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**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
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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. 012
Client Reference No. - N° de référence du client HT372-192532	Date 2021-05-14
GETS Reference No. - N° de référence de SEAG PW-\$\$XL-135-38567	
File No. - N° de dossier 152xl.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: <input type="checkbox"/> Destination: <input type="checkbox"/> Other-Autre: <input type="checkbox"/>	
Address Enquiries to: - Adresser toutes questions à: Grant, Ryan	Buyer Id - Id de l'acheteur 152xl
Telephone No. - N° de téléphone (873) 355-1916 ()	FAX No. - N° de FAX (819) 956-2675
Destination - of Goods, Services, and Construction: Destination - des biens, services et construction:	

Instructions: See Herein

Instructions: Voir aux présentes

Delivery Required - Livraison exigée	Delivery Offered - Livraison proposée
Vendor/Firm Name and Address Raison sociale et adresse du fournisseur/de l'entrepreneur	
Telephone No. - N° de téléphone Facsimile No. - N° de télécopieur	
Name and title of person authorized to sign on behalf of Vendor/Firm (type or print) Nom et titre de la personne autorisée à signer au nom du fournisseur/ de l'entrepreneur (taper ou écrire en caractères d'imprimerie)	
Signature	Date

Solicitation Amendment 012 is raised to:

1. Delete Glossary of Terms from Solicitation Amendment 010; and
 2. Update Annex A – Statement of Work.
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1.0 DELETE Glossary of Terms from Solicitation Amendment 010. See Annex A – Statement of Work as inserted below which includes Appendix C – Glossary of Terms.

2.0 ANNEX A – STATEMENT OF WORK

DELETE Annex A – Statement of Work its entirety and **INSERT** the following:

**ANNEX A
STATEMENT OF WORK**

1. INTRODUCTION

1.1. Title

- a) *National Integrated Compliance and Enforcement Management Solution* hereafter referred to as the "Solution".

1.2. Overview

- a) The Government of Canada requires perpetual licenses for a web based National Integrated Compliance and Enforcement Management Solution that will be managed and hosted by the Contractor on a Shared Services Canada (SSC) certified 3rd party Protected B cloud platform that:
 - i) Allows the Tobacco Control Directorate (TCD) and the Tobacco and Vaping Compliance and Enforcement Program (TVCEP) to:
 - (A) fulfill its mandate to support and enable Health Canada (HC) to meet the business and legislative needs as required under the *Tobacco and Vaping Products Act* (TVPA), its Regulations, and other related legislations;
 - (B) plan, carry out, track, document, and evaluate its national Compliance and Enforcement (C&E) program activities with respect to tobacco and vaping products;
 - (C) receive electronically submitted structured data through a secure portal and secure Representational State Transfer (RESTful) API;
 - (D) receive public comments and complaints through a secure portal in accordance with Canada's Federal Identity Program; and
 - (E) perform data analytics.
 - ii) Must provide a method for the tobacco and vaping product industry to submit mandated reports electronically through a secure portal and secure RESTful API in accordance with Treasury Board Secretariat (TBS) policy (see Section 5. Reference Documents).
 - iii) Replaces an existing suite of legacy C&E web applications and various software and data tools. The Solution will include functionality from the legacy applications as well as new functionality.
 - iv) Must be easily modifiable to accommodate ongoing new and developing tobacco and vaping products legislation, and C&E business policies, processes, procedures, guidelines and programs.
 - v) Must be bilingual (English and French).
 - vi) Must be complete, bug free and compliant to the specifications of this document.
 - vii) Must be hosted on a Shared Services Canada (SSC) certified 3rd party Protected B cloud platform in Canada.
 - viii) Must be compliant with Canada's security requirements.
 - ix) Must be in conformance with the current Web Content Accessibility Guidelines (WCAG) at the time the RFP closes as specified by TBS.

- x) The Government of Canada must have access to its data at all time, as such the data must reside in a nonproprietary format. If the data is store in an encrypted format, Canada must also have the key to access the data. Canada will retain ownership of all data in the Solution including business data, monitoring data, and metadata.

1.3. Background

- a) Health Canada's TCD, within the Controlled Substances and Cannabis Branch (CSCB), and TVCEP within the Regional Operations and Enforcement Branch (ROEB), are responsible for:
 - i) The administration and enforcement of the TVPA and its Regulations;
 - ii) Developing the policies, processes, procedures, guidelines, and programs, required to support Health Canada's C&E program activities with respect to tobacco and vaping products.
- b) TCD and TVCEP are mandated to support Health Canada's C&E program activities authorized under the following federal legislations:
 - i) the TVPA which came into force May 23, 2018, and it's Regulations, such as but not limited to:
 - (A) the *Amended Tobacco Reporting Regulations* which came into force March 4, 2019;
 - (B) the *Tobacco Product Regulations (Plain and Standardized Appearance)* which came into force November 9, 2019, with several implementation dates between 2019 and 2022;
 - (C) the *Vaping Products Labelling and Packaging Regulations* which came into force July 1, 2020, with exception the child-resistant requirements for refillable vaping devices and their parts that will come into force on January 1, 2021;
 - (D) the *Tobacco Product Promotion Regulations* which came into force August 7, 2020, with exception for point-of-sale display restrictions that came into force on September 6, 2020.
 - ii) ongoing development of additional regulations under the TVPA.
 - iii) specific sections of the *Canada Consumer Product Safety Act (CCPSA)* as they relate to tobacco and vaping products.
- c) C&E program activities are conducted according to established policies, business processes, procedures, matrices, strategies, and guidelines, such as, but not limited to: The Compliance & Enforcement Policy For the *Tobacco and Vaping Products Act*, the Guidelines on Inspections and Investigations, and Procedures for Inspection.
- d) The staff responsible for C&E program activities are located in several organizational units across Canada. Each organizational unit, or region, is composed of specific provinces and territories. The provinces and territories within each organizational unit are occasionally re-organized.
- e) C&E program activities may be initiated in, and transferred between, any organizational unit. C&E program activities are carried out across Canada. They are conducted on-site (at establishment locations) or off-site (not at establishment locations) under the authority of the appropriate federal legislation.
- f) There are three main categories of C&E program activities. They each follow the same compliance and enforcement process with minor variations. These categories include:
 - i) Compliance Promotion:
 - (A) Compliance Promotion activities are conducted by inspectors who provide targeted and specific information to regulated parties to inform them of their responsibilities under the legislation and to assist and encourage compliance with the applicable legislation. In addition to the documentation of time, date and information shared, all feedback, and relevant information regarding the regulated parties, is collected and documented and tracked against specific legislated sections
 - (B) Compliance Promotion information is also shared and distributed via various modes of communication, such as during on-site visits, mail, public notices, advertising in trade publications, e-mail, websites, etc.
 - (C) Compliance Promotion activities must be documented and tracked against specific legislation sections.

- (D) Compliance Promotion activities never include any enforcement actions.
- ii) Inspections:
 - (A) Inspection activities are conducted by inspectors under the authority of the appropriate federal legislation to verify compliance with the requirements of the legislation. These activities include both cyclical (pre-planned) and reactionary activities (for example, in response to complaints and observed non-compliances of regulated parties), and inspections of industry report submissions.
 - (B) Industry reports are submitted according to a mandatory cyclical schedule, a specific business event, or on request. This includes scheduled reports not received according to the prescribed time lines (that is late or absent). All industry report submissions are subjected to the compliance and enforcement process.
 - (C) When non-compliances are observed, possible enforcement actions, ranging from warning letters to prosecution are considered based on a variety of factors including compliance history, severity of the non-compliances, specific business rules, etc. Along with any necessary management approvals, all non-compliances and enforcement actions must be documented, tracked, and referenced against specific legislation sections.
 - (D) Upon completion of the original activity, a subsequent, related activity (for example, inspection, investigation or compliance promotion of the regulated parties) may be initiated.
- iii) Investigations:
 - (A) Investigation activities are conducted by inspectors under the authority of the Criminal Code of Canada. The purpose of an investigation is to determine penal liability of the regulated party with respect to non-compliance with the appropriate federal legislation sections.
 - (B) When non-compliances are found following an investigation, possible enforcement actions, including the preparation of a prosecution brief for consideration by the appropriate judicial authorities, are considered. Along with any necessary management approvals, all non-compliances and enforcement actions must be documented, tracked, and referenced against specific legislation sections.
- g) In the context of an inspection or investigation, artifacts may be collected for either internal TCD and TVCEP analysis or external laboratory analysis. All information related to the details of the collected artifact, the chain of custody as required, and the results of the analysis, must be documented.
- h) Some inspectors work in remote locations with little or no internet connectivity for extended periods. This results in inefficient duplication of documentation of activities, first using paper based documentation and then, once internet connection is available, re-documenting the activities via data entry into the existing legacy C&E applications.
- i) TCD and TVCEP business is currently supported by the following three legacy custom-built C&E web applications that were originally designed to support the *Tobacco Act* and its Regulations:
 - i) Tobacco Compliance Information Management System (TCIMS), which is used to document compliance and enforcement activities (compliance promotion, inspection, and investigation) with the TVPA and its Regulations;
 - ii) Tobacco Reporting Regulations System (TRRS), which is used to track the receipt of industry reports and document the compliance of regulated parties with the Tobacco Act's Tobacco Reporting Regulations (TRR); and
 - iii) Federal Electronic Tobacco Reporting and Evaluation System (FETRES), which is primarily used to validate industry report data used in research and market surveillance work.
- j) The three legacy C&E web applications are written in Java and Flex and are hosted on a WebSphere platform with an Oracle database. The applications share a common sign on facility. The Users access the applications using a web browser on their Windows based desktop.
- k) Various software and data tools (including, but not limited to, Excel, Access, Lotus Notes databases, email) are used to supplement the functionality not available in the legacy C&E applications.

