TECHNICAL SPECIFICATIONS
REQUIREMENTS FOR ICT PROJECT

REPUBLIC OF ALBANIA
PEOPLE'S ADVOCATE

Case Management System (CMS)

TABLE OF CONTENTS

1. INTRODUCTION

1.1. Beneficiary

People's Advocate Office

1.2. Contracting Authority

United Nations Population Fund

1.3 Background

The People's Advocate Office is an independent constitutional entity established in the Republic of Albania as a national human rights office accredited by the international bodies.

The People's Advocate defends the rights, freedoms, and legitimate interests of the individuals against illegal or irregular acts and omissions of public administration bodies and third parties acting on their behalf. Any individual, group of individuals or non-governmental organizations alleging that their rights, freedoms, and legitimate interests have been violated by illegal or irregular acts of public administration bodies are entitled to complain or notify the People's Advocate and request his/her intervention to redress the violated right or freedom. The People's Advocate initiates the case review procedure when he/she notices or suspects that a violation of the right has occurred, based on the complaint or request of the stakeholder or injured party, and, also, on his/her own initiative, on specific public cases.

The People's Advocate, after being acquainted with the complaint, application, or notification on any violation, shall decide a) to admit or non-admit the case for its review; b) to respond to the stakeholder informing him/her on the eligible rights and ways through which he/she may defend that right; c) to refer the case to the competent body.

When the complaint, application or notification is admitted for its review, the People's Advocate shall carry out one of the following actions: a) shall undertake an investigation process of his/her own; b) shall ask for explanations from the administration bodies, and the Prosecution Office, in cases of custodies and detentions; c) shall recommend the State Supreme Audit to exercise its functions.
Upon completion of the investigation, the People's Advocate shall perform the following actions: a) shall explain to the complainant that his/her rights have not been violated; b) shall *submit recommendations on the redress of the violated right to the administrative body which, according to him/her, has triggered the violation of rights and freedoms*: The submission of a recommendation shall suspend any illegal or irregular acts or actions until the recommendation has been examined and the People's Advocate has provided a reply.

c) *Shall submit recommendations on measures to be taken for the redress of the violated right* *to the superior body to the body that triggered the violation*: Failure to examine the recommendation within 30 days shall suspend illegal or irregular acts or actions. ç) *shall recommend the Prosecution Office to initiate investigations if he/she notices that a criminal offense has been committed; or resume terminated or suspended investigations*. d) for any serious violations, found, shall propose to each body, as well as to the Assembly, the dismissal of the officials that are within their competency; dh) for any violation of rights by the judicial bodies, without interfering in the procedure they apply, the People's Advocate notifies the violations to the competent body; e) *recommends the injured parties to file a lawsuit in court*.

The implementation level of recommendations by the public administration institutions has always been and continues to be a constant concern for the People's Advocate Office. In this view, the People's Advocate is aware that it is quite necessary for the activity of such institutions to have an efficient and systematic mechanism on the follow-up and execution of the recommendations addressed to public administration bodies.

The current case management system is the DocuLive System. It was enabled by the Danish counterpart and was put in place in 2001 by the People's Advocate Office.
DocuLive was designed in Norway around the 90's and has been marketed in many countries reaching over 100,000 users.

While the publication of recommendations is done on the official website of the institution

1.4 Current situation in the sector

DocuLive is a set of products containing various data storage/archival systems:

- Case Archive
- Basic
- Meeting/Committee
- DocuLive for Microsoft Office

- DocuLive Case Archive and Case are used in the public sector.
- Uses archival standards in Norway (Noark III).
- Offers adaptation to specific tasks.
- Version 6.0 is being developed.

DocuLive has these main modules:

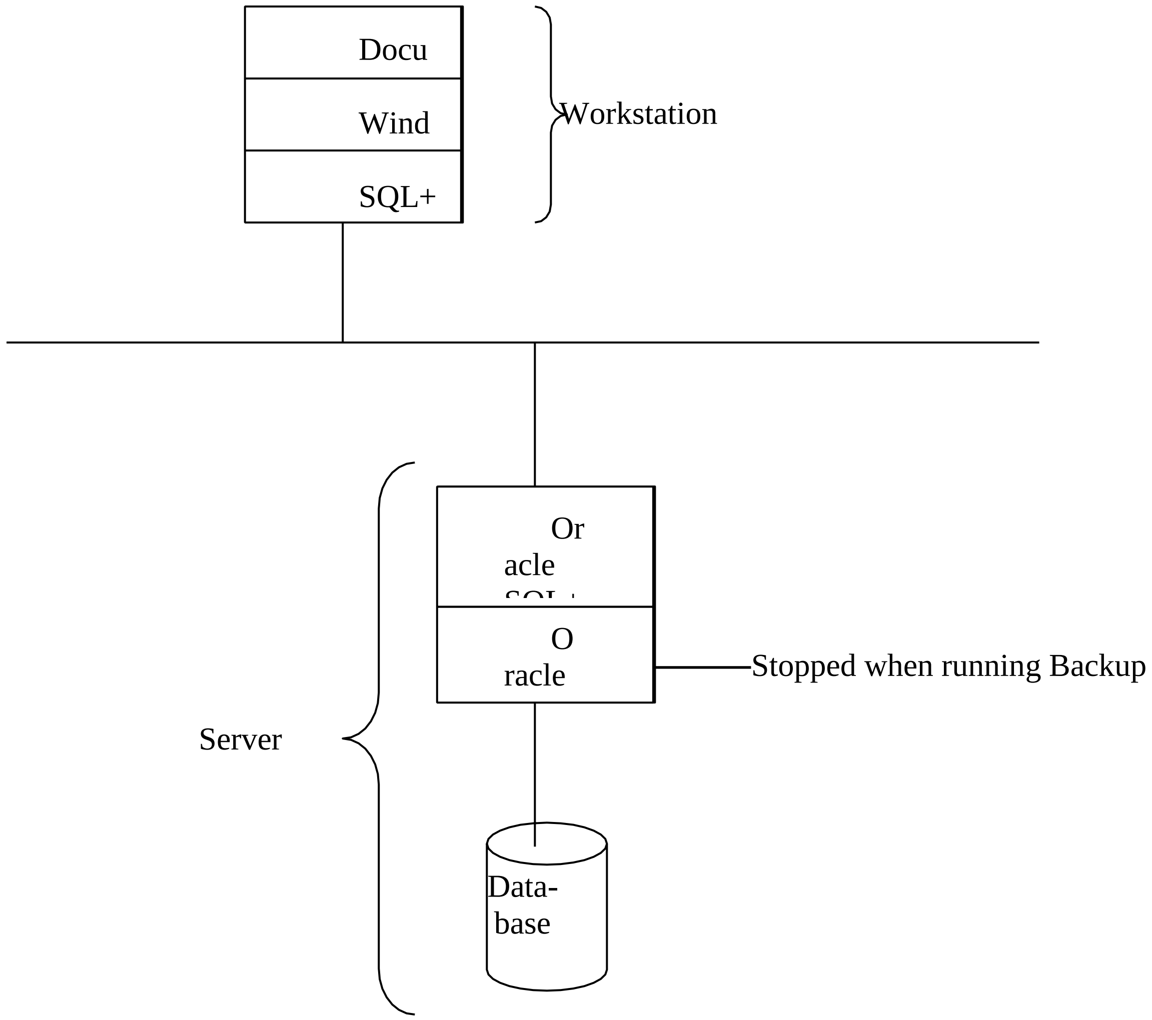
- DocuLive Engine 1.1c (Administration)
- DocuLive Case Archive 5.1c (Registration)
- DocuLive Case 5.1c (Caseworkers)
- <other DL-products>

