STAR II PROJECT

Consolidation of Territorial and Administrative Reform

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"Establishing One-Stop-Shop service delivery systems for Albanian LGUs"

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1. PROJECT VISION

1.1 Goal and scope of project

The goal of the present project is to provide to all Albanian Municipalities not yet covered by previous projects (see Section 1.3.6) a One-Stop-Shop Information System (OSSIS), making it possible for citizens to access services in a more timely and better way: they will no longer need to go to different offices for a single process, but rather only access one office (the OSS) which will be responsible to redirect internally their requests and provide them more services from a single point.

In the name of efficiency and simplification, the LGU OSSs will operate on a single IT platform (One-Stop-Shop Information System – OSSIS), whose provision is the goal of the present project. The OSSIS will operate in ca. 50 municipalities, which have not been reached by the implementation of the previous projects, and

- will empower municipalities to improve the quality of administrative services, monitor the services execution, shorten the execution time, increase transparency in the provision of G2C and G2B services.
- will provide citizens additional possibilities for service execution tracking, providing feedback and receiving higher quality services in a shorter time.

In order to achieve this goal, the Joint Venture will implement and roll-out a robust and flexible software system for One-Stop-Shops in LGUs of Albania, which is based on the modern architecture and latest industry standards. The implementation activities include detailed requirements analysis, system design, development, customization, and quality assurance, deployment in central data centre and local infrastructure and rollout in the facilities. The additional project activities are comprised of professional project management, change management, legal analysis, business process analysis and engineering, centralized and on-site user training, extensive go live support, 2nd and 3rd level maintenance support and warranty services.

The One-Stop-Shop Information System (OSSIS) shall be open and ready for enhanced interoperability with numerous IT systems, which include but not limited to national systems and registers accessed through Governmental Gateway, payment gateway, public key infrastructure, SMS gateway, local accounting system, web CMS. A multi-tier, SOA based system, which can be implemented and operated in SaaS environment solution or hybrid architecture supporting centralized and federated functionality is expected. The choice of OSSIS architecture is of key importance. The proposed architecture shall support data and partially functionality isolation for each municipality and at the same time to benefit from the deployment and maintenance in a centralized data centre.

1.2 Service vision

Distance, real or perceived, between citizens and the public services is one of major reasons of disaffection towards the government institutions. Yet the need to rationalise service delivery and to reorganise it so that it can be both professional and cost effective leads to the progressive reduction of capillarity and proximity: it is a worldwide trend that often dwells on solid economic and quality reasons, but is nonetheless perceived as a loss, at least at short term, by affected citizens.

This is even more evident when local administrations are involved, because they are the first level of government presence and they are perceived as the ones more directly dealing with primary citizens needs. Maintaining proximity services is therefore a critical mission for all local governments.

The recent territorial administration reform in Albania, reducing the number of Municipalities from 373 to 61, is therefore a substantial challenge, because the rationalisation cannot be, nor be perceived

as being, at the expense of service proximity, and must indeed deliver an increase in quality of services, if citizens are to understand and appreciate the rationale behind the change.

The nationwide effort to introduce OSSh in public service delivery in Albania is driven by the strategic priority of providing "high quality services for citizens and businesses in a transparent, effective, and efficient way through the use of modern technologies and innovative services"; concentration of front office services (as per the OSS model) serves this objective by promoting an inclusive and pro-active approach to citizen needs, by simplifying the gathering of information and promoting transparency and impartiality via the decoupling from the back-offices. The challenge for local administrations is even larger: the logic of concentration that presides the delivery of national services can only partially represent what is needed in LGUs; indeed concentration of service delivery in single window shops is a key to a better service experience for users, as it simplifies and removes obstacles to access (no need to know which office delivers which services, no need to know in advance the procedures, etc.). But for Municipalities the OSS are also (and primarily) key to maintaining a proximity access in all AUs to the municipal services, when the structure of the administration is being rationalised and centralised into the new LGU centres.

But an approach intended only to preserve access for all citizens, wherever they live – while valuable – would be purely defensive; the transition to the OSS model has instead a definite goal to improve service delivery for citizens. This will be effected in the first place by increasing reliability of services: thanks to a revision of processes of each administration, it will be possible to close loops and to streamline operations, giving the citizen more certainty about the outcome and the timing of his requests. Moreover, the fact that front end operators will be supported by a complete workflow based information system, linking the OSSh not only to back offices of the Municipality, but with national information data bases, will reduce greatly the possibility of errors and will facilitate the presentation of requests, by integrating user data with those already possessed by the Public Administration at local and central level.

Last but not least, OSSh is a flexible model, that could enable in the future to offer new services, both by the Municipalities and by other Administrations, also by the way of agreements between the local and the central level: in this perspective, the adoption of the OSSh model in all LGUs can truly bring government close to the citizens, wherever they are.

1.3 Background and context

1.3.1 The legislative framework of Local Administration reform in Albania

For many years now, the local government system in Albania has been undergoing a series of structural and institutional reforms. An important driver in this direction is the path toward EU accession. In June 2014, Albania was granted the EU candidate status, an important landmark towards EU membership, although advancing along the membership process remains conditional on further results in different fields and notably in the *"reform of the public administration and the judiciary"*.

Such reform efforts (and their difficulties) are in fact testified by a string of strategies and policies dating back to ten years ago (e.g. the *European Partnership document* of 2008); in particular the Albanian government approved in September 2009 the ***Cross-Cutting Public Administration Reform [PAR] Strategy 2009-2013***, which aimed at building and strengthening the overall administrative capacity in Albania, through modernization of the Albanian public administration and strengthening of the key institutions. This strategy focused essentially on Civil Service, while leaving out of its scope other issues related to the control over the administration, transparency of decision-making, public information, etc. The new ***Cross-cutting PAR Strategy 2015-2020*** aims at and focuses instead not only on Civil Service, but also on other important elements to address the need to improve the services provided to citizens and businesses, to increase transparency and accountability or issues

such as governance innovation, priorities which have been set forth also in the Government's political programme of 2013-2017 [see CCPARS 2015-2020 Overview, p. 4]. Thus the strategy is focused on the following areas:

a) Policymaking and the Quality of Legislation;
b) Organization and Functioning of Public Administration;
c) Civil Service: Human Resource Management;
d) Administrative Procedures and Oversight.

It may be noted that the strategy deals principally with the central administration and with cross-cutting issues that impact the core functions of the state. The local level will be affected mainly in an indirect way, through the implementation of national level transformations. There is however at least one important action aimed directly at the local governments, which is the establishment of "One-Stop-Shops" for delivering administrative services at the municipal level (see below for further information).

Albania is overcoming a history of strong centralisation of the public administration and local government is still weak in its structures, its financial and institutional capacity; at 2.2% of GDP (2013), local public expenditure represents less than 8% of the general public expenditure and is one of the lowest in South-Eastern Europe. Since 2000, functions and services have been gradually added to the responsibilities of local governments: while progress has been made on advancing the decentralization, several challenges were faced. These challenges consisted on lack of a national policy development framework, lack of clear legal and regulatory framework, and extreme fragmentation of local authorities causing lack of capacities of the local government. Local authorities do not have appropriate financial resources or local revenues commensurate with their own and shared competences. Elected structures of local governance have been incapable of governing with efficiency and transparency and of involving citizens in their decision-making. The existence of a great number of small local government units until mid-2015 have increased the overall administrative cost of governing and management of the local government and made it difficult provision of services with high quality and effectiveness.

In order to overcome these shortcomings, the Government launched the **Territorial and Administrative Reform (TAR)**. The establishment of a better local governance in fact allows for an effective implementation of the subsidiarity principle, according to which public issues are faced and services offered at the nearest possible governance level: not only this enables a better satisfaction of citizens needs, but increases public scrutiny and accountability of the administration; on the other hand, such a shift requires a more proficient, professional and impartial public service, with a higher degree of organisation and specialisation, which the small and fragmented municipalities could not properly ensure. The TAR aimed therefore at transforming the quality of local governance, enabling local public institutions to operate with greater human and financial resources in larger territories that allow for efficiency and economies of scale: this objective has been pursued through a deep reorganisation of municipalities **(Law 115/2014 "On the territorial and administrative division of local government units in the Republic of Albania")**, resulting in their reduction in number from 373 to only 61, effective from the local elections of 2015. To sum up some significant numbers, average population grew from less than 8,000 to nearly 50,000 people, surface from 77 to 471 km^2; average distance of administrative units (former communes) from the Municipality centre is around 14 km, while the maximum can reach 67 km. The new units of local government have begun to work with a new model of territory organization, where new municipalities have their administrative structure required by law. Functional connection between new municipalities and their constituent units require technical support for building institutional models and administrative organization within the new municipality as well as infrastructure support to make work the physical and virtual connection (online communication) between them.

Such a broad reorganisation is the prerequisite for the creation of more structured and more cost efficient administrations, with specialised personnel and better service delivery capacities; on the other hand, it obviously poses a strain to the existing organisations and renders the delivery of proximity services a significant challenge.

The **Law 139/2015 Local Self Governance (Organic Law)**, was adopted in December 2015, as a need after the implementation of the Territorial and Administrative Reform. The Organic Law provides the new framework for local government operations, in line with the government strategic vision for furthering decentralization and within the new context of the post administrative and territorial reform. The law introduces standards to ensure good governance at local level through a dedicated comprehensive chapter on transparency, consultation and participation of citizens. One of the challenges of the new administrative division is the transfer of six new functions to the local government in 2016 in accordance with the Law 139/2015 on Local Self-Governance, including staffing of preschool and secondary education, forest and pasture management, rural roads management, secondary irrigation and drainage infrastructure management, social services management and fire protection and rescue.

The transfer has not been smooth and it is still ongoing for some functions. The main challenge remains the completion of the legal framework for the full transfer. In parallel, low levels of local institutional capacities to deal with the delegated new functions and lack of a proper planning for managing those functions effectively are yet to be addressed.

Municipalities are struggling to restructure service provision in accordance with the new responsibilities they have over the territory and within the financial limitations. They should find ways to ensure a better coverage, improve citizens' access to services, and contain and estimate necessary financial resources for the implementation. It is essential to link these efforts to effectiveness, that is moving away from the traditional emphasis on managing inputs (budgets and staff) and processes (rules and structures) if the aim is to seek for a service that is provided with efficiency, effectiveness and is responsive to the needs of all women and men wherever they live within the LGU territory.

According to the Law No. 139/2015 "On Local Self-Government", the units of local self-government are the municipalities and qarks that realize the local self-government in the Republic of Albania. The municipality is the basic unit of local self-government, which is composed by several administrative units (former communes).

According to the law, "Function" is the field of activity for which the unit of local self-government is responsible and has the legal competence to exercise it freely, wholly or in part, in accordance with laws and sub-legal acts. The functions are divided into two groups:

Own Functions
•Are the functions given by the law to the LGU, for which it is responsible for the realization, and has the freedom and authority to make decisions and to use means for their realization within the norms, criteria and standards universally accepted by law, having full administrative, service, investment   and regulator authority.

Delegated Functions
•functions of the central government, the exercise of which is delegated to the local self government units.

It is however to be noted that only services related to municipal own functions are within the scope of the present project. See Appendix A below for the detailed categorisation of services according to the Law 139/2015.

In order to create the conditions for an effective increase of resources and administrative capacity of the LGUs, a new **Crosscutting Strategy on Decentralization and Local Governance 2015-2020 (CCSD)** was adopted in July 2015; it represents the Government vision for strengthening local governance and local democracy through

a) improving the overall efficiency of local government structures,
b) strengthening local fiscal capacities,
c) fostering sustainable local development, and
d) deepening good governance and local democracy through participation, civic engagement and the creation of community structures for dialogue and consultation in decision-making.

The reforms devised by the CCSD are aimed mainly at creating a good administrative structure, capable of handling the more complex tasks it will have to perform in the new organisation of the State: while the emphasis is not on the delivery of final services to citizens and businesses, their improvement is perceived as a horizontal objective, towards which the proposed innovation will strongly contribute.

Nevertheless, an important step regarding service delivery to end users has been the adoption of the **Law 13/2016 "On the way of delivering public services at front office level in the Republic of Albania"**. This law establishes

a) principles of public service delivery;
b) rules on developing public service models and their codification;
c) procedures for the establishment of new services or the reorganization of existing services;
d) the way of public services delivery;
e) rules on cooperation in public service delivery between the state administration institutions and independent institutions/local government units;
f) rules on the organization and functioning of the Agency for the Delivery of Integrated Services in Albania (ADISA);
g) rules on the organization of front offices and back offices.

While the law applies directly only to the state administration institutions, it leaves the possibility of involving also LGUs, through the implementation of specific agreements with the Government; standardised service delivery models, which will be compulsory for state administrations, act as recommendations for LGUs. Among the main provisions of the law, it is worthy to note the emphasis on separation of front and back office and the promotion of the one-stop-shop model.

Finally, the recent **Law 68/2017 "On local self-government finance"** is an important step towards the consolidation of LGU fiscal autonomy, inasmuch as it determines and gives stability to the rules for allocation of resources to local administrations, in order to support own and delegated functions and to provide a sound framework for fiscal responsibility and decentralisation.

Important advances and persisting challenges in the field of local government reform have both been recorded by the EU in the latest Albania Country Report (2016): *"Some progress was made on policy coordination and at local government level, with the adoption of the new law on the organisation and functioning of local governance. However, substantial efforts are needed to increase the administrative capacity of local government units to carry out their expanded competencies and provide them with the necessary financial resources. [...] On local government, implementation of the territorial reform continued, although financial and administrative consolidation of the newly created municipalities was slow. [...] The new law on the organisation and functioning of local governance entered into force in January. The law decentralises a high number of new competences*

to municipalities. The establishment of a consultative council between the central and local governments is pending. One stop shops for public services were piloted in five municipalities.

1.3.1.1 Appendix A – Classification of administrative services based on functions and fields

The law no 139/2015 separates the functions based on several areas of activity as follows:
- infrastructure and public services;
- social services;
- culture, sports and entertainment services;
- environmental protection;
- agriculture, rural development, public forest and pastures, nature and biodiversity;
- local economic development
- public security

With regard to **infrastructure and public services**, in the territory of their jurisdiction, the municipalities shall be responsible for:
- Production, treatment, transmission and supply of potable water
- Collection, disposal and treatment of wastewater
- Collection and disposal of rainwater and protection from floods in the residential areas
- Construction, rehabilitation and maintenance of local roads, road signage, sidewalks, and public squares
- Lighting of public areas
- Local public transport
- Construction, rehabilitation and maintenance of public cemeteries, as well as provision of public funeral service
- Service of public decoration
- Parks, gardens and public areas of grass
- Collection, disposal and treatment of solid and domestic waste
- Construction, rehabilitation and maintenance of buildings of pre-university educational institutions, except for vocational schools
- Management and arrangement of preschool education system in kindergartens and nurseries
- Construction, rehabilitation, and maintenance of buildings of primary health service, the organization of local-level education and promotional activities related to health protection, and the management of centers and other services in the field of public health, in the manner specified by law
- Planning, management, development and control of the territory, in the manner prescribed by law.

