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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
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Title - Sujet NICEMS National Integrated Compliance and Enforcement Management Solution (NICEMS)	
Solicitation No. - N° de l'invitation HT372-192532/A	**Amendment No. - N° modif.** 011
Client Reference No. - N° de référence du client HT372-192532	**Date** 2021-05-04
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 Daylight Saving Time EDT **on - le** 2021-05-28 Heure Avancée de l'Est HAE	
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:**	

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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

ANNEX G: BID EVALUATION

1. Bid Evaluation Criteria

GENERAL

Purpose

This document outlines the bid evaluation process of the *National Integrated Compliance & Enforcement Management System*

Instructions

Bidders must be assessed in accordance with the following instructions and criteria as detailed within this document. The following instructions shall apply to the bidder evaluation:

a) Mandatory requirements are identified by the word "must". All mandatory requirements must be met in order to meet compliance with the requirements;

b) Bid submissions must address all criteria identified in Annex G with complete supporting detail. Insufficient information to substantiate compliance or a nil response may result in the rejection of a response and may result in the bid submission rated as non-compliant. Bidders must provide a complete technical and functional specification proposal that must describe in detail how they meet the following mandatory criteria. Bidder must provide a reference to the proposal page number for each mandatory requirement.

c) References to other websites are not acceptable to meet this requirement. Canada will evaluate only the documentation provided with a Bidder's bid. Canada will not evaluate information such as references to websites where additional information can be found, or technical manuals or brochures not submitted with the bid. Relevant website references may be printed and included in proposal to support technical compliance.

d) Bid submissions should provide documentation, such as any videos, brochures, pamphlets, and or test results, with full explanation and background testing certification, if applicable, in order to show that every aspect of the proposed solution is compliant.

1.1 STAGE 1: EVALUATION OF BIDDER'S PROPOSAL

1.2 Mandatory Criteria

The bid must meet all the mandatory criteria specified below. Bids that fail to meet all the mandatory technical criteria will be declared non-responsive.

Each mandatory technical criterion should be addressed separately.

For Requirements MC-2 to MC-34, in addition to demonstrating the requirement with written documentation, include any videos, wireframes, or screenshots as part of the bid.

MC No.	Requirement Description	Compliant		Reference
		Yes	No	
Background				
MC-1.	**Experience** The Bidder must describe their company's experience in the implementation of compliance and enforcement solutions. The Bidder must demonstrate this experience by describing 3 projects in the last 10 years similar in size and scope to Appendix A – Statement of Work, including: a. Client name; b. Project name; c. Project timeline (start and end dates); d. Project manager; e. The breadth of the solution implemented; and f. Whether the project was completed on schedule and/or within the budget			
General				
MC-2.	**Managed and Hosted Solution** The Bidder must provide a detailed description of how their proposed managed web Solution will be hosted on a Shared Services Canada (SSC) certified 3rd party Protected B cloud platform within the time frames specified in the Full Solution Deliverable Schedule found in Section 3.5 of the Statement of Work (SOW) Deliverable #37, at no additional cost to Canada.			
MC-3.	**Compliance & Enforcement** The Bidder must demonstrate how their proposed Solution has the functionality to include and support compliance and enforcement (C&E) business processes, that is, a series of actions that involve planning and documenting inspections and investigations and their compliance outcomes, including enforcement actions.			
MC-4.	**Secure External Data Submission** The Bidder must provide a detailed description of how their proposed Solution will have the functionality to capture and process electronic data submission of structured data via the following methods:			

MC No.	Requirement Description	Compliant		Reference
		Yes	No	
	a. Guided form-based submission via a portal b. Application Programming Interface (API)-based electronic data submission within the time frames specified in the Full Solution Deliverable Schedule found in Section 3.5, of the Statement of Work (SOW), Deliverable #5, at no additional cost to Canada.			
MC-5.	**Single Sign On** The Bidder must provide a detailed description of how the Solution will have the functionality for the User to log in through single sign-on (SSO) within the time frames specified in the Full Solution Deliverable Schedule found in Section 3.5 of the Statement of Work (SOW), Deliverable #25, at no additional cost to Canada..			
MC-6.	**Workflow Implementation** The Bidder must demonstrate how their proposed Solution has the functionality to be configured for specified business process workflows.			
MC-7.	**Documentation of Work** The Bidder must demonstrate how their proposed Solution has the functionality for the User to document all work performed in connection with a business process workflow.			
MC-8.	**Workflow – Move to Next Step** The Bidder must demonstrate how their proposed Solution has the functionality to move the User to the next step in the business process workflow upon completion of a step in the workflow. For example, the User must be moved to the "Execution Phase" when the "Planning Phase" of the workflow is completed.			
MC-9.	**Configuration and Application Administration: Solution Parameters** The Bidder must demonstrate how its proposed Solution has the functionality for the User to configure and manage Solution parameter values. For example: a. Content of data validation and pick-list tables; b. User account and User profile information; c. Notification and alerts.			
MC-10.	**User Management: User Account Administration: User Profile - create, update, view** The Bidder must demonstrate how their proposed Solution has the functionality for the User to perform User account administration tasks. For example: a. Create or update a User profile; b. Create User roles and assign privileges to each role; c. Assign rights and roles to a User profile; d. Inactivate User profiles;			

MC No.	Requirement Description	Compliant		Reference
		Yes	No	
	e. View the field values for a User profile; f. Assign a User to a User group.			
MC-11.	**Business Rules** The Bidder must provide a detailed description of how their proposed Solution will have the functionality to configure business rules within the time frames specified in the Full Solution Deliverable Schedule found in Section 3.5, of the Statement of Work (SOW), Deliverables #5 & #25 at no additional cost to Canada.			
MC-12.	**Immediate Effect of Solution Changes** The Bidder must demonstrate how their proposed Solution has the functionality to ensure any changes to the Solution take immediate effect.			
MC-13.	**Email Notification** The Bidder must demonstrate how their proposed Solution has the functionality to generate and send emails based upon events and triggers. For example, when an industry report is successfully submitted it triggers an email confirmation to be sent to the submitter with the submission confirmation ID.			
MC-14.	**Print** The Bidder must demonstrate how their proposed Solution has the functionality for the User to print. For example: a. Forms; b. Reports; c. Search results.			
Work Plan/Work Load				
MC-15.	**Workload Overview** The Bidder must demonstrate how their proposed Solution has the functionality to provide a Workload Overview (dashboard) displaying all work currently assigned to the User. For example, activities the User has been assigned.			
Accessibility				
MC-16.	**Web Content Accessibility Guidelines (WCAG) Conformance** The Bidder must provide a detailed description of how their proposed Solution will have the functionality to conform to WCAG 2.0 AA within the time frames specified in the Full Solution Deliverable Schedule found in Section 3.5 of the Statement of Work (SOW), Deliverable #28.			
User Interface and Usability				
MC-17.	**Bilingual Interface (English and French)** The Bidder must provide a detailed description of how their proposed Solution will have the functionality to provide the Graphical User Interface (GUI) in each of Canada's official languages			

MC No.	Requirement Description	Compliant		Reference
		Yes	No	
	(French and English) in accordance with Government of Canada Policy on Official Languages, and within the time frames specified in Section 3.5 Full Solution Deliverable Schedule, Deliverable #28 found in the Statement of Work (SOW). This means Users selecting French as their language preference will not see anything in English in the solution's GUI, except for User-generated content. For example: a. Help files; b. Tutorials; c. Error messages. Refer to Sections 5 and 6 of the Treasury Board Secretariat Policy on Official Languages https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=26160&section=html			
MC-18.	**Mandatory Fields: Indication, Validation, Alert** The Bidder must demonstrate how their proposed Solution has the functionality to control mandatory fields in the following way: a. Visually indicate to the User mandatory fields in a consistent manner on all data input screens. b. Visually indicate to the User invalid data upon entry, for example, non-numeric characters in a numeric field. c. Alert the User of any of the following when the User attempts to confirm completion of a data entry step (for example, submitting an industry report via the guided form-based submission process): i. Any field value requiring validation that has not passed data validation; ii. Any mandatory field missing a value; d. Navigate the User directly to the first instance of any of the following: i. Invalid data in a field; ii. Missing mandatory data; e. Permit the User to complete or correct the input for all fields. f. Permit the User to repeat the confirmation of completing the data entry. g. Set validated and confirmed fields to read-only			
MC-19.	**Conditionally Mandatory Fields** The Bidder must demonstrate how their proposed Solution has the functionality to configure. conditionally mandatory fields.			
MC-20.	**Read-only Fields** The Bidder must demonstrate how their proposed Solution has the functionality to visually indicate read-only fields. For example: a. Grey out;			

MC No.	Requirement Description	Compliant		Reference
		Yes	No	
	b. Prevent data input.			
MC-21.	**Calculated and Derived Data Values** The Bidder must demonstrate how their proposed Solution has the functionality to calculate, derive, and display values based on User-entered and Solution-stored information. Upon entry of the field values, the Solution must generate calculated and derived values and update the User Interface with the values in real-time. For example: a. The User enters data into numeric fields A and B. The Solution displays the sum in a third calculated numeric field C. b. The User enters data into four numeric fields. The Solution displays the standard deviation value in a fifth, calculated numeric field. c. The User enters data into two text fields A and B. The Solution uses logic on the text values of fields A and B to derive and display the text value in field C.			
MC-22.	**Time Format** The Bidder must demonstrate how their proposed Solution has the functionality to store all times in Coordinated Universal Time (UTC) with offset for the User's time zone.			
Search				
MC-23.	**Search** The Bidder must demonstrate how their proposed Solution has the functionality for the User to search on any record type stored in the Solution.			
Establishments				
MC-24.	**Create and Update Establishment Profiles** The Bidder must demonstrate how their proposed Solution has the functionality for the User to: a. Create a new establishment profile record. b. Update an existing establishment profile record.			
MC-25.	**Address Validation – Establishment address and postal code** The Bidder must provide a detailed description of how their proposed Solution will provide the following functionality within the time frames specified in the Full Solution Deliverable Schedule found in Section 3.5 of the Statement of Work (SOW), Deliverable #26: a. Validate an establishment's address (physical, mailing) using a regularly updated address validation service (for example, Canada Post AddressComplete service). b. List the address validation results and problems with the address, when the address validation service determines the address is not valid, such as "postal code does not match street address/city."			
Activities				
MC-26.	**Create and Update Activities** The Bidder must demonstrate how their proposed Solution has the functionality for the User to: a. Create a new activity record associated with an existing establishment.			

MC No.	Requirement Description	Compliant		Reference
		Yes	No	
	b. Update and save an existing activity record.			
Business Intelligence and Data Analytics Specifications				
MC-27.	**Real-Time Solution Data Access** The Bidder must provide a detailed description of how their proposed Solution will have the functionality to provide direct access to the real-time Solution data for business intelligence and analytics purposes via either of the following methods within the time frames specified in the Full Solution Deliverable Schedule found in Section 3.5 of the Statement of Work (SOW), Deliverable #29: a. A business intelligence tool as part of the Solution; b. Integration with a business intelligence tool provided by Canada.			
MC-28.	**Extract, Transform, and Load (ETL)** The Bidder must provide a detailed description of how their proposed Solution will have the functionality for the Solution data to be accessible by Extract, Transform, and Load (ETL) tools within the time in the Full Solution Deliverable Schedule found in Section 3.5 of the Statement of Work (SOW), Deliverable #29, at no additional cost to Canada. For example, Informatica tool.			
Reporting				
MC-29.	**Pre-defined reports** The Bidder must provide a detailed description of how their proposed Solution will have the functionality for the User to generate a pre-defined report based on User-selectable constraints to limit the number of report results, within the time frames specified in the Full Solution Deliverable Schedule, found in Section 3.5 of the Statement of Work (SOW), Deliverable #28. For example, the User can select the following values to obtain a report of all establishments in Ottawa with a status value of "Active": a. *Establishment Status* value of "Active" b. *Region* value of "East" c. *City* value of "Ottawa"			
MC-30.	**Ad-hoc Search** The Bidder must provide a detailed description of how their proposed Solution will have the functionality for the User to select ad-hoc search parameter values and view the results of an ad-hoc search once the search has completed its execution, within the time frames specified in the Full Solution Deliverable Schedule, found in Section 3.5 of the Statement of Work (SOW), Deliverable #28.			
Off-Line Capacity				
MC-31.	**Off-line Capacity** The Bidder must provide a detailed description of how their proposed Solution will have the functionality for the User to access and work with the Solution in an off-line capacity as described			

	in the Full Solution Functional Requirements and within the time frames specified in the Full Solution Deliverable Schedule found in Section 3.5, of the Statement of Work (SOW), Deliverable #28.			
MC-32.	**Export data** The Bidder must demonstrate how their proposed Solution has the functionality for the User to export any Solution data, including: a. Results from a search; b. Workload (Dashboard) view. Export file formats must include one of the following: a. Txt; b. Csv; c. Pdf.			

1.3 Point Rated Technical Criteria

Bids will be evaluated and scored as specified in the table inserted below. Each point rated technical criterion should be addressed separately. Subject to the Phased Bid Compliance process of the RFP, bids, which fail to obtain the overall minimum required score specified below, will be declared non-responsive, and will be given no further consideration in the evaluation process.

With the exception of Requirements PRC-1 TO PRC-3, in addition to demonstrating the requirement with written documentation, include any videos, wireframes, or screenshots as part of the bid.

PRC No.	Requirement Description	Point Rated Grid	Reference	Score
Planning (max 52 points)				
PRC-1.	**Sample High Level Full Solution Project Schedule** The Bidder should provide a sample High Level Project Schedule for the delivery of a solution that includes: a. A Gantt chart including: i. Identification of Tasks ii. Sequence of Tasks iii. Task Dependencies iv. Task Durations v. Task Start and End Dates b. Scope of the work including: i. Scope Definition ii. Milestones iii. Deliverables c. Process for managing the project schedule and supporting lower level schedules throughout all stages of the project lifecycle of the previously delivered solution.	**Maximum 20 Points** **0 pts:** for a response not addressing the requirements and not providing clear strategies that is deemed by Canada not to meet the requirements of this project. **14 pts:** for a response satisfactorily addressing the requirements and providing some strategies that are deemed by Canada to satisfactorily meet the requirements of this project. **20 pts:** for a response fully addressing all the requirements and providing strategies that are deemed by Canada to fully meet the requirements of this project.		
PRC-2.	**Sample High Level Full Solution Project Implementation Plan** The Bidder should: a. Demonstrate how it plans to manage the execution of the Full Solution if exercised and specifically addressing the measures, processes, and mechanism it proposes to undertake to manage and deliver the Full Solution. b. Provide an organization chart that identifies its project governance structure, its partnership with other suppliers, as applicable, to deliver the project. c. Demonstrate how it intends to manage the following components of the implementation of the project: i. Risk;	**Maximum 20 Points** **8 pts:** For each of requirement 1 and 2 up to a maximum of 16 points. **1 pt.:** For each component in requirement 3 up to a maximum of 4 points.		

PRC No.	Requirement Description	Point Rated Grid	Reference	Score
	ii. Schedule; iii. Quality; iv. Communications.			
PRC-3.	**Sample Plans** The Bidder should provide one of each of the following sample plans from any one of the 3 projects described in MC-1: a. Implementation Plan; b. Risk Management Plan; c. Change Management Plan.	**Maximum 12 Points** **4 pts** per item listed up to a maximum of 12 points.		
General Specifications (max 105 points)				
PRC-4.	**Secure External Data Submission** The Bidder should demonstrate how their proposed Solution has the functionality to capture and process electronic data submission of structured data via the following methods: a. Guided form-based submission via a portal; b. Application Programming Interface (API)-based electronic data submission	**Maximum 10 Points** **0 pts**: Not Demonstrated. **5 pts** per item listed up to a maximum of 10 points.		
PRC-5.	**Display of Context Specific Help** The Bidder should demonstrate how their proposed Solution has the functionality to display the context specific Help information in such a way that it will minimally affect the current work of the User. Please provide screen shots that demonstrate this. For example, in a: a. New window; b. Pop up; c. Tooltip.	**Maximum 10 Points** **0 pts**: Not Demonstrated. Disturbs current work and disrupts the User's ability to continue their work. **10 pts**: Demonstrated. Does not disturb current work and does not disrupt the User's ability to continue their work.		
PRC-6.	**Compliance & Enforcement Workflow Configuration** The Bidder should demonstrate how their proposed Solution has the functionality: a. To configure the existing compliance and enforcement workflow to meet a client's specific business needs.	**Maximum 25 Points** **0 pts**: Not Demonstrated. **25 pts**: Demonstrated.		
PRC-7.	**Resume Last Workflow Step** The Bidder should demonstrate how their proposed Solution has the functionality for the User to resume updating the information at the last workflow step that was worked on previously, when returning to a business process workflow.	**Maximum 10 Points** **0 pts**: Not Demonstrated. The User is required to select the last open workflow step to resume editing.		

PRC No.	Requirement Description	Point Rated Grid	Reference	Score
		10 pts: Demonstrated. The User taken to the last open workflow step to resume editing.		
PRC-8.	**Preview Attached Files** The Bidder should demonstrate how their proposed Solution has the functionality to provide a preview pane for the User to view an attached file. For example: a. Image files (jpg, png etc.); b. Word files version 2003 or higher; c. Excel files version 2003 or higher; d. PDF files.	**Maximum 10 Points** **2 pts** for each file type listed up to a max of 8 points. **1 pt.** for each additional item up to a maximum of 2 points.		
PRC-9.	**References to External Document Management Systems** The Bidder should demonstrate how their proposed Solution has the functionality for the User to enter read-across linkages across multiple platforms. For example, GCDocs.	**Maximum 20 Points** **0 pts**: Does not meet the requirement. The solution cannot store hyperlinks to the external document management system as clickable links. **20 pts**: Demonstrated. The solution can store hyperlinks to the external document management system as clickable links.		
PRC-10.	**Recurring Email Notification Based on User Action** The Bidder should demonstrate how their proposed Solution has the functionality to resend the email notification that requires User action at a set notification frequency, if the User defers the notification action, until the User performs the required action.	**Maximum 10 Points** **0 pts**: Not Demonstrated. **10 pts**: Demonstrated.		
PRC-11.	**Notification Receipt** The Bidder should demonstrate how their proposed Solution has the functionality to document the date a notification is accessed when either of the following occurs: a. When the User views the notification in the notification area of the Solution. b. When the User accesses the link within the email notification.	**Maximum 10 Points** **5 pts** per item listed up to a maximum of 10 points.		
PRC-12.	**Electric Data Exchange Component - Session Persistence** The Bidder should demonstrate how their proposed Solution has the functionality to notify the User that the session is timing out while the User is completing information for submission.	**Maximum 20 Points** **0 pts**: Not Demonstrated. **20 pts: D**emonstrated.		
PRC-13.	**Saving Data** The Bidder should demonstrate how their proposed Solution has the functionality to provide the User with the following options when the User is entering data:	**Maximum 10 Points** **0 pts**: Not Demonstrated. **5 pts**: One of functionalities is demonstrated. **10 pts:** All functionalities are demonstrated.		