- l) The three legacy C&E web applications and various software and data tools are no longer adequate to meet TCD and TVCEP business and legislative needs under the TVPA. The legacy applications are not easily modified to accommodate ongoing changes to:
- (A) C&E policies,
 - (B) business processes,
 - (C) procedures,
 - (D) guidelines,
 - (E) programs,
 - (F) new and developing tobacco and vaping products regulations under the TVPA.
- m) Each of the legacy applications have some pre-configured reporting functionality. In addition, data in the legacy applications, various software and data tools are exposed to Cognos Analytics for business intelligence (BI) and analytics. Business intelligence and data analytics activities encompass the ability to analyse, summarize, and disseminate data received and/or collected through C&E program activities and other relevant research and surveillance activities. Business Intelligence activities inform evidence-based decision-making for policy and regulatory development, resource allocation for C&E program activities and information for the public.
- n) Although the applications are linked in some ways, there is a large amount of data siloing which limits data sharing and collaboration between business units. For example, there is currently no integrated application supporting the transfer of Tobacco Reporting Regulations (TRR) sales data for analysis by the Business Intelligence Division (BID).
- o) Currently, approximately 1,800 reports are received annually by HC from approximately 50 regulated parties. The frequency (for example, monthly, quarterly, annually, and bi-annually) of these reports can be found in the *Tobacco Reporting Regulations* <https://laws-lois.justice.gc.ca/eng/regulations/SOR-2000-273/page-1.html>. The majority of reports are required annually and submitted between January and March.
- p) These reports are delivered by courier or email, and are written on paper and or in various digital formats. Furthermore, the report data are not consistently structured which makes evaluation and cross report data analysis very laborious and inefficient.
- q) The majority of TCD/TVCEP users of the legacy applications and various software and data tools are inspectors located in each province and territory across Canada.
- r) The three legacy C&E web applications support the following:
- Users:
- **175** active users;
 - **175** deactivated accounts (kept for record keeping policy);
 - An average of **25** concurrent user sessions at peak times.
- Usage:
- **10,000** activities completed annually;
 - **1,800** industry reports processed annually.

1.4. Objectives

- a) Canada requires a Solution that must:
- i) Provide usability, functionality, and configurability.
 - ii) Integrate the data from the three legacy systems and various software and data tools into one Solution.
 - iii) Meet the requirements identified in Section 3. Phase 2 – Full Solution of this document.
 - iv) Implement existing and new workflows and business processes;
 - v) Provide workload management;
 - vi) Provide users with the capability to analyze data in order to support decision making;
 - vii) Provide direct access to real-time Solution data for business intelligence and analytics through API's to support policy and regulatory development;
 - viii) Support the streamlined processing of submitted industry reports;

- ix) Support the submission of large volumes of structured data;
- x) Be operational on a SSC certified 3rd party Protected B cloud platform
- b) Canada also requires the following services on and as and when requested basis:
 - i) Training Services for Solution Administrators.
 - ii) Professional Services for additional configuration, implementation, data migration, and other work identified during the duration of the Contract.
 - iii) Training Services for end-users.

1.5. Scope of Work

- a) Canada is seeking to replace its three existing C&E legacy applications (TCIMS, TRRS, and FETRES) and related software and data tools with an integrated Solution that is configurable to accommodate new legislation and business rules, as well as new functionality.
- b) Work will be conducted in accordance with the 2 phases described below:
 - i) Phase 1 - Prototype Solution: The Contractor must develop and deliver a Prototype Solution in accordance with Phase 1 work as described in Section 2. Phase 1 - Prototype Solution and in Appendix A- Capability and Usability Assessment (CUA).
 - ii) Phase 2 - Full Solution: On completion of Phase 1 work and following the Capability and Usability Assessment (CUA) of Prototype Solutions submitted to Canada, Canada, at its sole discretion, will exercise the irrevocable option to the top ranked Contractor to develop and deliver the Full Solution in accordance with Phase 2 work as described in section 3. Phase 2 - Full Solution and in Appendix B –Full Solution Requirements.
- c) The Full Solution will need to accommodate growth of new potential users and all C&E program activities, including the increase in the number of mandated reports submitted by industry that are expected to occur over the lifespan of the Solution, as the legislation of the TVPA is fully developed and enforced.

1.6. Optional scope

- a) Canada also requires the following services on and as and when requested basis, including but not limited to:
 - i) Professional Services for additional installation, configuration, and data migration from legacy systems and various ad-hoc data repositories, and other work identified during the duration of the Contract;
 - ii) Training Services for end-users and Solution Administrators;
 - iii) Migration to an alternate hosting environment in the event that Canada's business requirements change.
 - iv) Provision of a document management system for documents generated by Canada where the user is able to configure the document management component to meet with record keeping and information management and disposition best practices through the following capabilities, including but not limited to:
 - (A) Disposition Schedule
 - (B) Disposition List
 - (C) Record Disposition
 - (D) Record Archival and Retrieval
 - (E) Disposition Hold
 - v) Configuration of additional workflows, such as policy and regulatory development, surveys, and market research.

1.7. Current Health Canada Technical Environment Overview

- a) HC User Environment Overview
 - i) HC user desktops run on Windows 10 and contain Microsoft Office 2016 applications (Word, Excel, PowerPoint, and Outlook).

- ii) All HC user have the ability to connect to the internet, although some connections could be slow or nonexistent in rural areas.
 - iii) HC users do not have proxies; however, much of the traffic exits through common gateways.
 - iv) Cognos Analytics 10, Power BI, and other data analytic tools, are available to HC users.
- b) Legacy Application Environment Overview
- i) The existing legacy applications (TRRS, FETRES, and TCIMS) identified in Section 1.3 g) run on SUSE Linux Enterprise Server 11
 - ii) The database is Oracle 11g
 - iii) The application server is WebSphere 8.5

1.8. Estimated Full Solution Volume

Canada projects the following usage estimates over the lifespan of the Solution. The estimates are provided for informational purposes and do not represent a commitment that Canada's future usage will be consistent with this data.

- a) Canada estimates an initial requirement of 200 perpetual licenses with an estimated growth over the course of the contract upwards of 400 perpetual licenses.
- b) Canada estimates a total requirement of 2,900 regulated parties (tobacco and vaping product industry) and laboratories to access the portal to upload or download data at the time of delivery of the Full Solution; It is estimated that over a 10 year span usage of the Solution will increase to upwards of 3,900 regulated parties (tobacco and vaping product industry) and laboratories.
- c) Estimated number of concurrent users without degradation to performance
 - i) Canada estimates the following Government of Canada (GOC) concurrent Solution usage:
 - (A) Average: 200 users
 - (B) Minimum: 100 users
 - (C) Maximum: 300 user
 - ii) Canada estimates the following regulated parties (tobacco and vaping product industry) and laboratories secure portal and RESTful API concurrent usage:
 - (A) Average: 300 regulated parties (tobacco and vaping product industry) and laboratories
 - (B) Minimum: 100 regulated parties (tobacco and vaping product industry) and laboratories
 - (C) Maximum: 3,300 regulated parties (tobacco and vaping product industry) and laboratories
- d) Estimated Usage
 - i) Canada estimates a requirement of an average of 60,000 GOC user generated activities completed annually estimated to grow to 74,000 activities completed annually
 - ii) Canada estimates a requirement of an average of 51,000 industry reports estimated to grow to 65,000, processed annually through the secure portal and secure RESTful API. The reports would be submitted monthly, quarterly, annually, or bi-annually, but the majority of reports are required annually and submitted between January and March.
- e) Estimated Data Storage
 - i) Canada estimates industry report file sizes between 10KB and 5GB.
 - ii) Canada estimates data storage to be 500 gigabytes (GB), with an estimated growth of up to 5 terabytes (TB) of data over 10 years.

2. PHASE 1 – PROTOTYPE SOLUTION

2.1. Scope of Work

- a) The scope of work for the Prototype Solution involves the planning, design, development, configuration, testing and delivery of a production quality, hosted, working Prototype Solution ready to be deployed, in accordance with the Phase 1 - Prototype Solution Requirements and Deliverables.

2.2. Prototype Solution Requirements

- a) The Contractor must configure and deliver a Prototype Solution that may be comprised of any combination of Commercial-Off-The-Shelf (COTS) software or open-source software in accordance with the requirements as described in this section and in Appendix A - Capability and Usability Assessment (CUA). Interoperability and Integration points between components of the Prototype Solution must be transparent to the User.
- b) The Prototype Solution must provide access for 25 licensed users and support up to six (6) concurrent users without degradation to the Solution's performance.
- c) The Contractor's resulting configuration of the Prototype Solution must provide Canada with an integrated web application that supports all capabilities described in the user scenarios detailed in Appendix A – Capability and Usability Assessment (CUA) document.
- d) The Contractor must provide the following Phase 1 - Prototype Solution Non-functional requirements identified below:
 - i) Phase 1 - Prototype Solution Kick-off meeting which must:
 - (A) Be conducted in accordance with federal public health recommendations related to COVID-19; occur virtually via video conference, teleconference or at a mutually agreed location in Canada's National Capital Region;
 - (B) Be chaired by the PSPC Contracting Authority;
 - (C) Include a presentation (if applicable) and an agenda for the meeting to be provided to the PSPC Contracting Authority at least 2 business days prior to the kick-off meeting; and
 - (D) Include minutes of the meeting to the PSPC Contracting Authority for approval within three (3) business days after the start date of the meeting and prior to distribution to all Authorities.
 - ii) Draft Phase 2 – Full Solution Project Implementation Plan proposed for Phase 2 work which must include:
 - (A) Processes, that will be used throughout the project to ensure its timely planning, execution, and control, will include:
 - 1) Quality Management;
 - 2) Communications Management;
 - 3) Risk Management;
 - 4) Change Management.
 - (B) 1 Draft Phase 2 – Full Solution Project Schedule proposed for Phase 2 work, which must include a detailed listing of stages, tasks and subtasks, with start and completion dates, responsibilities, and predecessors for each. Tasks must include all design, integration and implementation activities, deadlines, milestones, draft deliverables, review periods, final deliverables and sign offs;
 - iii) Draft Phase 2 – Full Solution Technical Infrastructure Design document proposed for Phase 2 work which must include, at a minimum, information on design details for the hosted cloud environment(s) proposed by the Contractor, containing, at a minimum, detailed information on:
 - (A) Methodology, tools, procedures, activities, and services;
 - (B) Security infrastructure and services (identify, protective, monitoring and detective, and responsive and recovery);
 - (C) Network and connectivity;