Functions of the municipalities in the field of social services
- Initiation and management of social services at the local level, for the poor, persons with disabilities, children, women, women as heads of households, battered women, victims of trafficking, mothers, parents with many children, the elderly, etc., by the manner specified by law

- Construction and management of dwellings for social housing, in the manner prescribed by law
- Construction and management of centers for the provision of local social services
- Creation, in cooperation with the Ministry responsible for the social welfare, of a social fund for the financing of services in the manner prescribed by law.

In the field of **culture, sport and recreational services**, municipalities shall be responsible for exercising the following functions:
- Development, protection, and promotion of the cultural heritage of local interest, and management of the facilities for exercising such functions
- Organization of cultural activities, promotion of national and local identity, and management of the facilities for exercising such functions
- Development, protection, and promotion of libraries and reading halls for the purpose of civic education
- Organization of sporting, recreational, and entertaining activities, and development and management of the institutions and the facilities for exercising such functions.

In the field of **environmental protection**, municipalities shall be responsible for the exercise of the following functions:
- Implementation of local-level measures to protect the quality of air, soil, and water from pollution
- Implementation of local-level measures for the protection from acoustic pollution
- Organization of local-level education and promotional activities related to environment protection.

Functions of the municipalities in the field of **agriculture, rural development, public forests and pastures, nature, and biodiversity** are:
- Management, operation and maintenance of irrigation and drainage infrastructure, transferred to their ownership in the manner prescribed by law.
- Management and protection of agricultural land and other types of resources, such as the unproductive land, etc., in the manner prescribed by law.
- Creation and management of a local system of agricultural and rural information and consultation, according to the legislation in force.
- Creation and management of grant schemes for local agriculture and rural development financed from the local budget and/or co-financed by third parties, guaranteeing gender balanced access
- Management of public forest and pasture resources, according to the legislation
- Protection of nature and biodiversity, according to the legislation in force.

In the field of **local economic development,** municipalities shall be responsible for the exercise the following functions:
- Preparation of strategic developmental plans and programs for local economic development
- Establishment and operation of public markets and trade networks
- Support for the development of small business through promotional activities, such as fairs and advertisements in public areas

- Organization of services in support of local economic development, such as business information, promotional activities, availability of public assets, etc.
- Publication of informative brochures, creation of portals with economic profile, etc.
- Provision of financial grants to support small and medium business activities, as specified in the legislation in force, guaranteeing gender-balanced access.

Functions of the municipalities in the field of **public safety** are:
- Civil Protection at the local level and management of the relevant structures in the manner prescribed by law.
- Provision of the firefighting service at the local level and management of the relevant structures in the manner prescribed by law
- Guaranteeing of good relations across the community, prevention of, and mediation for resolving, conflicts within the community

Prevention of administrative offenses and the strengthening, inspection and monitoring of the implementation of the statutes and regulations of local government units within their local jurisdictions in accordance with the applicable legal provisions.

1.3.2   The STAR and STAR2 programmes

Recognising the need for a strong drive towards the progress of LGUs capacity building, international cooperation has been very active in supporting the harnessing and implementation of the Territorial and Administrative Reform. However, along their individual programs, key international partners joined in a pooled fund in support to the government territorial and administrative reform. The pooled fund was structured as a UNDP project known as STAR (Support to Territorial-Administrative Reform). It commenced in late 2013, almost simultaneously with the official launch of the reform.

STAR project helped design and implement the reform through provision of expertise and resources, including development of possible options for LGUs consolidation, nationwide public consultations, inventorying of former local governments assets and liabilities as well as guiding the new LGUs in the post-election period amalgamation and transition processes. The STAR project was instrumental throughout the implementation of the reform and it contributed directly to the reform results. The STAR project ended in June 2016, and a new successor STAR2 was launched in July 2016, with a projected project life until end 2019.

The present STAR2 project is developed in continuity of the results of its predecessor STAR as well as in complementarity with the assistance of various partners for strengthening the institutional and administrative capacities at local level. In full account of these considerations, STAR2 project will have a national coverage and benefit all 61 LGUs, with its assistance designed to unfold along three main components:

a) Strengthening institutional and administrative capacities of LGUs
b) Improving service delivery at LGUs level
c) Increasing good governance through citizen oriented and meaningful participatory decision-making.

STAR2 was developed as a collaborative effort of international partners - EU, Italy/Italian Cooperation, Sweden/SIDA, Switzerland/SDC, US/USAID and UNDP - under national leadership, to provide coherent support to the implementation of the reforms at the local level and thus assist in the further consolidation of the local governance system. Through STAR2, UNDP offers project

management and implementation and help manage donor contributions for joint action within the various relevant reforms' framework.

The project is designed to provide assistance at two levels: at the local level for systematic and inclusive capacity building for all local government administrations, and for organization of public service delivery systems for a more integrated, innovative, transparent, and accountable ways to the benefit of men, women and marginalized; and, operational and organizational support to the responsible Ministry to enable leadership and coordination of this assistance.

Through a national coverage, STAR2 project will provide support to all 61 LGUs and engage in activities along the following three main components:

1) *Strengthening institutional and administrative capacities of LGUs*, including support for the adoption of the Code of Administrative Procedures, LGU strategic management, and local revenue and assets management;
2) *Improving local service delivery efficiency, quality, coverage, accessibility and inclusiveness*, including reorganization of service provision at the local level, establishment of service delivery monitoring parameters and targets, provision of services through one-stop-shops, adoption of national standards for archiving of local administrative records, etc.;

Increasing good governance through citizen-oriented governance and participatory decision-making, including support for the implementation of the legislation on public consultations, promotion of participative decision-making practices, development of transparency and accountability systems such as regular publication of municipal information in municipal websites, municipal transparency programmes and municipal integrity plans, etc.

1.3.3   Service delivery at the LGU level

The new administrative and territorial reform, by reducing the number of local governments, has made the administration of the territory - now a larger unit of urban, suburban and rural areas - a more challenging task. These larger and more complex territories are now managed through a municipality centre. In this new environment, municipalities will need new tools to administer, document, and track the delivery of services.

Even prior to the territorial consolidation, most LGUs used to find it quite difficult to produce accurate data on population being served, the service coverage, and the quality and quantity of services provided, therefore performance of service delivery is quite difficult to assess. Missing data makes planning and monitoring of service delivery difficult to impossible.

Most LGUs have no plans for either expanding or improving the quality of the services. Usually planning used to be built on ad-hoc needs and budgeting was largely prepared based on the previous year expenditures, thus reflecting the ups and downs of financing resources allocated from both central and local level. All costs incurred for the delivery of these services is covered by the municipality budget along with other operational and capital expenditures incurred for the public service sector.

In terms of efficiency, service fees that are set and approved by local governments usually do not cover costs, whereas the rate of fee collection remains relatively low, causing an incremental deficit that is either subsidized or simply leads to a progressive decreasing service quality. The sector is lacking necessary capital investments to ensure full coverage and an increasing service quality. Although at a very low level, capital investments are mostly paid either from local budget or donor funded projects.

In general, perception on quality and quantity of service delivery is quite poor. Qualitative and quantitative data on the past and current LGUs' performance relevant to public service delivery they are responsible for is highly deficient. There is hardly any analysis on the coverage, quantity and quality of public services at local level, which represents one of the main deficiencies on the services sector and impairs the availability of a full picture on the level and extent to which public services are delivered in the country.

The enlargement of the scale in local government units has shown that different municipalities have been using various instruments for managing public service delivery. The new administrative and territorial division of Albania has brought together citizens of urban, suburban and rural areas regardless of their demographic and geographical location. These larger and more complex territories are now managed through a municipality centre and administrative units. LGUs are required to provide by law public services to all, regardless of physical distance between the LGU and the citizens. Even within the same newly established municipality, in part services are carried out by a municipal entity (in the centre of the municipality), whereas in most other parts (administrative units), there is no service provision at all.

By law it is requested that in all the 61 newly established municipalities, services that have been provided by former communes should be reorganized and restructured in a manner that physical distances between units and time of delivery are shortened, and citizens are served qualitatively and timely. This is a critical and immediate task, to reengineer the internal processes and through real time communication, ameliorate the way services are offered to the community and in many cases, offer these services in areas where they have never been offered before.

The One-Stop-Shop model has been identified as the primary tool by the PAR, the TAR and the Decentralisation Strategy to face all these challenges: according to the CCSD, Administrative Units of the municipalities (the former communes) will act *as a whole* as One-Stop-Shops for the citizens, with a functional link and complementarity with the headquarters of the new LGUs and through the application of information technology. This transformation will ensure the sustained presence of the public administration also in remote areas, in a logic of proximity and of simplified service provision that will offset the greater distance between LGUs and citizens.

1.3.4   OSS model

With reference to public administrations, a "One-Stop-Shop" is any front office where citizens and/or businesses can apply for a plurality of services, irrespective of the back-offices responsible for supplying them. In its simplest form, a OSS is the single (physical or virtual) front office where services of one Administration can be applied for. OSS were developed initially as a means of streamlining the bureaucratic burden of businesses, but the model has been progressively extended to many different sectors, and ideally could represent the single gateway to all interaction between citizens/businesses and the Public Administration.

The role of the OSS is:
1. to intermediate between the applicant and the supplying office/administration. This to the advantage of the applicant, who is freed from the need to understand the complexity of the administration(s) charged with the service supply and is instead referred to a single entry point, charged of translating his needs in the appropriate administrative procedures; in that a OSS is a basic tool for implementing a citizen centred government. On the other hand, it is to the advantage of the administration, who can filter the applicants' demands, eliminating procedural and competence errors and streamlining the workflow of back offices.
2. the decoupling of front and back office, that enables the processing of applications for different structures and even for different administrations: this results in more efficient management and processing of service demand, but also in the possibility of having

decentralised points of presence for highly centralised processes, resulting in a good balance between the need for streamlining and rationalisation and the one of capillarity of delivery. In perspective, the OSS model is an enabler for multi-administration integration in the supply and delivery of services.

The OSS model is particularly suited for the administrative level nearest to the citizens, in application of the subsidiarity principle. For this reason, it is normally associated with municipalities. As such, OSSs present the risk of reproducing the peculiarities of their administrations', thus formalising different processes and workflows for the same services; while this is usually not perceived as an evident disadvantage for the citizen or for the single municipality, it results in the loss of consistency and equality of treatment across different administrations. For this reason, the best practices in EU OSS management imply a degree of harmonisation and coordination of the processes on a regional or national basis.

The approach

One-Stop-Shop approach is based on a general shared data management system used in attending to the public, facilitating the digitalization of data and documents and communication between the different offices in public administration service provision. Hence, the possibility of rapid exchange of information between offices plays a role in improving coherence of information and thereby facilitating the service delivery. In addition, working in cooperation minimizes inaccuracy and the implementation of time-consuming procedures. Moreover, by reducing contradictory and insufficient information, the One-Stop-Shop plays an important role in increasing trust in public administration and can represent a channel for disseminating a positive message to the society. The One-Stop-Shop will disseminate information on rights and duties and will provide exposure for the basic administrative values. This strategy is therefore an important tool for improving the relationship between state, society and individuals. Furthermore, by providing integrated solutions to the problems faced by citizens – offering all services required to meet their needs, at a single point – the One-Stop-Shop can contribute to minimizing obstacles. Finally, a holistic, comprehensive model such as the One-Stop-Shop contributes to improving efficiency in coordinating different actions and simplifies both access to services and the outcomes of procedures.

Taking into consideration the general characteristics of the One-Stop-Shop and the potential outcomes for citizen services, the most relevant prerequisites for implementing such a service are identified as:
a) Development of an analysis identifying the administrative services that citizens need to receive.
b) Identification of the services and of the specific support services that will be available at the One-Stop-Shop, considering the specificities of the receiving community.
c) Identifying or creating the *"umbrella organization"* that will manage the One-Stop-Shop overall and coordinate subsequent implementation steps.
d) Identification of an appropriate space in an accessible location.
e) Recruiting and training staff of Government agencies to work at the One-Stop-Shop.
f) Opening the One-Stop-Shop.
g) Continuous evaluation of all services and service adaptation or expansion of services accordingly, and introduction of new services.

As highlighted, the prerequisites and necessary steps for the creation and development of the **One-Stop-Shop reflect not only a gradual process of negotiation and accommodation of the views and procedures of all those involved, but also a process of continuous monitoring of the service provision**, **to examine whether it continues to cater to the needs of the receiving community**. Evaluations of the One-Stop-Shop service will further guarantee the identification of what works and

what does not work so well, promoting an organizational learning that can also be used to reshape or reinforce this approach.

The One Stop Shop is based upon the provision of public services to citizens, in one place and providing facilities by grouping representatives of the government's department/departments under one roof, ensuring ease and speed of service delivery, and therefore reducing costs, as well as providing better services.

In an ideal situation on the local government, OSSH should provide all products and services to its citizens. But this will be very difficult and has a high risk of failure, so they need to pass initially at a testing stage. In the specific situation of Albanian LGUs and Administrative Units born out of the TAR, the range of services to be implemented in OSSs is defined by the classification of services of the Law 139/20151; within this classification the provision will be limited to administrative services, i. e. those provided by local government institutions, within their jurisdiction, to natural and legal persons, upon their request, and which results in a reply of different forms, like a certificate, licence, permit, etc., by the responsible institution provided for by the law. Public services, provided to all the community independently from individual requests (e.g. Cleaning and Waste Removal, Urban transport service, Greenery service, Road lighting) do not belong to the delivery model of the OSS, and therefore will be excluded from the scope of the project. See below Appendix B for the complete list of administrative services being considered for the implementation in LGU OSSs.

Based on the operation type, today there are two types of One Stop Shop model

i. **Single door**. In this type of One Stop Shop, representatives of different municipality departments are brought together in one place, with each representative handling the procedures of his/her department. This approach does not require changes in legislation or institutional authorities; it only requires cooperation between the parties involved in the provision of services.

ii. **Single window**. In this type of One Stop Shop, only one employee deals with service recipients. Of course, he/she should be aware of the sequence of processes between organizations and of the required documents. The employee receives the required documents and forms and then distributes them to the organizations' representatives in the same site, who then implement the required processes. Upon completion, the application is handed to the service recipient through the window. The organization's representative (or representatives) should be authorized to provide services through the window.