Basic Software:

- DocuLive for Windows uses QBE Vision (created by the company Sysdeco, Norway)

- Databases used are Oracle, SQL Server or Sybase.

Overview of DocuLive ‘distribution’ in the workstation and server below.



DocuLive is a program used to create, manage, and archive cases and documents. This system is based on the most commonly used archiving rules for cases and documents. The DocuLive Case Journal module enables the registration, search and retrieval of information about cases, external and internal correspondence, etc. Another feature of this module is the storage and viewing of physical documents (text documents), which are recorded inside the computer archive.

The DocuLive Case Journal is also designed to show the status of the case, steps taken and how the case is handled over time; it enables users to print reports, case lists and created documents. A case is a file where documents about a particular complaint or its related person are stored. Whenever a case is created, DocuLive gives it a unique (non-repeating) number that identifies the case.

Upon creating a case, the user may record the documents related to it. A document is normally a letter that comes in or leaves your office. These letters can only be recorded inside the case file and it may contain many documents in the DocuLive system (up to 999 documents).

By recording a document in a case, it is certain that this document is attached a unique identification number and that this document can be found again at any time.

Given the lack of a well-defined method to process such extensive information - as described above - obtained in different ways and sources and to enable efficient decisions on various cases, there is a need to develop a new modern Case Management system at the PA.

This system should also make public the recommendation issued by the People's Advocate linking them with other international mechanisms and documents, such as the recommendations and obligations within the Universal Periodic Review (UPR), Sustainable Development Goals (SDGs), ECtHR decisions, or other international instruments.[1]

2. OBJECTIVES, PURPOSE AND EXPECTED OUTPUTS

2.1. Overall objective

The main objective of this project is to implement a modern system for managing the cases handled by the People's Advocate Office and the publication of recommendations. The system will enable the initial registration and follow-up of the cases and the documentation of all actions performed from the moment of registration and opening of the file until the closing of the case and publishing recommendations according to specific areas. These cases will then be archived and used to generate various reports and statistics. Compared to the Client's older technology, CMS leverages a newer and more flexible technology with Web-based architecture. It can be connected to other systems and also address future needs.

The platform will also help with the Transposition of international acts, and, simultaneously, their integration in the PA Office's recommendations

In the event of modifications, improvements, or new developments, all documents affected by such changes must be fully updated and transmitted electronically.

The training system and method to be used must be in accordance with the provisions of Decision no. 945, dated 02.11.2012, On the approval of the regulation 'On administration of the State Databases" regarding the system availability, integrity and confidentiality.

[1] For the menu of this interface which will be public, refer to appendix 1.

2.2. Expected outputs of Contractor

In the frame of this project, the Contractor is expected to provide the following deliverables:

- CMS designed and developed.
- CMS installed.
- CMS users trained.
- CMS maintained.
- During the maintenance period, the Contractor must make/incorporate potential additions/amendments to the system/website menu based on the PA Office requirements.

3. ASSUMPTIONS AND RISKS

3.1. Project assumptions

Assumptions are circumstances and events that must occur for the project to be successful, but are beyond the total control of the project team. Assumptions are accepted as true, but if proved wrong, they can have a significant impact on the project. It is important that project participants, stakeholders and managers understand and agree on the assumptions before the project starts. This way, it is more likely that a false assumption will be discovered before it can affect the project.

The following assumptions underlie the project design process:

- Active participation and engagement of all stakeholders in the implementation of this project and allocation of adequate human resources for its implementation.

- End users of the system have computer skills and are familiar with the use of work tools such as computers, printers, scanners and web browsers (browser).

- Legal amendments may introduce crucial changes in the core work-flow, such as changes in the roles of users and tasks performed by them. Therefore, the system should enable flexibility and quick adaptation to process changes.

- Data to be obtained from other systems is up-to-date and accurate and constitute a reliable source of information in accordance with the requirements of State databases.

Additional considerations:

- Providing the necessary infrastructure and adequate human resources for the implementation of the system.

- Cooperation among stakeholders in implementing this system.

- Required data from external systems may not be obtainable through software interfaces in cases where this data does not exist in any system. For this, the system should enable an interface that allows for manual data update.

- The system should during the implementation phase make the best use of elements and resources of the IT infrastructure existing at the institution.

- The institution will establish a stable relationship with the implementing entity for the system maintenance.

- The automatic verifications data must be enabled from different interfaces and be up to date and accurate.

3.2. Risks

Some risks to be considered for the progress of the project are:

- Lack of coordination of work among the parties specified in the contract.
- Allocation of inadequate human and financial resources for the system implementation.
- Delays in project implementation by the economic operator.
- Failure by the economic operator to fully meet the functional and technical requirements.

4. PURPOSE

4.1. General considerations

The People's Advocate activity is mainly based on:

- The Constitution of the Republic of Albania;
- Law No. 8454, dated 4.2.1999 "On the People's Advocate", as amended;
- Law No. 44/2015 "The Code of Administrative Procedures of the Republic of Albania";
- Law No. 119/2014 "On the Right to Information";
- Law No.9887, dated 10.3.2008 "On the Protection of Personal Data" (as amended);
- Law No. 9900, dated 17.04.2008 "On the Protection of Consumers";
- Law No.8328, dated 16.4.1998 "On the Rights and Treatment of the Prisoners and Detainees";
- Administrative Code of Conduct;
- Internal Regulation.