PRC No.	Requirement Description	Point Rated Grid	Reference	Score
	a. To save data entered at any point in a workflow and continue the workflow. b. To cancel an action that would result in the loss of any data entered but not yet saved.			
Work Plan/Work Load (max 40 points)				
PRC-14.	**Default Workload Overview Display (dashboard)** The Bidder should demonstrate how their proposed Solution has the functionality to provide up to date Workload Overview (dashboard) depending on the User's role. For example: a. Supervisor – see own work and that of their subordinates. b. Subordinate – see own work only.	**Maximum 20 Points** **0 pts:** Not demonstrated. **20 pts:** Demonstrated.		
PRC-15.	**Workload Overview Display** The Bidder should demonstrate how their proposed Solution has the functionality for the User to configure the Workload Overview Display (dashboard), to: a. Define and save their own custom Workload Overviews, for example, define the columns and sort order in a multi-column list view format (table/data grid) for all open inspections assigned to the User. b. Select their default custom Workload Overview(s) to display their workload. c. Launching activities to access and edit details from Workload Overview Display. d. Filter activities on attributes in the Workload Overview Display. e. Sort activities in the Workload Overview Display.	**Maximum 20 Points** **4 pts** per item listed up to a maximum of 20 points.		
Accessibility (max 20 points)				
PRC-16.	**Accessibility Criteria** The Bidder should specify at which level their proposed Solution currently conforms to the World Wide Web Consortium (W3C) WCAG guidelines Success Criteria.	**Maximum 20 points** **0 pts**: The Solution does not currently conform to WCAG 2.0 AA or higher. **10 pts**: The Solution currently conforms to WCAG 2.0 AA. **20 pts**: The Solution currently meets WCAG 2.1 AA.		
User Interface and Usability (max 213 points)				
PRC-17.	**Consistent Graphical User Interface**	**Maximum 30 Points** **3 pts** per item listed up to a maximum of 27 points.		

PRC No.	Requirement Description	Point Rated Grid	Reference	Score
	The Bidder should demonstrate how their proposed Solution has the functionality to provide a GUI with consistent look and feel to ensure high usability, which includes: a. Colors, shapes, layout, and typefaces; b. Consistent behaviour of dynamic elements such as buttons, boxes, and menus; c. Consistent labelling and field placement; d. Data entry format display, that is, indicates the required format in the label or placeholder text of the field that require specially formatted input (for example, for dates, times, postal codes); e. Keyboard-friendly input, for example, the User should be able to easily tab through the fields and make necessary edits, all without lifting their fingers off the keyboard; f. Workflow sequences; g. Field focus; h. Messages; i. Consistent navigation and orientation.	**1 pt.** for each additional item up to a maximum of 3 points.		
PRC-18.	**Organization of Data Entry Elements** The Bidder should demonstrate how their proposed Solution has the functionality to provide the User with a logical organization of fields that share the same space. For example: a. Grouping related fields into field sets; b. Grouping related field sets into components; c. Grouping related components into a tabbed pane or card layout.	**Maximum 21 Points** **7 pts** per item listed up to a maximum of 21 points.		
PRC-19.	**Input control** The Bidder should demonstrate how their proposed Solution has the functionality to use input controls to ensure entry of valid data. For example: a. Pick list; b. Multi-select pick lists; c. Check boxes; d. Numeric stepper; e. Radio buttons; f. dropdown lists; g. List boxes;	**Maximum 25 Points** **2 pts** per item listed up to a maximum of 20 points. 1 pt. for each additional item up to a maximum of 5 points.		

PRC No.	Requirement Description	Point Rated Grid	Reference	Score
	h. Toggles; i. Date picker; j. Form data validation.			
PRC-20.	**Navigation Between Workflows and Workflow Steps** The Bidder should demonstrate how their proposed Solution has the functionality for the User to navigate (backwards and forwards) between screens without losing any data.	**Maximum 20 Points** **0 pts**: Not demonstrated. **20 pts**: Demonstrated.		
PRC-21.	**Dating Prevention** The Bidder should demonstrate how their proposed Solution indicate the following: a. Where setting the value of a date field to a date prior to the current system date is not permitted. b. Where setting the value of a date field to a date after the current system date is not permitted.	**Maximum 10 Points** **5 pts** per item listed up to a maximum of 10 points.		
PRC-22.	**Bilingual Solution** The Bidder should demonstrate how their proposed Solution is 100% bilingual in any two languages.	**Maximum 10 points** **0 pts**: Not Demonstrated. **5 pts:** Bilingual in English and another language. **10 pts**: Bilingual in English and French.		
PRC-23.	**Language Preference** The Bidder should demonstrate how their proposed Solution has the functionality to use the language preference value specified by the User as the default language in which to display: a. The Solution GUI (for example, menus); b. Selection values (for example, drop down lists); c. Alerts and notifications; d. Context sensitive help.	**Maximum 20 Points** **4 pts** per item listed up to a maximum of 20 points.		
PRC-24.	**In Session Language Change** The Bidder should demonstrate how their proposed Solution has the functionality for the User to toggle between English and French interfaces within a session from anywhere in the solution.	**Maximum 10 Points** **0 pts**: Not Demonstrated. **10 pts**: Demonstrated.		
PRC-25.	**Language – Free Text** The Bidder should demonstrate how their proposed Solution has the functionality to display free-text field values in the language in which the text is entered. For example: a. French characters are displayed correctly. b. Special combinations of characters are properly handled.	**Maximum 20 Points** **0 pts**: Not Demonstrated. **20 pts**: Demonstrated.		
PRC-26.	**Maximise Multi-Column List View (table/data grid)**	**Maximum 10 Points**		

PRC No.	Requirement Description	Point Rated Grid	Reference	Score
	The Bidder should demonstrate how their proposed Solution has the functionality to modify the multi-column list (table/data grid) when large data sets, that is, many rows and many columns, are displayed in a multi-column list view (table/data grid) format, to ensure: a. It is maximized to the area allocated for its display. b. There is minimal horizontal or vertical scrolling when viewing the columns and rows of the list (table/data grid).	**5 pts** per item listed up to a maximum of 10 points.		
PRC-27.	**Updating and Viewing a Record in Multi-Column List View (table/data grid)** The Bidder should demonstrate how their proposed Solution has the functionality for the User to access the record directly for updating or viewing, and return to the multi-column list view after the action on the record is completed (for example, selecting a search result item will open the relevant establishment's profile) when an item is selected in a multi-column list view (table/data grid).	**Maximum 10 Points** **0 pts**: Not Demonstrated. **10 pts**: Demonstrated.		
PRC-28.	**Managing Columns in a Multi-Column List View (table/data grid)** The Bidder should demonstrate how their proposed Solution has the functionality for the User to perform the following actions on columns in any multi-column list view: a. Show; b. Hide; c. Rearrange.	**Maximum 6 Points** **2 pts** per item listed up to a maximum of 6 points.		
Search and Sort (96 points)				
PRC-29.	**Multi-Column List View (table/data grid) Sort** The Bidder should demonstrate how their proposed Solution has the functionality for all multi-column list views (table/data grid) to be sortable by any column using standard sort parameters. For example, a. Lowest to highest; b. Highest to lowest; c. A-Z; d. Z-A.	**Maximum 10 Points** **2 pts** per item listed up to a maximum of 8 points. **1 pt.** for each additional item up to a maximum of 2 points.		
PRC-30.	**"Diacritic" Search and Sort** The Bidder should demonstrate how their proposed Solution has the functionality for the User to perform the following:	**Maximum 20 Points** **10 pts** per item listed up to a maximum of20 points.		

PRC No.	Requirement Description	Point Rated Grid	Reference	Score
	a. For sort, 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: i. Montreal ii. Montréal b. For search, select the option to change the search from sensitive to insensitive to diacritic/accents, for example, à, é, ç. 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: i. Montreal ii. Montréal			
PRC-31.	**Multi-level Sort within a Multi-Column List View (table/data grid)** The Bidder should demonstrate how their proposed Solution has the functionality for multi-level sorts within a multi-column list view (that is, selecting multiple columns and specifying a sort order among the columns). For example, sort by province/territory, then city, then establishment name.	**Maximum 10 Points** **0 pts**: Not Demonstrated. **10 pts: D**emonstrated.		
PRC-32.	**Sort Order Persistence** The Bidder should demonstrate how their proposed Solution has the functionality to maintain the sort order for displaying fields, such as search results and Workload Overview(s) within a session, until the User changes the sort order.	**Maximum 5 Points** **0 pts**: Not Demonstrated. **5 pts: D**emonstrated.		
PRC-33.	**Auto-Complete Search** The Bidder should demonstrate how their proposed Solution has the functionality for the User to use autocomplete when entering a search value (predictive text).	**Maximum 5 Points** **0 pts**: Not Demonstrated. **5 pts: D**emonstrated.		
PRC-34.	**Search Result Page Navigation** The Bidder should demonstrate how their proposed Solution has the functionality for the User to navigate the search result pages when search results are paged.	**Maximum 5 Points** **0 pts**: Not Demonstrated. **5 pts: D**emonstrated.		

PRC No.	Requirement Description	Point Rated Grid	Reference	Score
PRC-35.	**User Selectable Results Per Page** The Bidder should demonstrate how their proposed Solution has the functionality for the User to specify the number of search results to display per page when search results are displayed in pages.	**Maximum 5 Points** **0 pts**: Not Demonstrated. **5 pts: D**emonstrated.		
PRC-36.	**Result Set Position and Size** The Bidder should demonstrate how their proposed Solution has the functionality to display, in the search results, the following information: a. Total number of search results; b. Current search results range being displayed; c. Current Page; d. Total number of pages. For example, 1 to 20, of 500 results.	**Maximum 5 Points** **0 pts**: Not Demonstrated. **5 pts: D**emonstrated.		
PRC-37.	**Maximum results per page** The Bidder should demonstrate how their proposed Solution has the functionality to optimize the maximum number of search results based on performance testing, when search results are paged.	**Maximum 5 Points** **0 pts**: Not Demonstrated. **5 pts: D**emonstrated.		
PRC-38.	**Establishment Creation Using Search Values** The Bidder should demonstrate how their proposed Solution has the functionality to provide the User with the option to create a new establishment profile using the establishment name, street, city, province, and postal code values entered during an establishment search where only one value has been entered for each of the fields and no search results have returned.	**Maximum 5 Points** **0 pts**: Not Demonstrated. **5 pts: D**emonstrated.		
PRC-39.	**Search Criteria and Returned Results** The Bidder should demonstrate how their proposed Solution has the functionality to retain the search criteria and returned results for subsequent searches until the User chooses any of the following: a. To clear or modify the search criteria and perform a new search; b. To log out of the solution.	**Maximum 10 Points** **5 pts** per item listed up to a maximum of 10 points		
PRC-40.	**Ad-hoc Search** The Bidder should demonstrate how their proposed Solution has the functionality for the User to perform the following: a. Select search parameter values;	**Maximum 5 Points** **0 pts**: Not Demonstrated. **5 pts:** Demonstrated.		

PRC No.	Requirement Description	Point Rated Grid	Reference	Score
	b. Cancel ad-hoc searches that are being executed; c. View the results of an ad-hoc search once the search has completed its execution.			
PRC-41.	**Save, Retrieve, and Delete Ad-hoc Search Criteria** The Bidder should demonstrate how their proposed Solution has the functionality for the User to perform the following actions: a. Save any search criteria; b. Retrieve previously saved search criteria; c. Delete a previously saved search criteria.	**Maximum 6 Points** **2 pts** per item listed up to a maximum of 6 points		
Establishments (max 55 points)				
PRC-42.	**Establishment: Create and Update Profile** The Bidder should demonstrate how their proposed Solution has the functionality for establishment profiles to be created and updated based on User Role values. For example: a. Manager – can view an establishment profile. b. Subordinate – can create and update an establishment profile.	**Maximum 20 Points** **0 pts**: Not Demonstrated. **20 pts**: Demonstrated.		
PRC-43.	**Address Validation** The Bidder should demonstrate how their proposed Solution has the functionality to validate an establishment's address (physical, mailing) using a regularly updated address validation service (for example, Canada Post AddressComplete service).	**Maximum 20 Points** **0 pts**: Not Demonstrated. **20 pts:** Demonstrated.		
PRC-44.	**New Establishment Profile Based on Existing Profile.** The Bidder should demonstrate how their proposed Solution has the functionality for the User to select an existing establishment profile to pre-populate location and Establishment Profile details for the creation of a new establishment profile.	**Maximum 5 Points** **0 pts**: Not Demonstrated. **5 pts: D**emonstrated.		
PRC-45.	**Merge Establishments** The Bidder should demonstrate how their proposed Solution has the functionality for the User to merge two identical establishment profile into one profile.	**Maximum 5 Points** **0 pts**: Not Demonstrated. **5 pts: D**emonstrated.		
PRC-46.	**Unmerge Establishments** The Bidder should demonstrate how their proposed Solution has the functionality for establishment profiles that have been merged to be unmerged and retain the profile integrity of each individual profile that has been merged.	**Maximum 5 Points** **0 pts**: Not Demonstrated. **5 pts:** Demonstrated.		
Activities (max 20 points)				
PRC-47.	**Activities: Create and Update Activity**	**Maximum 20 Points**		

	The Bidder should demonstrate how their proposed Solution has the functionality for the User to create and update activities based on User roles. For example: a. Activity assigned to Inspector – can create and update the activity. b. All other Users – can view the activity.	**0 pts**: Not Demonstrated. **20 pts**: Demonstrated.		
Business Intelligence (max 50 points)				
PRC-48.	**Real-Time Solution Data Access** The Bidder should demonstrate how their proposed Solution currently has the functionality for direct access to the real-time Solution data for business intelligence and analytics purposes via either of the following methods: a. A business intelligence tool as part of the Solution. b. Integration with a business intelligence tool provided by Canada, for example Cognos Analytics, Power BI, and Tableau.	**Maximum 50 Points** **0 pts**: Not Demonstrated. **50 pts:** When either method is demonstrated.		
Reporting (max 16 points)				
PRC-49.	**Pre-defined Reports** The Bidder should demonstrate how their proposed Solution has the functionality for the User to design pre-defined reports with User selectable criteria.	**Maximum 5 Points** **0 pts**: Not Demonstrated. **5 pts:** Demonstrated.		
PRC-50.	**Save, Retrieve, and Delete Pre-defined Reports Format** The Bidder should demonstrate how their proposed Solution has the functionality for the User to perform the following actions: a. Save the designed pre-defined report. b. Update the designed pre-defined report. c. Retrieve a previously designed saved pre-defined report. d. Delete a previously designed saved pre-defined report.	**Maximum 7 Points** **0 pts:** Not Demonstrated **1 pt** per item listed to a maximum of 4 points **1 pt** per additional item up to a maximum of 3 points		
Templates and ATIP (max 26 points)				
PRC-51.	**Create documents from templates** The Bidder should demonstrate how their proposed Solution has the functionality for the User to generate documents based on templates where the following information can be included in the templates: a. The fields that can be pre-populated, and the appropriate data options for each field can be selected. b. Standard text appropriate for the purpose of the document.	**Maximum 20 Points** **10 pts** per item listed up to a maximum of 20 points.		
PRC-52.	**Access to Information and Privacy Request (ATIP)**	**Maximum 6 Points** **2 pts** per item listed up to a maximum of 6 points.		

	The Bidder should demonstrate how their proposed Solution has the functionality for the User to: a. Identify records required for ATIP. b. Set identified records to read only. c. Display in a multi-column list view format, identifying data from records that have been identified for ATIP.			
User and Application Management (max 80 points)				
PRC-53.	**Configuration and Application Administration: Solution Parameters** The Bidder should demonstrate how their proposed Solution has the functionality for the User to configure and manage Solution parameter values, including: a. Content of data validation and pick-list tables; b. User account and User profile information; c. Templates and Data Entry forms; d. Notification and Alerts; e. Workload Overview Displays.	**Maximum 30 Points** **5 pts** per item listed up to a maximum of 25 points. **1 pt.** for each additional item up to a maximum of 5 points.		
PRC-54.	**Administration of Business Process Workflow** The Bidder should demonstrate how their proposed Solution has the functionality for the User to configure specified business process workflows. For example, the User updates the business process workflow to skip the next workflow step when there is a change to the business process.	**Maximum 15 Points** **0 pts**: Not Demonstrated. **15 pts:** Demonstrated.		
PRC-55.	**Business Rules** The Bidder should demonstrate how their proposed Solution has the functionality for the User to configure business rules without the need to modify the Solution code.	**Maximum 15 Points** **0 pts**: Not Demonstrated. **15 pts:** Demonstrated.		
PRC-56.	**Automatic Solution Alert Update Text** The Bidder should demonstrate how their proposed Solution has the functionality for the User to update the message for automatic (Solution initiated, event driven) alerts. For example, the User updates the message for an alert that lets a User know that a business process workflow step has not been completed when the User attempts to proceed to next business process workflow step.	**Maximum 20 Points** **0 pts**: Not Demonstrated. **20 pts: D**emonstrated.		
Off-Line Capacity (max 60 points)				
PRC-57.	**Off-line Solution**	**Maximum 60 Points**		

	The Bidder should demonstrate how their proposed Solution has the functionality for the User to access and work with the Solution in an off-line capacity that has the equivalent functionality as the online Solution, as follows: a. Access to the compliance and enforcement components of the Solution, including establishment information; b. Off-line creation of establishment profile in the field off-line creation of activities in the field; c. Off-line creation of activities.	**0 pts**: The Bidder's proposed Solution does not provide the off-line capacity and the response does not address the requirements and not provide clear strategies that are deemed by Canada not to meet the requirements of this project. **42 pts:** The Bidder's proposed Solution does not provide the off-line capacity and the response satisfactorily addresses the requirements and provides some strategies that are deemed by Canada to satisfactorily meet the requirements of this project. **60 pts:** The Bidder's proposed Solution already provides the off-line capacity and the response fully addresses all the requirements that are deemed by Canada to fully meet the requirements of this project.		
		Maximum points: 838 **Minimum pass mark:** 70% of Max points (587)		**Total Score**

ANNEX B

BASIS OF PAYMENT

1. Financial Response

All prices must be provided in Canadian dollars exclusive of any applicable taxes.