- (D) Performance characteristics; and
- (E) Availability and flexibility requirements.
- iv) Solution Support Documentation, which includes, at a minimum:
 - (A) Details on how to adapt fields, business rules, business process workflows, and data structure, as and when requested, to support Canada's business needs.
 - (B) Setup and Operations guide that includes, but not limited to, all installation, setup, management, and configuration instructions for the Prototype Solution;
 - (C) Support documentation or help files for each Use Case (scenario) in the Capability and Usability Assessment;
 - (D) Test procedures.
- v) 1 Prototype Solution Delivery which must include:
 - (A) Access for 25 Authorized users, with all Prototype Solution usage rights grants;
 - (B) Sample data provided by Canada migrated to the Prototype Solution;
- vi) Contractor Engagement and Progress Update Sessions
 - (A) Contactor engagement and progress update sessions to be held throughout the Prototype Solution development phase and conducted in accordance with federal public health recommendations related to COVID-19 and occur virtually via video conference, teleconference or at a mutually agreed location in Canada's National Capital Region. This provides a collaborative opportunity for the Business Client and Technical Authority to interact with the Contractor throughout the Prototype development to answer questions on the requirements, and provide feedback on prototypes, thus ensuring a thorough understanding of the requirements while promoting users at the forefront.
 - (B) Progress Update Sessions must include:
 - 1) Tasks in-progress or completed since last progress update
 - 2) Tasks planned for the next 2 weeks and estimated completion date
 - 3) Issues preventing ongoing and upcoming tasks from being completed

2.3. Capability and Usability Assessment

- a) Canada will conduct a Capability and Usability Assessment (CUA) on the Prototype Solution deliverables in accordance with the assessment procedures and criteria identified in Appendix A – Capability and Usability Assessment (CUA).

2.4. List of Prototype Deliverables

- a) The Contractor must prepare and submit to the Technical Authority the Phase 1 – Prototype Solution deliverables:
 - i) 1 Phase 1 - Prototype Solution Kick-off Meeting
 - ii) 1 Draft Phase 2 – Full Solution Project Implementation Plan, that includes a Draft Phase 2 – Full Solution Project Schedule, proposed for Phase 2 – Full Solution work
 - iii) 1 Draft Technical Infrastructure Design proposed for Phase 2 – Full Solution work
 - iv) 1 Prototype Solution Documentation
 - v) 1 User Documentation
 - vi) 1 Prototype Solution Delivery
 - vii) Contractor Engagement and Progress Update Sessions

2.5. Prototype Deliverable Schedule

- a) Any document required to be submitted for Phase 1 – Prototype Solution work will be submitted via a method to be communicated by Canada.

- b) The following table identifies the dates of the deliverables identified in Section 2.4 List of Prototype Deliverables. The deliverables must be submitted to the Technical Authority in the format and by the delivery dates specified below.

Table 1: Phase 1 – Prototype Solution Deliverable Schedule

Deliverable #	Description of Deliverable	Delivery Date
i)	1 Phase 1 – Prototype Solution Kick-off Meeting	Within 1 week from Contract award date
ii)	Contractor Engagement and Progress Update Sessions, including Progress Reports, digital copy	Two sessions after Contract award date and prior to Prototype Solution Delivery
iii)	1 Draft Phase 2 – Full Solution Project Implementation Plan, including a Draft Phase 2 – Full Solution Project Schedule, proposed for Phase 2 - Full Solution work, digital copy	18 weeks after Contract award date
iv)	1 Draft Technical Infrastructure Design for Phase 2 – Full Solution work, digital copy	18 weeks after Contract award date
v)	1 Prototype Solution Documentation, digital copy	19 weeks after Contract Award date
vi)	1 User Documentation, digital copy	19 weeks after Contract Award date
vii)	1 Prototype Solution Delivery	20 weeks after Contract award date

2.6. Location and Travel

- a) Location of work is at the Contractor's facility. No travel is anticipated. Canada will not reimburse any travel expenses incurred.

2.7. Language of Work

- a) The primary language of work will be in English and all reports, technical documents and project updates must be provided in English.
- b) The Prototype Solution and the interface for the Prototype Solution (i.e., interface used by users) must be in English.

3. PHASE 2 – FULL SOLUTION

- a) All work listed under section 3. Phase 2 – Full Solution is subject to and contingent upon, at Canada's sole discretion, Canada's decision to exercise the irrevocable option under Article 7.1.2 i) in the Contract to authorize the Contractor to perform all or a portion of the work described.

3.1. Scope of Work

- a) The Contractor must deliver a Full Solution that is a bilingual Solution containing all functional and non-functional requirements as specified in 3.2 Full Solution Requirements and in the Full Solution Requirements section of the Appendix B- Full Solution Requirements document of this SOW.
- b) The Contractor must install and deploy the Solution to a SSC certified 3rd party Protected B cloud platform located in Canada.
- c) The Contractor must configure and deliver a Solution that may be comprised of any combination of Commercial-Off-The-Shelf (COTS) software or open source software; however, the resulting configuration must comply with the requirements described in this SOW.
- d) The Contractor must provide Solution Administrator training.
- e) The Contractor must provide the following additional optional services on an as-and-when-requested basis, following the Task Authorization process in accordance with Article 7.10 of the resulted Contract award that will be applicable after Canada has exercised its irrevocable option to exercise Phase 2 - Full Solution work:
 - i) Professional Services.
 - ii) Training Services.
 - iii) Migration to an alternate hosting environment in the event that Canada's business requirements change.
 - iv) Solution Instances.

3.2. Full Solution Requirements

- a) The Full Solution must be a fully-functional, bilingual (English and French), managed hosted web Solution on a SSC certified 3rd party Protected B cloud platform located in Canada, with access for 200 licensed users and one administrator account that will be accepted and considered by Canada as having Quality of Use, Configuration, Execution and Results, and be compliant with the requirements of the Contract at all times. The Solution must support the estimated Solution volume identified in section 1.8 – Estimated Full Solution Volumes.
- b) The Full Solution must contain all technical, non – functional, and functional requirements as described in 3.2 Full Solution Requirements and in the Full Solution Requirements section of the **Error! Reference source not found.- Error! Reference source not found.** document.
- c) The Contractor must provide the following Non-functional requirements summarised below:
 - i) Phase 2 - Full Solution Kick-off Meeting which must:
 - (A) Discuss the overall phase 2 approach and methodology, requirements, working relationships, timeframe, risks and issues;
 - (B) Conducted in accordance with federal public health recommendations related to COVID-19 and occur virtually via video conference, teleconference or at a mutually agreed location in Canada's National Capital Region. The Chairperson for the kick-off meeting will be the PSPC Contracting Authority;
 - (C) Include a presentation (if applicable) and an agenda to the Contracting Authority within three (3) business days prior to the start date of the meeting; and
 - (D) Include minutes of the kick-off meeting to the Contracting Authority for approval within three (3) business days after the start date of the meeting, and prior to distribution to all Authorities.
 - ii) The Contractor must prepare, develop, and implement the following plans:
 - (A) Project Implementation Plan

- 1) The Contractor must submit a Project Implementation Plan prepared in consultation with the Technical Authority.
- 2) The Project Implementation Plan will ensure the successful deployment of the Solution.
- 3) The Project Implementation Plan must include, at a minimum:
 - I. Processes, that will be used throughout the project to ensure its timely planning, execution, and control, must include:
 - a. Project integration management process to indicate the contractor's approach and procedures to ensure the various elements of the projects are properly coordinated
 - b. Scope management process to indicate the contractor's approach and procedures to ensure all the work is included in the project.
 - c. Schedule management process to indicate the contractor's approach and procedures in handling and managing the project schedule during contract execution.
 - d. Quality management process to indicate the contractor's approach and procedures in ensuring project quality is met and maintained during contract execution.
 - e. Communications management process to indicate the contractor's approach and procedures in communicating with the Contracting Authority, Technical Authority, and HC client users during contract execution.
 - f. Risk management process, indicating how the contractor intends to identify, mitigate, manage, and report risks during contract execution.
 - g. Requirements management process to indicate the contractor's approach and procedures in handling and managing requirements during contract execution.
 - h. Change management process to indicate the contractor's approach and procedures in handling and managing changes to the requirements, scope, schedule, and cost during contract execution.
 - i. Planning assumptions made by the contractor during developing the Project Implementation Plan.
 - II. Project Schedule, prepared in consultation with the Technical Authority, must include:
 - a. The scope of the phase 2 work including milestones, events, and deliverables to be delivered under this Statement of Work (SOW);
 - b. A Gantt chart format schedule based on a planned sequence of events;
 - c. A clear indication of the phase 2 critical path schedule based on an assessment of the network logic schedule;
 - d. Identify the roles and responsibilities of the Contractor's personnel, including sub-contractors, involved in the project;
 - e. Identify the project phases, deadlines, review periods, sign offs, deliverables and milestones of the work;
 - f. Identify each contract deliverable as a milestone;
 - g. Identify project milestone dates; and
 - h. Clearly describe any dependencies on Technical Authority review and approval.
- 4) Proof Of Portal Staged Demonstrations: Demonstrate External Data Submission workflows for Industry Reports in several staged demonstrations configured and implemented for specific Sections of the TRR.

Each stage will include the functionality delivered in the previous stage. The functionality to be demonstrated in each phase will be determined in consultation with Technical Authority. The external data submissions must be demonstrated for the following workflows and Industry Reports:

- I. Secure Portal workflow for Section 11 of the TRR.
 - II. Secure RESTful API workflow for Section 13 of the TRR.
- 5) Full Solution Staged Demonstrations: Demonstrate functionality in several staged demonstrations configured and implemented as follows:
- I. Stage 1:
 - a. Establishment
 - b. User Management
 - c. Solution Administration
 - d. Single Sign On
 - II. Stage 2:
 - a. Online Compliance and Enforcement workflows
 - b. Address Validation
 - III. Stage 3: Full External Data Submission Secure Portal and Secure RESTful API workflows
 - IV. Stage 4:
 - a. Offline Solution
 - b. Cloud hosting
 - c. Bilingual Solution (English and French)
 - d. WCAG conformance
 - e. Pre-defined Reports
 - f. Ad-hoc Search
 - g. Full Security Controls
 - V. Stage 5: Business Intelligence and Analytics functionality
- (B) Project Status Reporting Plan
- 1) The plan will define how, for the duration of the contract, the Contractor will provide the most current version of the progress update reports for the approval of the Technical Authority on the status of all work, detailing accomplishments for a bi-weekly period, open issues, and upcoming milestones.
- (C) Final Technical Infrastructure Design
- 1) The plan must include, at a minimum, information on design details for the hosted cloud environment(s) proposed by the Contractor, containing, at a minimum, detailed information on:
 - I. Methodology, tools, procedures, activities, and services
 - II. Security infrastructure and services (identify, protective, monitoring and detective, and responsive and recovery)
 - III. Network and connectivity
 - IV. Performance characteristics
 - V. Availability and scalability requirements.
- (D) System Security Control

Implement the security control as specified in Appendix E.