The legal basis underlying the Case Management System operation is the law "On the People's Advocate Office" and the PA’s rules of procedure (internal regulation), especially Chapter IV "Complaints and Case Review Rules". Rules of procedure enclosed.

4.1.1. Job description

This project will build a system that provides basic information on the recommendations drafted by the People's Advocate.

Its main duties include (but are not limited to):

- Analysis of the current situation, legal basis, and procedures related to the collection of applications and their documentation.
- System design based on functional requirements;
- Delivery/installation of a system that meets all the functional requirements put forth in this document;
- Initial data entry in the system;
- System testing and optimization;
- Training of users and preparation of guidelines/manuals for the system use in terms of its technical and operational aspects;
- At least one year maintenance of the system;
- During the maintenance period, the Contractor must make/incorporate potential additions/amendments to the system menu based on the PA Office requirements.

4.1.2. Geographic scope

Republic of Albania

4.1.3. Target group(s)

- People’s Advocate Staff
- Non-Governmental Organizations
- Various State Institutions
- Citizens
- International bodies/ organizations that defend and promote fundamental human rights and freedoms.

4.1.4. System security

The case management system will have

- a user-friendly interface that will allow users to log in uniquely with different/specific roles;
- a user administration interface, for adding various tab options as required, generating statistics, etc .;
- a public interface where they can access the recommendations issued by the ombudsman institution.

The transfer of recommendations from the database to the public interface should be done through a secure connection such as. vpn, sftp etc.

The Case Management System will be an effective and efficient tool in the collection, proceeding and dissemination of quality data and information.

It is suggested that the role(s) maintenance feature enables the creation of different privileges at object (table or function) level and, for each object, it must grant the right to create, modify, read, authorize and delete an object.

Users' rights in the system will be based on their job positions and duties.

- The system must be compatible with the majority of the browsers and offer browsing security.
- The system must ensure the monitoring and auditing of all actions performed by the users.

Each action is accompanied by system logs (traces). System logs contain detailed information on each action including its time, user, computer domain, etc and activity details at a record level.

The required security level is determined in accordance with the information security objectives in accordance with the parameters of confidentiality, integrity and availability.

- Data confidentiality (C) means that data is accessed only by authorised persons or technical tools.
  Coefficient K1 *will be used for subsystems; it means information for internal use – access to information is allowed to a person having legitimate interest(s) to access it.*

- Data integrity (I) means ensuring the correctness, completeness, updating and authenticity of data, and prevention of unauthorized changes.
  Coefficient I2 *will be used for subsystems; it means the existence of detectable modifications or damages; periodic verification of information accuracy, integrity and updating.*

- Data availability (A) means easy and timely use of available data during working hours, defined in advance by authorized persons or technical tools.

*<u>**Coefficient D3** will be used for subsystems (99.9% availability); it means a total allowed interruption of maximum 10 minutes per week, and allowed response time at peak workload 1÷10 .</u>*

Based on the above indicators, the security level is high (L), so eventually the required security level of the subsystems will be <u>**L-D3I2K1**</u>.

The security measures will be in accordance with the security class <u>**L-D3I2K1**</u> and consequently the classification assessment will be <u>**LMU**</u> and the minimum controls will be according to table <u>**A-16**</u> of the instruction on security measures for State databases of the National Authority for Electroni Certification and Cyber Security (AKCESK).

Users and Rights

- The platform should support Single Sign On (SSO) and enable integration with the existing authentication infrastructure via Active Directory.
- The system should support several types of users with rights in accordance with the function/job position and the processes defined in the platform.
- The system will have a role-based or user-based access model, whereby each user is allowed to access that part of the system or database depending on the role rights or individual rights defined.
- User rights will be categorized in *Read, Modify, Create, Delete* and *Authorize* on entries or entry groups.
- Rights to create or modify metadata.
- Rights to modify the hierarchical setup of documents.
- Roles will respect the hierarchy in the institution. Also, a type of role may have the right to manage the users belonging to another ‘inferior’ role.
- Platform users and groups must be obtained from the institution’s active directorate.
- Authentication in the platform is direct by inserting the credentials in any Windows services form or through **SAML** protocol**.**
- Communication between the system and users is enabled as follows:
    - The beneficiary institution having Access to the government gateway Govnet will only request configuration-level changes to access the system.
    - The beneficiary's local offices that cannot be physically connected to the government gateway, will be connected using a VPN. For this, minimum Internet speed of 1Mbps is required.
    - Users must be members of the government Active Directory on Govnet.

Client's operating system must be at least Microsoft 7.

4.2. Specific duties

PHASE I: Analysis of applications, inventory (checklist) of procedures and preparations of project initiation

- Establish and confirm the project working group;
- Plan the human resources and assets needed for the project implementation;
- Define the development steps and timelines;
- Confirm/ provide in details the main administration requirements of the system in co-operation with the People's Advocate staff;
- Analyse delivered services/information;
- Provide reference to legal framework;
- Evaluate various possibilities for system adaptation;
- Review procedures in order to improve efficiency.

PHASE II: Design and adaptation

- Design system architecture;
- Adapt the system with the technical requirements specified in this document;
- Integrate the system with other systems;
- Enter initial data in the system;
- Test modules with entire components and data;
- Prepare the system for installation and testing

PHASE III: System operational testing

- The testing plan should consist of detailed test scenarios and specify the test conductor, activity and admission and hand-over requirements.
- Test the system and document its results;
- Identify problems and solve them;
- Re-test amended processes;

PHASE IV: Implementation and training of users

- Implement the system in the relevant PA infrastructure or the one provided by the NAIS.
- Conduct trainings to familiarize staff with the use of the system.
- Make the necessary configurations for the start-up.

- Create users’ profiles and populate them with the data.
- Hand-over the system.

PHASE V: Maintenance

- During the maintenance period, the Contractor must make/incorporate potential additions/amendments to the system menu based on the PA Office requirements.

The Contract has the following duties:

- Develop and implement an appropriate system to collect information and to effectively address the various cases/issues addressed to the institution:
  - Hand over the Software.
  - Test the system.
  - Document the system and user manuals.

- Train users:
  - Deliver training to all system users.

- Maintain the system:
  - During the maintenance period, the Contractor must make/reflect possible additions or changes to the system menus/tabs as requested by the People’s Advocate Office.