The detailed financial proposal consists of the following all-inclusive price components:

1. A firm fixed price for Work under Phase 1 of Annex A - Statement of Work to Develop and Deliver a Prototype Solution. The price for this Work is set at: $100,000.00 CAD, applicable taxes extra.
2. A firm fixed price for the implementation of the solution under Phase 2 of Annex A – Statement of Work to Develop and Deliver the Full Solution.
3. A firm fixed price for optional additional licenses under Phase 2 of Annex A - Statement of Work to Develop and Deliver the Full Solution.
4. A firm fixed price for optional maintenance and support under Phase 2 of Annex A - Statement of Work for Managed Service Solution Licenses.
5. A firm fixed per diem rate for optional services under Phase 2 for Task Authorized Professional Service
6. A firm fixed per diem rate for optional services under Phase 2 for Task Authorized Training Services

BASIS OF PAYMENT TABLES

PRICING TABLE 1 (PT 1)		
PROTOTYPE SOLUTION (PS) FOR CAPABILITY AND USABILITY ASSESSMENT (CUA)		
Firm All-Inclusive Price (applicable taxes extra) for the Work described in Phase 1 Prototype Solution of the Statement of Work in Annex A, including granting Access to 25 User Licenses which includes all Solution usage rights grants, Software Documentation, Warranty, Hosting and, waivers, non-disclosure agreements, or other releases to Canada for purposes of conducting the CUA assessment, for up to 25 User Licenses to use the Prototype Solution for Capability and Usability Assessment purposes during the initial contract period:		
Item # (A)	**Description (B)**	**Firm All-Inclusive Lot Price (C)**
1	All deliverables associated with Phase 1, including the Prototype Solution in accordance with Annex A – Statement of Work.	100 000 $
PT1: Total Evaluated Bid Price (Sum of C1) =C1		**100 000 $**

PRICING TABLE 2 (PT2)		
IMPLEMENTATION OF SOLUTION IN A HC ENVIRONMENT		
Firm All-Inclusive Price (applicable taxes extra) for the Work described in Appendix B – Full Solution Requirements of Annex A – Statement of Work. Including 300 User Licenses, which include all Solution usage rights grants, configuration, training, updated training material, Software Documentation, Warranty, Hosting and Maintenance and Support, waivers, non-disclosure agreements, and other releases to Canada for up to 300 Users.		
Item # (A)	**Description (B)**	**Firm All-Inclusive Lot Price (C)**
1	All deliverables associated with Appendix B – Full Solution Requirements of Annex A – Statement of Work. The milestone payments for the Full Solution are listed below.	$________________
PT2: Total Evaluated Bid Price (Sum of C2) = C2		**$**

PRICING TABLE 3 (PT3)				
OPTIONAL GRANT FOR ADDITIONAL USER LICENSES DURING IMPLEMENTATION PERIOD				
Firm All-Inclusive Price in CAD (applicable taxes extra)				
Item #a - #b (A)	**Description (B)**	**Price per User (C)**	**Number of Users (D)**	**Extended Price for Evaluation Purpose (E) = ((C) X (D))**
1a	User Licenses as per Annex A-SOW	$_______	100	$___________
PT3: Total Evaluated Bid Price (Sum of prices under (E)) = C3				$___________
Note: For evaluation purpose, 100 is the estimated number of users by period.				

PRICING TABLE 4 (PT4)				
OPTIONAL GRANT PER ADDITIONAL USER LICENSES (if applicable)				
Firm All-Inclusive Price in CAD (applicable taxes extra)				
Item #a - #b (A)	**Description (B)**	**Price per Additional User (C)**	**Additional Users (D)**	**Extended Price for Evaluation Purpose (E) = ((C) X (D))**
1	Option Year 1: Additional User Licenses as per Annex A-SOW	$_______	100	$__________
2	Option Year 2: Additional User Licenses as per Annex A-SOW	$_______	100	$__________
3	Option Year 3: Additional User Licenses as per Annex A-SOW	$_______	100	$__________
4	Option Year 4: Additional User Licenses as per Annex A-SOW	$_______	100	$__________
5	Option Year 5: Additional User Licenses as per Annex A-SOW	$_______	100	$__________
6	Option Year 6: Additional User Licenses as per Annex A-SOW	$_______	100	$__________
7	Option Year 7: Additional User Licenses as per Annex A-SOW	$_______	100	$__________
8	Option Year 8: Additional User Licenses as per Annex A-SOW	$_______	100	$__________
9	Option Year 9: Additional User Licenses as per Annex A-SOW	$_______	100	$__________
PTA4: Total Evaluated Bid Price (Sum of prices under (E) ÷ 9) = C4				$__________
Note: For evaluation purpose, 100 is the estimated number of additional users by period.				

PRICING TABLE 5 (PT5)			
OPTIONAL **SOLUTION MAINTENANCE AND SUPPORT SERVICES**			
Firm All-Inclusive Price in CAD (applicable taxes extra)			
Item **#a - #b** **(A)**	**Description** For the provision of NICEMS Maintenance and Support services. **(B)**	**Lot Price** **(C)**	**Yearly Total Price** **(#a + #b)** **(D)**
1a	OP 1: Solution Maintenance and Support Services	$__________	$__________
2a	OP 2: Solution Maintenance and Support Services	$__________	$__________
3a	OP 3: Solution Maintenance and Support Services	$__________	$__________
4a	OP 4: Solution Maintenance and Support Services	$__________	$__________
5a	OP 5: Solution Maintenance and Support Services	$__________	$__________
6a	OP 6: Solution Maintenance and Support Services	$__________	$__________
7a	OP 7: Solution Maintenance and Support Services	$__________	$__________
8a	OP 8: Solution Maintenance and Support Services	$__________	$__________
9a	OP 9: Solution Maintenance and Support Services	$__________	$__________
PT5: Total Evaluated Bid Price (Sum of all prices under (D)) = C5			$__________

(a) **Optional Professional Services**

(i) The Bidder must identify any potential Professional Services resource categories and associated per diem rates, as applicable. The following table is for the Bidder to input their per-diem rates for each resource as per article 4.1. Statement of Work. The Bidder may add additional categories as necessary.

(ii) The Bidder must provide a description of each Professional Services Resource Category listed in Table 6.

(iii) For purposes of evaluation, the average of all per diem rates submitted by a Bidder will be calculated by the sum of all per diems divided by the total number of proposed professional service resources.

PRICING TABLE 6 (PT6)

OPTIONAL PROFESSIONAL SERVICES – via Task Authorizations

Firm all-inclusive per diem rates (CDN $) for Optional Professional Services to be provided on an as-and-when requested basis described in Annex A –Statement of Work and in accordance with the Task Authorization Process:

Item #	Resource Category	Initial Contract Period	Option Period 1	Option Period 2	Option Period 3	Option Period 4	Option Period 5	Option Period 6	Option Period 7	Option Period 8	Option Period 9	Average Per Diem Rate
(A)	(B)	Firm All-Inclusive Per Diem Rate (C)	Firm All-Inclusive Per Diem Rate (D)	Firm All-Inclusive Per Diem Rate (E)	Firm All-Inclusive Per Diem Rate (F)	Firm All-Inclusive Per Diem Rate (G)	Firm All-Inclusive Per Diem Rate (H)	Firm All-Inclusive Per Diem Rate (I)	Firm All-Inclusive Per Diem Rate (J)	Firm All-Inclusive Per Diem Rate (K)	Firm All-Inclusive Per Diem Rate (L)	Sum of Columns C to K divided by 9 (M)
1		$______	$______	$______	$______	$______	$______	$______	$______	$______	$______	$______
2		$______	$______	$______	$______	$______	$______	$______	$______	$______	$______	$______
3		$______	$______	$______	$______	$______	$______	$______	$______	$______	$______	$______
4		$______	$______	$______	$______	$______	$______	$______	$______	$______	$______	$______
5		$______	$______	$______	$______	$______	$______	$______	$______	$______	$______	$______
Total Evaluated Bid Price = (Sum of Column M divided by total number of Resources) * 100 = C6 (Applicable Taxes Excluded):												$______

Note: Bidders to enter per diem rate for each category and period.

Note: For evaluation purposes, 100 represents the estimated Level of Effort.

(b) **Optional Training Services**

(i) The Bidder must identify as-and-when requested Training Services per diem rates below. This following table is for the Bidder to input their per-diem rates for each resource as per article 4.2. Statement of Work.

(ii) The Bidder must provide a description of the Training Services listed in Table 7.

(iii) For purposes of evaluation, the average of all per diem rates submitted by a Bidder will be calculated by the sum of all per diems divided by the total number of proposed training service resources.

PRICING TABLE 7 (PT7)												
OPTIONAL ADDITIONAL Training – via Task Authorizations Firm all-inclusive per diem rates (CDN $) for Optional Additional Training to be provided on an as-and-when requested basis described in Annex A –Statement of Work and in accordance with the Task Authorization Process:												
Item #	**Resource Category**	**Initial Contract Period**	**Option Period 1**	**Option Period 2**	**Option Period 3**	**Option Period 4**	**Option Period 5**	**Option Period 6**	**Option Period 7**	**Option Period 8**	**Option Period 9**	**Average Per Diem Rate**
(A)	**(B)**	**Firm All-Inclusive Per Diem Rate (C)**	**Firm All-Inclusive Per Diem Rate (D)**	**Firm All-Inclusive Per Diem Rate (E)**	**Firm All-Inclusive Per Diem Rate (F)**	**Firm All-Inclusive Per Diem Rate (G)**	**Firm All-Inclusive Per Diem Rate (H)**	**Firm All-Inclusive Per Diem Rate (I)**	**Firm All-Inclusive Per Diem Rate (J)**	**Firm All-Inclusive Per Diem Rate (K)**	**Firm All-Inclusive Per Diem Rate (L)**	**Sum of Columns C to K divided by 9 (M)**
1	**General**	$______	$______	$______	$______	$______	$______	$______	$______	$______	$______	$______
2	**Administrator**	$______	$______	$______	$______	$______	$______	$______	$______	$______	$______	$______
Total Evaluated Bid Price = (Sum of Column M divided by total number of Resources) * 100 = C7 **(Applicable Taxes Excluded):**												$______
Note: Bidders to enter per diem rate for each category and period.												
Note: For evaluation purposes, 100 represents the estimated Level of Effort.												

Table: Schedule of milestone Payments

Milestone #	Description of Deliverable	Delivery Date	% of Total Contract Price
1.	**Initial Meeting**		
	Complete the following administrative task: • 1 Phase 2 - Full Solution Kick-off Meeting as described in section 3.2 c, i	1 week from award date of Contract Amendment to Exercise Phase 2 Work Option	**0%**
2.	**Monthly Progress Updates**		
	Deliver the following: • Contractor Engagement and Progress Update Sessions, including Progress Reports, digital copy as described in section 3.2 c iii) (G)	Monthly after award date of Contract Amendment to Exercise Phase 2 Work Option	**0%**
3.	**Solution Planning Phase**		
	Deliver the following administrative items: • 1 approved Project Implementation Plan, digital copy as described in section 3.2 c ii) (A) 3) • 1 approved Project Schedule, digital copy as described in section 3.2 c ii) (A) 3) II • 1 approved Risk Registry, digital copy as described in section 3.2 c iii) (C) • 1 approved Project Status Reporting Plan, digital copy as described in section 3.2 c ii) (B)	3 weeks from award date of Contract Amendment to Exercise Phase 2 Work Option	**0%**
4.	**Portal Prototype Demonstration**		
	Deliver the following non-administrative item: • 1 Prototype On Portal Staged Demonstration as described in section 3.2 c ii) (A) 4)	As depicted in the approved Project Schedule	**10%**
5.	**Solution Preliminary Execution Phase**		
	Deliver the following administrative items: • 1 approved Solution Testing and Quality Management Plan, digital copy as described in section 3.2 c ii) (I) • 1 approved Business Intelligence Plan as described in section 3.2 c ii) (J) • 1 Final Technical Infrastructure Design, digital copy as described in section 3.2 c ii) (C) • 1 approved System Security Plan, digital copy as described in section 3.2 c ii) (D)	As depicted in the approved Project Schedule	**0%**
6.	**Solution Execution Phase 1**		
	Deliver the following non-administrative item: • 1 Full Solution Staged Demonstration Stage 1 as described in section 3.2 c ii) (A) 5) I	As depicted in the approved Project Schedule	**10%**

Milestone #	Description of Deliverable	Delivery Date	% of Total Contract Price
	Deliver the following administrative items: • 1 approved Solution Test Report (for Full Solution Staged Demonstration Stage 1), digital copy as described in section 3.2 c ii) (I) 8) • 1 approved Requirements Compliance Document (for Full Solution Staged Demonstration Stage 1), digital copy as described in section 3.2 c iii) (A)	As depicted in the approved Project Schedule	**0%**
7.	**Solution Execution Phase 2**		
	Deliver the following non-administrative item: • 1 Full Solution Staged Demonstration Stage 2 as described in section 3.2 c ii) (A) 5) II	As depicted in the approved Project Schedule	**10%**
	Deliver the following administrative items: • 1 approved Solution Test Report (for Full Solution Staged Demonstration Stage 2), digital copy as described in section 3.2 c ii) (I) 8) • 1 approved Requirements Compliance Document (for Full Solution Staged Demonstration Stage 2), digital copy as described in section 3.2 c iii) (A)	As depicted in the approved Project Schedule	**0%**
8.	**Solution Execution Phase 3**		
	Deliver the following non-administrative item: • 1 Full Solution Staged Demonstration Stage 3 as described in section 3.2 c ii) (A) 5) III	As depicted in the approved Project Schedule	**10%**
	Deliver the following administrative items: • 1 approved Solution Test Report (for Full Solution Staged Demonstration Stage 3), digital copy as described in section 3.2 c ii) (I) 8) • 1 approved Requirements Compliance Document (for Full Solution Staged Demonstration Stage 3), digital copy as described in section 3.2 c iii) (A)	As depicted in the approved Project Schedule	**0%**
9.	**Solution Execution Phase 4**		
	Deliver the following non-administrative item: • 1 Full Solution Staged Demonstration Stage 4 as described in section 3.2 c ii) (A) 5) IV	As depicted in the approved Project Schedule	**10%**
	Deliver the following administrative items: • 1 approved Solution Test Report (for Full Solution Staged Demonstration Stage 4), digital copy as described in section 3.2 c ii) (I) 8) • 1 approved Requirements Compliance Document (for Full Solution Staged Demonstration Stage 4) digital copy as described in section 3.2 c iii) (A)	As depicted in the approved Project Schedule	**0%**
10.	**Solution Execution Phase 5**		
	Deliver the following non-administrative item: • 1 Full Solution Staged Demonstration Stage 5 as described in section 3.2 c ii) (A) 5) V	As depicted in the approved Project Schedule	**10%**

Milestone #	Description of Deliverable	Delivery Date	% of Total Contract Price
	Deliver the following administrative items: • 1 approved Solution Test Report (for Full Solution Staged Demonstration Stage 5), digital copy as described in section 3.2 c ii) (I) 8) • 1 approved Requirements Compliance Document (for Full Solution Staged Demonstration Stage 5), digital copy as described in section 3.2 c iii) (A) • 1 approved Deployment Plan, digital copy as described in section 3.2 c ii) (F) • 1 approved Data Migration Plan, digital copy as described in section 3.2 c ii) (E) • 1 approved Training Plan, digital copy as described in section 3.2 c ii) (K)	As depicted in the approved Project Schedule	**0%**
11.	**Solution Training Phase**		
	Deliver the following non-administrative item: • 1 approved Solution Administrator Training as described in section 3.2 c v)	As depicted in the approved Project Schedule	**5%**
	Deliver the following administrative item: • 1 approved Training Materials, digital copy as described in section 3.2 c iii) (E)	As depicted in the approved Project Schedule	**0%**
12.	**Solution Delivery**		
	Deliver the following non-administrative items: • 1 approved Data Migration as described in section 3.2 c iv) • Approved Full Solution Delivery – Go live in production environment	As depicted in the approved Project Schedule	**5%**
	Deliver the following administrative items: • 1 approved Maintenance and Support Plan, digital copy as described in section 3.2 c ii) (G) • 1 approved Solution Support Documentation, digital copy as described in section 3.2 c iii) (D) • 1 approved Backup and Disaster Recovery Plan, digital copy as described in section 3.2 c ii) (H) • 1 approved Exit Strategy, digital copy as described in section 3.2 c iii) (B)	As depicted in the approved Project Schedule	**0%**
13.	**Solution Acceptance**		
	Deliver the following administrative item: • 1 approved Project Closeout Report, digital copy as described in section 3.2 c iii) (F)	As depicted in the approved Project Schedule	**0%**
	Deliver the following: • Reach acceptance of the Solution in accordance with Article 7.25 entitled Inspection and Acceptance in the RFP	As depicted in the approved Project Schedule	**30%**

Note:

The payment schedule is based on approval of milestones reached throughout the contract, as outlined in the table below.

All deliverables described herein must be accounted for in the milestones; however, precise milestone details may be subject to negotiation prior to inclusion in the final project plan.