(E) Data Migration Plan

1) Prepared in consultation with Technical Authority, the Data Migration Plan must, as a minimum, identify:

I. Legacy Data mapping and conversion process

- a. Process to identify the legacy data to be migrated
- a. Data cleansing method to identify how the contractor will detect and correct (or remove) corrupt or inaccurate records from a record set, table, or database, and how they will replace, modify, or delete the dirty or coarse data.
- b. Migration method to identify the process to select, prepare, extract, transform and transfer data.
- c. Data migration schedule to identify the time frame the data migration is planned to occur.
- d. Post migration data integrity and quality test method to ensure the data was successfully migrated.

(F) Deployment Plan

1) Prepared in consultation with Technical Authority, the Deployment Plan must, at a minimum, include:

- I. Process to deliver the Solution.
- II. Transition strategy to have two systems working in parallel until all data and content is fully transitioned from the legacy applications to the new Solution.
- III. Timeframe for deployment, which includes how and when the Solution will be released.
- IV. Preparation required for the hosting environment, which will include a description of the tasks required prior to standing up the hosting environment.
- V. Deployment verification details, which outline the checks or tests that will ensure the Solution has been correctly deployed.
- VI. Validation details that describe the tests to ensure that the deployed Solution has met Canada's needs.
- VII. Rollback contingency details, which describe the actions that will be taken to return the Solution to its last known good state in response to a failed change and estimated durations for the rollback.
- VIII. Security in accordance with the Security Controls.
- IX. Data migration timeframes as described in the Data Migration Plan.
- X. End user tasks required in preparation for Solution deployment.
- XI. End user notification of Solution deployment.

(G) Maintenance and Support Plan

1) The Contractor must submit a plan for ongoing maintenance and support for the duration of the Contract including instructions for resolving Solution problems and requesting enhancements.

(H) Backup and Disaster Recovery Plan (DRP)

1) The Disaster Recovery Plan must identify the backup method and schedule, including regular backup verification and disaster recovery review and testing.

2) The Disaster Recovery Plan must document and describe:

- I. A structured approach as to how Canada can quickly resume work after an unplanned incident involving the Solution, including:
 - a. establishing the range or extent of necessary treatment and activity - the scope of recovery;
 - b. gathering relevant network infrastructure documents; and
 - c. identifying the most serious threats and vulnerabilities, and the most critical assets;
 - II. Procedures for updating the DRP and implementing a DRP audit;
 - III. Procedures to help Canada resolve data loss and recover system functionality so that it can perform in the aftermath of an incident, even if it operates at a minimal level;
 - IV. A set of policies, tools and procedures to enable the recovery and continuation of the Solution operation following a natural or human-induced disaster.
 - V. The Contractor will be required to work collaboratively with Canada to ensure that the DRP for the Solution integrates effectively with Canada's more broadly based DRP for the enterprise technology infrastructure and critical application systems operating within.
 - VI. The DRP must describe in sufficient detail how Canada can quickly recover and resume work after a major unplanned incident affects the Solution delivered by the Contractor.
 - VII. The Contractor must describe the approach to achieving Solution recovery and the approach to data recovery.
- (I) Solution Testing and Quality Management Plan
- 1) The Solution Testing and Quality Management Plan must describe how each requirement will be met, including test methods and test cases for each functional category as below:
 - I. Establishments, User Management, Solution Administration, and Single Sign On
 - II. Online Compliance and Enforcement workflows, and Address Validation
 - III. External Data Submission Secure Portal and Secure RESTful API workflows
 - IV. Offline workflows, Cloud hosting, Bilingual Solution (English and French), WCAG conformance, Pre-defined Reports, and Ad-hoc Search
 - V. Business Intelligence and Analytics
 - 2) The Contractor must prepare a Solution Testing and Quality Management Plan to describe how the functional and technical capabilities and processes will be tested in order to provide assurance to Canada that the Contractor's testing and quality management plans are in alignment with the requirements as defined in this SOW.
 - 3) The Solution Testing and Quality Management Plan must be approved by Canada. Solution Testing must be conducted in accordance with the approved Solution Testing and Quality Management Plan and in alignment with the approved Solution Implementation Plan.
 - 4) During development of the Solution, the Contractor must participate in quality management activities including reviews with Canada resources and Solution Users as well as testing (performance and regression) of various components and features of the system as needed to ensure acceptance.
 - 5) The Contractor's methodology must follow principles and values allowing frequent quality and review steps to be built in throughout the delivery and integration process.
 - 6) The Contractor's methodology must include Testing Plans consisting of:

- I. Regression Testing: Details on how the Solution will be tested to ensure a change or addition has not broken any existing functionality.
 - II. Pre installation Testing: Details on testing to ensure that the hosting environment is configured with the software, user accounts, directories, and other prerequisites required for an initial installation of the Solution.
 - III. Security Testing: Details on security tests to be performed to meet Canada's security requirements; and
 - IV. Smoke Tests: Outline the set of tests that ensure the major, critical functions of the Solution will work and stable enough to proceed to further testing.
- 7) The Solution Testing and Quality Management Plan must describe the Contractor's approach to the following best practices, including but not limited to:
- I. Test data for:
 - a. Unit Testing (including data and field validation testing);
 - b. Integration Testing;
 - c. Stress Testing;
 - d. Regression Testing; and
 - e. User Acceptance Testing.
 - II. Testing and acceptance includes:
 - a. Collaboration with stakeholders;
 - b. Definition of "Done"; and
 - c. End to end unit, functional, usability, accessibility, error, exception, compliance, interoperability, integration, and security (including vulnerability assessment scans) testing.
 - III. Maintenance Release and Patch Testing including regression testing due to updates;
 - IV. Test each incremental functional component and include the test results in each requirement's definition of Done in a Test Report;
 - V. Address quality, both reactively through testing and proactively encouraging practices to set the stage for quality work. Examples of proactive quality approaches include face to face communication, pair programming, and established coding standards;
 - VI. Create and test riskier features and functionality early in the project when sunk costs are still low; and
 - VII. Test smaller amounts of functionality that have just been created and do so to make problems easier to find.
- 8) The Contractor must provide a Solution Test Report(s) providing the results of the tests identified and performed as part of the Solution Testing and Quality Management Plan for each of the Full Solution Staged Demonstrations (as described in section 3.2 c ii) (A) 5).
- (J) Business Intelligence Plan that includes a description of the Business Intelligence tools to be used and how the BI tools will be implemented.
- (K) Training Plan
- 1) Prepared in consultation with Technical Authority, the Training Plan must include, at a minimum, recommendations for:
 - I. Training approach (for example, classroom, online, train the trainer).
 - II. Full training requirements by user role in preparation for Solution deployment

- III. On-demand training requirement for new users, refresher training, and in response to new functionality
 - IV. Administrator training necessary to keep the Solution running efficiently and to manage and maintain the services and functionalities provided by the Solution
 - V. Training schedule
 - VI. Hardware and software requirements for training delivery.
- iii) The Contractor must prepare and develop the following documentation:
- (A) Requirements Compliance Document
 - 1) The Requirements Compliance Document will describe how each requirement has been met for each of the Full Solution Staged Demonstrations (as described in section 3.2 c ii) (A) 5), including test methods and test cases for each functional category as listed below:
 - I. Establishments and User Management, Solution Administration, and Single Sign On
 - II. Online Compliance and Enforcement workflows, and Address Validation
 - III. External Data Submission Secure Portal and Secure RESTful API workflows
 - IV. Offline workflows, Cloud hosting, Bilingual Solution (English and French), WCAG conformance, Pre-defined Reports, Ad-hoc Search and Full Security Controls
 - V. Business Intelligence and Analytics
 - (B) 1 Exit Strategy Document
 - 1) An exit strategy for migrating to an alternate hosting environment in the event that Canada's business requirements change.
 - (C) Risk Registry Document
 - 1) The Risk Registry document will enable tracking and monitoring of risks throughout the project. The Risk registry must reflect the risk management process identified in the Project Plan.
 - (D) Solution Support Documentation must include, at a minimum:
 - 1) Setup and Operations guide that includes, but not limited to, all installation, setup, management, and configuration instructions for the Full Solution;
 - 2) Solution documentation;
 - 3) Help files;
 - 4) Source code (for all source code sponsored by the Government of Canada);
 - 5) Database schemas (for all schemas sponsored by the Government of Canada); and
 - 6) Details on how to adapt fields, business rules, business process workflows, and data structure, as and when necessary, to support Canada's business needs.
 - (E) Training Materials
 - 1) Develop Solution Administrator and end user training materials for various training delivery methods in accordance with the approved Training Plan and in consultation with the Technical Authority.
 - 2) Training materials and course content must be provided in formats and with permissions that allow the material to be copied and distributed as required within the Government of Canada.