Note: *If the offered solution is based on Microsoft products, the following products are valid for use.*

1. Office Profession Plus 2016
2. Office for Mac 2016
3. Office Sharepoint Server 2016
4. SQL Server Standart 2016
5. System Center Client Management Suite Client ML 2012 R2
6. System Center Datacenter Server ML 2012 R2
7. Windows Server Datacenter 2012 R2

If other Microsoft products are needed for these project, it will communicates with NAIS – National Agency for Information Society, as the institution that offers free licenses for Microsoft product.

5. LOGISTICS AND TIME

5.1. Location

The basic hardware infrastructure where the system is to be installed is hosted for the People’s Advocate Office.

5.2. Project implementation: start and end date

The intended start date of the project is the date of signing the contract, the implementation deadline for the tasks will be 7 months starting from that date and its maintenance will be at least 1 year after receipt of the system.

6. REPORTING

6.1. Reporting requirements

The Contractor shall submit the following reports in 2 (two) original copies in Albanian:

1) **Inception Report:** must prepare a detailed report of maximum 30 pages to be submitted no later than 1 (one) month from the contract signing date. The preparatory activities must be carried out during this project implementation phase, which should include assigning tasks to the experts involved in the project; setting up a working environment for the project team; meetings with all stakeholders of this project; and obtain all documents needed.

At this stage, expected outputs shall include:

i. The required documentation and knowledge shall be transferred by the Contracting Authority to the Contractor's project team. The Contractor's experts must acquire the knowledge during this phase.
ii. A detailed analysis of existing infrastructure and other interconnected systems should be performed.
iii. A summary of all documentation collected at this stage - whether electronic or printed – must be prepared.
iv. The Inception Report for this phase must be compiled and approved.

“Inception Report” is the only output in this phase. It shall lay out the activities carried out and the output.

The report shall include:

i. Introduction: it will include the executive summary of the project baseline data, current status and recommendations, if any.
ii. Scope of work – a project summary document, a detailed description of the objectives to be achieved and any possible changes to the “Functional Requirements” agreed between the beneficiary and the contractor.
iii. Identification of identified or encountered problems and possible solutions.
iv. Work Plan: it will specify for each activity:
    1) Sources involved (experts) and duration.
    2) Expected outputs and results.
    3) Methodology employed to deliver each product.
    4) Testing and assessment tools to measure achievement of objectives.
    5) Assumptions and risks.

v. Updated project agenda, including activities, sources and benchmarks.

2) **Draft Final Report:** must prepare a detailed draft report maximum 100 pages no later than the penultimate month, which must fully document the software system and hardware infrastructure according to the requirements described in this document.

3) **Final Report:** must prepare a report maximum 100 pages no later than the last month, which reflects all the requests or suggestions of the Technical Working Group on the Draft Final Report intended to fully document the software system and hardware infrastructure.

6.2. Submission and approval of Reports

The report mentioned above shall be submitted to the Project Manager identified in the contract. The project manager shall be responsible for the approval of reports.

The reports mentioned above shall be submitted to the Technical Working Group in accordance with the contract stipulations.

7. INTEROPERABILITY

Integration with other PA systems which carry necessary information for the community and visitors of the PA's website and the active directory.

8. WARRANTY

The CMS system shall have a warranty of at least 1 (one) calendar year.

9. MAINTENANCE

Maintenance will be provided for 1 year from the receipt of the system.

System maintenance is a continuous activity which ensures the system is maintained updated and operational.

During the maintenance period, the contractor must make / reflect possible additions or changes to the menus / tabs of the system according to the requirements of the ombudsman institution.

During the maintenance period, the Contractor must make/reflect possible additions or changes to the system menus/tabs as requested by the People's Advocate Office.

Maintenance terms are provided below:

SERVICE RESPONSE AND CATEGORIZATION

The table below gives the categories of problems and response time to solve them.

Category A (Critical/High)	Category B (Medium)	Category C (Low)
Application failure creates or puts significant risk on normal operations	Application failure creates delays in normal operations	Application failure minimally affects normal operations
Number of affected users		
System failure affects ***a big number*** of users.	System failure affects ***a small number*** of users.	System failure partially affects some users.
Work suspension		
System failure prevents users from **realizing most of their work.**	System failure prevents users from **realizing part of their work.**	System failure prevents users from **realizing some minor parts of their work.**
Temporary alternative solutions		
There is no temporary and acceptable alternative solution to the problem.	***There is a partially temporary and acceptable alternative solution*** to the problem.	***There is a temporary and acceptable alternative solution*** to the problem.
Response time		
○ *10 min. to respond* ○ *By 1 hour on site.*	○ *30 min. to respond* ○ *By 2 hours on site.*	○ *60 min. to respond* ○ *By 4 hours on site.*
Resolution time		
Solution accepted max. 4 hours after incident	Solution accepted max. 2 days after incident	Solution accepted max 10 calendar days after incident

10. SYSTEM IMPLEMENTATION BUDGETING

Budgeting for software implementation, training and maintenance.

No	Name	Item	Quantity	Price per unit	Value (no VAT)
	SERVER				
1	CASE MANAGEMENT SYSTEM	1	1		
	INSTALLATION AND TRAINING				
2	Training of trainers	2	10 days		
	MIRËMBAJTJE				
3	Maintenance	1 year			
Total (VAT excluded)					

11. PROJECT IMPLEMENTATION DEADLINE

Project implementation phases are given in the table below:

No	Project phases	M1	M2-M6	M7	1 year
1	Workflow analysis				
2	System implementation				
3	System installation and testing				
4	Training of users				
5	Maintenance				

12. SYSTEM RIGHTS

Any rights over the documentation relevant to the system built by the contracts shall be transferred to the beneficiary in paper and electronic format.