While the single door model has been successfully applied in many situations involving major centres and/or complex multi-agency concentrations of services, the single window model fits better with a One-Stop-Shop for the provision of administrative local services in a municipality. While maintaining the conceptual model, the extension of it to all Administrative Units will in fact create a multi-window solution: in this case, all the windows will have the same role, as in the following figure.

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[1] The object of this classification is the standardization of the manner of classification, codification and formulation of forms for application to administrative services, provided in municipalities and administrative units in the Republic of Albania. The classification of services is done with the purpose of their equipment with a unique code for each administrative service provided to users.
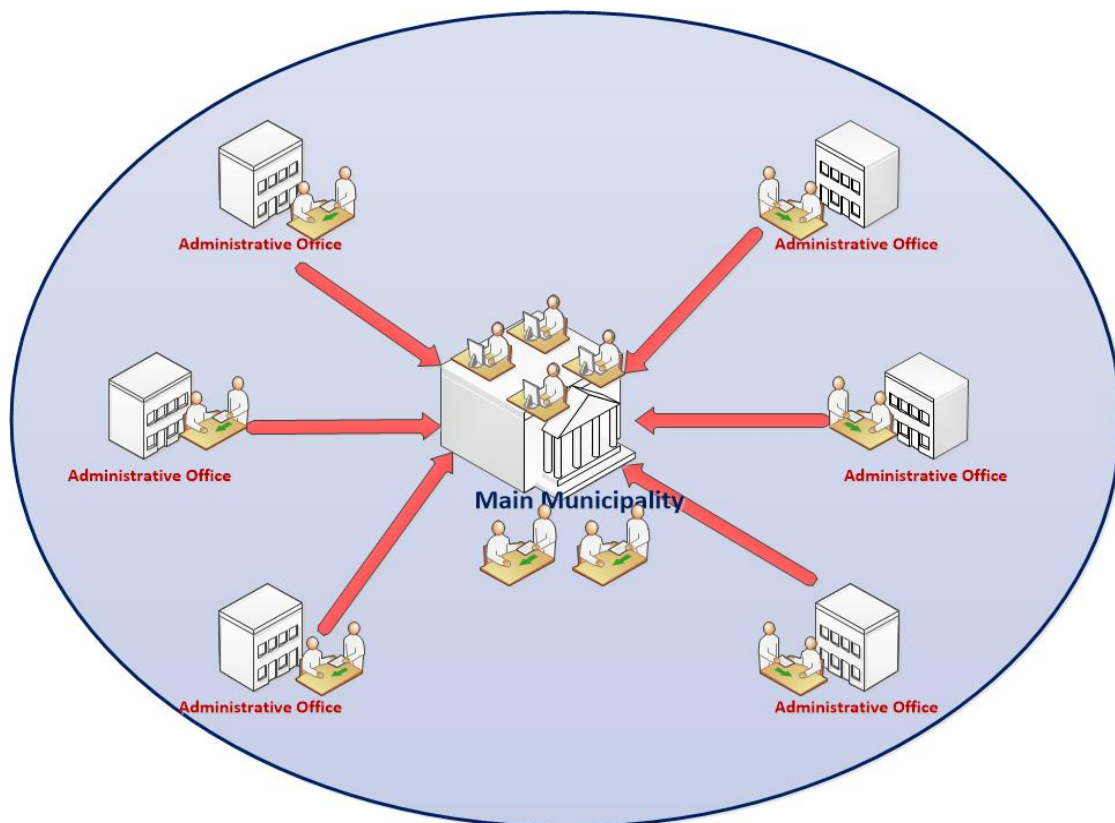
This approach requires the involvement of all parties in all the details concerning applicable procedures. There may be circumstances where this will require a change in applicable procedures. One advantage of this type of One Stop Shop is that the organization's representative is fully authorized to accept service delivery documents. As in the previous statements, the idea of the implementation of the One-Stop-Shop as a process rather than an instant application should be kept in mind.

Accessibility of Services and Information

Accessibility of Services and Information is one of the most important topics during the preparation for implementing the One-Stop-Shop. There are several issues in relation to the accessibility of the services and of information related to the One-Stop-Shop.

i. **Accessibility.** The One-Stop-Shop should endeavor to provide opening hours that facilitate working citizens, while still accommodating the existing schedules of the staff of the municipality. If it is not possible to open every day before and after normal office hours, there should be late and/or early opening on at least one or two days per week. This will avoid the need for service-users to take the day off work to avail of the services. It is further recommended that the service providers at the One-Stop-Shop have access to all relevant and cross-cutting information concerning service provision. Information and Communications Technology can be a crucial support in that respect and should be used to enhance service provision and increase the coherence of services, such as for digitalizing documents, simplifying procedures and simplifying access to services online and by telephone. The umbrella organization overseeing the One-Stop-Shop should be facilitated in sharing information between the support offices.

ii. **Information.** Several information strategies may be used to disseminate the One-Stop-Shop services and relevant information. Publicity campaigns: Information brochures about the One-Stop-Shop and about service consumers' rights and duties should be handed out, a television and billboard advertisement campaign should accompany the opening of the One-Stop-

Shop(s) to alert citizens and others to its services, where the services are presented in a clear and comprehensible fashion. After this initial period, it is likely that many more citizens will continue to find out about its existence by word-of-mouth.

iii. **Virtual One-Stop-Shop**. A virtual One-Stop-Shop may also be created to complement the physical one. On this website, appointments could be made for the services of the One-Stop-Shop and information could be obtained. According to the capabilities of each Municipality, procedures may also be undertaken online. Progress in the modernization of access to information and services at the One-Stop-Shop will form part of existing general strategies to use Information Technology in public administration. Due to varied levels of computer literacy among populations and information-sharing, however, the virtual One-Stop-Shop is not a substitute for the physical One-Stop-Shop. Procedures could also be possible by email, by phone and through the post office.

1.3.4.1   Appendix B – Administrative services classified according to 139/2015

Field	Function		Service
91 Infrastructure and public services	**01** Lightening of public areas	**001**	Request for public lightening
	02 Collection, disposal and treatment of solid and domestic waste	**002**	Request for collection of solid and household waste
	03 Construction, rehabilitation and maintenance of local roads, road signage, sidewalks, and public squares	**003**	Request for maintenance of roads and sidewalks
	04 Local public transport	**004**	License to conduct regular suburban transport services for passengers within the country
		005	Certificate to conduct regular suburban transport services for passengers within the country
		006	License for transport of goods to third parties and leasing within the country
		007	Certificate for transport of goods to third parties and leasing within the country
		008	License for conducting regular specialized services for passengers transport within the country
		009	Certificate for conducting regular specialized services for passengers transport within the country
		010	License for conducting shuttle services (roundtrip) for passengers transport within the country
		011	License for units for fuel sales, for trading activity for use by end customers
		012	License for fuel sales stations, liquefied petroleum gas, for vehicles, and lubricants oils
		013	Certificate for conducting shuttle services (roundtrip) for passengers transport within the country
		014	Certificate issued for the operation of passengers transport on own account within the country

Field	Function		Service
		015	License for taxi transport of passengers
		016	Certificate for cargo transport within the country on own account
		017	License for passengers transport Agency and taxi service within the country
	05 Construction, rehabilitation and maintenance of public cemeteries, as well as provision of public funeral service	018	Request for authorization to exhume
	06 Management and arrangement pre-university educational institutions	019	Application for scholarship
		020	Scholarship certificate
		021	School certificate
	07 Management and arrangement of preschool education system in kindergartens and nurseries	022	Application for registration certificate in nursery / kindergarten
	08 Planning, management, development and control of the territory, in the manner prescribed by law.	023	The procedure of issuing a certificate of purity for building permit
		024	The procedure for issuing clearance certificates for use permits
		025	Certificate of commencement of works for construction permit and preliminary declarations
		026	Notification procedures for minor works
		027	Legal Compliance Confirmation on Object Compatibility
		028	Application per fragment mapping of existing condition
		029	Request to obtain permission for advertising placement
		030	Equipment with general information on the development indicators of the area
		031	Procedure for changing activities / functions
		032	Procedure for extending the term of the work permit
		033	The procedure for acts controlling
92 Social services	**09** Initiation and management of social services at the local level, for the poor, persons with disabilities, children, women, women as heads of households, battered women, victims of trafficking, mothers, parents with many children, the elderly, etc., by the manner specified by law	034	Application for admission of persons with disabilities in residential institutions
		035	Application for admission of elderly persons to residential institutions
		036	Application for admission of children to residential care institutions
		037	Request for legal opinion on legal custody
		038	Sheltering request
		039	Confirmation for the economic aid receipt
		040	Confirmation for the receipt of economic aid for disabled cathegory

Field	Function		Service
		041	Confirmation for receipt of supplementary payment for disability
		042	Confirmation for receipt of payment for blindness disability
		043	Confirmation for receipt of payment for paraplegia and tetraplegia
		044	Confirmation of custody
		045	Request for confirmation of non-benefiting from economic aid scheme
93 Culture, sport and recreational services	**10** Development, protection, and promotion of the cultural heritage of local interest, and management of the facilities for exercising such functions		
	11 Organization of cultural activities, promotion of national and local identity, and management of the facilities for exercising such functions	046	Request for permission of activities for recreation / camping / tourism
		047	Request for permission of cultural activities in public spaces under municipality administration
	12 Organization of sporting, recreational, and entertaining activities, and development and management of the institutions and the facilities for exercising such functions.	048	Request for placement of playgrounds in public spaces
94 Environmental protection	**13** Implementation of local-level measures to protect the quality of air, soil, and water from pollution		
	14 Implementation of local-level measures for the protection from acoustic pollution	049	Permission for musical activities during the night hours
	15 Organization of local-level education and promotional activities related to environment protection		
95 Agriculture, rural development, public forests and pastures, nature, and biodiversity	**16** Management, operation and maintenance of irrigation and drainage infrastructure, transferred to their ownership in the manner prescribed by law.	050	Request / complaint for solving emergency problems, drainage channels, agricultural lands
	17 Management and protection of agricultural land and other types of resources, such as the unproductive land, etc., in the manner prescribed by law.	051	Confirmation that the resident is in possession of agricultural land under Law no. 7501
		052	Certification for exercise of agricultural and farming activity
		053	Certificate for agricultural land category
		054	Letter of evidence for the registration of the Land Ownership Act

Field	Function		Service
		055	Certificate for land ownership / use
		056	Certification for possesion of land for subsidy
		057	Property Certficate for social insurance documentation
		058	Certificate for property and building legalization
		059	Service request, confirmation for unstamped AMTP
		060	Preparation of documentation for registration and certification of agricultural lands
		061	Proof of the fact as a member of the former agricultural cooperative until 1.08.1991
	18 Management of public forest and pasture resources, according to the legislation	062	Request for exploitation or making use of forest and pasture area for economic activity
		063	Request for leasing of pastures and public meadows for grazing and grass mowing
		064	Request for opinion on exercised activity for approving of environmental permit - type C
		065	Certificate of confirmation by forest associations
		066	
96 Finance and Local economic development	**19** Preparation of strategic developmental plans and programs for local economic development		
	20 Establishment and operation of public markets and trade networks		
	21 Support for the development of small business through promotional activities, such as fairs and advertisements in public areas		
	22 Organization of services in support of local economic development, such as business information, promotional activities, availability of public assets, etc.		
	23 Publication of informative brochures, creation of portals with economic profile, etc.	067	Request for economic aid in case of natural disaster
	24 Local taxes and other financial activitites	068	Request for Family Tax Reduction
		069	Application for registration of economic operators at the local tariffs office
		070	Request for reimbursement of payments by economic operators
		071	Certification that a resident does not exercises private economic activity

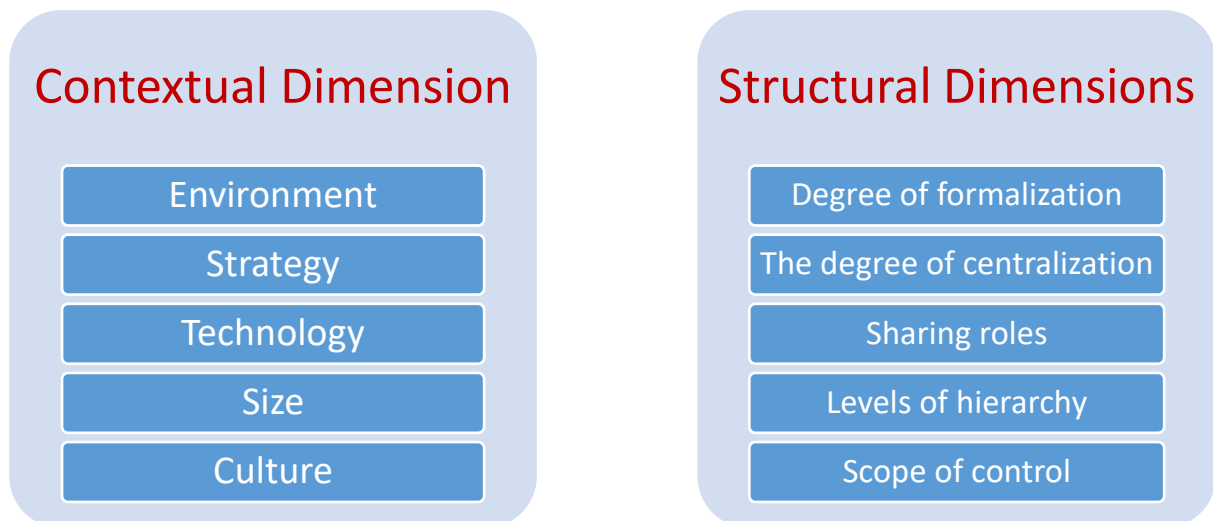| Field	Function		Service
		072	Confirmation of the financial situation by the sale of goods or services
		073	Request for Maternity Bonus
		074	Request for salary confirmation
		075	Confirmation of economic incomes
		076	Tender Certificate
		077	Review / correction of local taxes
		078	Confirmation of economic incomes incomes
		079	Old-age working certificates in the former municipality
		080	Public Space Use Permits-Beach Stations
		081	Requirement to obtain a permit non-stop gambling and casino
		082	Request for a parking permit for reserved parking space
		083	Request for permission to use public space
		084	Request to be provided with a permit for an costermonger
		085	Request for a non-stop license - fuels
97 General	**25** General Requests/Complains	086	Complain (General)
		087	Request for information
		088	General requests (none of the above)
		089	Job application
		090	Certificate for completion of the work in public interest
		091	The procedure for obtaining a residential authentication
		092	The procedure for obtaining authorization for representation for pension withdawal or social assistance
		093	Procedure for identity authentication or name specification
		094	Relationship Certification
		095	Request for a copy of archived document validated with the original one
98 Protocol/Archive	**26** Protocol/Archive	096	Confirmation for of no-possesion of documentation from former Agricultural Cooperative and State Farms
		097	Request for completion of the apartment privatization procedure
99 Legal/Assests	**27** Legal/Assests	098	Request for confirmation of old building demolition
		099	Request for renting the assets of the Municipality
		100	Request for confirmation of borders-line between private and public property

Field	Function		Service
		101	Request for property review for buildings constructed until 10.08.1991
100 Public safety	**28** Civil Protection at the local level and management of the relevant structures in the manner prescribed by law.	102	Request for economic aid in case of house burning
	29 Provision of the firefighting service at the local level and management of the relevant structures in the manner prescribed by law	103	Request for the release of the expertise document for the fire occurance
		104	Application for certification on fire protection infrastructure
		105	Request for the confirmation of fire occurrence
		106	Application for fire protection certificate - before the handover and use of the building by municipality
	30 Prevention of administrative offenses and the strengthening, inspection and monitoring of the implementation of the statutes and regulations of local government units within their local jurisdictions in accordance with the applicable legal provisions.	107	Certification of repaid local taxes and obligations

1.3.5   OSS Implementation and organisational change in LGUs

All components of an organizational structure are interrelated, and changing a variable can affect many others.