All references are to Appendix A of the SOW.

PRICING TABLE 8 (PT8)		
CALCULATION OF TOTAL BID PRICE		
Item # (A)	**DESCRIPTION (B)**	**All-Inclusive Lot Price (C)**
1	Table 1- PROTOTYPE SOLUTION (PS) FOR CAPABILITY AND USABILITY ASSESSMENT (CUA)	$______________
2	Table 2- IMPLEMENTATION OF SOLUTION IN A HC ENVIRONMENT	$______________
3	Table 3- GRANT FOR ADDITIONAL USER LICENSES DURING IMPLEMENTATION PERIOD	$______________
4	Table 4- OPTIONAL GRANT FOR ADDITIONAL USER LICENSES (if applicable)	$______________
5	Table 5- SOLUTION MAINTENANCE AND SUPPORT SERVICES	$______________
6	Table 6- PROFESSIONAL SERVICES – via Task Authorizations	$______________
7	Table 7 - PROFESSIONAL SERVICES For Training – via Task Authorizations	
	TOTAL FOR EVALUATION PURPOSES (Sum of C1-C7, Items 1-7) **(Applicable Taxes Excluded)**	$______________

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 Users to use the Prototype Solution for Capability and Usability Assessment purposes during the initial contract period. These designated hands-on capability/usability assessments 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 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 graphical user interface (GUI) 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	1200Points	45%
Establishment Profile (225 Points)		
Compliance and Enforcement (C&E) Activity (905 Points)		
Electronic Data Submission (50 Points)		
Pre-defined Reporting and Templates (20 Points)		
Part 2: General Specifications Assessment	250 Points	9%
Part 3: Work Plan/Workload Assessment	50 Points	2%
Part 4: User Interface and Usability Assessment	640 Points	24%
Part 5: Search Assessment	160 Points	6%
Part 6: User Account Administration Assessment	150 Points	6%
Part 7: System Usability Scale Assessment	200 Points	8%
TOTAL CUA Score:	**2650 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 technical merit, price, and CUA.

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

Assessment	Weighting
Technical Evaluation Score	10%
Financial Evaluation Score	20%
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, at its discretion, will 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
<u>**LEGEND**</u> **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 include: a. Establishment Profile b. Compliance and Enforcement (C&E) Activity c. Electronic Data Submission d. 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 have the functionality for 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 have the functionality:				
1.	**Create New Establishment Profile** To provide a new establishment "tabbed pane" for the User to create a new establishment profile record and enter all information relating to the new establishment (as described in Part 4: User Interface and Usability Assessment, Indicator 35).	☐			☐
2.	**Workflow Steps to Create a New Establishment Profile record** To move the User through the following establishment business process workflow steps to create a new establishment profile record: a. Enter establishment information for the fields in the Establishment field set and related fields, including all mandatory information. b. Existing Establishment Verification that the mandatory establishment profile data is not the same as an existing establishment profile data. c. 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 to 12 below:	**Did Not Demonstrate (0)**	**Partially Demonstrated (1)**	**Mostly Demonstrated (3)**	**Fully Demonstrated (5)**
3.	**Establishment Information Component** To provide an Establishment Information component of the Establishment "tabbed pane" for the User to enter, update, and view all data (as described in Part 4: User Interface and Usability Assessment, Indicator 36.	☐			☐
4.	**New Establishment Information** To prevent the User from entering additional establishment information for a physical address until the Existing Establishment Verification has been completed.	☐			☐
5.	**Existing Establishment Verification** For the User to perform a search on the existing establishments profiles to verify the uniqueness of the new establishment profile.	☐			☐
6.	**Establishment Verification – Next Components** To provide the following components of the Establishment "tabbed pane" for the User to enter, update, and view all data when the establishment has been verified as unique (as described in Part 4: User Interface and Usability Assessment, Indicator 35): a. Concerns and Issues (as described in Part 4: User Interface and Usability Assessment, Indicator 37). b. Contacts (as described in Part 4: User Interface and Usability Assessment, Indicator 38). c. Associated Activities (as described in Part 4: User Interface and Usability Assessment, Indicator 39). d. Comments (as described in Part 4: User Interface and Usability Assessment, Indicator 40).	☐			☐
7.	**Associate an Establishment** For the User to associate (link) an existing establishment to the selected establishment.	☐			☐
8.	**Remove Associated Establishment** For the User to remove an associated (linked) establishment from the selected establishment.	☐			☐
9.	**Concerns and Issues Component** For the User to enter concerns and issues information for the establishment.	☐			☐
10.	**Contacts Component** For the User to enter contact information for the establishment.	☐			☐
11.	**Comments Component** For the User to enter comments concerning the establishment.	☐			☐

12.	**Establishment Create/Update Reason** For the User to perform the following actions when prompted by the Prototype Solution: a. Select the value “New Establishment” for *Reason for Establishment Create/Update.* b. Enter the *Background* value (description of reason). c. Confirm the establishment profile information is complete.	☐			☐
	Score for Indicators 3 to 12:				**/50**
	Scoring for indicator 13 below:	**Did Not Demonstrate (0)**	**Partially Demonstrated (10)**	**Mostly Demonstrated (30)**	**Fully Demonstrated (50)**
13.	**Create New Activity Associated with New Establishment Profile** To provide an activity “tabbed pane” for the User to enter all information relating to a new activity record when a new establishment profile is confirmed as complete (as described in Part 4: User Interface and Usability Assessment, Indicator 43).	☐			☐
	Score for Indicator 13:				**/50**
	Scoring for indicators 14 to 16 below:	**Did Not Demonstrate (0)**	**Partially Demonstrated (1)**	**Mostly Demonstrated (3)**	**Fully Demonstrated (5)**
14.	**Populate New Activity with Default Values** To populate the following fields in the new activity record with the following values: a. *Activity Reason Type* to “Scheduled: Workplan”; b. *Activity Type* to “Inspection”; c. *Priority* to “Normal”.	☐			☐
15.	**Associate New Activity with New Establishment Profile** To associate the new activity record with the new establishment profile.	☐			☐
16.	**Establishment Comments** To copy values entered into the *Establishment Comments* field during the creation of a new establishment profile record into the *Activity Comments History* field upon the creation of the new activity.	☐			☐
	Score for Indicators 14 to 16				**/15**
	Scenario 1. Create Establishment Profile Total Score:				**/215**

Scenario 2. Update Establishment Profile

<u>SCENARIO #2 – Update Establishment Profile</u> **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 have the functionality for 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 have the functionality:				
1.	**Update Establishment Profile** For the User to update an existing establishment profile record (as assessed in Scenario 2, Indicators 5 to 8, below).				
2.	**Perform a Pre-defined Establishment Profile Search** For the User to perform a pre-defined Establishment Profile Search (as assessed in Part 1: Capability Scenarios Assessment, Scenario 3, Indicator 1).				
3.	**Select an Existing Establishment** For the User to select an establishment from the pre-defined Establishment Profile Search results list (as assessed in Part 1: Capability Scenarios Assessment, Scenario 3, Indicator 2).				
4.	**Update Establishment Profile Information** For the User to update establishment profile information (as assessed in Part 1: Capability Scenarios Assessment, Establishment Profile, Scenario 1, Indicators 3 to 11).				
5.	**Create/Update Establishment Reason** For the User to perform the following actions when prompted by the Prototype Solution: a. Select the value "Update of Establishment Profile" for *Reason for Establishment Create/Update* b. Enter background text. c. Confirm the updated establishment profile information is complete.	☐	☐	☐	☐
6.	**Create New Activity to be Associated with Updated Establishment Profile** To provide an activity "tabbed pane" for the User to enter all information relating to a new activity record when an updated establishment profile is confirmed as complete (as assessed in Part 1: Capability Scenarios Assessment, Scenario 1, Indicator 13).				
7.	**Populate New Activity with Default Values** To populate the following fields in the new activity record with the following values as follows: a. *Activity Reason Type* to "Unscheduled: Update of Establishment Profile"; b. *Activity Type* to "Inspection"; c. *Priority* to "Normal".	☐	☐	☐	☐

8.	**Associate New Activity with Updated Establishment Profile** To associate the new activity record with the updated establishment profile (as assessed in Part 1: Capability Scenarios Assessment, Scenario 1, Indicator 15).				
	Scenario 2. Update Establishment Total Score:	**/10**			

Establishment Profile: Scenarios 1 and 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 have the functionality for 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 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 have the functionality for 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 for the User to:				
1.	**Perform a Pre-defined Establishment Profile Search** For the User to perform a pre-defined Establishment Profile Search (as described in Part 5: Search Assessment, Indicator 2. Establishment Profile Search), to find an establishment that matches the following criteria to connect to a new activity: a. An *Establishment Status* value of "Active"; b. An *Establishment Type* value of "Retailer"; c. An *Establishment Subtype* value of "Convenience Store".	☐			☐
2.	**Select an Existing Establishment** For the User to: a. Select an establishment from the pre-defined Establishment Profile Search results list to connect with a new activity (as described in Part 4: User Interface and Usability Assessment, Indicator 29) b. To add the new activity to the User's Workload Overview (dashboard).	☐			☐
3.	**Create New Activity Associated with an Existing Establishment** To provide an activity "tabbed pane" for the User to enter all information relating to a new activity record associated with an existing establishment with an *Establishment Status* value				

	of "Active" (as assessed in Part 1: Capability Scenarios Assessment, Scenario 1, Indicator 13).				
4.	**General Information Component** To provide a General Information component of the Activity "tabbed pane" for the User to enter, update, and view all data (as described in Part 4: User Interface and Usability Assessment, Indicator 44).	☐			☐
	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.	**Workflow Steps to Enter New Activity Information** To move the User through the following activity workflow steps to enter information for new activity: a. View detailed profile information for the selected establishment (Scenario 3, Indicator 6). b. Update concerns and issues (Scenario 3, Indicator 7). c. Update establishment contact information (Scenario 3, Indicator 8). d. Confirm the review of establishment information is complete (Scenario 3, Indicator 9 and 10). e. View detailed information about an establishment associated with the selected establishment (if any) (Scenario 3, Indicator 11). f. View detailed information about an activity connected to the selected establishment (if any) (Scenario 3, Indicator 12). g. Confirm the review of the associated establishments and the review of the establishment activity history information is complete (Scenario 3, Indicator 13). h. Enter activity information into the Core Information and remaining field sets (Scenario 3, Indicator 15). i. Confirm the activity information is complete (Scenario 3, 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 to 17 below:	**Did Not Demonstrate (0)**	**Partially Demonstrated (1)**	**Mostly Demonstrated (3)**	**Fully Demonstrated (5)**
6.	**View Entire Establishment Profile from Activity General Information** For the User to view from the Establishment field set the entire profile information for the selected establishment (as described in Part 4: User Interface and Usability Assessment, Indicator 44).	☐			☐

7.	**Update the Concerns and Issues** For the User to update the concerns and issues connected with the selected establishment profile in the Establishment field set in the General Information component (as described in Part 4: User Interface and Usability Assessment, Indicator 38).	☐			☐
8.	**Update Contact Information** For the User to update contact information connected with the selected establishment profile, in the Establishment Contacts field set in the General Information component (as described in Part 4: User Interface and Usability Assessment, Indicator 39).	☐			☐
9.	**Confirm Review of Establishment and Establishment Contacts** To require the User to confirm the review of the selected establishment and establishment contacts information is complete in the General Information component.	☐			☐
10.	**Enable Associated Establishments and other Activities Field Sets** For the User to view the following information in the Associated Establishments field set and in the Other Activities for this Establishment field set in the General Information component (as described in Part 4: User Interface and Usability Assessment, Indicator 44), when the review of the establishment and establishment contacts information has been confirmed as complete by the User: a. All establishments associated with the selected establishment, if any. b. All activities connected 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** For the User to select and view, in the Associated Establishments field set in the General Information component, information about an establishment associated with the selected establishment, if any (as described in Part 4: User Interface and Usability Assessment, Indicator 44).	☐			☐
12.	**Other Activities for this Establishment Field Set** For the User to select and view, in the Other Activities for this Establishment field set in the General Information component, information about an activity connected to the selected establishment, if any (as described in Part 4: User Interface and Usability Assessment, Indicator 44).	☐			☐
13.	**Confirm Review of Information** To limit the User from moving to the next workflow step until the User confirms the review of the information in the Associated Establishments and the Other Activities for this Establishment field sets in the General Information component is complete.	☐			☐
14.	**Activity Related Information Field Sets** For the User to input and view the following activity related information field sets and fields in the General Information component, when the review of the information in the Associated Establishments field set and in the Other	☐	☐	☐	☐

	Activities for this Establishment field set has been confirmed as complete by the User (as described in Part 4: User Interface and Usability Assessment, Indicator 44): a. Core Information: i. *Activity Reason Type;* ii. *Activity Type;* iii. *Priority.* b. Activity Timeline: i. *Proposed Start Date;* ii. *Bring Forward Date.* c. Sent To History (viewing only); d. Online Presence; e. Links; f. 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.	**Enter Activity Information** For the User to enter the following activity values into the following field sets and fields in the General Information component: a. Core Information: i. *Activity Reason Type: “Scheduled: Workplan”* (required); ii. *Activity Type*: “Inspection” (required). b. Activity Timeline: i. *Proposed Start Date*: [any date value] (required). c. Online Presence; d. Links; e. 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** To limit the User from moving to the next workflow step until the User confirms 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** To perform the following actions when the information in the General Information component of the new activity has been confirmed by the User and successfully verified as complete: a. Set the following fields to the following values: i. *Activity Status value to “Planning in Progress”;* ii. *Activity Plan Status Type value to “Draft Plan”;* iii. *Priority* value to “Normal”. b. Set the mandatory field values to read-only; c. Add the new activity to the User’s “Activities” list in the My Workload field set of the Workload Overview (dashboard);	☐	☐	☐	☐

	d. Enable for input and viewing the following components of the Activity "tabbed pane": *i. Scope Plan;* ii. *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**			
	Scenario 3. Create and Initialize a New Activity Total Score:	**/125**			

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

Indicator #	Indicators	Did Not Demonstrate (0)	Partially Demonstrated (1)	Mostly Demonstrated (3)	Fully Demonstrated (5)
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 have the functionality for 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					
	The Prototype Solution should have the functionality for the User to:				
1.	**Scope Plan Component** To provide a Scope Plan component of the Activity "tabbed pane" for the User to enter, update, and view all data (as described in Part 4: User Interface and Usability Assessment, Indicator 45).				
2.	**Activity Scope Plan Type** For the User to select an *Activity Scope Plan Type* value of "General" in the Scope Plan component to create a scope plan.	☐			☐
3.	**Legislative Section/Subsection** To display in the Activity Scope Details field set the *Legislative Section/Subsection* values depending on values previously populated in the following activity field values when the User selects an *Activity Scope Plan Type* value of "General": 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** To set all *Legislative Section/Subsection* value(s) associated with the selected *Activity Scope Plan Type* value to a “selected” state when the *Activity Type* value is “Inspection” and the *Activity Scope Plan Type* value is “General”.	☐			☐
5.	**Select /De-select Legislative Section/Subsection** For the User to select and de-select any available *Legislative Section/Subsection* values 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** To verify a minimum of one *Legislative Section/Subsection* value has been selected before the User can confirm the Scope Plan is complete.	☐			☐
7.	**Confirm Scope Plan as Complete** To limit the User from moving to the next workflow step until the User confirms the information in the Scope Plan component is complete.	☐			☐
8.	**Set Values and Enable Next Components in Workflow** To perform the following actions when the information in the Scope Plan component has been confirmed by the User, and successfully validated and verified as complete: a. Set the *Activity Status* value to “Pending Compliance”; b. Set the *Activity Plan Status Type* value to “Approved”; c. Set all Scope Plan field values to read-only; d. Enable for input and viewing the Compliance Assessment component of the Activity “tabbed pane” and the fields 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*	☐	☐	☐	☐
	Scenario 4. 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 have the functionality for 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:				
1.	**Compliance Assessment Component** To provide the following field sets for the User to enter, update, and view all data in the Compliance Assessment component of the Activity "tabbed pane" (as described in Part 4: User Interface and Usability Assessment, Indicator 46): a. Establishment Location Verification; b. 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** To move the User 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 49): a. Verify establishment location (Scenario 5, Indicators 3 and 4). b. Confirm establishment location verification is complete (Scenario 5, Indicator 5). c. Document person spoken to (Scenario 5, Indicator 7). d. 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 to 9 below:	**Did Not Demonstrate (0)**	**Partially Demonstrated (1)**	**Mostly Demonstrated (3)**	**Fully Demonstrated (5)**
3.	**Compliance Assessment Component - Establishment Location** For the User to 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 49).	☐			☐

4.	**Compliance Assessment Component – Actual Date and Time** For the User to 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** To limit the User from moving to the next workflow step until the User confirms when finished entering information in the Establishment Location Verification field set in the Compliance Assessment component.	☐			☐
6.	**Establishment Location Verification - Confirm location is verified** To perform the following actions: a. Set all field values in the Establishment Location Verification field set to read-only. b. Set the following fields to the following values: i. *Activity Status* value to “Compliance In Progress”; ii. *Activity Plan Status Type* value to “Approved”. c. Enable for input and viewing the following field sets and fields of the Compliance Assessment component: i. Person Spoken To; ii. Add Person Spoken To; iii. *Establishment Profile Verified* (field). When the entry of information in the Establishment Location Verification field set of the Compliance Assessment component is confirmed as complete by the User and the *Activity Establishment Verification Code* value has been set to “Establishment Verified at Specified Location”. ***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** For the User 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 50): a. Select a minimum of one person spoken to as the contact; b. 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** To limit the User from moving to the next workflow step in the Compliance Assessment component until the User confirms the establishment profile information has been verified and updated.	☐			☐