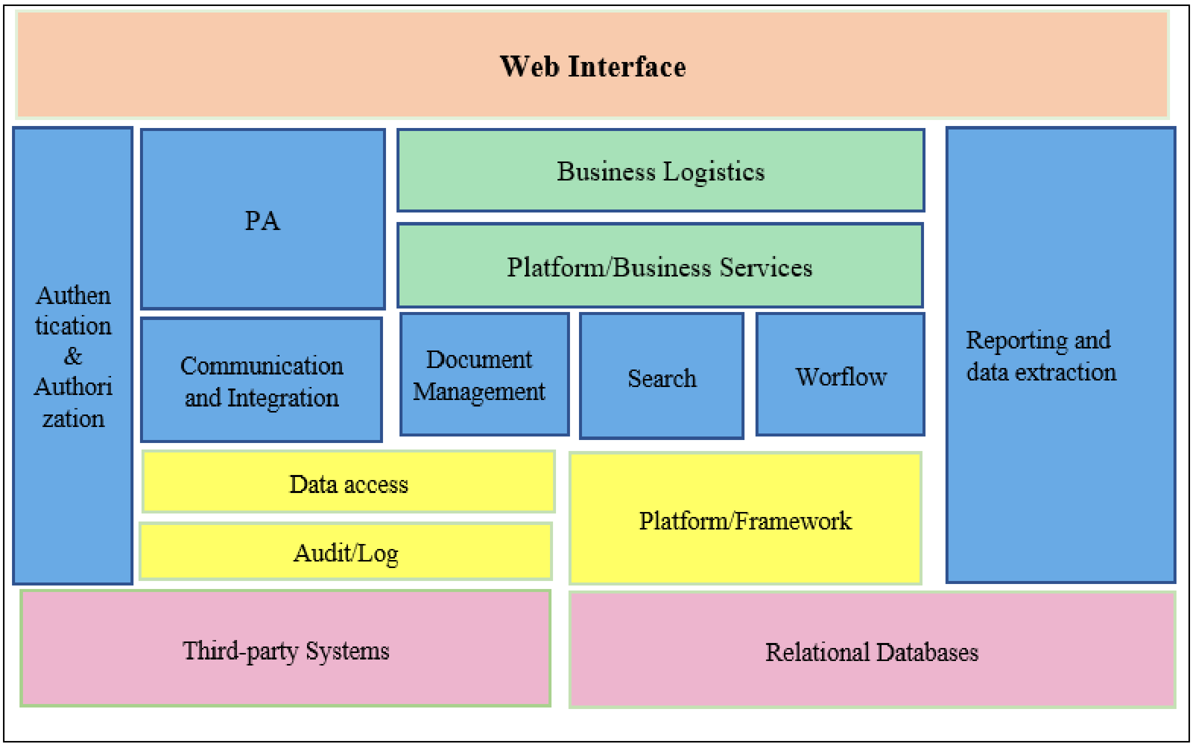
The system will be handed over together with the structured and annotated source code.

Any rights over the documentation relevant to the system built by the Contractor during the performance of the contract, in paper or electronic, shall belong to the beneficiary who may use it at his discretion.

Any full and unlimited rights over the entire system shall be transferred to the beneficiary.

13. FUNCTIONAL REQUIREMENTS

The CMS system must have an n-layer structure according to the diagram below and be built on ready-made platforms/frameworks of essential system functionalities such as file and electronic administration, user administration, integration with active directory, simple and advanced search, etc.



At the presentation level, the web interface of the users will contain the CMS web application that represents the site accessible to all users, will have a separate interface for the administrator and a public interface for the public who will be able to obtain information on the recommendations issued by the ombudsman institution.

CMS functional requirements of the support infrastructure

1- The hardware infrastructure for the CMS system must be built in full compliance with the concept of High Availability and continuity of services. It should be foreseen that the infrastructure to be built enables the transmission of services from the partially or completely damaged equipment to the active and problem-free equipment within a very short time - insensible to system users.

2- The final infrastructure for the CMS system should enable the enhancement of processing capacities and high system availability. This infrastructure will be hosted at the Institution or in the infrastructure made available to the institution by the National Agency for Information Society (NAIS).

Description of joint actions

Introduction: Identification of the system user.	
Stakeholder	Any system user.

Action	User seeks to log in the system.
Request	User must have secure access to CMS Web Server from his/her own personal computer web browser. User must have username, password and internet access to log in CMS. Access to the system will be realized through secure connection such as vpn, fts etc. In case the user forgets his/her password, it will be changed through a *Token*.

Log out	
Stakeholder	Any system user.
Action	User seeks to log out of the system.
Request	User is identified. If user has opened other windows or is editing or modifying data, the system will warn the user to save the input.

Action	
Add	Displays the interface to save a new element.
Delete	Deletes a selected element.
Modify	Modifies the selected element.
Save	Saves modifications to the selected element.
List	Displays list of elements (e.g., list of documents, list of codes, etc.).
Help	Displays the help module for the window opened by user.
Update	Updates the window opened by user.
Cancel	Returns user to previous page and undoes the last action.
Print	Prints the selected document.
Search	Searches for information based on entered keywords.

- Any transaction, or in other words action in the system, will have its record of how, when and who edited. All the action will be saved in the record.
- The system will be flexible to changes that may occur in the PA organizational structure. So, if a new structure is created or another existing one is closed, it will be also easily reflected in the program.
- The public interface where the recommendations issued by the institution will be posted should be in Albanian and English.

Future extension

The system may be extended to satisfy the future needs of the PA. Some possible uses are presented below:

- Registration system for cases and incoming/outgoing documents;
- Tracing system for cases and incoming/outgoing documents;
- History of actions related to cases and incoming/outgoing documents;
- Registrar's Office actions for the registration of cases and incoming/outgoing documents;
- Generation of various statistics;
- System for managing recommendations and their access by the interested public.

Activity in the system today

As mentioned above, the main interface will display the main functionalities to access them faster. The activity interface will display information such as the number of users currently logged in the system, the number of closed cases, the number of created cases, and the overall number of comments in various cases. While in the interface for the public will be displayed information that will be published automatically by the system and those that will be published by the administrator.

Roles

Every user having system access rights will also have rights depending on the role. So, for every action performed in the system, the administrator may or may not grant the right to a certain role by defining exactly those rights.

List of roles

The list of roles of the beneficiary's staff in the system and the level of access will be as follows:

- Head/People's Advocate has full access to all system data, with the right to modify;
- Commissioners have full access to all system data, and access to modify the content of the section documents they manage, provided that the case/document is not closed / journalized;
- Assistant Commissioners have full access to all system data, and access to modify only the content of case files assigned to their personal account, provided that the case/document is not closed / journalized;
- Registrar/Protocol office has full access to all system data, and access to edit tabs it accesses, but not documents attached to cases;
- Cabinet and Central Reception Office have full access to all system data, but without the right to modify documents;
- Any action of all the above mentioned actors should be saved in the system logs.