> *"The organizational structure should be designed in such a way as to improve the performance of the municipality"*

The municipality is an open institution which interacts with the community and the environment. So, there are some external factors that affect the organizational structure. The factors influencing an organizational structure are divided into two dimensions: contextual dimensions and structural dimensions.

Contextual Dimension	Structural Dimensions
Environment	Degree of formalization
Strategy	The degree of centralization
Technology	Sharing roles
Size	Levels of hierarchy
Culture	Scope of control

Different elements of the structure that affect performance are formalization, centralization, role-sharing, scope of control. For example, a highly-centralized administration with many bureaucracies and procedures that go through many hierarchical levels may have a lower level of performance due to the high running time of the procedures and the delivery of the service.

Designing and implementing an appropriate organizational structure brings ease to the daily work of the staff and service delivery, thus enhancing the performance of the administration and increasing the level of satisfaction of citizens. Finally, we can say that organizational structure is one of the conditions that enhances organizational effectiveness. Also, it is important that all the above factors must be taken into consideration in designing the organizational structure to have an effective system of service delivery. The organizational restructuring in order to modernize and improve the provision of services should meet the strategic objectives of the municipality and should be adapted to the new changes such as:

i. **Expansion of the territory**. Expansion in the territory of new municipalities, including administrative units, in the framework of the implementation of administrative and territorial reform is a major factor, which has a very important impact on the structure of the municipality. Expanding the territory affects the way the new municipality will function, the way of communication and reporting and the way the service is provided. Not only because of the reform but also the decentralization process, the municipality exercises additional functions delegated by the central government.

ii. **Citizens' needs for better services**. Recent changes in Albania have increased residents' needs and expectations for better services. The organizational restructuring of the municipality should respond to these needs and meet citizens' expectations by increasing the quality of service delivery.

iii. **Development of technology**. The latest technological changes and the increased number of public services offered online will contribute to the modernization, efficiency and transparency of the administration. The focus is on improving the quality of public services and monitoring their quality through the power of ICT tools in order to serve better to citizens.

Thus, the increase and promotion of e-services for citizens and business by increasing transparency and improving public services have brought about the need to integrate information technology and build effective control mechanisms so that the administration is really in the service of citizens.

Why is an organizational structure important?

Each part or unit that constitutes the organizational structure such as departments, directories, different sectors, etc., and work roles are part of the plan to ensure that the municipality performs its

vital tasks and fulfills its goals. There are several key points that show why an organizational structure is needed:

i. **Increased efficiency**. One of the organizational structure roles is efficiency. We will assist municipalities to build an organizational structure based on functions that it realizes and services it offers. This way of organization is effective due to the diversity of services the municipality offers and enhances the performance of the municipality.

ii. **Determining the level of decision-making**. The organizational structure also increases accountability in decision-making. Institutions often make restructuring to make the best possible decisions. With the creation of administrative units, which will serve as a one stop shop for service delivery, it is important to determine where the decision-making will remain.

Restructuring should provide more efficient, quicker and simpler services, reducing the time of transition to several levels up to the decision-making level. Of course, this is effective and functional for services such as civil register, since it is not necessary to get a request for a certificate to the municipality, since you can get it in the administrative unit. This way it facilitates the procedures, reduces the response time, and increases the efficiency of the service. While for complex services such as building permits, it is necessary that decision-making passes to the highest hierarchical levels.

iii. **Determining the type of communication**. There are two types of organizational structures; flat and hierarchical. The flow of communication is different between them. In the hierarchical model, the type of communication is vertical, while in the flat model the communication line extends horizontally. The municipalities should choose which type of communication fits them depending on its size.

iv. **The extent of control**. The organizational structure is also used to determine the extent of control. It is related to the unit and the number of employees that managers oversee. For example, a director has under its control some relevant sectors. The organizational structure helps employees to understand where they should report their work by creating so the reporting culture.

Principles of Organizational Structure

The organizational structure is the framework where a municipality communicates, develops goals and works in achieving these goals to best serve its citizens. Within this framework there are some principles that a structure must follow. The principles of the organizational structure are based on the methods by which structures and processes are used to maintain this structure as functionally as possible. These principles are:

a. Control hierarchy;
b. Clear assignment of roles;
c. Flexibility to change or adapt.

A clear definition of the responsibilities and the job position of each employee provides an overview of what is expected from each of them and how their individual performance can affect the efficiency of the entire staff. One of the main principles of organizational structure is the ability to change and to remain dynamic by adapting to new changes.

To create a good structure, the municipality should clearly define the functions. Then, the tasks to be performed for each function and every service offered must be accurately identified. These should be translated into a more functional structure, for example functions should be translated into departments or general directorates, services at smaller directories, and tasks must be translated into sectors. Design phases of a functional organizational structure:

Defining functions

Identification of services

Division of tasks

Grouping in units logicaly
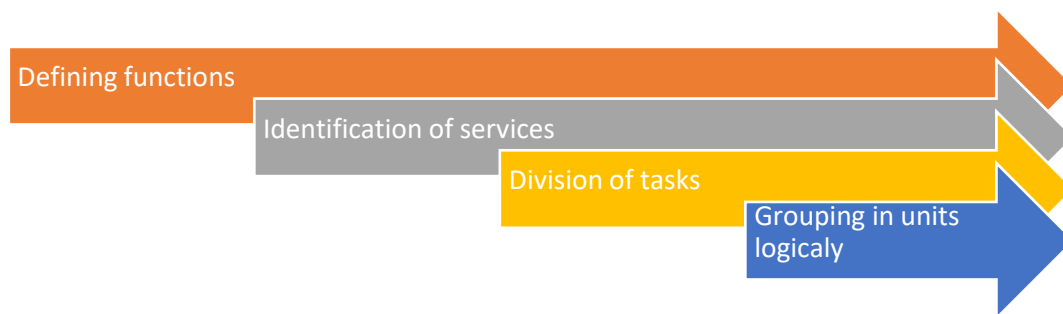
Finally, we emphasize that the organizational structure and its impact on service delivery should be designed to easily respond to the needs of citizens, technological innovation, new reforms, etc. The structure must also be designed to improve the performance of the municipality. There is no good or bad structure model but the chosen model needs to be adapted to the municipal strategy, internal politics, culture, citizens and the implementation of OSSH system. We will design a fully functional organizational structure by integrating the One Stop Shop office, for every municipality by taking into consideration the characteristics of each one and the new approach of service delivery.

The OSSH unit should be structured as a department or a new special unit within the local government unit, with its own staff and responsibilities, because OSSH works with products and services from all departments and it is not logical to be part of an existing department. This ensures a better and more efficient organization of the OSSH structure. The new OSSH unit should be merged with the organizational structure of the entire municipality to achieve maximum productivity, manage individual work needs and achieve the goals and objectives of the Municipality.

1.3.6   OSS in STAR and STAR2 programmes

The OSSh is considered as a supporting instrument for Territorial Administrative Reform in Albania. The present project consists in improving the performance of administration service delivery through the introduction and implementation of one-stop shops.

Reforms in the public sector aimed at improving service delivery have received considerable focus over the last decade, in Albania. Driving this focus is an increased demand for municipalities to find ways of improving the efficiency and effectiveness of their service delivery. Delivering on the demands of one stop shop will prompt the municipalities to adopt citizen-centric service delivery models which can significantly improve the customer experience, by delivering outcomes based on citizens needs, expectations and preferences, in addition to outcomes through enhanced service levels at the same or reduced cost. With the entry into force of the new Administrative-Territorial Reform with the adaption of the Law No.115 / 2014 "On the administrative-territorial division of local government units in the Republic of Albania", the provision of services to citizens in the administrative units requested the implementation of an information system for the provision of services. The Second Monitoring Report of the Cross-cutting Strategy for Decentralization and Local Governance 2015-2020 - October 2017, identifies the good performance of the application of integrated administrative services through the application of information technology. Starting with nine municipalities that piloted services providing through information technology, this number reached 11 (Shkodra, Lezha, Durrës, Elbasan, Korça, Vau i Dejës, Mat, Klos, Saranda, Berat and Fier); the establishment of the system continues in the Municipality of Roskovec.

The importance of the OSSs as the central tenet of the service delivery strategy at the municipal level has been promptly translated in specific interventions within the STAR Program and other donor-sponsored projects, which aimed at the realization of different full scale pilots in a significant number

of municipalities, in order to gain the necessary field experience for a full scale realization. During these years, three different one stop shop models have been funded by three different donors.

By the end of 2015, the **Swiss/SDC DLDP (Decentralization and Local development) program** developed the first OSS prototype, implemented by Helvetia Interco-operation, in several important northern municipalities. It offers support to the municipalities of Shkodra, Lezha, Vau Dejes, Mat and Klos. Based on their model, the provision of improved information services by LGUs consists in a modernization and restructuring of those services in the LGUs and their respective Administrative Units. In Shkodra circa 75 local services have been digitized and are functioning, serving hundreds of citizens per day. In Lezha and Vau Dejes municipalities, circa 60 services are setup and running.

The overall objectives of the Project "Implementation of the Integrated One Stop Office with [Z1N]" were as follows:
1. Ensure the provision of local government services to administrative units according to a regulated standard exercised in accordance with applicable laws.
2. Reduce the time and cost of service by reducing human resources at administrative units through concentration of processing functions in Municipalities.
3. Increase control over utility practices by delegating authority to administrative units through formal procedures previously approved by Municipality.
4. Reduce opportunities for corrupt practices by avoiding direct citizen communication with processing offices.
5. Increase transparency of services, enabling citizens to access information at any time on the status of their application through IT channels (web portal, email).
6. Increase the quality of service by monitoring the time spent in processing applications in each workflow link and by planning remedial actions for overcrowding in counters or in certain processing offices.
7. Increase interoperability with other institutions, enabling exchange of information at any time between them.

The DLDP model, called Z1N, enables LGUs to address recorded electronic applications via the intranet portal to each of the work posts of the Heads of Production Offices. Then they are forwarded to the application and administration specialist. After the job completion, the product or service is approved electronically by the head of the Production Office or by the Mayor (if required by law or internal regulation of the LGUs) and then returns to Z1N to convey the applicant to present himself physically to the front office (or to receive the application result by post). The system creates a complete flow starting from the client and passing through the Z1N production Office up to the Mayor, and then back through the same steps to the client.

The Z1N staff consists of reception desk staff, service desks and one information center. This model requires that all of the Z1N staff know all of the information needed by the citizen to obtain any service from the LGUs.

Z1N benefits have immediately affected the community, especially businesses and organizations who have frequent contacts with LGUs, but also the people that have the physical difficulty to present themselves to seek services in the LGU.

USAID Planning and Local Governance Project (PLGP) put in operation another OSS prototype in a number of municipalities in central, south and south-east Albania. Their OSS system is implemented and (will) serve citizens of Korca, Saranda, Fier, Lushnja, Kamza and Berat municipality. The OSS is now functional with circa 75 services in Korca, and is implemented also in Saranda, Fier and Berat.

The result of this model in Korca:

- 75 Administrative Services offered through OSS
- 12 different service points
  - 1 within the Municipality
  - 4 more at locations around Korça city
  - 1 for each of 7 administrative units
- 1 Manual of Administrative Service Procedures

This Model consists in registering requests by citizens/business users in the front office (OSS). The head of the front office approves responses that need local approval/signature. Then the tasks are distributed at back offices through system for further processing. The task are assigned to appropriate specialist of back office. The specialists at back office process the requests and prepare the responses. The responses are returned through the system to the front office for citizens. An important step of this system is the protocol/archive in the back office, where the specialists register protocol, scan and upload original documents into ERDMS and register other correspondence of the municipality. A novelty of this system was that citizens and businesses could track service request status from e-Albania portal by enrolling to the appropriate service.

STAR project for the former Minister of State for Local Government, in collaboration with UNPD Albania, in May 2015 launched the project for designing and implementing of an electronic one stop shop office, OSS-MIS v1.0, at two of the biggest municipalities in Albania, Durres and Elbasan. Thus, the **STAR project** supported the development of an **open source software OSS prototype (MIS-OSS)** in both municipalities and in their respective administrative units of Ishem and Bradashesh. The model tested successfully nine services.

This model offers LGUs the possibility to transform the services of traditional files and folders, into documented electronic practices, where all the documentation and communication between LGUs and clients for the service or for the requested information is stored. The system is based on open source code platforms. The database is PostgreSQL. OSS-MIS is completely based on the web, it can be installed anywhere and used anywhere, through the internet. It offers maximum data, coding and usage security. OSS-MIS, due to its high flexibility, is very suitable for adaptation and offers its users the maximum autonomy.

The integrated model of the information management system for the one stop shop office (OSS-MIS) handles some concerns as well as improves the quality of services offered by LGUs in Albania: in particular, the exposition on the web is a channel to bring the beneficiaries closer to the services and also a technological tool for citizens self-service, enabling them to submit the request for a service and get the final response.

The main concerns taken in consideration by this model are:
- The administrative-territorial reform restructures competences of new municipalities.
- Details on the functioning of new Local Government Units are still to be defined.
- It exists some ambiguity regarding separation of services that are offered by local and central government.
- There are only a few Local Government Units operating according to the principles of a one stop shop office, offering unified services through one single office and guaranteeing the optimization of internal functions and administrative processes.