- 3) All training material must be placed on a training area on the hosted site that is available for reference to the Government of Canada.
 - 4) All training material must be up dated every time the Solution is updated.
 - 5) All training material must be provided in both of Canada's official languages (English and French).
- (F) 1 Project Close-Out Report
- 1) Develop the Project Close-Out report to mark the completion of the project;
 - 2) Assessing the project's performance and outcomes, identifying the lessons learned, and confirming that essential contractual and other project close-out activities have been completed;
 - 3) Complete the transfer of assets, deliverables, and all ongoing administrative functions to the Technical Authority; and
 - 4) The Contractor may decide the best format and number of artifacts (e.g., diagram, views, models, matrices) that are required. Artifacts submitted must be clearly and concisely described, and allow the Technical Authority to understand how the requirements are being met.
- (G) Progress Meetings
- 1) Progress meetings to be held throughout the Full Solution development phase. This provides a collaborative opportunity for the HC Business Client and Technical Authority to interact with the Contractor throughout the development to answer questions on the requirements, and provide feedback on the development, thus ensuring a thorough understanding of the requirements. The Progress Meetings must include:
 - I. Tasks in-progress or completed since last progress update
 - II. Tasks planned for the next 4 weeks and estimated completion date
 - III. Issues preventing ongoing and upcoming tasks from being completed
 - IV. Progress reports
 - iv) Migrate existing TCD and TVCEP legacy application data and applicable data from various software tools. These legacy data sources include, but are not limited to:
 - (A) Databases (Such as Oracle, MS Access);
 - (B) Excel worksheets;
 - v) Solution Administrator training on the services and functionalities of the Solution. Administrator Training will be delivered in English and conducted in accordance with federal public health recommendations related to COVID-19 and occur virtually via video conference, teleconference or at a mutually agreed location in Canada's National Capital Region.

3.3. Deliverables Overview

- a) The Contractor is required to implement the project using proven methodologies that includes services for project management, system design configurations, deployment, documentation, testing, training and end-user support and on-going support for the delivery of fully functional Solution, including:
 - i) Providing in-depth as-and-when requested consultation regarding best practices and process efficiencies, ensuring a successful integration with the Technical Authority processes, procedures and technical environment;
 - ii) Providing as-and-when requested training and training materials for end users and administrators.
 - iii) Providing support to ensure that Canada maximizes both the use and cost effectiveness of the Solution.

- b) To ensure the success of the implementation of the Solution, the project will include, at minimum, the implementation deliverables as listed below. The creation of each deliverable is the responsibility of the Contractor and must be formally presented to the Technical Authority for review and acceptance. For milestones with multiple stages, each stage is expected to contain each deliverable (unless noted otherwise).
- c) The Contractor must use Canada-approved 2016 version of Microsoft Office applications (Word, Excel, PowerPoint, Visio, Project, and Access) to create and update document deliverables. All documents must be fully editable so they can be updated by Canada. At Canada's discretion, the Contractor may be required to submit documents in other softcopy formats.

3.4. List of Full Solution Deliverables

- a) The Contractor must prepare and submit to the Technical Authority the following Phase 2 – Full Solution deliverables:
 - i) 1 Kick-off Meeting
 - ii) 1 Project Schedule
 - iii) 1 Project Implementation Plan
 - iv) 1 Proof Of Portal Staged Demonstration
 - v) 1 Project Status Reporting Plan
 - vi) 1 Final Technical Infrastructure Design
 - vii) 1 Data Migration Plan
 - viii) 1 Deployment Plan
 - ix) 1 Maintenance and Support Plan
 - x) 1 Backup and Disaster Recovery Plan (DRP)
 - xi) 1 Solution Testing and Quality Management Plan
 - xii) 1 Business Intelligence Plan
 - xiii) 1 Training Plan
 - xiv) 1 Solution Test Report
 - xv) 1 Exit Strategy
 - xvi) 1 Risk Registry
 - xvii) 1 Solution Support Documentation
 - xviii) 1 Training Materials
 - xix) 1 Full Solution Staged Demonstrations
 - xx) 1 Requirements Compliance Document
 - xxi) 1 Solution Administrator Training
 - xxii) 1 Data Migration
 - xxiii) 1 Full Solution Delivery
 - xxiv) 1 Project Close-Out Report
 - xxv) Contractor Engagement and Progress Update Sessions

3.5. Full Solution Deliverable Schedule

- a) Any document required to be submitted for Phase 2 – Full Solution work will be submitted via a method to be communicated by Canada.
- b) The following table identifies the dates of the deliverables identified in Section 3.4. List of Full Solution Deliverables. The deliverables must be submitted to the Technical Authority in the format and by the delivery dates specified below.

Table 2: Phase 2 – Full Solution Deliverable Schedule

Deliverable #	Description of Deliverable	Delivery Date
1.	1 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
2.	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
3.	1 approved Project Schedule, digital copy as described in section 3.2 c ii) (A) 3) II	3 weeks from award date of Contract Amendment to Exercise Phase 2 Work Option
4.	1 approved Project Implementation Plan, digital copy as described in section 3.2 c ii) (A) 3)	3 weeks from award date of Contract Amendment to Exercise Phase 2 Work Option
5.	1 Proof Of Portal Staged Demonstration as described in section 3.2 c ii) (A) 4)	As depicted in the approved Project Schedule
6.	1 Project Status Reporting Plan, digital copy as described in section 3.2 c ii) (B)	As depicted in the approved Project Schedule
7.	1 Final Technical Infrastructure Design, digital copy as described in section 3.2 c ii) (C)	As depicted in the approved Project Schedule
8.	1 approved Data Migration Plan, digital copy as described in section 3.2 c ii) (E)	As depicted in the approved Project Schedule
9.	1 approved Deployment Plan, digital copy as described in section 3.2 c ii) (F)	As depicted in the approved Project Schedule
10.	1 approved Maintenance and Support Plan, digital copy as described in section 3.2 c ii) (G)	As depicted in the approved Project Schedule
11.	1 approved Backup and Disaster Recovery Plan, digital copy as described in section 3.2 c ii) (H)	As depicted in the approved Project Schedule
12.	1 approved Solution Testing and Quality Management Plan, digital copy as described in section 3.2 c ii) (I)	As depicted in the approved Project Schedule
13.	1 approved Business Intelligence Plan as described in section 3.2 c ii) (J)	As depicted in the approved Project Schedule
14.	1 approved Training Plan, digital copy as described in section 3.2 c ii) (K)	As depicted in the approved Project Schedule
15.	1 approved Solution Test Report for Full Solution Staged Demonstration Stage 1, digital copy as described in section 3.2 c ii) (I) 8)	As depicted in the approved Project Schedule
16.	1 approved Solution Test Report for Full Solution Staged Demonstration Stage 2, digital copy as described in section 3.2 c ii) (I) 8)	As depicted in the approved Project Schedule
17.	1 approved Solution Test Report for Full Solution Staged Demonstration Stage 3, digital copy as described in section 3.2 c ii) (I) 8)	As depicted in the approved Project Schedule
18.	1 approved Solution Test Report for Full Solution Staged Demonstration Stage 4, digital copy as described in section 3.2 c ii) (I) 8)	As depicted in the approved Project Schedule
19.	1 approved Solution Test Report for Full Solution Staged Demonstration Stage 5, digital copy as described in section 3.2 c ii) (I) 8)	As depicted in the approved Project Schedule
20.	1 approved Exit Strategy, digital copy as described in section 3.2 c iii) (B)	As depicted in the approved Project Schedule

Deliverable #	Description of Deliverable	Delivery Date
21.	1 approved Risk Registry, digital copy as described in section 3.2 c iii) (C)	As depicted in the approved Project Schedule
22.	1 approved Solution Support Documentation, digital copy as described in section 3.2 c iii) (D)	As depicted in the approved Project Schedule
23.	1 approved Training Materials, digital copy as described in section 3.2 c iii) (E)	As depicted in the approved Project Schedule
24.	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
25.	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
26.	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
27.	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
28.	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
29.	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
30.	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
31.	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
32.	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
33.	1 approved Requirements Compliance Document for Full Solution Staged Demonstration Stage 5, digital copy as described in section 3.2 c iii) (A)	As depicted in the approved Project Schedule
34.	1 approved Solution Administrator Training as described in section 3.2 c v)	As depicted in the approved Project Schedule
35.	1 approved Data Migration as described in section 3.2 c iv)	As depicted in the approved Project Schedule
36.	Full Solution Delivery – Go live	As depicted in the approved Project Schedule
37.	1 approved Project Closeout Report, digital copy as described in section 3.2 c iii) (F)	As depicted in the approved Project Schedule

3.6. Location and Travel

- a) Location of work is at the Contractor's facility. No travel is anticipated. Canada will not reimburse any travel expenses.

3.7. Solution Maintenance and Support

- a) Until the completion of the warranty period, the Contractor must:
- i) Track incidents and cases through their own incident management system. Provide reports on incidents/tickets and their resolution as requested by Canada and must be delivered to the requestor. The ticket should describe the issue and incidents in detail, ensure that reviews were performed corrective measures were approved, and that

- post-incident Quality Assurance (QA) activities were completed. Hold meetings as requested by Canada to discuss major incidents with the Solution.
- ii) Ensure that the Contractor's personnel must be qualified and able to respond to client and User questions and, to the extent possible, be able to resolve User problems by telephone or email and provide advice regarding functionality, configuration, and technical issues.
 - iii) Must notify Canada of forthcoming changes and potential operational issues with new releases for the Solution and provide notifications to Users of any changes that may impact service.
 - iv) Must provide a documented, incident management procedure that includes how the Contractor will respond to incidents and issues reported by Canada.
 - v) Must assign an account representative as an escalation point for support and account issues.
 - vi) Provide Level 1-3 Support, in both of Canada's official languages, of the Full Solution along with development and support of new features and share knowledge of ongoing development Solutions and initiatives.
 - (A) Level 1 – Initial support for basic customer contact and triage
 - (B) Level 2 – More in-depth technical support for troubleshooting and analysis
 - (C) Level 3 – Highest level of support for handling difficult or advanced problems
 - vii) Include Support capabilities, including training of features and enhancements, along with any additional support that Canada may require.

3.8. Official Language Requirements and language of Work

- a) The primary language of work will be in English and all reports, technical documents and project updates must be provided in English.
- b) The Full Solution must allow all users to work in both of Canada's official languages (English and French). The Full Solution, including the interface, must comply with relevant policies of the Government of Canada *Official Languages Act* and the Directive on Official Languages for Communications and Services.

4. ADDITIONAL OPTIONAL DELIVERABLES

- a) All Additional Optional Deliverables listed in this section are subject to and contingent upon, at Canada's sole discretion, Canada's decision to exercise the respective irrevocable options identified in the Contract at Part 7 – Resulting Contract Clauses, Article 7.1.2.

