0)**	**Demonstrated (10)**
	The Prototype Solution should:		
1	**Display of Context Specific Help** Display the context specific Help information in the "Establishment Information" component such that it will minimally affect the current work of the User. For example, in a new window, pop up, tooltip.	☐	☐
2	**Concurrent Users** Allow up to 6 concurrent Users without degradation to the solution's performance.	☐	☐
3	**Solution Components** Contain the following main components: • Establishment Profile • Compliance and Enforcement (C&E) Activity • Electronic Data Submission • Pre-defined Reporting • User Management	☐	☐
4	**Single Sign On** Allow authorized the User to log in through single sign-on (SSO) to access all components of the Solution.	☐	☐
5	**Workflow Next Step** Upon completion of a workflow step, guide the User to the next business process workflow step, unless otherwise stated, as determined by the defined steps for the specific workflow.	☐	☐
6	**Workflow Information Update** Allow the User to update workflow information that has not been locked down (set to read only) in previously confirmed workflow steps.	☐	☐
7	**Resume Last Workflow Step** When an activity is opened for updating, allow the User to resume updating the activity at the last workflow step that was not confirmed (that is, locked down).	☐	☐
8	**Confirm Workflow Step (Lock Down)** Where confirmation that a workflow step is complete, inform the User that selecting "confirm" will lock information (that is, set to read only) in the field set/component to prevent changes. Once confirmation is received, lock the ability for the User to make changes to the data in the field set/component where applicable.	☐	☐

9	**Save** Allow the User to perform the following: • Save data at any point in a workflow and resume the workflow • Be able to return to and resume the workflow	☐	☐
10	**Loss of Unsaved Data** When unsaved data has not been saved and the User's action will result in the loss of the data, the Prototype Solution should provide the User with the options to: • discard the data and continue with the action, • save the data and continue the action • cancel the action that would result in the loss of the data	☐	☐
11	**Business Rules** Allow the User to configure business rules used by the various workflows without the need to update the Solution code.	☐	☐
12	**Record Format** Generate the following records formats as specified in Canada's Data Dictionary document including, but not limited to: • Establishment • Activity • Artifact • Industry Report • User Profile	☐	☐
13	**Immediate Effect of Solution Changes** Ensure any changes to the solution take immediate effect for the following, including, but not limited to: • Canada's business process workflows • Canada's rules • Solution parameter values	☐	☐
14	**Automated Email Notification** Generate and send emails based upon events (triggers) as specified in Canada's "**CUA Notifications and Alerts**" document. For example, when industry report data is successfully submitted, an email confirmation is sent to the submitter with the confirmation ID.	☐	☐
15	**Linked Files List** When a file is linked, display a summary list of all files contextually associated with the item in the User interface. For example, all documents associated with a single activity record.	☐	☐

16	**Preview Attached Files** Provide a consistent method for previewing the data related to an attached file in the User interface without the need to launch a separate application to view the contents of the following types of files, including but not limited to: 1. Image files (jpg, png, etc.) 2. Word files version 2003 or higher 3. Excel files version 2003 or higher 4. PDF files. For example, when the User selects an attached PDF file, the User selects a preview option where the PDF viewer handler displays the file within the User interface.	☐	☐
17	**Open Attached Files in Native Application** Permit the User to open attached files in their native software applications installed on Government of Canada computers. If not possible, save the file to the User specified location.	☐	☐
18	**References to External Document Management Systems** Allow the User to enter read-across linkages (link files) to external document management systems (for example, GCDocs) to associate documents, images, and videos with an activity and/or entity.	☐	☐
19	**Export Data** Allow the User to export search result data. Export formats should include: text, csv, pdf, etc.	☐	☐
20	**Print** Allow the User to print: • search results • complete establishment information • complete activity information • reports • workload	☐	☐
21	**Print Preview and Print Quantity** If the print functionality is controlled by the solution, the Prototype Solution should allow the User to: • Preview the information to be printed • Select the number of copies to be printed	☐	☐
22	**Notifications and Alerts Document** Display notifications according to Canada's "CUA Notifications and Alerts" document.	☐	☐
23	**Email Notification Frequency** For each email notification type, the Prototype Solution should have a pre-set default email notification frequency as specified in the "CUA Notifications and Alerts" document.	☐	☐

	Each email notification type should include all notification types applicable for that email notification frequency.		
24	**Notifications For User Types** Display email notifications that are applicable only to the *User Type*.	☐	☐
25	**Recurring Email Notification Based on User Action** Periodically resend the email notification for action at a set notification frequency, if the User defers the notification action, until the User undertakes the required action.	☐	☐
26	**Notification Receipt** The Prototype Solution should document the date of receipt for a notification when any of the following occurs: • When the User views the notification in the notification area • When the User accesses the link within the email notification	☐	☐
	Part 2: General Solution Specifications Assessment Score:		**/260**