To pilot the OSS-MIS, following a well-elaborated methodology, nine services were selected to be digitalized, related to primary functions of the LGUs, such as public and urban transport, urban and regional planning, local tax and duties, management of public space, social services and housing. Re-engineering of these selected services and the compilation of standard workflows for each service consisted in:
- Service codification and description;
- Consultation of legal basis and regulatory support;

- Identification of national databases or local ones with which will be exchanged the information in the process;
- Standard workflow (steps of work) services design;
- Compiling of standardized request and response form.

Within the current STAR2 program, the OSS model will be extended to all 61 municipalities of Albania, with the aim of serving all Administrative Units and thus the entire population. In order to reach this objective, the implementation will draw on the lessons learned with the prototypes realized in the previous program; special emphasis will be dedicated to business process analysis and re-engineering, as well as to change management at the local level, as the affirmation of a new administrative culture and capacity is crucial to the success of the operation.

1.3.7 Relationship with other ongoing projects

The One Stop Project is a project involving a considerable interest from several parties. The project is also interrelated with many tenets of the Government of Albania Public Administration Reform and Decentralization strategies. As such, its progress and success will both depend on and enable the realization of several current initiatives regarding administrative and LGU reform.

As it is known the administrative reform has had a major impact on the new municipalities that are still in the process of consolidating this reform.

For this reason, the Project Team has begun during the inception phase the endeavour to share information and to coordinate logics intervention with relevant stakeholders.

In the Inception Phase, a significant effort is devoted to the identification of the main interactions and dependencies involving the project in order to establish a solid communication channels in order to ensure cooperation and synergy among all actors.

As we have mentioned in technical proposal the project will follow a practice whereby it will regularly collect information and feedback from other ongoing projects on needs and issues to address as well as concerns that other projects might identify with regard to local governance processes" (STAR2 Inception Report, p. 13).

We have also identified that one of the project risks will be the legislative changes. As so, n**ew legislation**, whether already in force or in the works, will affect the present project in many ways.

A special attention during business analysis phase is been devoted to the **Code of Administrative Procedures**, which has been recently approved and will come into force after the completion of the necessary secondary laws.

While the Code is still not operative, its prescriptions will have to be observed in the definition of the final draft of the processes and workflows to be implemented in the OSSs. The programmed STAR2 activity aimed at the capacity building on CAP and Standard Operative Procedures is therefore a vital contribution to the present project progress.

Obviously, a strict relationship exists with the different pillars and expected results of the **STAR2** Programme; in particular STAR2 is expected to deliver (in addition to the definition and nationwide adoption of an OSS model):
- *Enhanced human resource and administrative management capacities leading to a more professional public administration at local level*: the present project will contribute to this result with its extensive change management and training program, aimed at fostering dedication and professionalism in local administrations through the adoption of a new service model.

- *Management skills of local senior managers improved*: the present project depends heavily on this result, as local senior managers are key figures for the establishment, adoption and success of the OSS model in LGUs; on the other hand the project may contribute to this result with its change management action, which aims to bring a new culture in local PA officials.
- *Delivery of services and their management (including new competencies) improved*: the establishment and operation of OSSs is key to a radical improvement of service delivery, in a logic of proximity and subsidiarity.
- *A national benchmarking system for key selected administrative/public services established*: the creation of a unified OSS model across LGUs and the definition of standard processes and workflows for at least a number of services at the local level will facilitate the establishment of a benchmarking system by providing comparable modes of operation across the country.
- *A system of digitalization of local government archives adopted nationwide*: the widespread adoption of such a system will have an important impact both on the definition of processes and workflows, and on the functionalities of the OSSIS.

The present project will be built on the results of the previous **STAR** Programme, such as the different typologies of municipal organigrams, the municipal Standard Operating Procedures and the Code of Conduct, etc.

The whole STAR2 programme operates in an environment rich of experiences and best practices developed over the years by the technical assistance programs of many partners, also with new developments in recent months after STAR2 approval. To avoid confusion and duplication, the present project, under the guidance of the STAR2 Steering Committee has begun and will constantly seek to avoid overlaps, but also look for opportunities to scale up best practices and models developed by other partners so that the positive developed knowledge will benefit larger target groups.

In the field of OSS development for LGUs, also two other projects (apart from STAR 1) have been active in the past years and are at this moment phasing out.

The present project is intended to play a complementary role and extend assistance into new municipalities or broaden coverage to include additional target groups. To this effect the relationship to the previous projects will be based on these assumptions:
- **DLDP Project** will gradually phase out its assistance, however, it might conclude with a generic training on OSSs benefiting all municipalities and based on good practices and lessons learned from work in the DLDP project areas. Since the present project is committed to developing OSSs in all the municipalities remaining outside the current assistance, i.e. about 50 municipalities, the initiative of DLDP capacity building for the OSSs will be carefully monitored so that messages from both projects do not create confusion among beneficiary municipalities, but create synergy.
- **PLGP project** ended in June 2017, after developing OSSs in several central and southern municipalities; its lessons learned will be capitalised on by the present project.

Cooperation with **national central institutions** will be pursued under the guidance of the STAR2 programme Steering Committee. Among others,
- **NAIS**, in order to integrate fully the OSSIS with national infrastructure as the Government Gateway, the NRC, the NCR, the Payment Gateway, etc.;
- **DoPA**, with special attention to the possible synergies in training of LGU personnel (and in particular relating to training on the new Code of Administrative Procedures;
- **ADISA**, the national Agency responsible for designing central government public services and guarantee customer care standards in the service delivery to citizens and businesses. Cooperation with ADISA may focus in perspective on testing and developing in

practice the colocation of central and local government services in municipal one-stop shop offices. Furthermore, ADISA has developed many standard tools and templates for service delivery at the national level: it is intended that quality of LGU services may be improved by the generalisation of such instruments. ADISA can give the project valuable assistance in updating the standard forms for receiving public administrative services. Also ADISA can help to define a monitoring mechanism for the quality and transparency of service delivery to the citizen at the front office.

Also the Project Team expects that ADISA will assist in developing a Customer Satisfaction Survey and a standard Application Form for the services provided in One Stop Shop.

2. PROJECT IMPLEMENTATION METHODOLOGY

2.1 Relationship with the stakeholders

Central level

The STAR 2 project aimed at supporting the Territorial Administrative Reform is backed by a large number of international partners through a joint financing mechanism.

STAR2 is based on the nationwide engagement to reform and strengthen local government and public administration in general, to increase the efficiency and transparency of public institutions to effectively respond to public expectations and fight against corruption, to put citizens at the centre for the transformation and modernization of service delivery and to create a spirit of trust, cooperation and democratic decision-making for healthy and sustainable development.

International partners include: the European Union, the Government of Sweden through the International Development Agency, the Government of Italy through the Italian Development Agency, the Swiss Government through the Swiss Agency for Development and Cooperation, the United States through the United States Agency for International Development. The Joint Venture is engaged in providing the donors, through the coordination of UNDP, with the necessary information on the project development and in cooperating with any other relevant initiatives they are promoting. On the other hand, the Joint Venture recognizes that international donors have a major role in increasing awareness of the challenges that the projects faces and in ensuring its sustainability in the medium-long term.

UNDP coordinates the donors, is responsible for the management of the programme, and is the Contracting Authority for the present project. As such, it will provide guidance to the Joint Venture and ensure the overall consistency of the present endeavour with the STAR2 objectives, by participating in the Project Board and reviewing the overall progress and deliverables of the project.

Also, within Government institutions, the Ministry for local issues is the institution charged of decision-making and coordinating various activities, in consultation with the STAR2 Project Steering Committee. The Ministry coordination provides greater synergies between donors, which would lead to a more harmonized and coherent development approach, embedded in national objectives related to the effectiveness of development. The Ministry for Local Issues was originally in charge of this project: however, since the last national elections it has been dissolved: it is expected that, as soon as the area of responsibility of each ministry is drafted, it will be clarified where the competence on local issues will be transferred.

ADISA realizes the standardization of the way of providing services, classifying and coding the services of central public institutions, creating information cards that will serve for the dissemination, simplification and unification of information for all public services. Based on ADISA mission we expect support for the classification and unification of local administrative services.

During the inception phase ADISA has provided the project team with valuable materials such as the DCM no. 584, dated 27.7.2016 "On standardization of the classification and codification of public services and formatting form for application in services", an application standard form and a Customer Satisfaction Survey. During the next implementation phase we expect a full collaboration in order to implement an LGU application standard form and Customer Satisfaction Survey in order to gather feedback from costumers of local administrative services.

The Joint Venture also proposes to organize a work meeting with ADISA to determine the proper way of exchanging information and/or obtaining assistance from them on topics such as
- the exploration of the possibility of unifying the provision of services to each municipality based on the legal framework in force
- the codification of local administrative services

- the preparation of customer satisfaction surveys as a monitoring instrument for local administrative service delivery.

NAIS will host the OSS Information System on the national Data Centre on its premises: full and reciprocal technical collaboration between NAIS staff and the Project Team is therefore necessary to the success of the project. As functionalities of the project require integration with national level infrastructural services, registries and data bases (e.g. the Government Gateway, the NRC, the NCR, the Payment Gateway), it is expected that NAIS will have a role in supervising the architectural consistency of the project with national standards. Moreover, the Joint Venture expects NAIS to promote the coordination of national and local level service delivery through its infrastructures and channels.

LGU level

After the implantation of the Territorial Administrative Reform the STAR project has engaged dedicated regional coordinators in each Albanian region to carry out public consultations and provide feedback and support in order to fulfil the STAR 2 goals. UNDP has defined 12 Regional Coordinators to properly and fully cover the territory, by taking into consideration the varying number of communes and the large geographic extension of some of the qarks. Each qark has at least one Regional Coordinator.

The coordinators have already been an added value at the start of the Joint Venture activities and will continue to be during the implementation of the present project.

During the inception phase the coordinators, taking advantage of the location and knowledge of the area, have supported the project team in organizing meetings with the Municipalities and have engaged them to cooperate fully by providing the necessary information.

During the following phases of project implementation, the project team expects from the local coordinators to be cooperative in order to have a technical and operational support from the municipalities.

As LGUs are concerned, the project implementation in the following phases will continue to proceed as it has been organised during the inception phase. The first contact point will be again the coordinators set up by the STAR 2 project, which will enable the organization of site visits and the mobilisation of responsible staff for project implementation. A good part of the coordinators have already their contact points in the municipalities and the municipal staff responds more quickly to the call of the coordinators.

During the inception phase, the involvement of all the main staff of the municipalities was made possible, starting from the director of the cabinet, the directors of various departments that offer the main services in the municipality and specifically the public relations specialists.

A contact point has been set up (in most municipalities a public relations specialist who had knowledge of the One Stop Shop model) with whom the Project Team maintained frequent communication. The contact person has helped in the information gathering process and has facilitated the information delivery to the project team.

Appropriate staff will be needed specifically during the training phase, as it directly engages municipal staff.

The project team at the end of the inception phase will have identified all the possible structural changes that will be needed for each municipality. The cooperation of the municipalities in this phase will be required for the absorption of project team proposals for possible structural changes.

2.1.1 Appendix C - Course of action towards LGUs

LGUs are the main actor of the project. Not only they are the beneficiary of the conception, realisation and implementation of the OSS Information System that is at the core of this endeavour; they are also a decisive participant in the project activities, from the definition of requirements down to the daily operation of the system and of the whole concept of OSS. The success and the sustainability in time of the OSS model and of the information system that supports it depend essentially from the quality of the participation and input of LGUs to the project.

It is therefore of the utmost importance that activities involving Municipalities are carefully planned, executed with a high degree of participation and confidence in the LGU input, and communicated in a timely, clear and convincing manner to local decision makers.

The project will maintain a constant cooperation with LGU and will continuously involve them in the roadmap towards the realisation of the system. Such continuity is needed to ensure that all steps of the project are performed timely and with adequate support from the beneficiaries, but also in order to keep their commitment high and to consolidate a positive attitude to change.

For these reasons, the Project Team has elaborated a course of action for the involvement of LGUs, elaborating on the WBS defined in the ToR and distributing activities in time in order to maximise efficiency and effectivity in the mobilisation of local resources. Such course of action is described below, according to a division in four main phases; while these phases are generally speaking in a succession, activities within a single phase are not supposed to take place strictly in order and can (and whenever possible will) be parallelised.

Activities in Inception Phase

The Project Team has set up a tight calendar for first encounters with the target Municipalities, to be completed by the end of the Inception Phase. This first round of joint activities, while compressed in time, is highly relevant for the good start of the project, as it covers several different aspects:

a. Sessions with the Mayors and the senior staff of the LGU will be devoted to raise awareness towards the service delivery strategy defined by the Government and the international community with the STAR2 programme, to present the project and its benefits, and to agree on the objectives and the organisation of future common work. The aim of this activity, which is part of the **Change Management Strategy** of the project (fully described below in **Annex 3**), is the onboarding of the Mayor, management and critical staff of each LGU, in order to foster their ownership of the project.

b. Interviews and surveys with the relevant LGU staff will be held in order to fully understand and document the services offered by each Municipality to its citizens, their workflows, and the underlying organisational structures. This activity will allow the Project Team to conduct a thorough business analysis finalised to the completion of **Unified Service Modelling**, as foreseen in WP1.2 (see below, **Section 2.2.1.2** and **Annex 1**, for a full description of the steps of this activity and its methodology).

c. **Site surveys** will be conducted in all LGUs to assess the **infrastructural situation** and to balance it against the general hardware and infrastructure requirements for LGUs involved in the project; the correspondent reports will cover not only the LGU centres, but AUs as well; they will describe and quantify what Municipalities will eventually need to procure in order to operate the OSS and its information system. The methodology and content of this activity is fully described in **Section 2.2.3.3**, covering WP3.4-3.5.

d. **All LGUs will be assessed on their readiness** for implementing the project. Such an assessment will be based on the "as is" situation of each Municipality regarding organisational structure, number and type of services offered and their workflows, and the hardware and infrastructural equipment, the knowledge of which derives from the previously described activities b) and c). Comparative results, based on the criterium of maximum compatibility with the general model devised for the project, will be submitted

to UNDP for the selection of Pilot LGUs, which will also take into account the need to experiment with differently-sized Municipalities. Further detail on this activity is to be found in **Section 2.2.1.1**, specifically dealing with WP 1.1.4, and in **Annex 6.2**.