End Users

System users will work on a web browser from a personal computer which can be connected to peripherals such as scanners and printers to enable all system functionalities. The application must be functional and tested for full functionality on the following browsers:

a) Internet Explorer (Microsoft Edge)
b) Google Chrome
c) Mozilla Firefox, updated versions

The system should be accessed only from within the institution through the GOV network. Terminal equipment currently used to connect users to the Case Management system including PC and VPN client for connections from outside the institution can be used. Also, the new system does not require dedicated internet access, but the same connection can be used. The recommendation interface can be accessed from any browser and any network without the need for a VPN connection.

CASE REGISTRATION

1. The People's Advocate Office handles the following cases:

- Complaints
- Requests
- *Ex officio* cases
- Inspections
- Monitoring

For the purpose of this document, the term 'case' refers to one of the types above.

The Institution accepts complaints, requests or notices from any individual, group of individuals or NGOs in various ways:

- Personally, coming to the Citizens Reception Office at PA or regional offices;[2]
- In the PA application or official website www.avokatipopullit.gov.al;
- Other channels: postal service, e-mail, Facebook or telephone.

Ex officio cases are proposed by the staff and entered in the system upon the approval of PA head.

Inspections/monitoring are proposed by the head/managers/staff depending on the case and registered in the system.

[2] If a citizen appears personally to the PA Citizens' Reception Office, he/she must complete a template form and the inserted data will be entered in the system.

I. REGISTRATION OF NEW CASES

Annex 2 shows the schematic case management by the institution.

Regardless of the type, any new case is initially filed with the Citizens' Reception Office.

The detailed process of managing new cases registered with the PA is as follows:

1.1 Case administration

Once the case is submitted to the reception office, it is sent for approval to the Secretary General.

1.2 Selection of cases by Secretary General

The Secretary General decides to register the case to be handled by the PA or strike it out of jurisdiction by transferring it to the registrar's office for further administrative actions.

1.3 Case registration by registrar's office

This case administration phase is the <u>initial moment when the new case is opened in the system.</u>

<u>INTERFACE CONNECTED TO CASE DATA</u>

At the moment of receiving and administering a case, the employee checks through search engines if the same case already exists. If the case exists with the status "Active" or "Pending", the Registrar's Office records registers the case as an incoming document without giving it a unique identification number and passes it to the person in charge of the case.

If the case already exists with the status "Archived" or "Completed", the Registrar's Office notifies the Secretary General who in cooperation with the relevant Commissioner decides to reactive the case or create a new case in the system. Each case has a unique identification number.

1.3.1 The moment the Registrar's Office performs the action (clicks the 'create case' button) to open the case, it is automatically counted by the system and given the date of registration, in the following format:

Number: year XXXXX example: 202000023 Date:
ddmmyyyy example: 06112020

1.3.2 Once the case is registered by the system, the Registrar's Office must enter at least the following data with the specifications shown in the table below:

The symbol (*) means that the field is mandatory and must be completed.

Name	Technical details
Case type[3] (*)	In this tab, registrar selects the type using dropdown: - complaint, - request, - *ex officio* case, - inspection, - monitoring
Identity of person / group of persons, or the case title/name for *ex officio* cases (*)	This tab is open for editing by the registrar. It must have a tab for registrar to insert only the number if there are multiple complainants for that case.
Identity details of person / group of persons involved in the case, and other details	In this tab, registrar selects using dropdown: - Gender (*): F, M or N/A - Place of birth from a list updated by administrator; - Place of residence (*) from a list updated by administrator; - Citizenship from a list updated by administrator[4] It must have an open tab for registrar to insert the contact details.

1.3.3 The interface related to the case data, in addition to the above data that will be completed by the registrar upon initial registration, must also contain the following fields which will be completed by the registrar or other users during the handling of the case:

The symbol (*) means that the field is mandatory and must be completed.

Action/table	Technical details
Short description of case (*)	- This field is named Title. - Not more than 300 characters, spaced not included.
Administrative body(ies) or public official(s) for whom the case is initiated (*)	- This field is named Archive Code. - User may select/add up to 10 (ten) institutions. - Selection from a dropdown list updated by administrator, depending on modifications sought by system user. - List configuration must be in line with organizational hierarchy of public administration.[5]
Field(s) of law/rights infringed relevant to the case (*)	- This field is named Secondary Code. - User may select/add up to 10 (ten) institutions.

[3] In the current system, the staff inserts the case title, but the new system requires that it be selected from a dropdown list, so, in a separate tab, in order to facilitate the work and improve the quality of statistics.
[4] This denomination does not exist in the current system; the new system requires that it be selected from a dropdown list, so, in a separate tab, in order to facilitate the work and improve the quality of statistics.
[5] For example, when the administrator adds the Tiana Local Police Directorate in the initial system implementation, he has the possibility to allocate this institution subordinate to the General Directorate of State Police and the Ministry of Justice. This feature must be designed so as to enable the administrator to generate statistical reports based on the systems of ministries / subordinate institutions / local government units, etc.

	- Selection from a dropdown list updated by administrator, depending on modifications sought by system user. - List configuration must be in line with the hierarchy of rights according to international standards.[6]
Case finalization/resolution (*)	- This field is named Casetype. - User may select only 1 (one) field. - Selection from a dropdown list updated by administrator.
Person(s) responsible for handling the case	- Selection from a dropdown list updated by administrator, based on system users' structure. - Administrator to arrange this list depending on the institution's organizational set-up. - This option must foresee the possibility that more than one person may be responsible for the case (max. 5).[7]

1.4 Case delegation to the commissioner/manager of competent unit

The Registrar's Office distributes the case to the relevant Section Commissioner based on the classification made by the Secretary General.[8]

1.5 Case delegation to the assistant-commissioner/expert

The Commissioner will delegate the case:[9]
- to the assistant-commissioner, when the case falls within the jurisdiction;
- to the Reception Office, when the case falls outside the jurisdiction.

II. CASE MANAGEMENT AND CLOSURE

2.1 Case management by the assistant-commissioner

The assistant-commissioner/employee once logged in is shown the following interface options:

The symbol (*) means that the field is mandatory and must be completed.