PART 3: WORK PLAN/WORK LOAD ASSESSMENT

CAPABILITY AND USABILITY ASSESSMENT – PART 3: WORK PLAN/WORK LOAD ASSESSMENT			
Indicator #	**Work Plan/Work Load Indicators**	**Not Demonstrated (0)**	**Demonstrated (10)**
	The Prototype Solution should:		
1	**Workload Planning** Allow the User to plan their workload by creating activities and defining their scope and future start dates.	☐	☐

2	**Default Workload Overview**
	Provide the User with an up to date Workload Overview as follows:
	• For Supervisor: Activities (and core information including assigned User) grouped by a region or sub-region within a chosen time period
	• For Subordinate: Activities the User has, or has had, control of within a chosen time period.
	• For Dual Role (Supervisor and Subordinate):
	  • Activities (and core information including assigned User) grouped by a region or sub-region within a chosen time period
	  • Activities the User has, or has had, control of within a chosen time period
		☐	☐

	For example: • Supervisor – see own work and that of their subordinates • Subordinate – see own work only		
3	**Anticipated Workload Overview Display** Display the anticipated industry reports for the *Designated User* based on the submission frequency for a specified time period by specified manufacturer(s) in various User-selected display formats for example, calendar, list.	☐	☐

4	**Establishment Profile Information**
	
	Provide a direct link via the *Establishment Name* value to the establishment information of each establishment listed in the User's Workload Overview.
	
	The following restrictions apply:
	• For Establishments in the User's region/sub-region, the update interface for the Establishment information related to an activity is accessible from the following Workload Overview:
	  • Activities
	  • Activities of Previous Interest
	  • Activities for Review
		☐	☐

5	**New Activities** Provide the User with an up to date Workload Overview displaying all activities assigned to the User including newly assigned activities.	☐	☐
	Part 3: Work Plan/Work Load Assessment Score:		**/50**

PART 4: USER INTERFACE AND USABILITY ASSESSMENT

CAPABILITY AND USABILITY ASSESSMENT – PART 4: USER INTERFACE AND USABILITY ASSESSMENT			
Indicator #	**User Interface and Usability Indicators**	**Not Demonstrated (0)**	**Demonstrated (10)**
	The Prototype Solution should:		
1	**Organization of Data Entry Elements** Present the User with a logical organization of data elements for data entry into components that share the same space, such as but not limited to: • grouping related data elements into field sets or panels • grouping related field sets into components • organizing components into a tabbed pane or card layout	☐	☐
2	**Show and Hide Relevant Data Elements/Field Sets/Components** Show/hide data elements, field sets, and components in the user interface depending on the relevance of that data element, field set, and component based on the context of data previously entered. For example, display data elements for input of additional information where the value in another data element is “Yes”.	☐	☐
3	**Input Control** Use input controls (for example: pick lists, multi-select pick lists, check boxes, radio buttons, dropdown lists, list boxes, toggles, date picker, form data validation) to ensure valid data are entered.	☐	☐
4	**Context Relevant Data Options** Display for selection purposes, only the input options that apply based on the context of the data previously entered. For example: • A city list would be restricted to the values associated with the previously selected province or territory value • A brand list would be restricted to the values associated with the previously selected establishment value	☐	☐
5	**Data Entry Format Display** Indicate in the UI the required data entry format in the label or placeholder text for data element that require specifically formatted input (for example, for dates, times, postal codes).	☐	☐

6	**Mandatory Data Elements: Indication, Validation, Notification**
	
	Control mandatory data elements in the following way:
	• indicate mandatory data elements, visually and in a consistent manner, on all data input screens
	• visually indicate invalid data to the User upon entry, for example, non numeric characters in a numeric data element
	• inform the User of any of the following when the User attempts to confirm completion of data entry (for example, submitting an industry report via the guided form-based submission process):
	  • any data element requiring validation that has not passed data validation
	  • any mandatory data elements missing values,
	• navigate the User directly to the first instance of any of the following:
	  • invalid data in a data element
	  • missing mandatory data
	• allow the User to complete or correct the input for all data elements and repeat the confirmation data entry completion action
	• set validated and confirmed data elements to read only according to Canada's CUA Business Rules document.
		☐	☐

7	**Conditionally Mandatory Data Elements** Control conditionally mandatory data elements according to the content of data previously entered and according to Canada's CUA Business Rules document.	☐	☐
8	**Undefined and Unselected Data Element Values** Indicate when a data element has not been populated with a value by the User and has not been populated with a value by the Solution. For example: • Default value for a pick list is "Select" • Default state for a check box is not selected	☐	☐
9	**Clear Values** Provide a method to allow the User to clear an existing value from the user updateable data element where the User cannot delete the value. For example: • click an eraser icon to clear a date data element or a radio button set • click an "x" to clear a filter or search term	☐	☐
10	**Reset Data Entry Forms** Allow the User to clear all user entered values from a form and reset any default values..	☐	☐
11	**Read Only Data Elements** Visually differentiate read only data elements from data elements where data entry is allowed.	☐	☐