4.1. Optional Professional Services

- a) The Contractor must provide additional Professional Services, on an as-and-when-requested basis, in accordance with the Contract, Article 7.10. Professional Services must follow the Task Authorization process in accordance with Article 7.10.11.
- b) All Task Authorized work must be within the scope of the Contract. Work considered to be in accordance with the scope of the Contract may include, but is not limited to work associated with:
 - i) Updating the accepted Solution to accommodate changes to the Government of Canada Web Accessibility Standard Guidelines.
 - ii) Adding new functionalities to the accepted Solution to support changes to workflow due to policy or legislative changes.
 - iii) Adapting to changes in the Solution's IT environment.
 - iv) Migration to an alternate hosting environment in the event that Canada's business requirements change.
 - v) Test and Training Solution instances as and when required by Canada. In addition to the Production Instance, the following must be available:

- (A) Test Instance must enable Canada to implement and test changes to the Solution prior to implementation in the Production Instance. The Test Instance must be created on demand and be identical to the Production Instance. This instance must also be shut down and deleted on demand, for example, once new functionality has been implemented in Production.
- (B) Training Instance must enable Canada to perform end user training independent of the Production Instance. The Training Instance must be created on demand and be identical to the Production Instance. This instance must also be shut down or deleted on demand, for example, once training has completed.

4.2. Optional Training Services

- a) The Contractor must provide additional Training Services on an as-and-when-requested basis in accordance with the Contract, Article 7.10.10. Training Services must follow the Task Authorization process in accordance with Article 7.10.11 of the Contract.
- b) All Task Authorized Training Services must be within the scope of the Contract. Training Services considered to be in accordance with the scope of the Contract may include, but is not limited to, Solution-relevant training for administrators, and other identified users accessing the Solution.

5. REFERENCE DOCUMENTS

- Accessible Canada Act (<https://laws-lois.justice.gc.ca/eng/acts/A-0.6/>)
- Library and Archives of Canada Act (<https://laws-lois.justice.gc.ca/eng/acts/L-7.7/index.html>);
- Access to Information Act (<https://laws-lois.justice.gc.ca/eng/acts/A-1/index.html>);
- Privacy Act (<https://laws-lois.justice.gc.ca/eng/acts/P-21/>);
- Web Experience Toolkit (<https://www.canada.ca/en/treasury-board-secretariat/services/government-communications/web-experience-toolkit.html>)
- Web Standards for the Government of Canada (<https://www.tbs-sct.gc.ca/ws-nw/>), which include:
 - Accessibility (<https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=23601>)
 - Usability (<https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=24227>)
 - Branding (<https://www.canada.ca/en/treasury-board-secretariat/services/government-communications/canada-content-information-architecture-specification/usage-canadaca-design.html>, <https://cenw-wscoe.github.io/sgdc-cdts/docs/index-en.html>)
 - Interoperability (<https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=25875>)
 - Optimizing Websites and Applications for Mobile Devices (<https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=27088>)
 - Technical specifications for the Web and mobile presence (<https://www.canada.ca/en/treasury-board-secretariat/services/government-communications/federal-identity-program/technical-specifications/web-mobile-presence.html>)
- Policy on Government Security (<http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=16578>)
- Policy on Management of Information Technology (<http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?section=text&id=12755>)
- Implementing HTTPS for Secure Web Connections: Information Technology Policy Implementation Notice (ITPIN) (<https://www.canada.ca/en/treasury-board-secretariat/services/information-technology/policy-implementation-notices/implementing-https-secure-web-connections-itpin.html>)
- Direction for Electronic Data Residency (<https://www.canada.ca/en/treasury-board-secretariat/services/information-technology/policy-implementation-notices/direction-electronic-data-residency.html>)
- Directive on the Business Number (BN) (<https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=32579>)
- Tobacco and Vaping Products Act (<https://laws-lois.justice.gc.ca/eng/acts/T-11.5/>)
- Food and Drugs Act (FDA) (<https://laws-lois.justice.gc.ca/eng/acts/F-27/>)
- Canada Consumer Product Safety Act (CCPSA) (<https://laws-lois.justice.gc.ca/eng/acts/C-1.68/>)
- Official Languages Act (<https://laws-lois.justice.gc.ca/eng/acts/O-3.01/>)

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CCC No./ N° CCC – FMS No/ N° VME

- *Directive on Official Languages for Communications and Services:*
 - <http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=26164>
 - <http://www.tbs-sct.gc.ca/pol/doc-fra.aspx?id=26164>
- Federal Identity Program (FIP) (<https://www.canada.ca/en/treasury-board-secretariat/topics/government-communications/federal-identity-requirements.html>)

6. DOCUMENTS PROVIDED AT CONTRACT AWARD

Any document referenced in this document and not included in the Appendix will be provided at time of contract award or upon Canada exercising its irrevocable option on Phase 2 – Full Solution work.

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APPENDIX A - CAPABILITY AND USABILITY ASSESSMENT (CUA)

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APPENDIX B - FULL SOLUTION REQUIREMENTS

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APPENDIX C - GLOSSARY OF TERMS

Term	Abbreviation	Definition
Activity		A unit of work documenting compliance and enforcement information related to a specific establishment. A data record containing details about a unit of work documented and tracked in the Solution.
Activity Scope		Activity scope is the specific legislative authorities (sections/sub sections) under which the specific activity is performed. Example, Section 15.1(1) of the TVPA provides the authority to assess compliance of the sale of vaping products.
Activity Scope Plan		Activity scope plan is a grouping of specific legislative authorities (sections/subsections) under which the specific activity is performed. Example, a "General" activity scope plan would include all sections/sub sections of the TVPA.
Alert		A transitory message sent by the Solution that is displayed immediately on the user's screen following the triggering event. An alert requires a response/action from the user. Example, the action the user is performing will trigger an alert indicating that the information will be lost. The alert requires the user to acknowledge the alert before the user can continue.
Artifact		An object taken for analysis to assess their compliance with the TVPA and its <i>Regulations</i> . Examples: a. product samples b. industry reports c. images d. photographs e. signs f. videos g. publications h. audio recordings i. other types of information which the user considers relevant to the activity: i. documented observations on paper ii. electronic document
Assign an activity		The act of transferring ownership of an activity from one user to another. This can be performed only within a region. A Manager can assign an activity to an Inspector; an Inspector cannot assign an activity to another Inspector. See Refer an activity
Associated activities		A relationship (link) between one or more activities and an establishment.
Associated establishments		A relationship (link) between one or more establishments.
Brand		All of the brand elements that as a whole are used by a manufacturer to identify to a consumer a tobacco product or a vaping product made by the manufacturer. For example, brand elements for a cigarette product would include the brand family name (e.g., Players Light), brand descriptor (e.g., Smooth), and brand size (e.g., King Size).
Business Intelligence Division	BID	A division within TCD.

Term	Abbreviation	Definition
Business Process Workflow		Workflows based on an approved business processes and procedures. See Workflow
<i>Canada Consumer Product Safety Act</i>	CCPSA	
Cigarette Ignition Propensity Regulation	CIP	A regulation within the CCPSA
Compliance and Enforcement	C&E	The act of planning and documenting the activities of compliance promotion, inspection, and investigation.
Compliance Assessment		The process by which the results of the an artifact analysis are used to determine the state of conformity of a regulated establishment, individual, other legal entity, product, substance, or activity with the requirements of the Tobacco and Vaping Products Act and its Regulations.
Component		A logical grouping of field sets, and fields within them, for the purpose of performing related functionality. Example, the enforcement component would be composed of the field sets and fields that would be used for data entry of enforcement action information. See Tabbed Pane-like Format
Conditionally mandatory (In reference to data fields)		A field that must contain a value if a certain condition is met.
Confirm		An indication of the completion of a workflow or workflow step. Selecting "Confirm" initiates the "lock" process in a workflow. See Lock and Unlock
Consistent		Performed in the same way over time; not changing; always behaving or happening in the same way.
Consumer Product Safety Directorate	CPSD	A directorate within the Healthy Environments and Consumer Safety Branch of Health Canada responsible for the CCPSA.
Control of activity		The user who has control of the activity has been assigned to it with full editing privileges. Usually this is the user who created the activity. A user may assume control of an activity that has been referred to a user group.
Controlled Substances and Cannabis Branch	CSCB	A branch within Health Canada.
Corporate Services Branch	CSB	A branch within Health Canada.
Data Analysis		The act of analyzing and evaluating data with the intent to: a. improve the <i>Tobacco and Vaping Products Act</i> , through policy and regulation updates. b. inform Canadians of the effects of tobacco and tobacco products. c. provide key performance measurement data.
Delegated User		A user delegated by a manufacturer's Primary User to submit specified industry reports on behalf of the manufacturer. Example, a lawyer or an accountant from a different organisation than the manufacturer. See Primary User
Designated User		A user who has been assigned by Reports Control Division to a specific establishment for the purposes of compliance and enforcement review of its industry reports.
Electronic Data Submission		A generic term to describe the means or process by which structured data can be submitted into the Solution, for example, API or form

Term	Abbreviation	Definition
		based submission process.
Email notification		An email notification is a notification generated by the Solution that is sent to the User's email address.
Enable		To make a field (s) available for the User to: a. Input data b. Update data c. View data
Establishment		A proprietorship, partnership, company, individual or other legal entity involved in a business, commercial activity or other activity that is subject to legislation. An establishment can be involved in one or more business functions such as the manufacture, import, labelling, distribution, promotion, and sale at retail.
Event-driven Workflow		Also known as a business process workflow, and guided workflow. A series of steps that is driven by an event (trigger) until the next event occurs or all steps are completed. Example, in an event-driven workflow for an activity, an inspection activity is triggered by an event, but the user will follow defined activity workflow steps (creation, planning, assessment, enforcement, closure). See Workflow.
Exhibit under the TVPA		An object collected as part of an enforcement action of Seizure initiated during an inspection activity under the authority of the TVPA. Examples of an exhibit: j. product samples k. industry reports l. images m. photographs n. signs o. videos p. publications q. audio recordings r. other types of information which the user considers relevant to the activity: i. documented observations on paper ii. electronic document See Artifact
Exhibit under the <i>Criminal Code</i>		An object collected as evidence via Seizure initiated during an investigation activity under the authority of the <i>Criminal Code</i> . Examples of an exhibit: s. product samples t. industry reports u. images v. photographs w. signs x. videos y. publications z. audio recordings aa. other types of information which the user considers relevant to the activity: i. documented observations on paper ii. electronic document See Artifact
External Stakeholder		Any external party who would be interested and/or influenced or affected by the outcomes of the TCD IM-IT project recommendations, but has no direct input into the project.
External User		Any user who accesses the Portal module of the Solution.
Federal Electronic	FETRES	One of three legacy systems that make up the TCD suite of