Option	Technical details
Icon enabling access to the database	- The database is accessed through search engines according to the completed fields for the cases registered in the system,

[6] So, when the administrator arranges the list of rights during the initial system implementation, he may have the possibility to allocate specific rights within the general human rights fields.
This feature must be designed so as to enable the administrator to generate statistical reports based on the general and specific fields of law.
[7] This is not possible in the current system and will be added in the new system.
[8] In the new system, once a case is delegated to the commissioner, the latter is notified by an e-mail to his account that a new case is added.
[9] In the new system, once a case is delegated to the assistant-commissioner or other staf, the latter is notified by an e-mail to his account that a new case is added.

	together with the data and documents contained in these cases. - In the database, the user will be able to access documents of a certain type regardless of the case, but with on rights to edit or delete (e.g., all recommendations of the institution for a certain period, in a certain field).
Icon enabling access to cases that user is handling	- In this interface, the user may sort in tab *Title* by date or alphabetical order, according to the field explained in point 1.3.3. - Once the user clicks on a case, the interface with the data entered by the registrar's office for this case will pop up. - User has the right to edit the relevant fields as explained in point 1.3.3*(*).* - This interface contains the list of actions performed for that case, sorted by date (recorded by the registrar or user) which the user has the option to click and eventually edit the actions that are not closed or are related to incoming documents, only to view them. User cannot create new documents about the case without inserting data related to Archive Code dhe Secondary Code. *(*)*
Icon to create document	The case interface has the button "new" which when clicked is automatically recorded as new action for that case and simultaneously: - generates a new interface containing: o automatically generated case number; it is unique and uneditable o creation date for this document; uneditable. o fields/tabs where user inserts document's specific data: ▪ ▪ ▪ <u>Type</u> of document *(*)*[10]. Selection from a dropdown list updated by administrator; ▪ Short description of document *(*)*, open-to-edit field, not more than 100 characters spaces excluded; ▪ Receiver's name/title and address *(*).* - interacts with the Microsoft Office suite by allowing the user to write the contents of the document within a system-generated template, print it, save it to the system, and edit it later until the document/case is closed/*journalised.*[11]
Icon generating list of cases	- In this icon, user may generate/export an Excel sheet with data on all own handled cases and pending cases.

[10] If the document type is a recommendation, then another field named SDG (Sustainable Development Goal) will be activated with a dropdown where the user will select 1 / some objectives. This field is mandatory in the case of recommendations.

[11] Once a document physically leaves the registrar’s office, it is archived and “journalised” in the system by removing the right from users who have access to edit the documents.

2.2 Case management by Registrar's Office

2.2.1 Incoming files/documents

The Registrar's Office after physically administering new incoming documents/ acts which have passed the administrative hierarchy cycle within the institution, records them in the system by pinning them to the specific case. The registration interface for these documents follows this structure:

- automatically generated case number; it is unique and uneditable
- creation date for this document; uneditable.
- fields/tabs where user inserts document's specific data:

  - <u>Type</u> of document *(*)*. Selection from a dropdown list updated by administrator;
  - Short description of document *(*)*, open-to-edit field, not more than 100 characters spaces excluded;
  - Receiver's name/title and address *(*)*.

- An open field to insert the protocol number of the paper document *(*)*.

After these actions, once the 'save' button is clicked, the record is added to the records of the next actions for the case, and the paper-format file is sent to the person in charge of the case.

2.2.2 Outgoing files/documents

The Registrar's Office after physically administering the outgoing documents/ acts prepared by the PA staff, which have passed the administrative hierarchy cycle within the institution, records them by *journalising them.* The interface for these documents follows this structure:

- The registrar user accesses the record of that document which is processed by the assistant-commissioner.
- There is a special field within this record to insert:
  - the case number generated automatically, which is unique and uneditable;
  - the creation date of that document, which is ineditable and must match with the physical registration of the document;
  - registration (protocol) number of the document.

After these actions, once the 'Save' button is clicked, the record is considered journalized. If the record matches the final action for that case (i.e., it is a reply, transfer for jurisdiction, etc.), the journalization of the record is also accompanied by the journalization of the case.

If the journalized record belongs to a recommendation, then immediately after this action this document will be secreted made public in the recommendation management interface which will be public from each network and will be based on the structure found in Annex 1.

If the record is not the final action for that case, the record is journalized but the case remains open for further action.

III. GENERATION OF STATISTICS AND REPORTS BY THE SYSTEM

One of the main goals of creating this new system is to generate complete, up-to-date and dynamic statistics on the cases that the People's Advocate Office is dealing with.

The system generates various reports about all the data it manages, or even data reports from other systems it will interact with.

The reporting system should be a powerful tool capable of high-performance processing of large amounts of information owing to the innovative technology that it will use.

The system should use automatic data partitioning, indexing and aggregate table generation techniques. After syntactic analysis of requests for information, the system determines the optimal way to index the information and does so dynamically. The searched information will be accessed faster as it is already indexed.

Each user is assigned a corresponding role. Roles are preliminary configurations of the set of access rights that a user has on the system.

The reporting system enables the presentation of information in several forms. These forms are grouped into three main groups:

- Pre-designed reports

Such reports are pre-designed and further integrated into the system and the necessary access rights are created which are assigned to the roles that will have the right to access these reports. Any such report can be exported to Excel or PDF format.

- PIVOT (CUBE) reports

Pivot reports are based on pre-configured data sources that are nothing but star schemas built during the implementation phase of the reporting system. Pivot reports realize multi-dimensional requests for information by eliminating the need to process linear information extracted further in systems such as Microsoft Excel. Each pivot report can be exported to Excel or HTML format for website integration.

- Rapid information panels/previews

These panels generally provide information in graphical form. The user can re-arrange these panels as desired and apply different filters on them or set their refresh interval. Rapid information panels are built during the implementation phase of the reporting system but they can also be built dynamically through the pivot tool.

Statistics will be generated based on the codes explained above in this document, including but not limited to:

  - gender, age, place of residence, citizenship or other information of the complainant or persons related to the cases,
  - case resolution,
  - number of requests addressed to institutions and the time of reply,

    - number and type of recommendations addressed to institutions, general and specific fields of law,
    - other statistical data needed by the beneficiary.

- The search engine should create the possibility of algorithmic combination of several statistical elements simultaneously.

- The search engine should be able to generate:

    - List of cases where sorting, filtering, exporting is possible
    - List of documents where sorting, filtering, exporting is possible

- Statistics should be generated in numerical value, percentage and graphical representation.

This option will be open to the system administrator and the contractor must make changes / additions (tab or search engine) according to the requirements and needs of the institution during the time of creation, implementation and maintenance of the system.