12	**Null Data Element Values** Display “n/a”’ whenever there is an empty or null data element value to be displayed and the data element is set to read only.	☐	☐
13	**Data Validation** Enforce data validation rules according to Canada’s CUA Business Rules document.	☐	☐
14	**Real-Time Updates** Refresh the value of a data element displayed in the user interface as soon as that value is updated.	☐	☐
15	**Calculated or Derived Data Values** Provide the ability to calculate, derive, and display values based on user-entered or system-stored information, according to Canada’s CUA Business Rules document. Upon entry of the data element values, the Prototype Solution should generate calculated and derived values and update the user interface with the values in real-time. For example: 1. The User enters data into data elements A and B. The Prototype Solution displays the sum in data element C. 2. The User enters data into four data elements. The Prototype Solution displays the standard deviation in a fifth, derived, data element. 3. The User sets two *Legislation Section Compliance Outcome* values as “No Evidence of Non-Compliance”, and one *Legislation Section Compliance Outcome* value as “Non-Compliant”. The *Activity Compliance Outcome* value is determined by the Prototype Solution to be “Non-Compliant”.	☐	☐
16	**Time Format** Store all times in Coordinated Universal Time (UTC) with offset for the time zone.	☐	☐
17	**User-Entered Time Zone** Allow the User to select the time zone for any time entered.	☐	☐
18	**Default Offset Time Zone** Set the default-offset time zone to that of the User’s time zone.	☐	☐
19	**User-Entered Time Display** Display all user-entered times in the time zone of the User who entered the time.	☐	☐
20	**System-Generated Time Display** Display all system-generated times in the User’s local time zone.	☐	☐
21	**Large Data Values** Allow the User to view the entire value of a data element when the length of the value is larger than the display width of the data element (for example, in a multi-column list view (table/data grid), or dropdown lists), for example, mouse-over display or in a manner that does not disrupt the layout.	☐	☐

22	**Display of Data Element Values** Allow the User to view the full content of a data element value in a manner that does not disrupt the layout. For example, in a multi-column list view (table/data grid), or dropdown lists.	☐	☐
23	**Language** Provide all user interface (UI) elements in English.	☐	☐
24	**Default Sort Order** Default all sorts using standard sort parameters unless explicitly identified. For example, alphabetical (a to z), numerical (0 to 9), and reverse chronological dates.	☐	☐
25	**Legislative Display Order** Display contextually relevant legislative sections/subsections sorted by Parts, Sections (within parts) and Regulations (within Sections) in ascending order. For example: Part I – Tobacco Products • 5 – Product Standards • 5.1 Prohibition – Manufacture • 5.2 Prohibition – Sale • 6(1) – Information required • 6(2) – Supplementary Information • 6.1 – Disclosure Part II Access • 8(1) – Furnishing to Youth • 9(1) – Sending and Delivering • 9.1(1) – Interprovincial Sending and Delivering • 9.1(2) – Advertising	☐	☐
26	**Default Case Insensitive Sort** Default all sorts to be case insensitive. For example, variations of the spelling of “Montreal” would appear in the sorted list together, regardless of the case contained in the spelling when case insensitive is selected: • montreal • Montreal • MONTREAL	☐	☐
27	**“Case” Sort** Allow the User to select the option to change the sort from sensitive to insensitive to case.	☐	☐

28	**“Diacritic” Sort** Allow the User to select the option to change the sort from sensitive to insensitive to diacritic/accents, for example, à, é, ç. For example, variations of the spelling of “Montreal” would appear in the sorted list together, regardless of the accented characters contained in the spelling: • Montreal • Montréal	☐	☐
29	**Updating a Record Listed in a Multi-column List View (table/data grid)** Allow the User to select a record in any multi-column list view (table/data grid) to update the selected item, and be returned to the multi-column list view after the action on the record is completed. For example, selecting an activity from within an establishment profile will open the activity to update.	☐	☐
30	**Viewing a Record Listed in a Multi-column List View (table/data grid)** Allow the User to select a record in any multi-column list view (table/data grid) to view detailed information about the selected item, and be returned to the multi-column list view after the action on the record is completed. For example, selecting an establishment profile from within an activity will open the relevant establishment’s profile for viewing.	☐	☐
31	**Filtering in a Multi-Column List View (table/data grid)** Allow the User to filter any multi-column list view (table/data grid) by any criteria or combination of criteria. For example: • filter by *Activity Type* value • filter by *Priority* value • filter by *Proposed Start Date* (including activities with future start dates) value • filter by specific *Province or Territory* and *Establishment Type* within the specified *Province(s) and Territory(s)* values • filter by *Report Section* value	☐	☐
32	**Close Secondary Windows and Pop-Ups** Allow the User to close and cancel any secondary windows and pop-ups at any time. For example, windows and pop-ups used to display information or help	☐	☐
33	**Move Secondary Windows and Pop-Ups** Allow the User to move any windows and pop-ups so as not to obscure the data displayed in the parent window. For example, windows/pop-ups used to display information or help	☐	☐