Activities before Rollout

Between the end of the Inception Phase and the beginning of OSSIS rollout, several activities will be performed in Municipalities; some of these activities may in fact be performed ahead of the original schedule, in order to ensure an adequate period of time for their completion in each LGU. As rollout dates are different for each LGU, this group of activities could be at least partially parallelised with the next group.

a. The **analysis of services, processes, and organisation** of a number of non-Pilot Municipalities will be finetuned after the delivery of the "Baseline service catalogue", particularly for the more complex cases (taking into account size, number of implemented services, and distance from the baseline): this will support a more precise definition of use cases and eventually reduce the gaps between the standard solution and the real needs of the Municipalities. The objective of this activity is to deepen the results of the Unified Service Modelling described in **Section 2.2.1.2** and **Annex 1**, as well as to anticipate parts of the GAP-FIT analysis described in **Section 2.2.6**.

b. **Pilot Municipalities** will be the object of a **GAP-FIT analysis** and will be supported in defining and implementing the **organisational changes** necessary for OSS rollout. The Project Team will also accompany Pilot LGUs with the appropriate **change management** actions. These activities are described in **Section 2.2.2**, relative to WP2.5; also it is implicit that activities foreseen for non-Pilot LGUs in WP6.1.1 (see below) will also be needed for Pilot LGUs.

c. All LGUs will be **supported in the procurement process** for the hardware and infrastructure equipment needed for OSSIS operation. These activities, corresponding to WP6.1.1.6, are described in **Section 2.2.6** and in the Rollout Plan (**Annex 6.1**).

d. **Organisational changes** necessary for OSS rollout in non-Pilot LGUs will be supported and implemented, accompanied by the needed **change management** actions. These activities are part of WP6.1.1.6 and are described in full in **Section 2.2.6**.

e. **Training on OSS Model** for all stakeholders of both Pilot and non-Pilot LGUs will take place according to the training plan, and the relative documentation will be delivered to Municipalities with a reasonable advance on the system rollout. For a full description see **Section 2.2.6**, relative to WP6.1.1.2, 6.1.1.4 and 6.1.1.5, and the "Institutional capacity building and training model and plan" (Annex 4).

Activities during Rollout

The Rollout Phase is the heart of the project; it will therefore be the moment of maximum effort and involvement both for the Project Team and the Municipalities. It will be performed through a phased calendar, with groups of LGUs starting at different dates, allowing the Project Team to keep a constant and close presence in each Municipality. However, three main steps are sequenced as a whole:

a. **Pilot LGUs Rollout** will entail the customisation and specific configuration of the OSSIS to the peculiarities of each Municipality, as well as integration with local 3rd party systems when needed and training of operators. The full participation of the LGU staff is crucial for the success of each rollout and will be programmed well in advance. Pilot rollout can be partially parallelised with pre-rollout activities in non-Pilot LGUs, in order to optimise the project timeline. Activities are described in full in **Section 2.2.5**, relating to WP 5.1, and the Rollout Plan is in **Annex 6.1**.

b. The information gathered during Pilot LGU Rollout is fundamental in order to reach the OSSIS **solution stabilisation**. Feedback from all relevant staff of Pilot LGUs will be needed to identify areas of improvement and to verify the changes to the solution

behaviour. Participation in supplementary training for the improved aspects of the OSSIS will be requested. Activities are described in full in **Section 2.2.5**, relating to WP5.2.

    c. The massive rollout of the solution to all participating LGUs will follow the solution stabilisation. OSSIS implementation will be configured, integrated and customised to the needs of each LGU, with the contribution of the Municipality staff. Participation to training sessions will be reuqested. Full description of activities is to be found in **Section 2.2.6**, relating to WP6.1.2-6.1.6 (note that WP6.1.1 is covered in the pre-rollout activities); the Rollout Plan is in **Annex 6.1**.

Activities after GoLive

GoLive date will vary from Municipality to Municipality; the following activities will therefore be performed mostly on an individual timeframe, and will support the operation of OSS and OSSIS to the end of the project and beyond, through the warranty period and maintenance contract to be concluded separately. In this phase the following activities will take place:

    a. **Support to LGU operations**, particularly in the first period after individual GoLive date, with direct presence on site for a period 2-4 weeks for pilot LGUs and 1-2 weeks for the rest. (see **Section 2.2.6**, relating to WP6.1.6 for further detail).

    b. Starting from the twelfth month of the project, an **Help Desk** will be established to ensure regular maintenance of the OSSIS (see **Section 2.2.8**, relating to WP8, for further information).

    c. Incident management and **Maintenance** of the OSSIS will be performed as per Warranty and Maintenance conditions for a period of one year and, upon the stipulation of an optional maintenance contract, for a further period of three years. Conditions of the service are described in **Section 2.2.8**.(WP8)

    d. Starting three months after the beginning of the massive rollout phase, **regular online and other surveys** will be conducted every 3 months, to determine user satisfaction and solicit suggestions for improvement. Surveys, targeting both LGU operators and citizens, will cover all LGUs operating the OSSIS and will incrementally include new LGUs that have started to use the OSS system. Further details in **Section 2.2.6**, related to WP6.1.1.3.

2.2 Implementation phases and structure

2.2.1   Inception and Business Analysis Phase

2.2.1.1   Establishing the PM Framework

This project phase has the objective to establish the project management framework, also detailing the project vision and the project implementation methodology, which shall be presented and thoroughly discussed during Project Board Kick Off meeting.

This Project Charter, which is the first deliverable of this phase, describes all these matters:

Project vision

It details the strategic objectives of the STAR2 project, defining the vision of the service to be implemented and issued in compliance with the Background and context: Local Administration Reform in Albania, capitalising the results and bearing in mind the lessons learned from STAR1 project for the OSS service, as well as defining the relationship with other ongoing projects.

Project implementation methodology

it identifies the main stakeholders and their relationship at central and LGU levels, and then it describes the main project activities to be implemented, following what is required in the ToR for the

different Work Packages. This section will also detail the Joint Venture approach to the LGUs, across all the project phases (*Appendix C - Course of action towards LGUs*).

Project management framework

It includes the description of major PM disciplines and their management plan: Scope, Resources, Time, Quality, Change, Risk, Communication. Annex 6 includes the initial version of project management documents, which will be updated periodically during the project implementation: rollout plan, LGU readiness assessment checklist, solution test scenario, monthly progress report template, change report (request form template and log), risk list or matrix witch is the second deliverable of this phase.

Moreover, the following documents will be prepared and delivered together with the Project Charter:
- Business Analysis and Unified Service Modeling
- OSS Information System Technical Solution
- Change Management in LGUs
- Institutional capacity building and training model and plan that includes the first draft of "End User Training Plan" (it will be updated during the project)
- Minimal requirements specifications for central hardware and communication infrastructure
- Generic hardware and infrastructure requirements for LGUs
- Inception report as output of the "readiness assessment" of this project phase (in the final release of the Project Charter due at the end of the Inception Phase)

The preparation and delivery of Project Charter and project documentation are only some of the activities to be carried out during the inception phase.

The Joint Venture participates to meetings with the stakeholders (UNDP, Donors and others) to better understand the context and expectation of the stakeholders for the project, awaiting the formal setting up of the Project Board, that will be officially presented at the kick off meeting.

The Readiness Assessment will be carried out during the Inception Phase, to define and to assess readiness on all LGUs on the basis of the following steps:

1) Information collection

   a) appointment scheduling with all the Municipalities (Inception Plan)
   b) preparation of the surveys for the aspects connected to the software services and the actual hardware
   c) contacts with the mayors and meetings with the local authorities to present the project and collect information
   d) compilation and collection of the surveys (annexes)

2) Analysis of the collected data

   a) definition and sharing of the analysis criteria
   b) SW business analysis: procedures and workflow
   c) hardware: minimal requirements specifications for central hardware and communication infrastructure

3) Conclusions – summary tables and short motivation on:

   a) grouping of municipalities according to typology (AU/small/medium/large)
   b) definition of the readiness level (green/yellow/red) of each LGU

The Inception Report will mark the completion of the Inception Phase, and all these documents will be used by the Contracting Authority and the STAR2 Steering Committee to select the pilot LGUs.

The Inception Phase ends with the Contracting Authority acceptance of the deliverables produced by the Joint Venture and the selection of the pilot LGUs.

2.2.1.2   Unified Service Modeling

During the Inception Phase the team has contacted all the municipalities involved in the project in order to gather the first information, to be also used to identify the pilot LGUs.

The project team has done field visits in municipalities in order to interview the administrative staff to gather more information and documents on how services are delivered. Interviews have been made with the employees that are directly involved in implementing One Stop Shop services, in particular with Directors, Public Relations Specialists and IT Specialists because these are the most relevant figures connected with One Stop Shop service delivery. A special attention was given to the Specialists that have already good information or have benefited from trainings in One Stop Shop Model.

During this phase we have been able to analyse the deliverables of previous project activities related to the services and their workflows. We have already produced and analysed a service delivery model of one typical service offered by all municipalities. Based on the information gathered and on the above mentioned service delivery model the project team has been able to determine the workflow of the service.

The working group during this phase has made possible the division of services based on areas and functions. The classification in three groups is based on the classification made by the law no. 139/2015 "On Local Self-Government". After the process of division and classification of services, also the codification of fields, functions and services was made possible. This codification is based on the Decision of the Council of Ministers (DCM) no. 584, dated 27.07.2016 "On standardization of the classification and codification of public services and formatting forms for application in service" and the strategy used by ADISA for classification and codification of public services.

The instruments used to gather information were standard questionnaires to identify the list of services provided in each municipality, to analyse separately each service in detail and to have a good knowledge of their workflows and their organisational structure.

Specifically, the tool used to collect all these information was a Service List, to detail all the services provided by the municipality. The team also prepared a standard Service File, consisting of detailed information on each service:
- Description of each service
- Structure responsible to provide the service
- Legal framework - As it can be seen below the service file provides all the Laws that regulates the specific service in order to facilitate the users of the system to find the legal basis of the service being offered. Every law contains the number, the date and the title.
- Required documentation according to the legal basis
- Applicable fees
- Service delivery deadlines
- Output of each service (and specifically the communication format: document, licence, etc.);
- Workflow from the request of services to the communication to the citizens.

The team has also prepared a General Description format of each involved Directorate which consists of a description of the main duties of the structure that provides the service and of its organizational structure. The results of the gathered information are used to:
- Identify the organization structure (all departments and sectors);
- Identify their general and specific tasks;
- Identify the services that each sector / directorate covers.

Furthermore, an Additional questionnaire has also been administered during the interviews, to collect additional information on the readiness of LGUs to adopt the changes that will occur.

The information collected from all municipalities provided the basis for the business analysis, while a more detailed overview of the activities is to be carried out after the inception phase. The approach used to conduct business analysis is HOW-WHAT-WHERE-WHO.

The collected documentation on the current systems are the basis for the identification of **HOW** the services provision works in each municipality.

This first step and the analysis of the documents needed are the basis for the identification of **WHAT** data are needed in terms of mandatory documentation (certificates, auto-declaration, etc.) for the services that are offered in the municipality.

The second step and the analysis of legal basis for service delivery are the basis for the identification of **WHERE** (in which conditions) services provision is conducted in the municipality.

The third step and the analysis of the structures involved in the process of the service delivery are the basis for the identification of **WHO** (structure and/or person) is responsible for the provision of services in the municipality.

After identifying all the services of the LGU, a workflow analysis will be made for each of those services. The analysis provides information on the process of how a service is delivered. Each service is described in a structured format that begins with the service *name, description, procedure* that citizens are to follow to access and get the service, and *fees* associated for the service.

The objective of the following activities is to develop the "to-be" processes of the service. The administrative procedure of the service will be aligned with the general project goals and will yield efficiency gains and savings in terms of effort, for both citizens and the municipality administration. The analysis of each identified service will be carried out on the overall process, from service request to delivery. The steps that the project team is following to carry out the business analysis are:

- *Design a service file*

  The service file contains detailed information needed for each service. A template for the service file is shown below:

<table>
<tr><td colspan="4" align="center">SERVICE FILE (CARD OF INFORMATION)</td></tr>
<tr><td></td><td colspan="2" align="right">Service Code:</td><td></td></tr>
<tr><td>Name of service</td><td colspan="3"></td></tr>
<tr><td>The aim of the service</td><td colspan="3"></td></tr>
<tr><td>What do this service offer?</td><td colspan="3"></td></tr>
<tr><td>Who are the beneficiaries?</td><td colspan="3"></td></tr>
<tr><td rowspan="3"></td><td>No.</td><td>Type</td><td></td></tr>
<tr><td>1.</td><td></td><td></td></tr>
<tr><td>2.</td><td></td><td></td></tr>
</table>

Which are the documents required?	3.		
	4.		
	5.		
Where can I apply for services?	In municipality		In the Administrative Unit
How much is the service fee?	Fee	The way of payment	
Which is the deadline for service delivery?			
What is the validity period for the service?			
Where can I get the answer for the service?	In municipality		In the Administrative Unit
Which is the responsible structure for providing the service?			
What is the legal basis?			

- *Identify the steps to perform each service*

  Identifying the steps that explain the whole process accomplished to perform a service.

- *Build the workflow diagram*
  The workflow diagram is built to explain how the process of delivering a service is currently working, helping employees understand every step of the process and helps the decision-makers understand how the entire service delivery process can be improved to enhance its efficiency. It details the procedures from one step to another in a logical sequence so that each step is clear, visible and easily understandable.

Below is the one workflow model that is used for the administrative services provided in municipalities. This model covers three perspectives: applicant, front office and back office, to ensure that all actors and their interactions are considered.

Request for obtaining a license for the transport of passengers on regular lines around the city

Process diagrams can clearly identify **"who"** does **"what".**

The collection of the documentation is carried out in the Municipality and in each Administrative Unit to harmonize services among them, since after the implementation of the Administrative and Territorial Reform they function as a single unit.

The aim of the harmonisation and standardization of service is to bring new standards of work organization and service delivery, to improve the quality of services provided, reduce waiting and application time and ultimately increase citizen satisfaction.

The Inception Phase has been a very busy stage with meetings, gathering information and analysis of collected information in order to produce a product ready to be used in other stages of project implementation. All the gathered information, like the service file and the work flow for each service will be catalogued and stored in the OSS model.

The team has been careful in recording all the meetings with reports, photographs, minutes and other necessary documents.

The final deliverable of this activity will be the LGU services catalogue with related service workflow to be used as a master design for all project municipalities.

2.2.2 Software Analysis and Design

To ensure efficiency and simplification, the LGU OSSs will operate on a single IT platform (One-Stop-Shop Information System – OSSIS), whose provision is the goal of the present project. The OSSIS will operate in/for around 50 municipalities, which have not been reached by the implementation of the previous programs.

In order to achieve this goal, the Joint Venture will implement and rollout a robust and flexible software system for One-Stop-Shops in LGUs of Albania, which is based on state of the art architecture and the latest industry standards.

The present project builds on the results of the previous STAR Programme, such as the different typologies of municipal organizational charts, the municipal Standard Operating Procedures and the Code of Conduct, etc. As an example, the list of key local public services to be included in the OSSIS Scheme comes from previous Swiss Decentralization and Local Development Program (see ToR, Annex 3).