- End

ANNEX 1

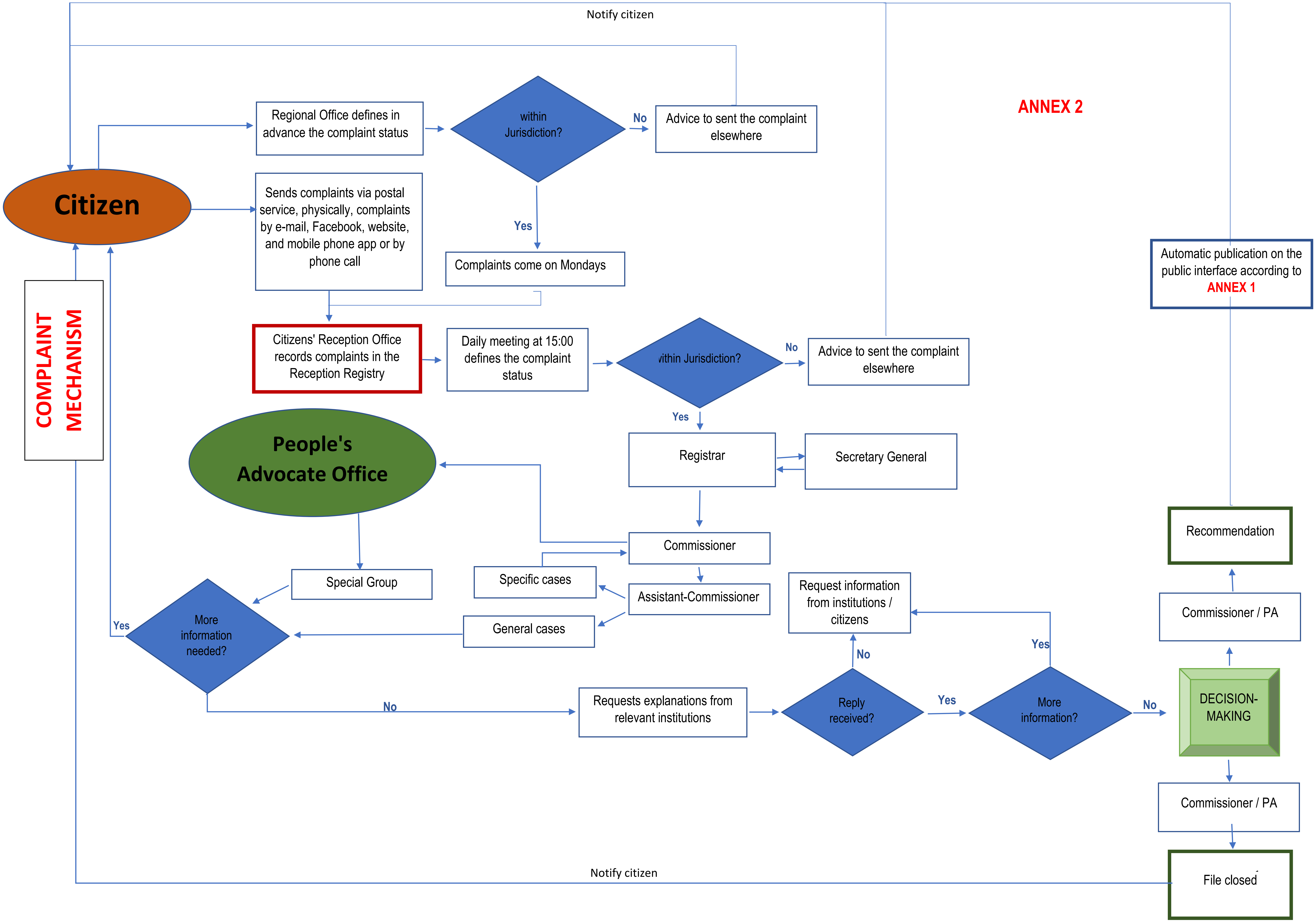
DATABASE FOR THE IMPLEMENTATION OF THE PEOPLE`S ADVOCATE RECOMMENDATIONS AND LINK TO INTERNATIONAL INSTRUMENTS, MECHANISMS AND OTHER DOCUMENTS

Main Menu (Albanian and English)

The main menus / tabs of the system public interface will be as follows [1]

People`s Advocate recommendation (title, nr., dt, areas / areas of law nature of rek (individual / systemic) (search box)	International instrument/document and relevant provisions (search box)	Domestic legal framework and relevant provisions (search box)	Competent Ministry/institution(s) (search box)	Other stakeholders	Action Plan (actions)	Indicators (implementation of the recommendation)[2] Group 1 of indicators: 1.1. Accepted 1.2. Partially Accepted 1.3. Rejected 1.4. No answer Group 2 of indicators: 2.1. Fully implemented 2.2. Partially implemented 2.3 Not implemented	Time-limit	Link to PA previous recommendations
People`s Advocate concrete recommendation, example: Ensure equal access to education for all girls	As applicable: UPR; CEDAW ECHR; UDHR, ECtHR judgements, etc. Link to SDG example: CEDAW SDG Goal 4, target: 4.1	Constitution, Law, Bylaws example: Constitution, Education Legislation in RoA	example: Ministry of Education	Civil society organization; International organizations in Albania; Other stakeholders example: UN Albania	- What is the state of play and else is needed to implement the recommendation example: - info campaign for parents - a study on the infrastructure situation and intervention needs in schools	Indicators to understand: - extent and how the recommendation is implemented - what is the achieved goal - impact on the overall situation of human rights in Albania	Period during which the recommendation may be implemented	

[1] These menus / tables can be changed during the system creation, implementation and maintenance phase.
[2] The 2nd group of indicators is logically related to indicators 1.1 and 1.2.


Notify citizen
ANNEX 2
Regional Office defines in advance the complaint status
within Jurisdiction?
No
Advice to sent the complaint elsewhere
Citizen
Sends complaints via postal service, physically, complaints by e-mail, Facebook, website, and mobile phone app or by phone call
Yes
Complaints come on Mondays
Automatic publication on the public interface according to ANNEX 1
COMPLAINT MECHANISM
Citizens' Reception Office records complaints in the Reception Registry
Daily meeting at 15:00 defines the complaint status
within Jurisdiction?
No
Advice to sent the complaint elsewhere
Yes
People's Advocate Office
Registrar
Secretary General
Recommendation
Commissioner
Special Group
Specific cases
Assistant-Commissioner
Request information from institutions / citizens
Commissioner / PA
Yes
More information needed?
General cases
No
Yes
No
Requests explanations from relevant institutions
Reply received?
Yes
More information?
No
DECISION-MAKING
Commissioner / PA
Notify citizen
File closed