34	**Data Viewing Without An External Tool** Allow the User to access and view data related to activities and establishments wherever identified within the Prototype Solution without having to access an external tool. For example, all related activity data is viewable from within the establishment. The User is not required to view related activity data in a separate tool.	☐	☐
35	**Solution Version** Allow the User to identify the current version of the Prototype Solution, for example, by version number.	☐	☐
36	**Establishment Tabbed Pane-like Format and Components** Provide a tabbed pane-like format for the collection of all information relating to an establishment. For data input and viewing purposes, the Establishment "tabbed pane" should be composed of the following components: • Establishment Information • Concerns and Issues • Contacts (includes contact details) • Associated Activities (includes compliance and enforcement history) • Comments • Products and Brands (Establishments with *Establishment Type* value of "Manufacturers" only; includes counts) • Industry Reporting History (Establishments with *Establishment Type* value of "Manufacturers" only)	☐	☐
37	**Establishment "Establishment Information" Component** For data input and viewing purposes provide the following field sets and related data elements in the Establishment Information component of the Establishment "tabbed pane": • Establishment (*Establishment Id, Establishment Name, Address*) • Mailing Address • *Email* • *Phone* • *Ownership* • *Status* • *Establishment Assigned To* • *Establishment Type* displayed in a multi-column list view format • *Online Presence* (for example: web site, social media) displayed in a multi-column list view format • *Associated Establishments* displayed in a multi-column list view format	☐	☐
38	**Establishment "Concerns and Issues" Component**	☐	☐

	For data input and viewing purposes provide the following field sets and related data elements displayed in a multi-column list view format in the Concerns and Issues component of the Establishment “tabbed pane”:
	• Concerns
	  • *Concern Id*
	  • *Date*
	  • *User Name*
	  • *Concern*
	• Issues
	  • *Issue Id*
	  • *Date*
	  • *User Name*
	  • *Issue*		

39	**Establishment “Contacts” Component**
	
	For data input and viewing purposes, provide the following field set and related data elements displayed in a multi-column list view format in the Contacts component of the Establishment “tabbed pane”:
	• Contacts
	  • *Contact Id*
	  • *Full Name*
	  • *Title*
	  • *Phone Descriptor*
	  • *Phone Number*
	  • *Email Descriptor*
	  • *Email Address*
	  • *Language*
		☐	☐

40	**Establishment “Associated Activities” Component** For data input and viewing purposes, provide Activities associated with the establishment displayed in a multi-column list view format in the Activities component of the Establishment “tabbed pane”.	☐	☐
41	**Establishment “Comments” Component** For data input and viewing purposes, provide the Comment History field set and related data elements in the Comments component of the Establishment “tabbed pane”.	☐	☐
42	**Establishment “Products and Brands” Component** For data input and viewing purposes, provide the following field sets and related data elements displayed in a multi-column list view format in the Product and Brands component of the Establishment “tabbed pane”: • Product • Brands	☐	☐

43	**Establishment "Industry Reporting History" Component** For data input and viewing purposes, provide an Overall Industry Report History field set and related data elements in the Industry Reporting History component of the Establishment "tabbed pane" displayed in a multi-column list view format.	☐	☐
44	**Activity Tabbed Pane-like Format and Components** Provide a tabbed pane-like format for the collection of all information relating to an activity. For data input and viewing purposes, the Activity "tabbed pane" should be composed of the following components: • General Information • Scope Plan • Compliance Assessment • Enforcement Actions • Close	☐	☐

45	**Activity "General Information" Component**
	
	For data input and viewing purposes provide the following field sets and related data elements in the General Information component of the Activity "tabbed pane":
	• establishment related information field sets:
	  • Establishment (Est. Id, Establishment Name, Est. Status, Est. Type, location information, and Concerns and Issues, and Age Restricted Icons)
	  • Establishment Contacts displayed in a multi-column list view format
	  • Associated Establishments displayed in a multi-column list view format
	  • Other Activities for this Establishment displayed in a multi-column list view format
	• specific activity related information field sets:
	  • Core Information:
	  ▪ *Activity Reason Type*
	  ▪ *Activity Type*
	  ▪ *Priority*
	  • Activity Timeline:
	  ▪ *Proposed Start Date*
	  ▪ *Bring Forward Date*
	  • Sent To History displayed in a multi-column list view format
	  • Online Presence (for example: web site, social media) displayed in a multi-column list view format
	  • Links (to files) displayed in a multi-column list view format
	  • Comment History
		☐	☐

46	**Activity "Scope Plan" Component** For data input and viewing purposes provide the following field sets and related data elements in the Scope Plan component of the Activity "tabbed pane": • *Activity Scope Plan Type* (data element)	☐	☐