Term	Abbreviation	Definition
Tobacco Reporting Evaluation System		applications.
Field set		A grouping of related fields into a logical set within an area of the user interface, usually with a label identifying the field set.
Graphical User Interface	GUI	
Guided Form		A data entry form that has imbedded logic that moves the user from field to field within the form.
Healthy Environments and Consumer Safety Branch	HECSB	A branch of the Federal Government within Health Canada.
Health Products and Food Branch	HPFB	A branch of the Federal Government within Health Canada.
Inactive: DNS		A status value for an establishment that Does Not Sell tobacco and vaping products. Usually the establishment did sell at one time but no longer sells.
Industry		A regulated party who is required to submit mandatory data to Health Canada via the solution. See External User, Regulated Party.
"Industry Reports"		Statement that refers to the following <i>Activity Reason Type</i> values for activities where industry reports have been received by industry not subject to audit: a. Scheduled: Industry Report b. Unscheduled: Industry Report
Industry Report Submission Interface		The interface that the User logs into to submit industry reports.
Information Management, Privacy and Records Services		Advisor to the Project Sponsor. Ensures information management, privacy and record keeping policies are followed.
Internal notification		An internal notification is a notification generated by the Solution that appears in the notification area of the Solution.
Internal User		Any Government of Canada user who has access to all modules of the Solution.
Laboratories		An external user who submits requested data to Health Canada. See External User.
Linked Activity		An activity that is created as a result of a non-compliance and the resulting enforcement action against the establishment that is the focus of the current activity.
Lock and Unlock		Alternate terms: "locks it down"; "locks down", "locked down". The control process for preventing further changes to an activity, a step in the workflow process or a value, and allowing a subsequent action in the workflow process to be performed. Selecting a "confirm" initiates the "lock" process. See Confirm. "Lock" ensures a precondition is met before a subsequent step can be performed. "Unlock" removes the control process.
Mandatory field		A field that must contain a value.
Manufacturer		In respect of a tobacco product or vaping product, includes any entity that is associated with a manufacturer, including an entity that controls or is controlled by the manufacturer or that is controlled by the same entity that controls the manufacturer. Entity includes a corporation, firm, partnership association, society, trust or other organization, whether incorporated or not.
Modal Window		A modal window is a graphical control element subordinate to a parent window.
No Evidence of Non-Compliance (In reference to		A compliance assessment status resulting from an analysis of an artifact(s) under the TVPA and its <i>Regulations</i> .

Term	Abbreviation	Definition
<i>Compliance & Enforcement Policy for the Tobacco and Vaping Products Act and its Regulations)</i>		
Non-Compliance (In reference to <i>Compliance & Enforcement Policy for the Tobacco and Vaping Products Act and its Regulations)</i>)		A compliance assessment status and value resulting from an analysis of an artifact(s) under the TVPA and its <i>Regulations</i> .
Notification		Does not require a response/action from the user. Can be triggered by an event or a user's action. The message can contain a high priority message that would be seen by all users, e.g., important information on planned Solution downtime for maintenance, known Solution issues, new policy announcements, etc. A notification may be sent by email or displayed in the notification area of the Solution.
Office of Compliance for Tobacco and Vaping Products	OCTVP	A division within the Tobacco Control Directorate.
Off-line		Disconnected from the internet.
Off-site Activity		An activity not conducted at an establishment's physical location: a. Remote – conducted via telecommunications b. Virtual – conducted on-line at an establishment's website or social media account
On-site Activity		An activity conducted at an establishment's physical location.
Organizational Unit		A group of users organized by geographical location, by role, or some other criteria. Organizational units exist across Canada. Each organizational unit is composed of specific regions, provinces and territories. Organizational units are periodically re-organized.
Portal		A secure gateway for External Users to access the following functionality: a. Submitting an industry report b. Submitting a complaint c. Submitting an enquiry d. Submitting a support request
Portal User Interface		An interface of the Portal accessible to users outside of Government of Canada registered users.
Primary User		An External User with the ability to submit industry reports and delegate reporting responsibilities to a Supplier User or Delegated User. A Primary User is a user authorised by the manufacturer to manage the Delegated User and Supplier User accounts, and submit industry reports on behalf of the manufacturer. See Delegated User, Supplier User
Project		A temporary endeavor undertaken to create a unique product or service, that has a defined beginning and end in time, and therefore defined scope and resources. Projects are different from other ongoing operations in an organization, because unlike operations, projects have a definite beginning and an end - they have a limited duration.
Project Plan		A formal, approved document used to guide both project execution and provide project control.
Read-only		Text that cannot be edited; able to be accessed but not modified;

Term	Abbreviation	Definition
		capable of being viewed but not being changed or deleted.
Refer an activity		The act of transferring ownership of an activity from one user to another. This can be performed within regions or between regions. A manager can refer an activity to another Manager or Manager Group. See Assign an activity.
Region		A region is composed of one or more provinces and territories.
Regulation		Rule or directive made and maintained by Canada.
Regulated Party		Any person subject to the <i>Tobacco and Vaping Products Act</i> and its regulations. This may include individuals, companies, and other organizations. Regulated parties are external users when interacting with the Solution. See External User.
Regulatory Operations and Enforcement Branch	ROEB	A branch of the Federal Government within Health Canada.
Reports Control Division	RCD	A division within the Tobacco Product Regulatory Office (TPRO), TCD; responsible for the tracking, documenting, verifying information, and performing C&E on the reports submitted by Tobacco (and Vaping Products) Industry. Project sponsor responsible for ensuring that the Solution meets the needs of the intended users, in addition to defining the business objectives.
Representative		Lead resource for coordination and reporting of work performed as part of this project.
Research and Surveillance		A division within TCD.
Sample (In reference to <i>Compliance & Enforcement Policy for the Tobacco and Vaping Products Act</i> and its Regulations)		An object related to tobacco and vaping products collected for analysis to verify compliance under legislation. See Artifact.
Search Warrant		See Warrant
Solution Administrator		A Solution User who has the rights to: a. dictate what actions the user can perform in the Solution b. configure Solution settings and parameters
Solution Parameter		A Solution parameter is a numerical or other measurable factor forming one of a set that defines a system or sets the conditions of its operation.
Stakeholder		An individual, group or organization who may affect, be affected by, or perceive itself to be affected by a decision, activity or outcome of the project.
Subordinate		A User with either of the following designations in the role of a Subordinate in the Solution: a. Inspector. Specialist - a User who can assume the role of Supervisor or Subordinate for an activity, but not both roles for the same activity.
Supervisor		A User with either of the following designations in the role of a Supervisor in the Solution: a. Manager. Specialist - a User who can assume the role of Supervisor or Subordinate for an activity, but not both roles for the same activity.
Supplier User		A user who is authorized to submit industry reports on behalf of the manufacturer with the following conditions: <ul style="list-style-type: none"> • Can submit only certain types of industry reports • Can submit only brands specified by the manufacturer

Term	Abbreviation	Definition
		<ul style="list-style-type: none"> The industry report can never be viewed by the manufacturer
Submission Requirements		<p>The requirements based on legislation that determine:</p> <ul style="list-style-type: none"> the frequency at which an industry report needs to be submitted brands required to be submitted for that particular industry report. <p>The Solution based on these requirements determines if an industry report has been received on or before the due date and if all the required brands have been submitted excluding those that have been exempted.</p>
System		Refers to functionality external to the Solution.
Tabbed Pane-like Format		<p>“Tabbed pane-like” format refers to a graphical user interface element used to hold a logical grouping of data.</p> <p>For example, a “tabbed pane-like” element could be windows, screens, pop-ups, tabs, accordions, forms, and components.</p> <p>See Component</p>
Test Shopper		A young person who tests youth access restrictions for tobacco and vaping products.
<i>Tobacco and Vaping Products Act</i>	TVPA	The <i>Tobacco and Vaping Products Act</i> replaced the <i>Tobacco Act</i> . The new legislation, enacted in 2018, provides a legislative framework to address the impact of tobacco and vaping products in Canada.
Tobacco Compliance Information Management System	TCIMS	One of three legacy systems that make up the TCD suite of applications. TCIMS is used by TVCEP users (inspectors) to collect compliance data in a standard format to enable analysis of national and regional compliance information.
Tobacco Control Directorate	TCD	A directorate within CSCB responsible for legislating tobacco and vaping products.
Tobacco Product Information Regulations	TPIR	A regulation within the <i>Tobacco and Vaping Products Act</i> .
Tobacco Product Labeling Regulations	TPLR	A regulation within the <i>Tobacco and Vaping Products Act</i> .
Tobacco Product Regulatory Office	TPRO	An office within the Tobacco Control Directorate.
Tobacco Reporting Regulations	TRR	A regulation within the <i>Tobacco and Vaping Products Act</i> .
Tobacco Reporting Regulations (Plain and Standardized Appearance)	TPR(PSA)	A regulation within the <i>Tobacco and Vaping Products Act</i> .
Tobacco Reporting Regulations System	TRRS	One of three legacy systems that make up the TCD suite of applications. TRRS is used by the Tobacco Control Directorate to record submitted Tobacco Industry reports as required under the <i>Tobacco Reporting Regulations</i> .
Tobacco and Vaping Compliance and Enforcement Program	TVCEP	A program within the Regional Compliance and Enforcement Branch (ROEB) of Health Canada
User-centered Design		<p>User-centred design ensures that users can effectively and efficiently find, understand, and use the information and services provided through websites and Web applications.</p> <p>https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=24227</p>
User Preferences		<p>Settings that can be configured for a particular user. Each user can change some values for their preferences.</p> <p>For example, a user can change the time zone, language preference, and turn an option on or off.</p>
Warrant under the TVPA		Refers to a “Warrant to Enter a Dwelling House” during an Inspection Activity.
Warrant under the <i>Criminal Code</i>		Refers to a “Search Warrant under the Criminal Code” during an Investigation Activity.