9.	**Set Values and Enable Next Field Sets in Workflow** To input, update, and view the following field sets in the Compliance Assessment component, (as described in Part 4: User Interface and Usability Assessment, Indicator 46) when the establishment profile information is confirmed as verified by the User: a. Compliance Results; b. Artifacts Summary; c. Responsible Party Summary.	☐			☐
	Score for Indicators 3 to 9:				**/35**
	Scenario 5. 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 have the functionality for 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:				
1.	**Compliance Results Field Set** To provide a Compliance Assessment component of the Activity "tabbed pane" for the User to enter, update, and view compliance results information (as described in Part 4: User Interface and Usability Assessment, Indicator 51).				
2.	**Populate Compliance Results Field Set** To populate the *Legislation* field 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** To move the User through the following workflow steps to document the Compliance Assessment and Analysis Portion of compliance assessment: a. Document compliance assessment results by legislative section/subsection: i. Document Artifact Collection (Scenario 6, Indicator 10). ii. Document Artifact Analysis results for each legislative section/subsection for the artifact (Scenario 6, Indicator 11 and 12).	☐	☐	☐	☐

	iii. Document the responsible party for each non-compliant legislative section/subsection in the artifact analysis (Scenario 6, Indicator 13). iv. Document Linked files (Scenario 6, Indicator 14). b. Update Compliance Result data set. (Scenario 6, Indicator 4, 5, and 6). c. View and update details of an artifact from the Artifacts Summary field set. (Scenario 6, Indicators 17, 18 and 19). d. View and update details of a responsible party from the Responsible Party Summary field set. (Scenario 6, Indicators 20, 21 and 22). e. 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 to 3:				**/100**
	Scoring for Indicator 4 to 24 below:	**Did Not Demonstrate (0)**	**Partially Demonstrated (1)**	**Mostly Demonstrated (3)**	**Fully Demonstrated (5)**
4.	**Legislation Section Compliance Outcome** For the User to select one of the following *Legislation Section Compliance Outcome* values for a *Legislative Section/Subsection* value listed in the Compliance Results field set where compliance analysis is not required: a. “Not Inspected”; b. “Not Applicable”.	☐			☐
5.	**Artifact Analysis Type** For the User to select the *Artifact Analysis Type* value of “Observation” for a *Legislative Section/Subsection* value when compliance assessment is required for a *Legislative Section/Subsection* value listed in the Compliance Results field set.	☐			☐
6.	**Add an Artifact** For the User to select to add an artifact for the *Legislative Section/Subsection* value that has the *Artifact Analysis Type* value of “Observation”.	☐			☐
7.	**Legislation Section Compliance Outcome Read-only** To set the *Legislation Section Compliance Outcome* value for the *Legislative Section/Subsection* value in the Compliance Results field set as read-only when an artifact has been added.	☐			☐
8.	**Artifact “Tabbed pane”** To provide an Artifact “tabbed pane” for the selected *Artifact Analysis Type* value for the User to enter, update, and view	☐			☐

	all data (as described in Part 4: User Interface and Usability Assessment, Indicator 52).				
9.	**Artifact “Tabbed pane” Header Information** To populate the following artifact field values in the header field set of the Artifact “tabbed pane” (as described in Part 4: User Interface and Usability Assessment, Indicator 53): a. *Establishment Name* value is “[*Establishment Name* value for the activity]”. b. *Artifact Id* value is “[system generated by concatenating system generated number + Legislation number + number of artifact for this Legislative section/subsection, starting at the number 1]”. c. *Legislation Section/Subsection* value is “[value previously selected in the Compliance Assessment field set for which the artifact is being assessed]*”.* d. *Artifact Analysis Type* is “[value previously selected by the User 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 the User to enter the following artifact collection information values for the following fields in the Collection component of the Artifact “tabbed pane” (as described in Part 4: User Interface and Usability Assessment, Indicator 54) when the *Artifact Analysis Type* value is “Observation”: a. *Artifact Id:* “1”; b. *Description:* “[any text]”; c. *Observed By*: “[accept the default value of the User’s name]”; d. *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** For the User to select the *Overall Artifact Compliance Assessment Outcome* value for the artifact when the artifact is assessed against only one *Legislative Section/S/subsection* value,	☐			☐
12.	**Artifact “Tabbed pane”: Analysis Component** For the User to enter the following artifact analysis information values for the fields in the Analysis component of the Artifact “tabbed pane” (as described in Part 4: User Interface and Usability Assessment, Indicator 55), when the *Artifact Analysis Type* value is “Observation”: a. *Analysis Comments*: [any text]; b. *Overall Artifact Compliance Outcome*: “Non-Compliance”; c. *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*** For the User to select a *Full Name* value name from the list of contacts associated with the establishment profile as the *Responsible Party* for each *Legislative Section/Subsection* value listed in the Analysis component where non-compliant is indicated.	☐			☐
14.	**Artifact "Tabbed pane": Links Component** For the User to enter the following linked document information values for the fields in the Linked component of the artifact (as described in Part 4: User Interface and Usability Assessment, Indicator 56): a. *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. b. *File name*: [any document file name], name of the document being linked; c. *Description*: [description of the linked document]; d. *Linked By*: [defaults to User name], the name of the User who linked the file; e. *Link*ed *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** To derive and display in the Compliance Results field set the *Legislation Section Compliance Outcome* value for each *Legislative Section/Subsection* value derived from the *Overall Artifact Compliance Outcome* value of each artifact added to the legislative section/subsection, as follows: a. If the *Overall Artifact Compliance Outcome* value for any artifact is "Non-Compliance", the *Legislation Section Compliance Outcome* value for the *Legislative Section/Subsection* value is derived as "Non-Compliance". b. 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* value is derived as "No Evidence of Non-Compliance". c. If the *Overall Artifact Compliance Outcome* value for all artifacts is "Not Applicable", the *Legislation Section Compliance Outcome* value for the *Legislative Section/Subsection* value is derived as "Not Applicable".	☐			☐

	d. If the *Overall Artifact Compliance Outcome* value for all artifacts is “Not Inspected”, the *Legislation Section Compliance Outcome* value for the *Legislative Section/Subsection* value 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** To display the value for the total number of artifacts added to each legislative section/subsection in the Compliance Results field set.	☐			☐
17.	**Artifact Summary** To 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 57).	☐			☐
18.	**Update an Artifact** For the User to select and update a previously documented artifact from the Artifacts Summary field set.	☐			☐
19.	**Delete an Artifact** For the User to select and delete a previously documented artifact and all related artifact information from the Artifacts Summary field set.	☐			☐
20.	**Responsible Party Summary** To 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 58).	☐			☐
21.	**Update Responsible Party** For the User to select, update, and view a previously documented Responsible Party from the Responsible Party Summary field set.	☐			☐
22.	**Delete Responsible Party** For the User to 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** To require the User to confirm the information in the Compliance Assessment component is complete after the following conditions have been met: a. Each legislative section/subsection has a *Legislative Compliance Outcome* value indicated in the Compliance Result field set. b. For each artifact: i. All required artifact information has been completed. ii. An *Overall Artifact Compliance Outcome* value has been selected. iii. 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** To perform the following actions: a. Set the following fields to the following values: i. *Activity Status* value to "Enforcement Action Plan Required"; ii. *Compliance Assessment Completion Date* value to the system date value; iii. *Compliance Assessment Completion Time* value to the system time *value* b. Set all fields to read-only. c. Enable for input and viewing the Enforcement Action component of the Activity "tabbed pane. When the information in the Compliance Assessment component is confirmed by the User, and successfully validated and verified as complete, and there is a *Legislative Section/Subsection* value with a *Legislation Section Compliance Outcome* value of one of the following: a. "Non-Compliance"; b. "Non-Compliance – Minor"; c. "Non-Compliance – Major". ***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 to 24:				**/105**
	Scenario 6. Document Compliance Assessment and Analysis Total Score:				**/205**

Scenario 7. C&E Activity - Document Enforcement Actions

<u>SCENARIO #7 - C&E Activity - Document Enforcement Actions</u> **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 have the functionality for 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:				

1.	**Enforcement Actions Component** To provide an Enforcement Actions component of the Activity “tabbed pane” (as described in Part 4: User Interface and Usability Assessment, Indicator 47) for the User to enter, update, and view the following enforcement action information: a. Data in the Recommended Enforcement Action field set. b. Data in the following enforcement action field sets for the following *Enforcement Action Type* values selected in the Recommended Enforcement Action field set: i. Warning Letter; ii. Warning Letter Links.				
2.	**Recommended Enforcement Action** To display “Warning Letter” as the *Enforcement Action Type* value in the Recommended Enforcement Action field set for each legislative section/subsection with a *Legislation Section Compliance Outcome* value of any of the following: a. “Non-Compliance”; b. “Non-Compliance-Minor”; c. “Non-Compliance-Major”.	☐			☐
3.	**Enforcement Action Plan** For the User to select the *Enforcement Action Type* value for each responsible party and *Legislative Section/Subsection* value where non-compliance is indicated.	☐			☐
4.	**Standard Letter Generation from a Template: Warning Letter** To populate the information in a letter template to generate a letter. When the User selects “Warning Letter” as the *Enforcement Action Type* value, the Prototype Solution should perform the following actions to generate a warning letter: a. Use fields, with the applicable options, that can be selected and pre-populated. For example: i. Name, Address, and contact information of the regulated party or establishment; ii. *Legislative Sections/Subsections* values associated with the non-compliance. b. Use applicable standard text. For example: i. text informing the regulated party there are non-compliances ii. 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** For the User to perform the following actions on documents generated from templates: a. Save the warning letter document to the HC approved repository; b. 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** To ensure the following conditions have been completed for each *Legislative Section/Subsection* value where non-compliance is indicated before the Enforcement Action component can be confirmed as complete: a. A responsible party is assigned; b. An enforcement action is selected; c. 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** To perform the following actions: a. set the *Activity Status* value to "Pending Closure" b. set all the values in the Enforcement Action field set to read-only when the information in the Enforcement Action component is: a. confirmed by the User b. successfully validated and verified as complete ***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*	☐	☐		☐
Scenario 7. 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 have the functionality for 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 :				
1.	**Link/Close Component** To provide a Link/Close component of the Activity "tabbed pane", (as described in Part 4: User Interface and Usability Assessment, Indicator 48, and assessed in Part 1: Capability Scenarios Assessment, Scenario 3, Indicator 17) for the User to enter, update, and view all data at any time after the activity plan information in the General Information component has been confirmed as complete.				

2.	**Activity Workflow Step: Close Activity** For the User to close an activity with no linked activity in the Link/Close component by performing the following workflow steps: a. within the Recommended Next Steps field set: i. select “No linked activity required at this time” as the value for *Linked To* ii. select a value for *Activity Close Reason* iii. select “Yes” as the value for *Close Activity Now* b. 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** To require the User to confirm that the information in the activity is complete when the *Close Activity Now* value is “Yes”.	☐			☐
4.	**Activity Complete and Close** To perform the following actions in the specified order when the User confirms the information in the activity is complete: a. Set the *Activity Completed* value to “Yes”. b. Set the *Activity Close Date* value to the current system date value. c. Set the *Activity Status* value to “Closed”. d. Append the *Activity Close Reason* value and the *Activity Close Justification* value to the activity’s *Comments* value. e. Set all the activity field values to read-only to prevent further updating to the closed activity. f. Add the closed activity to the “Activities of Previous Interest” list in the User’s Workload Overview (dashboard) 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*	☐	☐	☐	☐
	Scenario 8. Close Activity Total Score:				**/15**

C&E Activity - Industry Reports - Overview

<u>C&E Activity - Industry Reports - Overview</u>
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

<u>SCENARIO #9 A - C&E Activity - Industry Report Section 11 - Create a new Activity for a Submitted Industry Report</u>
Context When an Industry Report for an establishment is successfully submitted to the Prototype Solution via XML as described in 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 provide the functionality:
1. To create a new activity when an Industry Report is submitted. 2. To perform the initial compliance assessment and analysis of the industry report data. 3. To document the outcomes/results of analysis performed on the Industry Report data information. 4. To document the *State of Compliance* and *Level of Compliance* of the industry Report data based on the relevant outcomes/results. 5. To add the activity to the workload of the *Designated 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:				
1.	**Create New Activity for a Submitted Industry Report Section 11** To create a new activity record connected to an existing active establishment for a submitted industry report (as described in Part 4: User Interface and Usability Assessment, Indicator 43, and assessed in Part 1: Capability Scenarios Assessment, Scenario 1, Indicator 13).				
2.	**Create New Activity Record Connected to Existing Active Establishment** To 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 Part 1: Scenario 14: 1. Create and populate a new activity record connected to an existing active establishment (as assessed in Scenario 9.A, Indicator 3, below). 2. Document initial compliance analysis and assessment results, (as assessed in Scenario 9.A, Indicators 4 to 14, below). **Score for this indicator will be based on the cumulative score of the indicators 3-14 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 3-14)*** ***10 Points Partially Demonstrated (Scored 1-59 points on indicators 3-14)*** ***30 Points Mostly Demonstrated (Scored 60-99 points on indicators 3-14)*** ***50 Points Fully Demonstrated (Scored 100 points on indicators 3-14)***	☐	☐	☐	☐
3.	**Create and Populate a New Activity Record Connected to Existing Active Establishment** To perform the following actions, when an industry report is received: 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. Provide a Product and Brands component of the Establishment “tabbed pane” (as described in Part 4: User Interface and Usability Assessment, Indicator 42) in which to enter, update, and view establishment product and brand information; 4. Populate the Product and Brand component with data found in the industry report; 5. Provide an Industry Reporting History component of the Establishment “tabbed pane”(as described in Part 4:	☐			☐

<table>
<tr><td></td><td>User Interface and Usability Assessment, Indicator 43),in which to enter, update, and view industry reporting history information;
6. Populate the Industry Reporting History;
7. Create an activity for the establishment connected to the industry report based on the industry report information values (for example, Report Section);
8. Set the value to indicate the review of establishment information is confirmed as complete;
9. Set the value to indicate the review of the associated establishments and the establishment activity history information is confirmed as complete;
10. Set the Activity Type value to “Inspection”;
11. Set the Activity Reason Type value to “Scheduled: Industry Report”;
12. Set the Proposed Start Date value to the Report Status Effective Date value;
13. Set the value to indicate the activity initialization information is confirmed as complete;
14. Set the mandatory field values to read-only
15. Set the Activity Scope Plan Type value to the Report Section Name value;
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 Activity Plan Status Type value to “Approved”;
19. Set all Scope Plan field 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 field values in the Establishment Location Verification field set to read-only;
24. Populate the Legislation field 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 field in the Compliance Results field set with the Legislative Section/Subsection values appropriate for the industry report Legislation section;
28. Populate the fields in the Artifacts Summary field set in the Compliance Assessment component with the Artifact Id and Legislation Section values.

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</td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="2">Score for Indicators 2 to 3:</td><td colspan="4">/100</td></tr>
<tr><td colspan="2">Scoring for Indicators 4 to 14 below:</td><td>Did Not Demonstrate (0)</td><td>Partially Demonstrated (1)</td><td>Mostly Demonstrated (3)</td><td>Fully Demonstrated (5)</td></tr>
<tr><td>4.</td><td>Industry Report Submission Data in Artifact</td><td>☐</td><td>☐</td><td></td><td>☐</td></tr>
</table>

	To populate the following industry report submission data in the Artifact Analysis component of the Artifact pane (as described in Part 4: User Interface and Usability Assessment, Indicator 63): a. *Establishment Name* (for the activity); b. *Artifact Id Number* (Prototype Solution generated by concatenating Prototype Solution generated number + Legislation number + number of artifact for this Legislative section/subsection, starting at the number 1); c. *Artifact Information* (Submitted industry report data). ***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** To perform Artifact Analysis against the appropriate legislation assessed by Indicators 6 to 13, below, in this scenario.				
6.	**Verify Submission Data and Populate Error Data** To verify the industry report artifact based on the *Legislative Section/Subsection* of the Industry Report and populate errors according to the legislated submission requirements, as follows: a. Identify information required in the submission but not provided; b. Incorrect unit of measures; c. Values outside of a range; d. 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 3 of the listed verifications are demonstrated* ***5 Points*** *if all of the listed verifications are demonstrated*	☐	☐	☐	☐
7.	**Perform Calculations** To perform calculations and set the non-compliance values for the legislative requirements as a read-only value, as follows: a. Sum the *Ingredient Amounts* for each brand, and compare it against any of the following: i. 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”. ii. the *Total Ingredient Amount.* If the sum does not equal the *Total Ingredient Amount,* the Solution flags this error and associates it with the *Legislative Section/Subsection* 11(1)(d) value as an additional “Non-Compliance” b. Sum the *Substance Amounts* for each ingredient and compare it against reported *Ingredient Amount* for each brand. If the sum is greater than ± a specified range of the *Ingredient Amount*, the Solution flags this error and	☐			☐

	sets the *Legislative Section/Subsection* 11(2) value to "Non-Compliance".				
8.	**Populate Error Display in Compliance Results field set** To display the following values in the Compliance Results field set (as described in Part 4: User Interface and Usability Assessment, Indicator 59): a. *Number of Errors* by *Legislative Section/Subsection* value; b. *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 Display Activity Compliance Outcome Value** To derive and populate, in the Compliance Summary field set, the *Activity Compliance Outcome* value for the activity by setting the *State of Compliance* and *Level of Compliance* values to one of the following values: a. "Non-Compliance-Minor" if the legislative sections/subsections found to be "Non-Compliance" were set to "Minor" Compliance Level in a specified number of instances. b. "Non-Compliance-Major" if the legislative sections/subsections found to be "Non-Compliance" had at least one where a "Major" Compliance Level was set. c. "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". d. "Not assessed" if all legislative sections/subsections were found to be "Not assessed". e. "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** To perform the following calculations: a. Calculate the total number of legislative sections/subsections with a *Legislation Section Compliance Outcome* value of "Non-Compliance-Minor". b. Calculate the total number of legislative sections/subsections with a *Legislation Section Compliance Outcome* value of "Non-Compliance-Major". c. Calculate the number of errors for legislative sections/subsections with a the *Legislation Section Compliance Outcome* value of "Non-Compliance-Minor". d. 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*	☐	☐	☐	☐