	• Activity Scope Details • *Activity Scope Plan Completed* (data element)		
47	**Activity "Compliance Assessment" Component** For data input and viewing purposes provide the following field sets and related data elements in the Compliance Assessment component of the Activity "tabbed pane": • Establishment Location Verification • Person Spoken To (displayed in a multi-column list view format) • Compliance Results (displayed in a multi-column list view format • Artifacts Summary (displayed in a multi-column list view format) • Responsible Party Summary (displayed in a multi-column list view format)	☐	☐
48	**Activity "Enforcement Actions" Component** For data input and viewing purposes provide the following data elements and field sets and related data elements in the Enforcement Actions component of the Activity "tabbed pane": • Recommended Enforcement Actions, in a multi-column list view format • A field set for each available enforcement action • *Enforcement Actions Complete* (data element)	☐	☐
49	**Activity "Close" Component** For data input and viewing purposes provide the following data elements and field sets and related data elements in the Close component of the Activity "tabbed pane": • Recommended Next Steps • Justification • *Activity Completed* (data element)	☐	☐
50	**Compliance Assessment Component - Establishment Location Verification Format** For data input and viewing purposes provide the following data elements in the Establishment Location Verification field set in the Compliance Assessment component of the Activity "tabbed pane". • *Activity Establishment Verification Code* • *Actual Start Date* • *Actual Start Time* • *Confirm When Complete*	☐	☐
51	**Compliance Assessment Component - Person Spoken To Format** For data entry and viewing purposes provide the following data elements in the Person Spoken To field set in the Compliance Assessment component of the Activity "tabbed pane": • *Name of Person Spoken To* • *Title* • *Phone* • *Email* • *Establishment Profile Verified*	☐	☐

52	**Compliance Assessment Component – Compliance Results Format**
	
	For data entry and viewing purposes provide the following data elements displayed in a multi-column list view format in the Compliance Results field set in the Compliance Assessment component of the Activity “tabbed pane”:
	• *Legislation*
	• *Legislation Section Compliance Outcome*
	  • *Not Inspected*
	  • *Not Applicable*
	  • *No Evidence of Non-Compliance*
	  • *Non-Compliance*
	• *Analysis Type*
	• *Artifacts Added*
	• *Number of Artifacts*
		☐	☐

53	**Artifact Tabbed Pane-like Format and Components** Provide an Artifact tabbed pane-like format for the documentation of all information relating to an artifact. For data input and viewing purposes the Artifact “tabbed pane” should be composed of the following components: • Collection • Analysis • Links The format of the Collection and Analysis components of the Artifact “tabbed pane” will depend on the selected *Artifact Analysis Type* value.	☐	☐
54	**Artifact: Header Information Format** Provide a header section in the Artifact “tabbed pane” for the display of artifact information that remains the same across all components of the Artifact “tabbed pane”. For viewing purposes, the header section should be composed of the following data elements: • *Establishment Name* • *Artifact Id* • *Legislative section/subsection* • *Artifact Analysis Type*	☐	☐
55	**Artifact: Collection Component Format** For an *Artifact Analysis Type* value of “Observation” provide the following mandatory data elements within an Artifact Information field set in the Collection component of the Artifact “tabbed pane”: • *Artifact Id Number* • *Description*	☐	☐

	• *Observed By* • *Observed Date*		
56	**Artifact: Analysis Format** For an *Artifact Analysis Type* value of "Observation" provide the following field sets and data elements in the Analysis component of the Artifact "tabbed pane": • Analysis Comments • *Analysis Comments* • Overall Artifact Compliance Assessment • *Overall Artifact Compliance Outcome* • *Contact*	☐	☐
57	**Artifact: Links Format** For an *Artifact Analysis Type* value of "Observation" provide the following data elements in a multi-column list view format in the Links component of the Artifact "tabbed pane": • *Link Id Number* • *File name* (of document being linked) • *Description* (of the linked document) • *Linked By* (User Name) • *Linked Date*	☐	☐
58	**Activity Compliance Assessment Component – Artifact Summary** For update and viewing purposes provide the following data elements displayed in a multi-column list view format in the Artifacts Summary field set in the Compliance Assessment component of the Activity "tabbed pane": • *Artifact Id* • *Legislation* • *Compliance Result* • *Description*	☐	☐
59	**Activity Compliance Assessment Component – Responsible Party Summary** For update and viewing purposes provide the following data elements displayed in a multi-column list view format in the Responsible Party Summary field set in the Compliance Assessment component of the Activity "tabbed pane": • *Name* • *Non-Compliant Legislation* • *Title* • *Language* • *Phone* • *Email*	☐	☐
60	**Industry Reports Compliance Assessment Component – Compliance Results Format Legislative Section** For data entry and viewing purposes provide the following data elements displayed in a multi-column list view format in the Compliance Results field set in the Compliance	☐	☐