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Term	Abbreviation	Definition
Workflow		A series of steps that moves the user through the execution of a specific task required to complete the work. A workflow may contain one or more sub-workflows. See Event-driven Workflow.
Vaping Products Labelling and Packaging Regulations	VPLPR	A regulation within the <i>Tobacco and Vaping Products Act</i> .

APPENDIX D – NICEMS CONTRACTOR ENGAGEMENT – PROTOTYPE PHASE

D.1 Purpose: Contractor Engagement Sessions

- a) The agile systems development approach requires more interaction with Contractors to produce better results for the Government of Canada. Canada requires Contractors to thoroughly understand the requirements, be innovative and to have users at the forefront. Canada has a requirement to hold engagement sessions with Contractors to provide feedback on the prototypes as these are being developed. These sessions would be conducted in the same manner for each Contractor to allow each Contractor the same opportunity to demonstrate and seek feedback or input to their prototype work.
- b) The scope of work involves the planning, design, development, configuration, testing and delivery of a production quality, hosted, working Prototype Solution ready to be deployed, in accordance with the Phase 1 - Prototype Solution Requirements and Deliverables.
- c) Prototype:
 - i) **Description:** Contractor delivers the requirements for the CUA Scenarios (i.e. Prototype Solution) in the RFP.
 - ii) **Intent:** Allow Contractor to prove they can meet all the requirements in the CUA, but also, demonstrate any additional or advanced features that their product is capable within the timeframe.

D.2 Concept for Contractor Engagement Sessions

- a) There will be two (2) engagement sessions held during the Prototype phase with each Contractor. The expectation is that each contractor will participate in the sessions throughout the prototype development process.
- b) The two (2) sessions will be held in the early and latter periods of the Prototype phase. Contractors and their prototypes will not be assessed or evaluated during the sessions (i.e., scores are not taken in relation to the Capability Usability Assessment (CUA)). The objective is to provide feedback and answer questions to allow the Contractor to continue to build a better prototype to better meet Canada's needs.
- c) There will be common elements and rules that will apply to all three sessions, but the objectives and composition for each of the sessions will differ slightly as described below.

D.2.1 Common to all Sessions

- a) Each session will be a maximum of eight (8) hours long and conducted virtually with presentation capabilities and multiple points of connectivity. If in-person sessions are possible, in person sessions may be conducted at a location located in the National Capital Region.
- b) Each session will allow the Contractor to demonstrate and seek input or feedback on the following capabilities based on the use cases that have been provided in the CUA:
 - i) Establishment Profile;
 - ii) Compliance and Enforcement (C&E) Activity;
 - iii) Electronic Data Submission;
 - iv) Pre-defined Reporting and Templates; and
 - v) User Account Administration.
- c) The session may also allow for the discussion of non-functional capabilities. Canada is planning on the presence of TCD's Technical Subject Matter Experts (SMEs) at the engagement sessions in order to gain an understanding of Contractor prototypes and non-functional requirements.

D.2.2 Responses to Contractor

- a) The Question and Answer (Q&A) process is already built-in to PSPC's procurement process as per the RFP and Standard Acquisition Clauses and Conditions¹ (SACC) 2003. Contractor proprietary information in a question is not shared with others during a Q&A process. Canada's responses (and questions) to other types of questions will be communicated directly to other contractors by the contracting authority to ensure transparency and fairness in the process. All written responses to contractor questions would go through the Contracting Authority and for documentation on the contract file.
- b) As the purpose of the engagement sessions is not to formally evaluate the prototypes, Canada will not provide a score or formally confirm if something that is demonstrated by a Contractor meets or does not meet a requirement.
- c) Canada will informally provide feedback to contractors on the basis of being "ON TRACK", "NOT ON-TRACK" or "UNABLE TO PROVIDE FEEDBACK AT THIS STAGE". This feedback does not constitute a formal assessment which formal assessment will be conducted during the CUA assessment process.
 - i) ON TRACK: aligned to functional capabilities described in CUA.
 - ii) NOT ON-TRACK: misaligned to functional capabilities described in CUA.
 - iii) UNABLE TO PROVIDE FEEDBACK AT THIS STAGE: not enough detail to comment.
- d) Regardless of the feedback that is provided, Canada will not be held responsible for the feedback during the formal CUA assessment process (for example, Canada could indicate as feedback during the engagement sessions that a requirement is deemed "ON-TRACK", but then realise during the CUA assessment that the Contractor has not met the requirement based on a more fulsome assessment and the fact that many things could change from a demonstration to the formal assessment).
- e) With respect to feedback sought on usability, look, and feel, responses will be limited to "ALIGNS WITH EXPECTATIONS", "DOES NOT ALIGN WITH EXPECTATIONS" or "UNABLE TO PROVIDE FEEDBACK AT THIS STAGE".
 - i) ALIGNS WITH EXPECTATIONS: user friendly.
 - ii) DOES NOT ALIGN WITH EXPECTATIONS: not user friendly.
 - iii) UNABLE TO PROVIDE FEEDBACK AT THIS STAGE: not enough detail to comment.

D.2.3 Contractor Engagement Process

- a) The following procedures outline the steps and safeguards to be followed during the contractor engagement sessions that will occur during the Prototype phase of the Prototype development.
 - i) The Contractor must provide an advanced overview of what they are planning to demonstrate in each session. The overview must be provided to the Technical Authority at least three (3) business days prior to the demonstration to ensure that the Technical Authority has the appropriate SMEs present during the session.
 - ii) During the demonstration, there may be occasion for the Technical Authority to "flag" to the Contractor that questions will be asked on a certain topic.
 - iii) There may be a pause within the session so that a brief discussion can be held amongst key Technical Authority representatives.
 - iv) The Q&A session will allow for interaction between the Technical Authority and the Contractor where either side can pose and answer questions. All questions and answers will be recorded by scribes for record keeping purposes.
 - v) The Contractor may refer back to, or choose to re-demonstrate, their Prototype Solution when responding to questions from the Technical Authority.
 - vi) Any questions from the Contractor that cannot be answered directly by the Technical Authority during the Q&A Session will be placed in a "parking lot" to be answered in writing within five (5) business days of the demonstration. The Technical Authority reserves the right to decide which questions it would like to place in the "parking lot" during the session.

¹ <https://buyandsell.gc.ca/policy-and-guidelines/standard-acquisition-clauses-and-conditions-manual>conditions-manual

vii) Any questions from the Technical Authority that cannot be answered directly by the Contractor will be placed in a “parking lot” to be answered in writing within five (5) business days of the demonstration. The Contractor reserves the right to decide which questions it would like to place in the “parking lot” during the session. The Technical Authority will only respond and release information according to the security classification of the information that the Technical Authority is permitted to release at this stage of the process.

viii) The Contractor will receive a written transcript of the Q&As within five (5) business days of the demonstration.

ix) Any Q&A's that are proprietary in nature, as identified by the Contractor in their response, will not be shared with the other prototype Contractors. Q&As that are not proprietary in nature, will be shared with the other prototype Contractors.

D.3 Concept for Session 1

Table D-1: Concept for Session 1

Timeframe	4 weeks after beginning of prototype process		
Objective	A required early general demonstration of work to date, less focused on usability, more on technologies being used, overall concepts, Technical Authority providing feedback.		
Engagement Day	Morning and Early afternoon	Contractor general demos provided. Pose questions or seek feedback, does not need to cover some specific capabilities and use cases	6 hours
	Afternoon	Technical Authority questions and to provide unsolicited feedback	2 hours

D.4 Concept for Session 2

Table D-2: Concept for Session 2

Timeframe	8 weeks after beginning of prototype process		
Objective	<p>The objective for the second session is for the Contractor to provide demonstrations of up to five (5) capabilities and how they work in relation to the use cases.</p> <p>As a minimum, this session should include a demonstration of the:</p> <ul style="list-style-type: none"> Establishment Profile, Scenario 1 Compliance and Enforcement (C&E) Activity for Scenario 3 to 8 Pre-defined Reporting and Templates, Scenario 15 User Account Administration <p>It is up to the Contractor to determine if they will showcase all five (5) capabilities and all use cases.</p> <p>This session should include more detailed and live demonstrations and explanations of functions or requirements for up to five (5) capabilities.</p> <p>Visual presentation of the second session should include multiple displays so that the reviewers can see details up close.</p>		
Engagement Day	Morning	Contractor Demos, pose questions or seek feedback. To cover at least the capabilities for session 2.	4.5 hours
	Afternoon	Allow Technical Authority SMEs to “test drive” the scenarios. Two additional requests for the Contractor to demonstrate aspects of this capability will be permitted during this hour.	1.5 hours
	Afternoon	Allow Technical Authority to request demonstration on certain elements (includes time required for the demo itself).	1 hour
	Afternoon	Allow Technical Authority questions and to provide unsolicited feedback.	1 hour

D.5 Concept for Session 3

Table D-3: Concept for Session 3

Timeframe	11 weeks after beginning of prototype process		
	Objective		
	<p>The objective for the third session is for the Contractor to provide a fulsome demonstration of all capabilities and how they work in relation to the use cases. This should include a demonstration of all capabilities and include an interactive portion where Technical Authority and SMEs are able to operate the prototype with a Contractor representative guiding them.</p> <p>Demonstrations do not need to cover all material demonstrated previously.</p> <p>This session should focus on quite detailed and live demonstrations and explanations of functions or requirements within each of the capabilities.</p> <p>This session must include the ability for Technical Authority and SMEs to work with the prototype and operating the system with the assistance of a Contractor representative. This session will mostly be accomplished virtually.</p>		
Engagement Day	Morning	Contractor to provide general demonstrations, pose questions or seek feedback on all capabilities.	2 hours
	Afternoon	Allow Technical Authority and SMEs to "test-drive" all capabilities. Additional requests for the Contractor to demonstrate aspects of this capability will be permitted during this time.	1.5 hour
	Afternoon	Allow Technical Authority to request demonstration on certain elements (includes time for the demo itself).	0.75 hour

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APPENDIX E – SECURITY CONTROLS

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