Product requirements, both overall and non-functional, as well as functional requirements (see ToR C.4.) are taken into account when approaching the so-called Overall GAP-FIT Analysis. Functional requirements are fulfilled in LGU specific components layer, which allows to configure and use the functionality independently for each LGU. For example, the catalogue of services, services workflows, their documents, e-forms and other settings may be different in each municipality.

The Implementation phase starts from work done and milestones reached during the Inception Phase. Specifically, the Baseline service catalogue with service cards and their workflows, in which the services and the relative documentation offered at the LGU are depicted in diagrams and descriptive formats in order to understand the flow, execution of a workflow for the implementation of the service, user interaction, delegation and decisions/approvals, positive and negative scenarios, for each service. This documentation is used as a master template for all project municipalities, to be then customised according to the specific needs.

After finalizing the Inception Phase and the Business Analysis, the design and development of a custom solution will be based on the Baseline service catalogue provided in order to define the implementation granularity for each service. All data entry forms shall be specified and data models will be provided for all services. At least the 40 most used services will be detailed with a high level of granularity (see ToR section C2.1. *W2 Software analysis and design phase* [WP2.1.1]). Other, less used, services will have a lower granularity, which means that most of the service specific data will be provided in the embedded document, i.e. scanned hand written document.

The OSSIS solution will designed so as to be comprehensive and complete. The Solution technical specification includes SRS - Software Requirements Specification, Solution architecture design, Integration specification with third party systems, Security requirements, List of Key Performance Indicators, Baseline service catalogue specification by services granularity level, BI - Business Intelligence and reporting specification, Procedural instructions for offline operation [WP2.2].

The outcomes of the analysis phase are the basis to define the detailed solution requirements, define security requirements including encryption, auditing and logging requirements of the software solution.

The Solution architecture design and system requirements specifications documentation will be described as use cases using well-established software engineering formalisms such as sequence diagrams, activity diagrams and other UML formalisms, or other standardized visual paradigms,

considering the best practices in software and systems engineering regarding non-functional requirements, i.e. security, performance, user experience, etc.

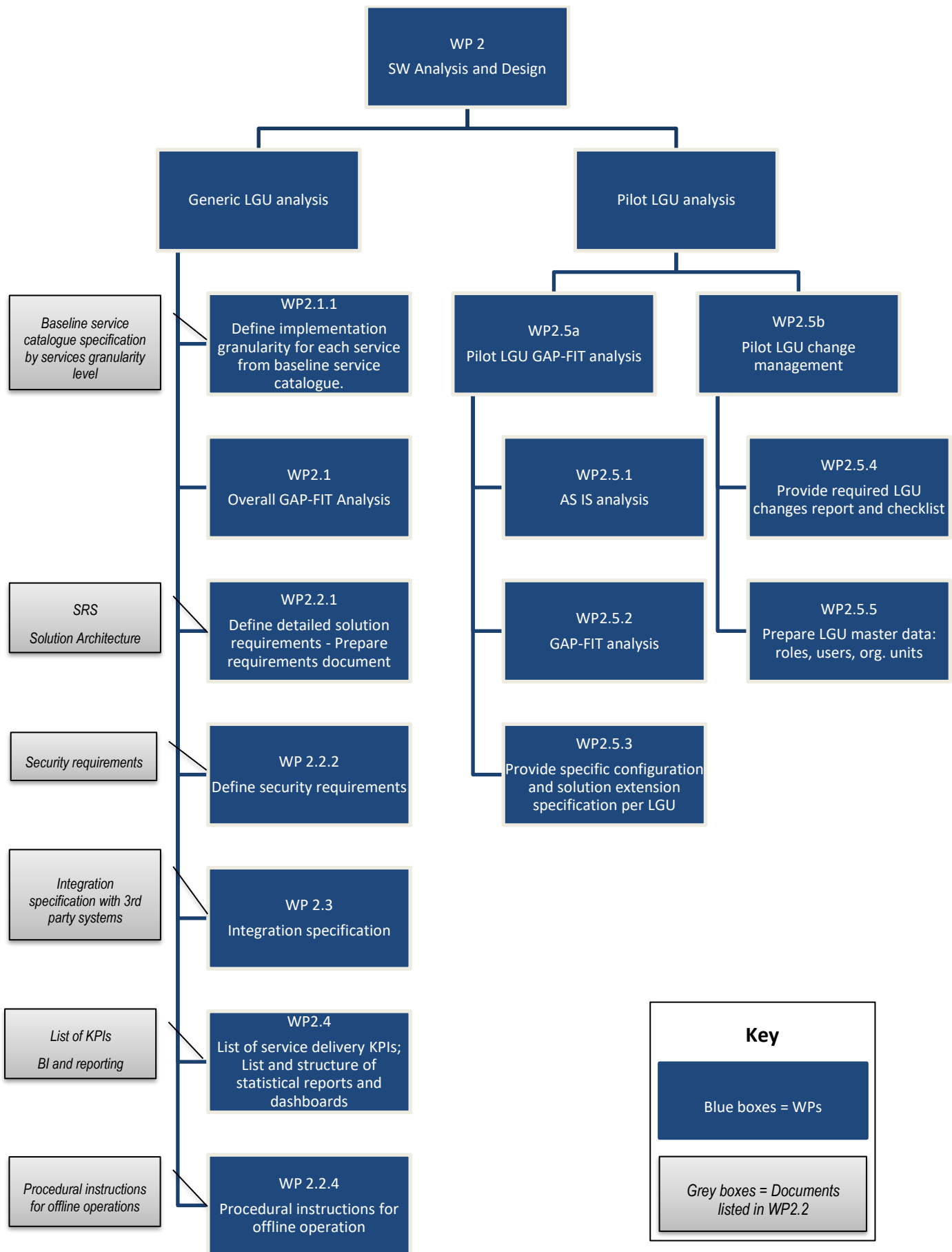The Solution requirements will be delivered to the Contracting Authority for sign off [WP2.2.1].

Instructions documents will be prepared on how LGUs employees shall proceed with local services delivery in the case the system is not operational (system failure, no internet, no electricity, etc.). The procedure document will include PDF document templates for the front-office, registration journals and other paper equivalent, which LGUs shall print-out beforehand. The procedure of retrospective service case entering will be described in detail [WP2.2.4].

The Software analysis and design activity is completed with the specifications for integration with third party systems [WP2.3].

In order to measure the delivery performance a list of KPIs - key performance indicators - will be defined. Finally, list and structure of statistical reports and dashboards will be defined [WP2.4].

An AS-IS analysis is done during the Inception Phase [WP1.2] in Pilot LGUs in order to define organizational structure, standard operating procedures, current list of services and their workflow, topology of Administrative Units and municipality departments, etc. [WP2.5.1] In this phase, a Pilot LGUs GAP-FIT analysis is performed in order to define high level and low level granularity services for Pilot LGUs and to adapt the generic model to the specific structure and services of the LGU. Pilot LGUs GAP-FIT analysis will look at the Baseline services catalogue, within the scope of services, workflows, organization structure [WP2.5.2]. Specific configuration and solution extension specification is eventually provided, which include LGU specific changes to be configured or developed in the solution [WP2.5.3]. In the same way, required LGU changes report and checklist based on the section 3.2.5 of the Project Charter and on the "Change request form template and log" Annex 6.4, are provided [WP2.5.4]. Finally, LGU master data are prepared: roles, users, organizational units and their addresses, users and roles matrix, document templates [WP5.2.5].

The logical scheme of the activities proposed by the Joint Venture in order to implement the tasks required by the ToR is the following:

```
                            ┌─────────────────────┐
                            │        WP 2         │
                            │ SW Analysis and Design │
                            └─────────────────────┘
                    ┌──────────────────┴──────────────────┐
          ┌───────────────────┐              ┌───────────────────┐
          │ Generic LGU analysis │          │  Pilot LGU analysis │
          └───────────────────┘              └───────────────────┘
```

WP 2
SW Analysis and Design

Generic LGU analysis

Pilot LGU analysis

Baseline service catalogue specification by services granularity level

WP2.1.1
Define implementation granularity for each service from baseline service catalogue.

WP2.5a
Pilot LGU GAP-FIT analysis

WP2.5b
Pilot LGU change management

WP2.1
Overall GAP-FIT Analysis

WP2.5.1
AS IS analysis

WP2.5.4
Provide required LGU changes report and checklist

SRS
Solution Architecture

WP2.2.1
Define detailed solution requirements - Prepare requirements document

WP2.5.2
GAP-FIT analysis

WP2.5.5
Prepare LGU master data: roles, users, org. units

Security requirements

WP 2.2.2
Define security requirements

WP2.5.3
Provide specific configuration and solution extension specification per LGU

Integration specification with 3rd party systems

WP 2.3
Integration specification

List of KPIs
BI and reporting

WP2.4
List of service delivery KPIs; List and structure of statistical reports and dashboards

Procedural instructions for offline operations

WP 2.2.4
Procedural instructions for offline operation

Key

Blue boxes = WPs

Grey boxes = Documents listed in WP2.2

2.2.3 Infrastructure Activities

Infrastructure activities for the project have two different aspects: one related to the central infrastructure [WP3.1-3-2], the other to the LGUs [WP3.3-3.5]. Activities have started at the beginning of the Inception Phase and will be continued as per the general timeframe of the project (see the Time Management Plan in this document, Section 3.2.3). The following paragraphs describe both the activities that have been already performed during the Inception Phase, with their related deliverables, and the ones that are pending or will be started in the following project phases.

During the inception phase, the Project Team collects detailed information on the current state of physical and technical IT infrastructure in the municipalities that participate to this project.

To accomplish this task and to collect all the necessary information a number of instruments are used, such as: site surveys, individual meetings in each municipality with responsible IT staff, organization of calls as well as drafting and sending of infrastructure survey forms.

Until now almost all municipalities have been collaborative by providing all the possible necessary information required to evaluate LGU technical infrastructure readiness in the inception phase.

To achieve the provision of generic HW requirements for the municipalities the Project Team performed site surveys in each participating LGU, assessing the current infrastructure in order to define the interventions by the LGUs to procure the necessary devices, room space, network and internet connection.

During the inspection, the Project Team contacts the IT responsible person of each municipality to achieve a first general view on the Municipality IT infrastructure. Then, all existing infrastructure is checked and the working conditions are evaluated for suitability for the specific project needs.

During the inspection, the information collected is:
- Municipality Name
- Number of Government Unit in this municipality
- Responsible LGU IT Contact
- Available IT Staff
- Server Room details (including all available infrastructure)
- Power details
- Air conditioning details
- LAN Network details
- Internet Connection details
- Network equipment details
- Evaluation of available infrastructure that can be used for STAR 2 OSSH
- Physical location of equipment
- Additional Infrastructure needed

From the information collected from the site surveys till now, most of the Municipalities need basic technical infrastructure and the hardware and network they have is in minimal conditions.

The Project Team is elaborating all the information for each municipality and is preparing the infrastructure requirements for the OSSH project. This infrastructure will be able to support all requirements for the system and processes to work normally, also to support future needs.

Attached to this document is listed the documentation used for obtaining the technical information from the municipalities (situation at the date of December 22; the final version of this document will contain the documentation for all participating municipalities):
- STAR 2-OSSh Site Survey Report.xlsx – used to document the current state of the infrastructure in each municipality.

Moreover, the following contents are specified into these ANNEX.

- Annex 5.1 - Provision of requirements for the central DC infrastructure of the OSSIS
- Annex 5.2 - Provision of generic hardware and infrastructure requirements for LGUs

Test Environment, DC infrastructure and solution staging

After the readiness assessment, the Joint Venture will configure and provision test environment on own hardware to be ready for usage OSSIS environments regarding to this classification of data centre (DC) infrastructure:

- Training environment
- Test environment
- Production environment

When tests will be positive, Joint Venture will prepare virtual machines for the three environments (setup and configuration of the system in backup and production servers, mass storage units, continuity groups, VPN routers and other communication devices in DC enabling connectivity to LGUs) and will conduct DC installation acceptance test with LGU Customers.

2.2.4   Customisation and Development

Configuration, extension and development of a workflow-based One Stop Shop Information System (OSSIS)

In "Customization and Development Phase" we will build a workflow based One Stop Shop Information System (OSSIS) including configurations and extensions of the system, in order for LGU staff to manage G2C and G2B cases for locally delivered LGU services, with extensive list of features as defined in Section C of the ToR.

We will rely on WebAssembler.NET developing framework to fulfill functional requirements such as provision of business process management, case management, system administrations, system configuration and customization for LGUs.

Integrate OSSIS with NAIS GG platform and the central services provided through it, namely services of Civil register, business register, and others directly related with the local LGU services delivery process.

OSSIS will be integrated with NAIS GG platform and the central services provided through it, namely services of Civil register, business register, and others directly related with the local LGU services delivery process as referred in [WP4.2].

Based on our solution the OSSIS system will rely on e-Government Communication Infrastructure to provide data center hosting, network communication (GovNET or through VPN), integration services through Government Gateway (GG) and infrastructure services (like PKI-services, Payment Services etc). In case of LGUs not being able to be part of GovNET fiber network, then VPN communication channels can allow the LGUs specific systems to integrate with OSSIS system based on their exposed integration interfaces. Government Gateway platform will enable communication of OSSIS with other governmental institutions (like NBC and NCR systems).

OSSIS will have an important component to store and administer citizen and business contact information. It will be possible to enter these data manually (in the case of foreign citizens/businesses) and/or to get them from national registers of NCR and NBC. OSSIS integration layer will communicate with the national registers through the communication with GG platform. GG platform communicates with national registers through their specific institution DIS servers (NCR DIS and NBC DIS). e-Services exposed in GG have a security level, which can be based on authentication

and authorization with Username/Password or with Certificate. This way it will be possible for OSSIS to consume e-services of NCR and NBC with credentials given by NAIS.

Integrate OSSIS with municipalities webpage, providing service status query and notification functionalities.

Government Gateway can also enable even LGUs systems (like the Accounting Systems and Web Portals) to communicate with OSSIS systems as referred in [WP4.3.1 and WP4.3.2]. Integration Layer will send data to interfaces of municipalities web portals, to update case statuses tracked in web portals. It will communicate with interfaces of LGUs accounting system to send it performed payments, and it will get calculated local taxes for a citizen or a business from accounting system. Integration layer will support different protocols to communicate with LGUs web portal and Accounting System, as listed:

- HTTP/HTTPS
- File
- FTP
- SOAP
- TCP – communication to direct database

Integrate OSSIS with municipalities accounting system, providing citizens or business tax balance query and received service payment functionality.