	Assessment component of the Activity “tabbed pane” for any Activity where an industry report has been submitted: • *Legislation* • *Legislation Section Compliance Outcome* • *Not Inspected* • *Not Applicable* • *No Evidence of Non-Compliance* • *Non-Compliance* • *Analysis Type* • *Artifacts Added* • *Number of Artifacts*		
61	**Industry Reports Compliance Assessment Component – Compliance Results Format Legislative Section/Subsection** For data entry and viewing purposes provide the following data elements displayed in a multi-column list view format in the Compliance Results field set in the Compliance Assessment component of the Activity “tabbed pane” for any Activity where an industry report has been submitted: • *Legislative Section/Subsection* • *Legislation Section Compliance Outcome* • *Not Applicable* • *No Evidence of Non-Compliance* • *Non-Compliance* • *Compliance Outcome Level* • *No. of Errors* • *Total No. of Errors* • *Non-Compliance History*	☐	☐
62	**Industry Reports Compliance Assessment Component – Compliance Summary Format** For data entry and viewing purposes provide the following data elements displayed in a multi-column list view format in the Compliance Summary field set in the Compliance Assessment component of the Activity “tabbed pane” for any Activity where an industry report has been submitted: • *Activity Compliance Outcome* (Displayed as *State of Compliance*) • *Not Applicable* • *No Evidence of Non-Compliance* • *Non-Compliance* • *Compliance Outcome Level* (Displayed as *Level of Compliance)* • *Minor* • *Major* • *No. of Non-Compliances* • *No. of Errors*	☐	☐

63	**Industry Reports Compliance Assessment Component – Sections Overridden Format** For data entry and viewing purposes provide the following data elements displayed in a multi-column list view format in the Sections Overridden field set in the Compliance Assessment component of the Activity "tabbed pane" for any Activity where an industry report has been submitted: • *Legislative Section/Subsection* • *Reason*	☐	☐
64	**Industry Reports Compliance Assessment Component – Artifacts Summary Format** For data entry and viewing purposes provide the following data elements displayed in a multi-column list view format in the Artifacts field set in the Compliance Assessment component of the Activity "tabbed pane" for any Activity where an industry report has been submitted: • *Artifact ID* • *Legislation* (Displayed as *Applicable Legislation)*	☐	☐
65	**Industry Reports - Artifact "Analysis" Component** For an *Artifact Analysis Type* value of "Industry Report Analysis", provide the following data elements in the Artifact pane for viewing purposes: • *Artifact ID* • *Establishment Name* (for the activity) • *Legislation number and description* (for which the artifact is being assessed) • *Artifact Information*	☐	☐
66	**Industry Reports Compliance Assessment Component – Compliance Results Format Errors Grouped by Legislative Section/Subsection View** For data entry and viewing purposes provide the following data elements in the "Errors Grouped by Legislative Section/Subsection" pane for any Activity where an industry report has been submitted: • Brand Name (if applicable) • Dimension Data Element(s) • Measure Data Elements(s) • Error Name	☐	☐
	Part 4: User Interface and Usability Assessment Score:		**/660**

PART 5: SEARCH ASSESSMENT

CAPABILITY AND USABILITY ASSESSMENT – PART 5: SEARCH ASSESSMENT			
Indicator #	**Search Indicators**	**Not Demonstrated (0)**	**Demonstrated (10)**
	The Prototype Solution should:		
1	**Search** Provide the functionality to allow the User to search on the following record types and combinations thereof: • Establishment Profiles • Activities • Industry Reports • Brands • User Profiles	☐	☐
2	**Establishment Profile Search** Provide a pre-defined Establishment Profile Search with some default values populated. The pre-defined Establishment Profile Search should consist of the following data elements, at a minimum: • *Establishment Id* • *Establishment Name* • *Establishment Street* • *Establishment City* • *Establishment Province* • *Establishment Postal Code* • *Establishment Region* • *Establishment Sub-Region* • *Establishment Type* • *Establishment Sub-type* • *Establishment Status* The default populated values should be: • *Establishment Status* value is “Active” • *Establishment Province* value is the User profile province value • *Establishment Region* value is the User profile region value • *Establishment Sub-Region* value is the User profile sub-region value	☐	☐
3	**Activity Search** Provide a pre-defined Activity Search with some default values populated. Pre-defined Activity Search should consist of the following data elements, at a minimum: • *Activity Id* • *Activity Type*	☐	☐

	• *Activity Status* • *Compliance Status* • *Establishment Id* • *Establishment Name* • *Establishment Street* • *Establishment City* • *Establishment Province* • *Establishment Postal Code* • *Establishment Region* • *Establishment Sub-Region* • *Establishment Type* • *Establishment Sub-type* • *Establishment Status* The default pre-populated values should be: • *Establishment Province* value is the User profile province value • *Establishment Region* value is the User profile region value • *Establishment Sub-Region* value is the User profile sub-region value		
4	**Industry Report Search** Provide a pre-defined Industry Report Search. Pre-defined Industry Report Search should consist of the following data elements, at a minimum: • *Report Id* • *Report Filename Id* • *Report Section* • *Report Name* • *Report Period* • *Report Status* • *Submission Date* • *Manufacturer Id* • *Manufacturer Name* • *Submitter Name*	☐	☐
5	**Brand Search** Provide a pre-defined Brand Search. Pre-defined Brand Search should consist of the following data elements, at a minimum: • *Brand Id* • *Brand Name* • *Brand Descriptor* • *Brand Status* • *Product Type* • *Product Size* • *Manufacturer Id* • *Manufacturer Name*	☐	☐

<table>
<tr><td>6</td><td>User Profile Search

Provide a pre-defined User Profile Search.