11.	**Non-compliances Summary** To display a summary table of non-compliances in the Compliance Summary field set in the following manner: a. The number of non-compliances by *Compliance Outcome Level*, Major and Minor; b. The number of errors by *Compliance Outcome Level*, Major and Minor; c. 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** To 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** To enable for input and viewing the Compliance Assessment component of the Activity "tabbed pane".	☐			☐
14.	**Add New Activity to Workload** To add the new activity to the "Activities" list in the *Assigned User*'s My Workload field set in the Workload Overview (dashboard).	☐			☐
	Score for 4 to 14:				**/50**
	Scenario 9A. Industry Reports Section 11 - Create a new Activity for a Submitted Industry Report Total Score:				**/150**

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 a guided form as described in Scenario 15, 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 provide the functionality:

1. To create a new activity when an Industry Report is submitted.
2. To perform the initial compliance assessment and analysis of the industry report data.
3. To document the outcomes/results of analysis performed on the Industry Report data information.
4. To document the *State of Compliance* and *Level of Compliance* of the industry Report data based on the relevant outcomes/results.
5. To add the activity to the workload of the *Designated 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:				

1.	**Create New Activity for a Submitted Industry Report Section 13** To create a new activity record connected to an existing active establishment for a submitted industry report (as described in Part 4: User Interface and Usability Assessment, Indicator 43, and assessed in Part 1: Capability Scenarios Assessment, Scenario 1, Indicator 13).				
2.	**Create New Activity Record Connected to Existing Active Establishment** To 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 Part1: Scenario 15: 1. Create and populate a new activity record connected to an existing active establishment (as assessed in Scenario 9.B, Indicator 3, below). 2. Document initial compliance analysis and assessment results, (as assessed in Scenario 9.B, Indicators 4 to 15, 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 3-15)* ***10 Points Partially Demonstrated*** *(Scored 1-47 points on indicators 3-15)* ***30 Points Mostly Demonstrated*** *(Scored 48-79 points on indicators 3-15)* ***50 Points Fully Demonstrated*** *(Scored 80 points on indicators 3-15)*	☐	☐	☐	☐
3.	**Create and Populate a New Activity Record Connected to Existing Active Establishment** To perform the following actions when an industry report is received: 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. Provide a Product and Brands component of the Establishment "tabbed pane"(as described in Part 4: User Interface and Usability Assessment, Indicator 42) in which to enter, update, and view establishment product and brand information; 4. Populate the Product and Brand component with data found in the industry report; 5. Provide an Industry Reporting History component of the Establishment "tabbed pane"(as described in Part 4: User Interface and Usability Assessment, Indicator 43) in which to enter, update, and view industry reporting history information; 6. Populate the Industry Reporting History; 7. Create an activity for the establishment connected to the industry report based on the industry report information values (for example, *Report Section);*	☐			☐

	8. Set the value to indicate the review of establishment information is confirmed as complete; 9. Set the value to indicate the review of the associated establishments and the establishment activity history information is confirmed as complete; 10. Set the *Activity Type* value to "Inspection"; 11. Set the *Activity Reason Type* value to "Scheduled: Industry Report"; 12. Set the *Proposed Start Date* value to the *Report Status Effective Date* value; 13. Set the value to indicate the activity initialization information is confirmed as complete; 14. Set the mandatory field values to read-only 15. Set the *Activity Scope Plan Type* value to the *Report Section Name* value; 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 field 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 field values in the Establishment Location Verification field set to read-only; 24. Populate the Legislation field 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* field in the Compliance Results field set with the Legislative Section/Subsection values appropriate for the industry report Legislation section; 28. Populate the fields in the Artifacts Summary field set in the Compliance Assessment component with the *Artifact Id* and *Legislation Section* values. **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 to 3:				**/100**
	Scoring for Indicators 4 to 15 below:	**Did Not Demonstrate (0)**	**Partially Demonstrated (1)**	**Mostly Demonstrated (3)**	**Fully Demonstrated (5)**
4.	**Industry Report Submission Data in Artifact** To populate the following industry report submission data in the Artifact Analysis component of the Artifacts pane (as described in Part 4: User Interface and Usability Assessment, Indicator 63): a. *Establishment Name* (for the activity); b. *Artifact Id* (Prototype Solution generated by concatenating Prototype Solution generated number +	☐	☐		☐

	Legislation number + number of artifact for this Legislative section/subsection, starting at the number 1); c. *Artifact Information* (Submitted industry report data). ***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** To perform Artifact Analysis against the appropriate legislation assessed by Indicators 6 to 14, below, in this scenario.				
6.	**Verify Submission Data** To verify the industry report artifact based on the *Legislative Section/Subsection* of the Industry Report and populate errors according to the legislated submission requirements, as follows: a. Identify information required in the submission but not provided; b. Identify information missing in the submission but found in the Prototype Solution; c. Identify information found in the submission but missing in the Prototype Solution; d. Incorrect unit of measures; e. Values outside of a range; f. 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** To perform calculations and set the non-compliance values for the legislative requirements as a read-only value as follows: a. Verify the *Total Volumes Sold* for each *Brand* value. If the validation fails, then the Prototype Solution should flag this error and set the *Legislative Section/Subsection* 13(2) value to “Non-Compliance”. Perform the validation in the following manner: i. If *Unit of Measure of Package* is "g", then this value should equal *Amount_Per_Package * Total_Packs_Sold*/1000; ii. If *Unit of Measure of Package* is not "g", then *Total_Volume_Sold* should equal *Amount_Per_Package * Total_Packs_Sold.* b. Verify the *Total Sales CAD* for the *Canadian Market Region* value of “Canada” and compare it against the sum of the *Total Sales CAD* all the other *Canadian Market Region* values. If the “Canada” total does not match the sum, the Solution flags this error and sets the Legislative Section/Subsection 13(1)(a) value to "Non-Compliance".	☐			☐

8.	**Brand Validation Check** To perform the following brand validation check: a. Identify brands found in the report but not stored in the Prototype Solution for the establishment. b. Identify brands found in the solution for the establishment but missing in the report. c. Display the identified brands in the Summary of Errors as described in the Artifact Pane Format – Industry Report in Part 4: User Interface and Usability Assessment, Indicator 66 .	☐			☐
9.	**Populate Error Display in Compliance Results field set** To display the following values in the Compliance Results field set (as assessed in Part 1, Scenario 9.A, Indicator 8): a. *Number of Errors* by *Legislative Section/Subsection;* b. *Total Number of Errors* for all *Legislative Sections/Subsections.*				
10.	**Derive and Populate Activity Compliance Outcome Value** To derive and populate, in the Compliance Summary field set, the *Activity Compliance Outcome* value for the activity by setting the *State of Compliance* and *Level of Compliance* values to one of the following values: a. “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. b. “Non-Compliance-Major” if the legislative sections/subsections found to be “Non-Compliance” had at least one where a “Major” Compliance Level was set. c. “No Evidence of Non-Compliance” if at least one legislative section/subsection was found to be “No Evidence of Non-Compliance”, and **<u>no</u>** legislative sections/subsections were found to be “Non-Compliance”. d. “Not assessed” if all legislative sections/subsections were found to be “Not assessed”. e. "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** To perform the following calculations: a. calculate the total number of legislative sections/subsections with a *Legislation Section Compliance Outcome* value of “Non-Compliance-Minor” b. calculate the total number of legislative. sections/subsections with a *Legislation Section Compliance Outcome* value of "Non-Compliance-Major" c. calculate the number of errors for legislative. sections/subsections with a the *Legislation Section Compliance Outcome* value of “Non-Compliance-Minor” d. 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** To display a summary table of non-compliances in the Compliance Summary field set in the following manner, (as assessed in Part 1, Scenario 9.A, Indicator 11): a. The number of non-compliances by *Compliance Outcome Level*, Major and Minor; b. The number of errors by *Compliance Outcome Level*, Major and Minor; c. The sum total of non-compliances and errors.				
13.	**No Override** To 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, (as assessed in Part 1, Scenario 9.A, Indicator 12)..				
14.	**Enable Compliance Assessment Component** To enable for input and viewing the Compliance Assessment component of the Activity "tabbed pane", (as assessed in Part 1, Scenario 9.A, Indicator 13).				
15.	**Add New Activity to Workload** To add the new activity to the "Activities" list in the *Assigned User*'s My Workload field set in the Workload Overview (dashboard), (as assessed in Part 1, Scenario 9.A, Indicator 14).				
	Score for 4 to 15:				**/30**
	Scenario 9. B Industry Reports Section 13 - Create a new Activity for a Submitted Industry Report Total Score:				**/130**

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 have the functionality for the User to:

1. Select an activity from the Workload Overview (dashboard).
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 20 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:				
1.	**Open Activity from My Workload Field Set**	☐			☐

	For the User to select and open an activity from My Workload field set in the Workload Overview (dashboard) to view and edit activity details.				
	Score for Indicator 1:				**/5**
	Scoring for Indicator 2:	**Did Not Demonstrate (0)**	**Partially Demonstrated (10)**	**Mostly Demonstrated (30)**	**Fully Demonstrated (50)**
2.	**Workflow Steps to Review Compliance Assessment – Industry Reports** To move the User through the following workflow steps to review compliance assessment of an industry report performed by the Prototype Solution: 1. Review compliance assessment results by *Legislative Section/Subsection* value; 2. Override *Compliance Outcome* value for a *Legislative Section/Subsection* value (as required); 3. Manually add an error (as required); 4. View submitted industry report data from the Artifacts Summary field set; 5. View and update details of a responsible party from the Responsible Party Summary field set; 6. 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 to 12:	**Did Not Demonstrate (0)**	**Partially Demonstrated (1)**	**Mostly Demonstrated (3)**	**Fully Demonstrated (5)**
3.	**Moved to Compliance Results Field Set** To move the User to the Compliance Results field set of the Compliance Assessment component.	☐			☐
4.	**Enable Compliance Assessment Component Field Sets** To perform the following actions: a. Set the *Activity Status* value to “Compliance In Progress”; b. Enable for input and viewing the following field sets and fields in the Compliance Assessment component: i. Compliance Results (as described in Industry Report in Part 4: User Interface and Usability Assessment, Indicator 59). ii. Compliance Summary (as described in Industry Report in Part 4: User Interface and Usability Assessment, Indicator 60). iii. Sections Overridden (as described in Industry Report in Part 4: User Interface and Usability Assessment, Indicator 61).	☐	☐	☐	☐

	iv. Artifacts Summary (as described in Industry Report in Part 4: User Interface and Usability Assessment, Indicator 62). v. Responsible Party Summary (as described in Industry Report in Part 4: User Interface and Usability Assessment, Indicator 58). ***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** For the User to view the submitted industry report data in the *Artifact Information* field in the Artifact pane (as described in Industry Reports – Artifact "Analysis" Component in Part 4: User Interface and Usability Assessment, Indicator 63) where the report data is in a structured, readable, and viewable format.	☐			☐
6.	**View Summary of Errors** For the User to view a summary of the errors grouped by *Legislative Section/Subsection* value (as described in the Part 4: User Interface and Usability Assessment, Indicator 64) after the User selects either of the following from the Compliance Results field set (as described in Part 4: User Interface and Usability Assessment, Indicator 59): a. the *Number of Errors* value by each any legislative subsection; b. the *Total Number of Errors* value. ***0 Points*** *if none of the listed actions are demonstrated* ***1 Point*** *if one of the two of the listed actions are demonstrated* ***5 Points*** *if both of the listed actions are demonstrated*	☐	☐		☐
7.	**Manually Identify and Document Errors** For the User to manually identify and document errors related to the artifact that were not flagged by the Prototype Solution's validation.	☐			☐
8.	**Override Compliance Outcome Value** For the User to perform the following when the *Compliance Outcome* value for a *Legislative Section/Subsection* needs to be changed from the *Compliance Outcome* value selected by the Prototype Solution: a. Change the *Compliance Outcome* value for the *Legislative Section/Subsection*; b. Confirm the change in value; c. 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** To update the *Compliance Outcome* value based on the actions of the User, when the User manually identifies an	☐			☐

	error or overrides the *Compliance Outcome* value set by the Solution.				
10.	**Review the Compliance Summary for Accuracy and Completeness** For the User to review the following in the Compliance Summary field set (as described in Part 4: User Interface and Usability Assessment, Indicator 60) for accuracy and completeness: a. the summary table of non-compliances and errors by *Compliance Level;* b. *State of Compliance* value; c. *Level of Compliance* value.	☐			☐
11.	**Responsible Party** For the User to 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** For the User to follow Scenario 6 to confirm compliance assessment is complete (as assessed in Part 1: Capability Scenarios Assessment, Scenario 6, Indicator 23 and 24).				
	Score for 3 to 12:				**/45**
	Scenario 10. 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 have the functionality for 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:				
1.	**Industry Report Section 11 - Recommend Enforcement Action** To set the *Enforcement Action Type* value to “Warning Letter” in the Recommended Enforcement Action field set for each non-compliant legislative section/subsection in the	☐			☐

	Enforcement Action component when the *Activity Reason Type* value is “Scheduled: Industry Report”.				
2.	**Industry Report Section 13 - Recommend Enforcement Action** To set the *Enforcement Action Type* value to “Warning Letter” in the Recommended Enforcement Action field set for each non-compliant legislative section/subsection in the Enforcement Action component when the *Activity Reason Type* value is “Scheduled: Industry Report”.	☐			☐
3.	**Industry Reports - Enforcement Actions Component** To provide an Enforcement Action component of the Activity “tabbed pane” for the User to enter, update, and view the following enforcement action information (as assessed in Part 1: Capability Scenarios Assessment, Scenario 7, Indicator 1): a. Data in the Recommended Enforcement Action field set; b. Data in the following enforcement action field sets for the following *Enforcement Action Type* values selected in the Recommended Enforcement Action field set: i. Warning Letter; ii. Warning Letter Links.				
4.	**Industry Reports - Recommended Enforcement Action** To display “Warning Letter” as the *Enforcement Action Type* value in the Recommended Enforcement Action field set for each legislative section/subsection with a *Legislation Section Compliance Outcome* value of any of the following (as assessed in Part 1: Capability Scenarios Assessment, Scenario 7, Indicator 2): a. “Non-Compliance”; b. “Non-Compliance-Minor”; c. “Non-Compliance-Major”.				
5.	**Industry Report Section 13 - Enforcement Action Override** For the User to: a. Select “No Action” as the *Enforcement Action Type* value to override the enforcement action selected by the Prototype Solution. b. 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** For the User to generate and update a warning letter from a Warning Letter template (as assessed in Part 1: Capability Scenarios Assessment, Scenario 7, Indicator 4) where the following information can be inserted: a. The address and contact information of the regulated party or establishment; b. 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** For the User to confirm that the information in the Enforcement Actions component (as assessed in Part 1: Capability Scenarios Assessment, Scenario 7, Indicator 6) is complete after ensuring the following conditions have been				

	completed for each non-compliant legislative section/subsection: a. A responsible party is assigned; b. An enforcement action is selected; c. The enforcement action is in a completed state.				
8.	**Industry Reports - Enforcement Action Confirmation** When the information in the Enforcement Actions component (as assessed in Part 1: Capability Scenarios Assessment, Scenario 7, Indicator 7) is confirmed by the User, and successfully validated and verified as complete, the Prototype Solution should perform the following actions: a. Set the *Activity Status* value to "Pending Closure"; b. Set all the values in the Enforcement Action field set to read-only.				
9.	**Industry Reports - Close Activity** For the User to follow Scenario 8 to close the activity (as assessed in Part 1: Capability Scenarios Assessment, Scenario 8, Indicators 1 to 4.)				
	Scenario 11. 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 have the functionality for the User to:

1. Select an activity from the Workload Overview (dashboard).
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:				
1.	**Open Existing Activity** For the User to select and open an activity from the My Workload field set (as assessed in Part 1: Capability Scenarios Assessment, Scenario 10, Indicator 1).				
2.	**Update Activity Comment** For the User to update the *Comment* field information for an existing Activity.	☐			☐
3.	**Save Updated Information.** For the User to save the updated information for an existing Activity.	☐			☐
	Scenario 12. 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 have the functionality for 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:				
1.	**No Enforcement Action Required** To perform the following actions: a. Set the following fields to the following values: i. *Activity Status* value to "Pending Closure"; ii. *Compliance Assessment Completion Date* value to the *system date* value; iii. *Compliance Assessment Completion Time* value to the system time value. b. Set previously confirmed fields to read-only. c. Enable for input and viewing the Close component of the Activity "tabbed pane". 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* value has a *Legislation Section Compliance Outcome* value of any of the following: a. "Non-Compliance"; b. "Non-Compliance – Minor"; c. "Non-Compliance – Major".	☐			☐
2.	**Close Activity** For the User to follow Scenario 8 to close the activity (as assessed in Part 1: Capability Scenarios Assessment, Scenario 8, Indicators 1 to 4).				
	Scenario 13. No Enforcement Action Required Total Score:				**/5**

Compliance and Enforcement (C&E) Activity: Scenarios 3 to 13 Total Score:	**/905**

Electronic Data Submission

Scenario 14. Electronic Data Submission via XML

SCENARIO #14 – Electronic Data Submission via XML
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 an XML structured file format.
The Prototype Solution should have the functionality for 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 have the functionality:				
1.	**Capturing and Processing Electronically Submitted Data** To capture and process electronically submitted data.	☐			☐
2.	**Industry Report Section 11 Data Submission** For the User to 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** To perform the following actions when an industry report is received: a. Set the *Report Status* value to "Registered" and display it in the General Information section of the Activity. b. Add the industry report data as the artifact. c. 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** To perform the following actions for any brand submitted in the Industry Report 11: a. Add the brand information to the Prototype Solution. b. Set the Brand Status value to "Pending".	☐			☐
5.	**Industry Report – Submission Confirmation** To send an email confirmation to the submitter acknowledging that the submission has been received along with a *Submission Confirmation Id* value when industry report data has been successfully submitted.	☐			☐
	Scenario 14. 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 have the functionality for 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 have the functionality:				
1.	**Capturing and Processing Electronically Submitted Data** To capture and process the electronically submitted data (as assessed in Part 1: Capability Scenarios Assessment, Scenario 14, Indicator 1).				
2.	**Industry Report 13 Data Submission** For the User to electronically submit structured industry report data in a prescribed form and manner for the Section 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, to perform the following actions (as assessed in Part 1: Capability Scenarios Assessment, Scenario 14, Indicator 3): a. Set the *Report Status* value to "Registered". b. Add the industry report data as the artifact. c. Set the *Submission Timing Status* value to "Prior to or on the submission date".				
4.	**Industry Report Update/View Screen of Tombstone Information** To provide an update/view screen of the fields reflecting mandatory tombstone information as stipulated by S.3 (2) and S.3 (3) of the TRR pre-populated with Establishment Profile information stored in the Solution**.**	☐			☐
5.	**Update and Confirm Tombstone Information** For the User to update and confirm the tombstone information.	☐			☐
6.	**Form-based Submission Process - Update Previously Saved Data** For the User to 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** To perform either of the following actions for each brand submitted in the industry report 13: a. Update the brand information and change the *Brand Status* value to "Active" when the brand exists in the Prototype Solution. b. Add the brand information and set the Brand Status value to "Pending" when the brand does not exist in the Prototype Solution.	☐			☐