Pre-defined User Profile Search should consist of the following data elements, at a minimum:
• User Id
• User Name
• First Name
• Last Name
• Region</td><td>☐</td><td>☐</td></tr>
<tr><td>7</td><td>Enter Search Values

Allow the User to enter search values.</td><td>☐</td><td>☐</td></tr>
<tr><td>8</td><td>Modify Search Values

Allow the User to modify the search values.</td><td>☐</td><td>☐</td></tr>
<tr><td>9</td><td>“Contains” Search

Use “contains” match searches, by default, to find items that contain the search value.

For example:
Search criteria:
Province/Territory value is “Ontario” (exact)
Establishment Sub-Type value is “Convenience store” (exact)
Establishment Name value contains “Bob” (contains)

Search results would include the following, where all 3 search values were found:
<table>
<tr><td>Province/Territory</td><td>Establishment Sub-Type</td><td>Establishment. Name</td></tr>
<tr><td>Ontario</td><td>Convenience store</td><td>Bob’s store</td></tr>
<tr><td>Ontario</td><td>Convenience store</td><td>Kebob Express</td></tr>
<tr><td>Ontario</td><td>Convenience store</td><td>Bobcat Outdoor</td></tr>
</table></td><td>☐</td><td>☐</td></tr>
<tr><td>10</td><td>“Exact” Search

Allow the user to perform an exact search based on the search values entered.</td><td>☐</td><td>☐</td></tr>
<tr><td>11</td><td>“Case” Search

Allow the user to change the search from case sensitive to case insensitive.

For example, variations of the spelling of “Montreal” would appear in the search result list together, regardless of the case contained in the spelling when case insensitive is selected:
• montreal
• Montreal
• MONTREAL</td><td>☐</td><td>☐</td></tr>
<tr><td>12</td><td>“Diacritic” Search

Allow the user to change the search from sensitive diacritic/accents to insensitive diacritic/accents, for example, à, é, ç.</td><td>☐</td><td>☐</td></tr>
</table>

	For example, variations of the spelling of “Montreal” would appear in the search result list together, regardless of the accented characters contained in the spelling: • Montreal • Montréal		
13	**Search Results Display** Display search results in a multi-column list view format (table/data grid).	☐	☐
14	**Search Result Page Navigation** Provide the User with a method to navigate the search result pages.	☐	☐
15	**Result Set Position and Size** Display the number of returned search results in an “X to Y of Z results” format. For example, 1 to 20, of 500 results	☐	☐
16	**Preview** Allow the User to preview tombstone data for each search result without having to click through (open) the search result record for viewing and updating. For example, mouse over-like preview.	☐	☐
	Part 5: Search Assessment Score:	**/160**	

PART 6: USER ACCOUNT ADMINISTRATION

CAPABILITY AND USABILITY ASSESSMENT – PART 6: USER ACCOUNT ADMINISTRATION			
Indicator #	**User Account Administration Indicators**	**Not Demonstrated (0)**	**Demonstrated (10)**
	The Prototype Solution should:		
1	**View User Profile Details** Provide the functionality to allow the User to view details of the User Profile information such as but not limited to: • *Full Name* • *User Name* • *Job Title* • *User Role* • *User Level* • *User Status*	☐	☐

	• *Profile Region* • *Profile Sub-region* • *Profile Province/Territory* • *Profile City* • *Profile Street* • *Password* • *Phone Number* • *Email address* • *Language Preference*		
2	**Create User Profile** Provide the functionality to allow an Account Administrator to create the User Profile information.	☐	☐
3	**Update User Profile** Provide the functionality to allow the following Users to update the User Profile: a. Account Administrator b. User who owns the profile	☐	☐
4	**Assign Permissions** Provide the functionality to allow an Account Administrator to assign permissions to the User profile, for example changing “update” to “read only” for specified data elements within an activity.	☐	☐
5	**Assign Roles and Levels** Provide the functionality to allow an Account Administrator to assign roles and their associated level to the User profile, for example, assign the User profile the role of “Specialist” with a level of “Subordinate.”	☐	☐
6	**Assign User Account Status** Provide the functionality to allow an Account Administrator to assign the User account status as follows: • “Inactive” if the User Id is not associated with an activity or establishment. • “Active” to activate the User account	☐	☐
7	**Delete the User Account** Provide the functionality to allow an Account Administrator to delete the User account if the User Id is not associated with an activity or establishment.	☐	☐
8	**Create User Groups** Provide the functionality to allow an Account Administrator to create User Groups, for example, the Regional User Group should contain all regional supervisors and subordinates.	☐	☐
9	**Assign the User to the User Group** Provide the functionality to allow an Account Administrator to assign the User profile to the User Group.	☐	☐

10	**Self-Management of User Preferences** Provide the functionality to allow the User to set their User Profile Preferences according to Canada's CUA Business Rules for the following User Levels: 1. Inspector 2. Supervisor	☐	☐
11	**User Notification Subscription Management** Provide the functionality to allow the User to add or remove subscription to an automatic notification (scheduled and event driven).	☐	☐
12	**Notification Via Email Management** Provide the functionality to allow the User to set their preferred notification frequency for each type of system-generated notification by Email (only one email notification frequency for each system-generated email notification type).	☐	☐
13	**Notification Via Internal Notification Management** Provide the functionality to allow the User to set their preferred notification frequency for each type of system-generated notification by Internal notification within the Prototype Solution.	☐	☐
14	**User Preferences for Alerts** Provide the functionality to allow the User to set their preference to show/hide system alerts, for example, for loss of unsaved data.	☐	☐
15	**User Profile Management** Provide the functionality to allow the User to update their User profile, at a minimum, for one of the following: • *Full Name* • *Profile Region* • *Profile Sub-region* • *Profile Province/Territory* • *Profile City* • *Profile Street* • *Password* • *Phone Number* • *Email address* • *Language Preference*	☐	☐
	Part 6: User Account Administration Assessment Score:	**/150**	

PART 7: SYSTEM USABILITY SCALE (SUS) ASSESSMENT

CAPABILITY AND USABILITY ASSESSMENT – PART 7: SYSTEM USABILITY SCALE (SUS) ASSESSMENT						
Instructions: For each of the following statements, mark one box that best describes your reactions to the Prototype Solution.						
Scenario #: _____ **Date:** _____/_____/_____						
#	**Indicator**	**Strongly Disagree (1)**	**Disagree (2)**	**Neutral (3)**	**Agree (4)**	**Strongly Agree (5)**
1.	I think that I would like to use this Prototype Solution frequently.	☐	☐	☐	☐	☐
2.	I found this Prototype Solution unnecessarily complex.	☐	☐	☐	☐	☐
3.	I thought this Prototype Solution was easy to use.	☐	☐	☐	☐	☐
4.	I think that I would need assistance to be able to use this Prototype Solution.	☐	☐	☐	☐	☐
5.	I found the various functions in this Prototype Solution were well integrated.	☐	☐	☐	☐	☐
6.	I thought there was too much inconsistency in this Prototype Solution.	☐	☐	☐	☐	☐
7.	I would imagine that most people would learn to use this Prototype Solution very quickly.	☐	☐	☐	☐	☐
8.	I found this Prototype Solution very cumbersome/awkward to use.	☐	☐	☐	☐	☐
9.	I felt very confident using this Prototype Solution.	☐	☐	☐	☐	☐
10.	I needed to learn many things before I could get going with this Prototype Solution.	☐	☐	☐	☐	☐

11.	I found navigating the Prototype Solution with a keyboard was easy.	☐	☐	☐	☐	☐
12.	I found the content was easily readable because the contrast was sufficient.	☐	☐	☐	☐	☐
13.	I found the content was easily readable because the font size was sufficient.	☐	☐	☐	☐	☐
14.	I found the language used was plain, clear, and simple to understand.	☐	☐	☐	☐	☐
15.	I found the pages were well labeled with a title.	☐	☐	☐	☐	☐
16.	I found the quantity of content on each page was reasonable.	☐	☐	☐	☐	☐
17.	I found the guided workflow intuitive.	☐	☐	☐	☐	☐
18.	I found the guided workflow frustrating.	☐	☐	☐	☐	☐
19.	Overall, I found the Prototype Solution provided a consistent, predictable, intuitive experience.	☐	☐	☐	☐	☐
20.	Overall, I found the design of the Prototype Solution followed user-centered design principles. For example, consistent labelling, data element placement, input feedback, notifications, keyboard-friendly input and general behaviour.	☐	☐	☐	☐	☐
				Part 7: Total System Usability Scale Assessment Score:		**/ 200**

<u>Note 1 - Scoring Calculations:</u>

X = (Sum of Points for Questions 1, 3, 5, 7, 9, 11 to 17, 19 and 20) *(For each of the listed numbered questions, subtract 1 from the score)*

Y = (Sum of Points for Questions 2, 4, 6, 8, 10 and 18) *(For each of the listed numbered questions, subtract their value from 5)*

Total System Usability Scale Score = (X + Y) * 2.50