8.	**Industry Report – Submission Confirmation** To send an email confirmation to the submitter acknowledging that the submission has been received along with a Submission Confirmation Id (as assessed in Part 1: Capability Scenarios Assessment, Scenario 14, Indicator 5) when industry report data has been successfully submitted.				
	Scenario 15. Electronic Data Submission Total Score:				**/25**

Electronic Data Submission: Scenarios 14 and 15 Total Score:	**/50**

Pre-defined Reporting and Templates

Scenario 16. Pre-Defined Reporting and Templates

<u>SCENARIO #16 – Pre-defined Reports and Templates</u>

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 user-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 have the functionality for 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 have the functionality for the User to:

1. Select the appropriate template for the letter.
2. Specify the fields 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 have the functionality :				
1.	**Pre-defined reports with user-selectable constraints: List of Active Establishments** For the User to generate a pre-defined report showing all establishments in Ottawa with a status value of "Active" and based on user-selectable constraints showing the list of establishments where the following are met: a. the following field values have already been set: i. *Establishment Status* value of "Active"; ii. *Region* value of "East"; iii. *City* value of "Ottawa".	☐			☐

	b. the User can select values of other fields to further limit the report results, for example: i. *Establishment Type;* ii. *Establishment Subtype.*				
2.	**Print a Pre-defined Report** For the User to print a pre-defined report showing the list of active establishments.	☐			☐
3.	**Export a Pre-defined Report** For the User to export a pre-defined report showing the list of active establishments in the following file formats: a. Txt; b. Csv; c. Pdf. ***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.	**Generate documents from templates** For the User to generate documents based on templates.	☐			☐
Scenario 16. Pre-defined Reporting and Templates Total Score:					**/20**

Part 1: Total Capability Scenarios Assessment Score

PART 1: TOTAL CAPABILITY SCENARIOS ASSESSMENT SCORE: (SUM OF TOTAL SCORES FOR SCENARIOS 1 TO 16)	**/1200**

PART 2: GENERAL PROTOTYPE SOLUTION SPECIFICATIONS ASSESSMENT

CAPABILITY AND USABILITY ASSESSMENT – PART 2: GENERAL PROTOTYPE SOLUTION SPECIFICATIONS ASSESSMENT			
Indicator #	**General Prototype Solution Specifications Indicators**	**Not Demonstrated (0)**	**Demonstrated (10)**
	The Prototype Solution should have the functionality:		
1.	**Display of Context Specific Help** To 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** To permit up to 6 concurrent Users without degradation to the Prototype Solution's performance.	☐	☐
3.	**Prototype Solution Modules** To provide the following modules: a. C&E: i. Work Plan and Workload ii. Establishment Profile iii. Compliance and Enforcement (C&E) Activity iv. Reporting v. Search vi. User Management vii. Application Management	☐	☐
4.	**Single Sign On** For the User to log in through single sign-on (SSO) .	☐	☐
5.	**Workflow – Move to Next Step** To move the User to the next step in the business process workflow upon completion of a step in the workflow. For example, the User should be moved from the "Scope Plan" step to the "Compliance Assessment" step in the business process workflow for C&E activities.	☐	☐
6.	**Workflow Information Update** For the User to navigate to a previously confirmed (that is, locked down) workflow step to view and update information that has not been set to read-only. For example, the User should be permitted to navigate to a previously confirmed General Information component of the Activity "tabbed pane" to update the *Bring Forward Date* value.	☐	☐
7.	**Resume Last Workflow Step** For the User to resume updating information at the last workflow step that was worked on previously, when returning to a business process workflow.	☐	☐
8.	**Confirm Workflow Step** To alert the User that choosing to continue will lock information (that is, set data to read-only) in the field set/component when the User indicates a workflow step is complete. To set the data in the field set/component that has been locked to read-only when the User confirms a workflow step is complete. .	☐	☐
9.	**Save**	☐	☐

	For the User to save data entered at any point in a workflow and continue the workflow.		
10.	**Loss of Unsaved Data** To provide the User with the option to cancel an action that would result in the loss of any data entered but not yet saved.	☐	☐
11.	**Business Rules** For the Prototype Solution Administrator to configure the business rules without the need to modify the Prototype Solution code.	☐	☐
12.	**Immediate Effect of Prototype Solution Changes** To ensure any changes to the Prototype Solution take immediate effect.	☐	☐
13.	**Linked Files List** To display a list of all files contextually associated with the item in the GUI. For example, all documents associated with a single activity record.	☐	☐
14.	**Preview Attached Files** To provide a preview pane to view the attached file. For example, when the User selects an attached file, the User selects a preview option where the file viewer displays the file within the GUI. Files can be: a. Image files (jpg, png, etc.); b. Word files version 2003 or higher; c. Excel files version 2003 or higher; d. PDF files.	☐	☐
15.	**Open Attached Files in Native Application** For the User to open attached files in the file’s native software applications installed on Government of Canada computers. For example: a. a .jpg image file is opened using Windows Photos. b. a word document is opened using MS Word. c. an excel document is opened using MS Excel. d. a .pdf file is opened using Foxit PhantomPDF.	☐	☐
16.	**References to External Document Management Systems** For the User to enter read-across linkages across multiple platforms. For example, GC Docs.	☐	☐
17.	**Export Data** For the User to export the following Prototype Solution data: a. Results from a search; b. Workload Overview (dashboard) view based on current filters and sorts; c. Originally submitted industry reports. Export formats should include: a. Txt; b. Csv; c. Pdf.	☐	☐
18.	**Print** For the User to print each of the following: a. Search results; b. Complete establishment information; c. Complete activity information: d. Workload Overview (dashboard) view.	☐	☐
19.	**Print Preview and Print Quantity** For the User to: a. Preview the information to be printed; b. Select the number of copies to be printed.	☐	☐

20.	**Notifications and Alerts Document** To perform the following actions: a. Display Notifications in a specific notification area of the Prototype Solution. b. Display Alerts as triggered.	☐	☐
21.	**Email Notification** To generate and send emails based upon events (triggers), other than the trigger identified in Part1: Scenario 14 Indicator 5.	☐	☐
22.	**Email Notification Frequency** To provide a default email notification frequency. For example, the default email notification frequency is set to weekly.	☐	☐
23.	**Notifications For Specific Users** To send email notifications that are applicable only to the specified User.	☐	☐
24.	**Recurring Email Notification Based on User Action** To resend an email notification that requires User action at a set notification frequency, if the User defers the required action, until the User performs the required action.	☐	☐
25.	**Notification Receipt** To document the date a notification is accessed when either of the following occurs: a. When the User views the notification in the notification area of the Prototype Solution. b. When the User accesses the link within the email notification.	☐	☐
Part 2: General Prototype Solution Specifications Assessment Total Score:			**/250**

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 have the functionality:		
1.	**Workload Planning** For the User to define their workload plan by creating activities and defining the activity scope and future start date.	☐	☐
2.	**Default Workload Overview** To provide up to date Workload Overview (dashboard) for the following Users: a. For Supervisor: Activities (and core information including assigned User) grouped by a region or sub-region within a chosen time period. b. For Subordinate: Activities the User has, or has had, control of within a chosen period. c. For Dual Role (Supervisor and Subordinate): i. Activities (and core information including assigned User) grouped by a region or sub-region within a chosen time period. ii. Activities the User has, or has had, control of within a chosen time period. For example: a. Supervisor – see own work and that of their subordinates. b. Subordinate – see own work only.	☐	☐
3.	**Anticipated Workload Display** To display, in the Anticipated Workload field set of the Workload Overview (dashboard), a schedule of industry reports for the *Designated User* based on the submission frequency	☐	☐

	for a specified period by specified manufacturer(s) in various User-selected display formats, for example, calendar, list, etc.		
4.	**Establishment Profile Information** To provide a direct link via the *Establishment Name* value to the establishment information of each establishment listed in the User's Workload Overview (dashboard).	☐	☐
5.	**New Activities** To provide an up to date Workload Overview (dashboard) displaying the following field sets: a. My Workload - activities the User currently has control of, including newly assigned and created activities. b. Activities of Previous Interest – activities in which the User has interact with, but no longer has control of.	☐	☐
	Part 3: Work Plan/Work Load Assessment Total 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 have the functionality:		
1.	**Organization of Data Entry Fields** To provide the User with a logical organization of fields that share the same space. For example: a. Grouping related fields into field sets; b. Grouping related field sets into components; c. Grouping related components into a tabbed pane.	☐	☐
2.	**Show and Hide Relevant Fields, Field Sets, and Components** To show and hide fields, field sets, and components in the GUI depending on the relevance of that field, field set, and component based on the context of data previously entered. For example, display fields for input of additional information where the value in another field is "Yes".	☐	☐
3.	**Input Control** To use input controls to ensure valid data are entered. For example: a. Pick lists; b. Multi-select pick lists; c. Check boxes; d. Radio buttons; e. Dropdown lists; f. List boxes; g. toggles; h. Date picker; i. Form data validation.	☐	☐
4.	**Context Relevant Data Options** To display, for selection purposes, only the input options that apply based on the context of the data previously entered. For example:	☐	☐

	a. A city list would be restricted to the values associated with the previously selected province or territory value. b. A brand list would be restricted to the values associated with the previously selected establishment value.		
5.	**Data Entry Format Display** To indicate in the GUI the required data entry format in the label or placeholder text for field that require specifically formatted input. For example: a. Dates; b. Times; c. Postal codes.	☐	☐
6.	**Mandatory Data Fields: Indication, Validation, Notification** To control mandatory fields in the following way: a. Visually indicate to the User mandatory fields in a consistent manner on all data input screens. b. Visually indicate to the User invalid upon entry, for example, non-numeric characters in a numeric field. c. Alert the User of any of the following when the User attempts to confirm completion of data entry step (for example, submitting an industry report via the guided form-based submission process): i. Any field requiring validation that has not passed data validation. ii. Any mandatory fields missing values. d. Navigate the User directly to the first instance of any of the following: i. Invalid data in a field; ii. Missing mandatory data. e. Permit the User to complete or correct the input for all fields and repeat the confirmation data entry completion action. f. Permit the User to repeat the confirmation of completing the data entry. g. Set validated and confirmed fields to read-only.	☐	☐
7.	**Conditionally Mandatory Fields** To configure conditionally mandatory fields.	☐	☐
8.	**Undefined and Unselected Field Values** To indicate when a field has not been populated with a value by the User and has not been populated with a value by the Prototype Solution. For example: a. Default value for a pick list is “Select”. b. Default state for a check box is not selected.	☐	☐
9.	**Clear Values** For the User to clear an existing value from the User editable field where the User cannot delete the value. For example: a. Click an eraser icon to clear: i. a date field; ii. a radio button set. b. Click an “x” to clear a filter or search term.	☐	☐
10.	**Reset Data Entry Forms** For the User to clear all User entered values from a form and reset any default values.	☐	☐
11.	**Read-only Fields** To visually indicate read-only fields from fields where data entry is permitted. For example: a. Grey out; b. Prevent data input.	☐	☐

12.	**Null Field Values** To visually indicate an empty or null field value and set the field to read-only. Example of a visual indicator: a. “n/a”’; b. “-“.	☐	☐
13.	**Data Validation** To enforce data validation rules.	☐	☐
14.	**Real-Time Updates** To refresh the value of a field displayed in the GUI, as soon as that value is updated: a. A calculation; b. Derived from logic.	☐	☐
15.	**Calculated and Derived Data Values** To calculate, derive, and display values based on user-entered or Prototype Solution-stored information. Upon entry of the field values, the Prototype Solution should generate calculated and derived values and update the GUI with the values in real-time. For example: a. The User enters data into numeric fields A and B. The Prototype Solution displays the sum in a third calculated numeric field C. b. The User enters data into four numeric fields. The Prototype Solution displays the standard deviation in a fifth, calculated, numeric field. c. 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 Prototype Solution uses logic on the text values to derive and display the *Activity Compliance Outcome* text value as “Non-Compliant”.	☐	☐
16.	**Time Format** To store all times in Coordinated Universal Time (UTC) format with offset for the time zone.	☐	☐
17.	**User-Entered Time Zone** For the User to select the time zone for any time entered.	☐	☐
18.	**Default Offset Time Zone** To set the default-offset time zone to that of the User’s time zone.	☐	☐
19.	**User-Entered Time Display** To display all user-entered times in the time zone of the User who entered the time.	☐	☐
20.	**System-Generated Time Display** To display all system-generated times in the User’s time zone.	☐	☐
21.	**Large Data Values** For the User to view the entire value of a field when the length of the value is larger than the display width of the field (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.	**Language** To provide all GUI elements in English.	☐	☐
23.	**Default Sort Order** To default all sorts using standard sort parameters unless explicitly identified. For example, alphabetical (a to z), numerical (0 to 9), and reverse chronological dates.	☐	☐
24.	**Legislative Display Order** To display contextually relevant *Legislative Sections/Subsections* values sorted by Parts, Sections (within parts) and Regulations (within Sections) in ascending order, that is, using natural sort order where multi-digit numbers are treated atomically. For example:	☐	☐

	a. Part I – Tobacco Products i. *5 – Product Standards* ii. *5.1 Prohibition – Manufacture* iii. *5.2 Prohibition – Sale* iv. *6(1) – Information required* v. *6(2) – Supplementary Information* vi. *6.1 – Disclosure* b. Part II Access i. *8(1) – Furnishing to Youth* ii. *9(1) – Sending and Delivering* iii. *9.1(1) – Interprovincial Sending and Delivering* iv. *9.1(2) – Advertising*		
25.	**Default Case Insensitive Sort** To 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: a. montreal b. Montreal c. MONTREAL	☐	☐
26.	**"Case" Sort** For the User to select the option to change the sort from sensitive to insensitive to case.	☐	☐
27.	**"Diacritic" Sort** For 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: a. Montreal b. Montréal	☐	☐
28.	**Updating a Record Listed in a Multi-column List View (table/data grid)** For the User to select a record in any multi-column list view (table/data grid) to access it directly for updating, and return 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.	☐	☐
29.	**Viewing a Record Listed in a Multi-column List View (table/data grid)** For the User to select a record in any multi-column list view (table/data grid) to access it directly for viewing, and return 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.	☐	☐
30.	**Filtering in a Multi-Column List View (table/data grid)** For the User to filter any multi-column list view (table/data grid) by any criteria or combination of criteria. For example: a. Filter by *Activity Type;* b. Filter by *Priority;* c. Filter by *Proposed Start Date* (including activities with future start dates); d. Filter by specific *Province or Territory* and *Establishment Type* within the specified *Province(s) and Territory(s);* e. Filter by *Report Section.*	☐	☐
31.	**Close Modal Windows**	☐	☐

	For the User to close and cancel any modal windows at any time. For example, windows used to display information or help.		
32.	**Move Modal Windows** For the User to move any modal windows so as not to obscure the data displayed in the parent screen. For example, windows used to display information or help.	☐	☐
33.	**Data Viewing Without An External Tool** For 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.	☐	☐
34.	**Prototype Solution Version** For the User to identify the current version of the Prototype Solution, for example, by version number.	☐	☐
35.	**Establishment "Tabbed Pane-like" Format and Components** To provide a tabbed pane-like format, for data input and viewing of all information relating to an establishment. The Establishment "tabbed pane" should be composed of the following components: a. Establishment Information; b. Concerns and Issues; c. Contacts (includes contact details); d. Associated Activities (includes compliance and enforcement history); e. Comments; f. Products and Brands (Establishments with *Establishment Type* value of "Manufacturers" only; includes counts); g. Industry Reporting History (Establishments with *Establishment Type* value of "Manufacturers" only).	☐	☐
36.	**Establishment "Establishment Information" Component** To provide the following field sets and related fields in the Establishment Information component of the Establishment "tabbed pane", for data input and viewing purposes: a. Establishment (Establishment Id, Establishment Name, Address); b. Mailing Address; c. Email; d. Phone; e. Ownership; f. Status; g. *Establishment Assigned* To; h. Establishment Type displayed in a multi-column list view format; i. Online Presence (for example: web site, social media) displayed in a multi-column list view format; j. As*sociated Establishments* displayed in a multi-column list view format.	☐	☐
37.	**Establishment "Concerns and Issues" Component** To provide the following field sets and related fields displayed in a multi-column list view format in the Concerns and Issues component of the Establishment "tabbed pane", for data input and viewing purposes: a. Concerns: i. *Concern Id;* ii. *Date;* iii. *User Name;* iv. *Concern.* b. Issues: i. *Issue Id;* ii. *Date;* iii. *User Name;* iv. *Issue.*	☐	☐

38.	**Establishment "Contacts" Component** To provide the following field set and related fields displayed in a multi-column list view format in the Contacts component of the Establishment "tabbed pane", for data input and viewing purposes: a. Contacts: i. *Contact Id;* ii. *Full Name;* iii. *Title;* iv. *Phone Descriptor;* v. *Phone Number;* vi. *Email Descriptor;* vii. *Email Address;* viii. *Language.*	☐	☐
39.	**Establishment "Associated Activities" Component** To provide Activities associated with the establishment displayed in a multi-column list view format in the Activities component of the Establishment "tabbed pane", for data input and viewing purposes.	☐	☐
40.	**Establishment "Comments" Component** To provide the Comment History field set and related fields in the Comments component of the Establishment "tabbed pane", for data input and viewing purposes.	☐	☐
41.	**Establishment "Products and Brands" Component** To provide the following field sets and related fields displayed in a multi-column list view format in the Product and Brands component of the Establishment "tabbed pane" for data input and viewing purposes: a. Product; b. Brands.	☐	☐
42.	**Establishment "Industry Reporting History" Component** To provide the following field sets and related fields displayed in a multi-column list view format in the Industry Reporting History component of the Establishment "tabbed pane", for data input and viewing purposes: a. Overall Industry Report History; b. Industry Reports With No Associated Activity.	☐	☐
43.	**Activity Tabbed Pane-like Format and Components** To provide a tabbed pane -like format for data input and viewing of all information relating to an activity. The Activity "tabbed pane" should be composed of the following components and in the specified order: a. General Information; b. Scope Plan; c. Compliance Assessment; d. Enforcement Actions; e. Close.	☐	☐
44.	**Activity "General Information" Component** To provide the following field sets and related fields in the General Information component of the Activity "tabbed pane", for data input and viewing purposes: a. Establishment related information field sets: i. Establishment (Est. Id, Establishment Name, Est. Status, Est. Type, location information, and Concerns and Issues, and Age Restricted Icons); ii. Establishment Contacts displayed in a multi-column list view format; iii. Associated Establishments displayed in a multi-column list view format; iv. Other Activities for this Establishment displayed in a multi-column list view format. b. Specific activity related information field sets: i. Core Information; ii. Activity Timeline; iii. Sent To History displayed in a multi-column list view format; iv. Warrants (if applicable) displayed in a multi-column list view format;	☐	☐

	v. Online Presence (for example: web site, social media) displayed in a multi-column list view format; vi. Links (to files) displayed in a multi-column list view format; vii. Comment History. c. *Confirm When Completed* (field).		
45.	**Activity "Scope Plan" Component Format** To provide the following field sets and related fields in the Scope Plan component of the Activity "tabbed pane", for data input and viewing purposes: a. *Activity Scope Plan Type* (field); b. Activity *Scope* Details; c. *Confirm When Complete* (field*).*	☐	☐
46.	**Activity "Compliance Assessment" Component** To provide the following field sets and related fields in the Compliance Assessment component of the Activity "tabbed pane", for data input and viewing purposes: a. Establishment Location Verification; b. Person Spoken To (displayed in a multi-column list view format); c. Add Scope; d. Compliance Results (displayed in a multi-column list view format; e. Artifacts Summary (displayed in a multi-column list view format); f. Responsible Party Summary (displayed in a multi-column list view format); g. *Confirm When Completed* (field).	☐	☐
47.	**Activity "Enforcement Actions" Component** To provide the following field sets and related fields in the Enforcement Actions component of the Activity "tabbed pane", for data input and viewing purposes: a. Recommended Enforcement Action, in a multi-column list view format: i. Warning Letter; ii. Warning Letter Links. b. A field set for each available enforcement action; c. *Confirm When Completed* (field).	☐	☐
48.	**Activity "Link/Close" Component Format** To provide the following field sets and related fields in the Link/Close component of the Activity "tabbed pane" for data input and viewing purposes: a. Recommended Next Steps; b. Justification; c. *Activity Completed* (field).	☐	☐
49.	**Activity "Compliance Assessment" Component Establishment Location Verification Format** To provide the following fields in the Establishment Location Verification field set in the Compliance Assessment component of the Activity "tabbed pane", for data input and viewing purposes: a. *Activity Establishment Verification Code;* b. *Actual Start Date;* c. *Actual Start Time;* d. *Search Warrant Executed;* e. *Confirm When Completed.*	☐	☐
50.	**Activity "Compliance Assessment" Component Person Spoken To Format** To provide the following fields in the Person Spoken To field set in the Compliance Assessment component of the Activity "tabbed pane", for data entry and viewing purposes: a. *Name of Person Spoken To;* b. *Title;* c. *Phone;* d. *Email;* e. *Establishment Profile Verified.*	☐	☐
51.	**Activity "Compliance Assessment" Component Compliance Results Format**	☐	☐

	To provide the following fields 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 data entry and viewing purposes: a. *Legislation;* b. *Legislation Section Compliance Outcome*, with the following selection values: i. “Not Inspected”; ii. “Not Applicable”; iii. “No Evidence of Non-Compliance”; iv. “Non-Compliance”. d. *Analysis Type;* e. *Artifacts Added;* f. *Number of Artifacts.*		
52.	**Artifact “Tabbed Pane” like Format and Components** To provide an Artifact tabbed pane-like format for data input and viewing of all information relating to an artifact. The Artifact “tabbed pane” should be composed of the following components: a. Collection; b. Analysis; c. Links. The format of the Collection and Analysis components of the Artifact “tabbed pane” will depend on the selected *Artifact Analysis Type* value.	☐	☐
53.	**Artifact: Header Information Format** To provide a header field set 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 fields: a. *Establishment Name;* b. *Artifact Id;* c. *Legislative Section/Subsection;* d. *Artifact Analysis Type.*	☐	☐
54.	**Artifact: “Collection” Component Format** To provide the applicable artifact collection fields in the Collection component of the Artifact “tabbed pane”, for data input and viewing purposes, according to the following values: a. The selected *Artifact Analysis Type* value; b. The selected *Legislative Section/Subsection* value.	☐	☐
55.	**Artifact: “Analysis” Component Format** To provide the application artifact analysis fields within the Analysis component of the Artifact “tabbed pane”, for data input and viewing purposes, according to the following values: a. The selected Artifact Analysis Type value; b. The selected *Legislative Section/Subsection* value.	☐	☐
56.	**Artifact: “Links” Component Format** To provide the following fields in a multi-column list view format within the Links component of the Artifact “tabbed pane”, for data input and viewing purposes: a. *Link Id Number;* b. *File name* (of document being linked); c. *Description* (of the linked document); d. *Linked By* (User Name); e. *Linked Date.*	☐	☐
57.	**Activity “Compliance Assessment” Component Artifact Summary** To provide the following fields displayed in a multi-column list view format in the Artifacts Summary field set in the Compliance Assessment component of the Activity ”tabbed pane” for update and viewing purposes: a. *Artifact Id;* b. *Legislation;* c. *Compliance Result;*	☐	☐

	d. *Description.*		
58.	**Activity "Compliance Assessment" Component Responsible Party** To provide the following fields displayed in a multi-column list view format in the Responsible Party field set in the Compliance Assessment component of the Activity "tabbed pane" for update and viewing purposes: a. *Name;* b. *Non-Compliant Legislation;* c. *Title;* d. *Language;* e. *Phone;* f. *Email.*	☐	☐
59.	**Industry Reports Compliance Assessment Component – Compliance Results Format Legislative Section/Subsection** To provide the following fields displayed in Compliance Results field set in the Compliance Assessment component of the Activity "tabbed pane" for any Activity where an industry report has been submitted, for data entry and viewing purposes: a. In a multi-column list view format: i. *Legislative Section/Subsection;* ii. *Legislation Section Compliance Outcome:* 1. *Not Applicable;* 2. *No Evidence of Non-Compliance;* 3. *Non-Compliance;* 4. *Compliance Outcome Level.* iii. *Number of Errors;* iv. *Non-Compliance History.* b. *Total Number of Errors;* c. *View all Non-Compliance History.*	☐	☐
60.	**Industry Reports Compliance Assessment Component – Compliance Summary Format** To provide the following fields 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, for data entry and viewing purposes: a. *Activity Compliance Outcome* (Displayed as *State of Compliance*): i. *Not Applicable;* ii. *No Evidence of Non-Compliance;* iii. *Non-Compliance.* b. *Compliance Outcome Level* (Displayed as *Level of Compliance):* i. *Minor;* ii. *Major.* c. Display the following in a summary multi-column list view format: i. Type by Non-Compliance Level; ii. Number of Non-compliances; iii. Number of errors; iv. The sum total of non-compliances; v. The sum total of errors.	☐	☐
61.	**Industry Reports Compliance Assessment Component – Sections Overridden Format** To provide the following fields 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, for data entry and viewing purposes: a. *Legislative Section/Subsection;* b. *Reason.*	☐	☐
62.	**Industry Reports Compliance Assessment Component – Artifacts Summary Format** To provide the following fields 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, for data entry and viewing purposes:	☐	☐

	a. *Artifact Id;* b. *Legislation* (Displayed as *Applicable Legislation).*		
63.	**Industry Reports - Artifact "Analysis" Component** For an *Artifact Analysis Type* value of "Industry Report Analysis", provide the following fields in the Artifact pane for viewing purposes: a. *Artifact Id* (Solution generated by concatenating Solution generated number + Legislation number + number of artifact for this *Legislative Section/Subsection* value, starting at the number 1); b. *Establishment Name* (for the activity); c. *Legislation number and description* (for which the artifact is being assessed); d. *Artifact Information* (Industry report data submitted).	☐	☐
64.	**Industry Reports Compliance Assessment Component – Compliance Results Format Errors Grouped by Legislative Section/Subsection View** To provide the following field sets and related fields in the "Errors Grouped by Legislative Section/Subsection" view for any Activity where an industry report has been submitted, for data entry and viewing purposes: a. Errors for: [*Legislative Section/Subsection* value and related text under which the error was identified]; b. Errors in Report (field set); i. System Identified Errors: [Total number of errors] with the following fields displayed in a multi-column list view: 1. Brand Name (if applicable); 2. Dimension Field(s); 3. Measure Fields(s); 4. Error Name. ii. User Identified Errors: [Total number of errors] with the following fields displayed in a multi-column list view: 1. Brand Name (if applicable); 2. Dimension Field(s); 3. Measure Fields(s); 4. Error Name.	☐	☐
	Part 4: User Interface and Usability Assessment Total Score:		**/640**

PART 5: SEARCH ASSESSMENT

CAPABILITY AND USABILITY ASSESSMENT – PART 5: SEARCH ASSESSMENT			
Indicator #	**Search Indicators**	**Not Demonstrated (0)**	**Demonstrated (10)**
	The Prototype Solution should have the functionality:		
1.	**Ad-hoc Search** To permit the User to search on specific record types and combinations of record types stored in the Prototype Solution as follows: a. Search for Establishment Profiles by Activities.	☐	☐
2.	**Establishment Profile Search** To provide a pre-defined Establishment Profile Search, with the following default values populated, for a User to search for an establishment: a. *Establishment Status* value is "Active"; b. *Establishment Province* value is the User profile province value; c. *Establishment Region* value is the User profile region value; d. *Establishment Sub-Region* value is the User profile sub-region value.	☐	☐

	Pre-defined Establishment Profile Search should consist of the following fields: a. *Establishment Id;* b. *Establishment Name;* c. *Establishment Street;* d. *Establishment City;* e. *Establishment Province;* f. *Establishment Postal Code;* g. *Establishment Region;* h. *Establishment Sub-Region;* i. *Establishment Type;* j. *Establishment Sub-type;* k. *Establishment Status.*		
3.	**Activity Search** To provide a pre-defined Activity Search, with the following default values populated, for the User to search for an activity: a. *Establishment Province* value is the User profile province value; b. *Establishment Region* value is the User profile region value; c. *Establishment Sub-Region* value is the User profile sub-region value. Pre-defined Activity Search should consist of the following fields: a. *Activity Id;* b. *Activity Type;* c. *Activity Status;* d. *Compliance Status;* e. *Establishment Name;* f. *Establishment Street;* g. *Establishment City;* h. *Establishment Province;* i. *Establishment Postal Code;* j. *Establishment Region;* k. *Establishment Sub-Region;* l. *Establishment Type;* m. *Establishment Sub-type.*	☐	☐
4.	**Industry Report Search** To provide a pre-defined Industry Report Search, with the following default values populated, for the User to search for an industry report: a. *Report Status = “Registered”;* b. *Submission Date = [Last 12 Months].* Pre-defined Industry Report Search should consist of the following fields: a. *Report Id;* b. *Report Section;* c. *Report Name;* d. *Report Period;* e. *Report Status;* f. *Submission Date;* g. *Manufacturer Id;* h. *Manufacturer Name;* i. *Submitter Name;* j. *Activity Number(s).*	☐	☐
5.	**Brand Search** To provide a pre-defined Brand Search, with the following default values populated, for the User to search for a brand: a. *Brand Status = “Active”.* Pre-defined Brand Search should consist of the following fields: a. *Brand Id;* b. *Brand Name;* c. *Brand Descriptor;* d. *Brand Status;*	☐	☐

	e. *Product Type;* f. *Product Size;* g. *Manufacturer Id;* h. *Manufacturer Name.*		
6.	**User Profile Search** To provide a pre-defined User Profile Search, with the following default values populated, for the User to search for the profile: a. User Status = “Active”. Pre-defined User Profile Search should consist of the following fields: a. *User Id;* b. *User Name;* c. *First Name;* d. *Last Name;* e. *Region.*	☐	☐
7.	**Enter Search Values** For the User to enter search values.	☐	☐
8.	**Modify Search Values** For the User to modify the search values.	☐	☐
9.	**“Contains” Search** To use “contains” match searches, by default, to find items that contain the search value. For example: Search criteria: a. *Province/Territory* value is “Ontario” (exact). b. *Establishment Sub-Type* value is “Convenience store” (exact). c. *Establishment Name* value contains “**Bob”** (contains). Search results would include the following, where all 3 search values were found:	☐	☐

Province/Territory	Establishment Sub-Type	Establishment. Name
Ontario	Convenience store	**Bob**’s store
Ontario	Convenience store	Ke**bob** Express
Ontario	Convenience store	**Bob**cat Outdoor

10.	**“Exact” Search** To provide the User with the option to perform an exact search based on the search values entered. Search criteria example: a. *Province/Territory* value is “Ontario” (exact). b. *Establishment Sub-Type* value is “Convenience store” (exact).	☐	☐
11.	**“Case” Search** To provide the User with an option 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: a. montreal b. Montreal c. MONTREAL	☐	☐
12.	**“Diacritic” Search** To provide the User with an option to change the search from sensitive diacritic/accents to insensitive diacritic/accents, for example, à, é, ç. 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: a. Montreal b. Montréal	☐	☐

13.	**Search Results Display** To display search results in a multi-column list view format (table/data grid), when a search is performed.	☐	☐
14.	**Search Result Page Navigation** To provide the User with a method to navigate the search result pages.	☐	☐
15.	**Result Set Position and Size** To display, in the search results, the following information: a. Total number of search results; b. Current search results range being displayed; c. Current Page; d. Total number of pages. For example, 1 to 20, of 500 results.	☐	☐
16.	**Preview** To permit 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 Total 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 provide the functionality:		
1.	**View User Profile Details** For the Account Administrator to view the following field values for a User Profile: a. *Full Name;* b. *User Name;* c. *Job Title;* d. *User Role;* e. *User Level;* f. *User Status;* g. *Profile Region;* h. *Profile Sub-region;* i. *Profile Province/Territory;* j. *Profile City;* k. *Profile Street;* l. *Password;* m. *Phone Number;* n. *Email address;* o. *Language Preference.*	☐	☐
2.	**Create User Profile** For the Account Administrator to create a User Profile.	☐	☐
3.	**Update User Profile** For the following Users to update a User Profile: a. Account Administrator; b. User who owns the profile.	☐	☐

4.	**Create User Roles and Assign Privalleges** For the Account Administrator to create User roles and assign privileges to each role. Example, create a role of "Specialist", and set the privilege to "read-only" the *Activity Type* value fields within an activity.	☐	☐
5.	**Assign Rights and Roles** For the Account Administrator to assign rights and roles to a User profile. Example, assign the User profile the role of "Specialist".	☐	☐
6.	**Assign User Profile Status** For the Account Administrator to set a *User Status* value as follows: a. "Inactive" if the User Id is not associated with an activity or establishment. b. "Active" to activate the User account.	☐	☐
7.	**Delete the User Profile** For the Account Administrator to delete a User profile if the User Id is not associated with an activity or establishment.	☐	☐
8.	**Create User Groups** For the Account Administrator to create User Groups. Example, the Regional User Group should contain all regional supervisors and subordinates.	☐	☐
9.	**Assign the User to the User Group** For the Account Administrator to assign a User profile to a User Group.	☐	☐
10.	**Self-Management of User Preferences** For the User to set their User Profile Preferences for the following User Roles: a. Inspector; b. Supervisor.	☐	☐
11.	**User Notification Subscription Management** For the User to manage their User notification subscription (scheduled and event driven). Example, the User selects to receive email notifications weekly showing the number of open activities in their Workload Overview (dashboard).	☐	☐
12.	**Notification Via Email Management** For the User to set their preferred notification frequency for each type of solution-generated Email (only one email notification frequency for each solution-generated email notification type).	☐	☐
13.	**Notification Via Internal Notification Management** For the User to set their preferred notification frequency for each type of solution-generated internal notification.	☐	☐
14.	**User Preferences for Alerts** For the User to set their preference to show/hide system alerts. Example, for loss of unsaved data.	☐	☐
15.	**User Profile Management** For the User to update their User profile for the following fields: a. *Full Name;* b. *Profile Region;* c. *Profile Sub-region;* d. *Profile Province/Territory;* e. *Profile City;* f. *Profile Street;* g. *Password;* h. *Phone Number;* i. *Email address;* j. *Language Preference;*	☐	☐

Part 6: User Account Administration Assessment Total 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 moving through the workflow intuitive.	☐	☐	☐	☐	☐

18	I found moving through the workflow frustrating.	☐	☐	☐	☐	☐
19	Overall, I found the Prototype Solution provided a consistent, predictable, intuitive experience.	☐	☐	☐	☐	☐
20	Overall, I found the Prototype Solution provided a consistent Graphical User Interface (GUI) that made it highly usable. For example, consistent labelling, field placement, input feedback, notifications, keyboard-friendly input and general behaviour.	☐	☐	☐	☐	☐
	Part 7: Total System Usability Scale Assessment Total Score:				**/ 200**	

Note 1 - Scoring Calculations:

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