The services that OSSIS will deliver to the citizens/businesses may be services with payment, based on the fee that is defined by law. For these kinds of services the citizen/business will have to pay to the payment clerk the defined fee. In order to implement and deliver electronic services with payment fee, OSSIS system will integrate with Government Payment Gateway which is already integrated and used by the e-Albania portal. Payment Gateway is a software module for online payment, which is based on COTS (Commercial off the Shelf) products of ORACLE and provides the possibility to make online payments through the banks already configured in this gateway.

The key objectives of the Payment Services Integration of OSSIS are:

- Communication with Payment Gateway to start a new payment process.
- Communication with Payment Gateway to check if a transaction is already paid.
- Implement logic which handles the Payment Gateway response (successful or error).

Payment Services Integration Layer will make possible integration of OSSIS interfaces with Government Payment Gateway. This layer will allow OSSIS to communicate with payment gateway to make the online payment for the specific service. Layer will consume the Payment Gateway web service which will redirect to the interface with the list of banks where OSSIS clerk can select the preferred bank for payment. After choosing the bank, clerk will be redirected to the bank interface, where will be viewed the service name and the payment fee, there he enters the card details and after the bank processes payment, clerk will be redirected to the success/error pages. Another function of the layer is the communication with payment gateway, to check if a transaction has already been paid before starting a payment process. If the payment will be done successfully but the status of the case in OSSIS system will not be updated to Paid, because of system error, then OSSIS system will trigger a request to payment gateway web service to ask about the payment status of specific transaction.

As already mentioned, OSSIS will communicate with municipalities existing web portals and LGU Accounting systems through integration layer.

Integration Layer will send data to interfaces of municipalities web portals, to update case statuses tracked in web portals. It will communicate with interfaces of LGUs accounting systems to send performed payments to accounting system and it will get calculated local taxes for a citizen or a business from accounting system.

*Prepare and conduct functional testing*

Based on [WP4.4] we will prepare and conduct functional testing by defining test cases for the validation of the functionalities of the system. Functional test cases will be provided to customer in advance and will reflect both functional requirements of ToR Section C and the confirmed SRS. We will run test cases first on our development environment, in order to have a continuous insight on the quality of the system during the whole development process. On the other hand, the test cases, per each test type, will be executed on the environment of the Customer, the ones that will be planned for acceptance testing.

Prepare and conduct integration testing

Integration Testing as mentioned in [WP4.5] will be prepared and conducted by putting together a group of modules and functions with the goal of completing and verifying that the system meets the system requirements. Integration test cases will be provided to customer in advance and will reflect the confirmed Integration specification.

2.2.5   Pilot Rollout and Stabilization

Rollout activities last in average six weeks for each LGU; in order to conclude rollout on time, several JV teams will be mobilised simultaneously, parallelising work on groups of LGUs. More information in Annex 6.1 - Rollout plan. The rollout in each Pilot LGU will include three main steps as in the figure below.
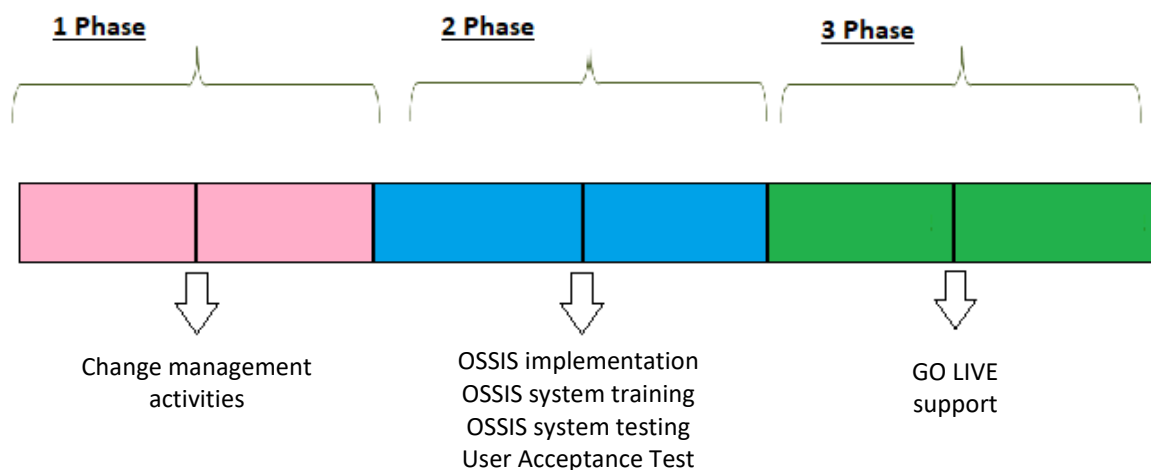
The proposed changes regarding organizational structure and the needed positions/staff for One Stop Shop structure will be sent and illustrated to LGUs well in advance before the rollout. The changes that are going to be proposed will not be mandatory but recommendatory based on the best functioning of the One stop shop structure.

At the same time the compliance of the infrastructure of each LGU with the needs highlighted in the Inception Phase will be checked with particular attention to VPN access, computers, etc. in order to start the rollout.

- **First phase**: we will conduct change management activities to ensure that the change management competency is part of the skill set of the LGU staff. Thus, we will ensure that process improvement will be in place in each municipality. After change management training, we will monitor the process in order to find out how effective the training has been and to determine LGU staff knowledge acquisition (see the Annex 4).
- **Second phase**: we will implement OSSIS in LGUs. We will do system trainings on the test environment and conduct test cases for user acceptance testing. The Joint Venture will not

only activate the onsite technical team, but it will support LGUs with another back office technical team who will deal with different issues that may emerge during the system implementation.

- **Third phase**: the system will GO LIVE and LGUs will supported mainly from remote for all support requests. If needed, we will also provide onsite support for urgent and very problematic issues.

2.2.5.1   LGU Rollout

LGU specific solution configuration and extension. Optimization of workflows that emerge as not being fully compatible with what the LGU performs in practice.

OSSIS functionalities are different from one LGU to the other. These functionalities will be configured and changed or even extended at the LGU level. The level of separation and isolation of each LGU in this context will be implemented with the database schema itself (meaning each LGU can see only its own set of data).
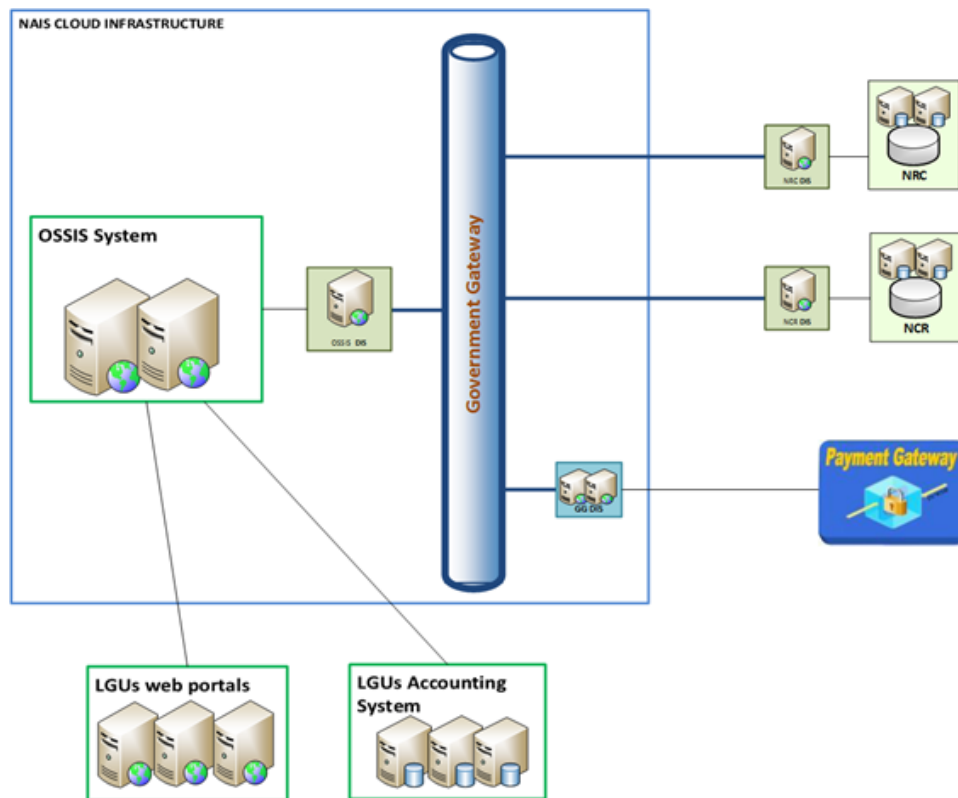
The heart of the OSSIS will be provided by the *OSSIS Core System layer*. This layer is composed of core sub-components that are shareable across LGUs. Although the sub-components are shareable, they will provide a high degree of isolation and allow dynamic configuration of functionalities that should enable the OSSIS Core system to behave differently within the context of each LGU (example: for the same service, different LGUs may have different business process flows supported by different human workflows). This layer can actually be represented as a runnable instance hosted on virtual machines or even on application containers (like docker containers).

Integrate LGU specific 3 party systems: i.e. LGU web page and needed features of accounting system.

The OSSIS of the LGUs will be integrated with other business applications like the accounting systems and their own web portals but at the same time they have to interact and communicate with other government systems in order to provide their services. The OSSIS system will rely on e-Government Communication Infrastructure to provide data center hosting, network communication (GovNET or through VPN), integration services through Government Gateway (GG) and infrastructure services (like PKI-services, Payment Services etc). The GG will enable the OSSIS system to integrate and communicate with Central Government systems (like NRC and NCR systems). It can also enable LGU systems (like the Accounting Systems and Web Portals) to communicate with OSSIS systems. In case LGUs are not on the GovNET fiber network, VPN communication channels can allow the LGU specific systems to integrate with OSSIS system through GG, on the basis of their exposed integration interfaces.

Through the integration layer, LGUs will be integrated with the SMS gateway and Mail service, to notify citizens by SMS and mail. One of the important functionalities of the integration layer is the communication with LGUs accounting system. It will send performed payments to accounting system and it will calculate local taxes for a citizen or a business from the accounting system.

The following figure shows how the OSSIS communicates with other systems through the integration layer.

OSSIS integrations with other systems.

The Central Government Context includes communication with national registers and the government payment gateway. The OSSIS will enable electronic payments, through integration with payment gateway services. The Integration Layer will integrate the OSSIS with the e-Albania Payment Services to support electronic payments. It will allow integration with the banks POS in order to process the payment transactions.

The layout of the system should be customized with LGU's logo, labels, heading texts and any other necessary visual asset.

Each LGU is requested to provide in advance their logos, labels, heading texts and any other necessary visual assets, so that they can be used as dynamic variables in order for the OSSIS to dynamically customize the layout of each LGU system.

Conduct LGU specific solution testing. Test each service following all steps in the workflow in different scenarios, and sign UAT for each service.

The acceptance tests will be conducted at two different levels:
- common system acceptance tests: all the functional requirements that represent the OSSh core and that are available for any Municipality will be tested
- LGUs specific acceptance tests: each Municipality will have different configurations according to its organization, its processes and the level of integration with external systems; all the associated functional requirements will be tested.

Train LGU's end-users, key users and administrators

The implementation activities as part of system design, development, customization, OSSIS deployment in data center and/or local infrastructure and rollout in the facilities, will include centralized and on-site user training, based on their roles in the system and the rights assigned to them

(for a detailed description of training activities see Annex 4). All the three main groups will benefit from the training activities:

- LGU end users
- key users
- OSSIS administrators

In order to facilitate the learning process, we will create and share with LGU users training materials such as:

- Training manuals and brochures to detail system features in a step-by-step fashion for every typology of users.
- PowerPoint presentations and screen shots for more complicated system elements and tasks.
- Visual elements as graphics, videos, tables and other visual tools to reinforce important concepts and tasks.
- Feedback forms
- Surveys (online and hard copy)

LGU Go Live support, on site supervision during GO LIVE for the LGU staff

Once the OSSIS goes live, we will provide supervision for LGU staff. The supervision and support will be active through different communication channels s: onsite, email, cell phone, or remote tools if needed and will be offered by two groups, one with technical background (software development) and the other with legal background. The main objective of onsite supervision is to make sure that the system is being used properly by LGU staff and that everything is as it should be. In this way LGU users will be using the system with a high level of productivity. On site supervision will involve looking for and fixing problems that may occur. The duration of supervision will be one to two weeks but despite of this we will support LGUs until the final stabilization of the system. User manuals will be used as operation guidelines.

2.2.5.2   Solution Stabilisation

Document all issues during pilot LGU GO LIVE support.

A dedicated e-mail address and a predefined phone number will be made available to the pilot LGUS to send communications on all issues regarding the system functionalities. For each e-mail sent to this address, a ticket will be automatically generated in the helpdesk system. All issues emerging during this phase will be documented.

Provide resolution for all major issues CRIT and high priority, provide a resolution or workaround plan for normal and low priority issues. Here resolution means improvement of OSSIS by further configuration, customization, extension or bug fixes. Update technical solution specification.

The correct resources will be assigned to deal with all issues sent to LGU GO LIVE support. The Joint Venture team specialists will handle the case, diagnose the problem, specify the priority in collaboration with LGU staff and provide a resolution or workaround for all issues with high/low priority based on temporary workaround plan in which will be specified the time of intervention. For each issues resolved, the technical solution specification will be updated.

Conduct Delta testing of new solution release.

For all issues resolved during pilot LGU GO LIVE support, we will conduct Delta testing in order to test the specified area of the system that has been changed or updated. This way we will make sure

that each part of the system is error free. Delta testing will be based on predefined test cases. We will run test cases first in our development environments, in order to have a continuous insight on the quality of the system during the development process. On the other hand, the test cases will be executed on the environment of the LGUs. We will rely on specialized tools that record the test cases and their execution records.

Conduct Delta training if needed. Update training documentations.

Based on [WP 5.2.1], for every documented issue we will conduct Delta training in order to offer LGU staff the necessary skills to use the system according to the changes made (for a detailed description of training activities see Annex 4). All training documentation will be updated in order to reflect the recent developments done in the system.

Create good practices document and setups to easily replicate the start-up in other LGUs.

Based on pilot LGUs implementation we will create good practices documents and setups to easily replicate the start-up in other LGUs. This documents will include the necessary steps followed during the pilot LGUs implementation, system configurations etc.

2.2.6 Massive Rollout Phase

Rollout activities last in average six weeks for each LGU; in order to conclude rollout on time, several JV teams will be mobilised simultaneously, parallelising work on groups of LGUs. More information in Annex 6.1 "Rollout plan". The Rollout will include for each LGU three main steps as in the figure below.
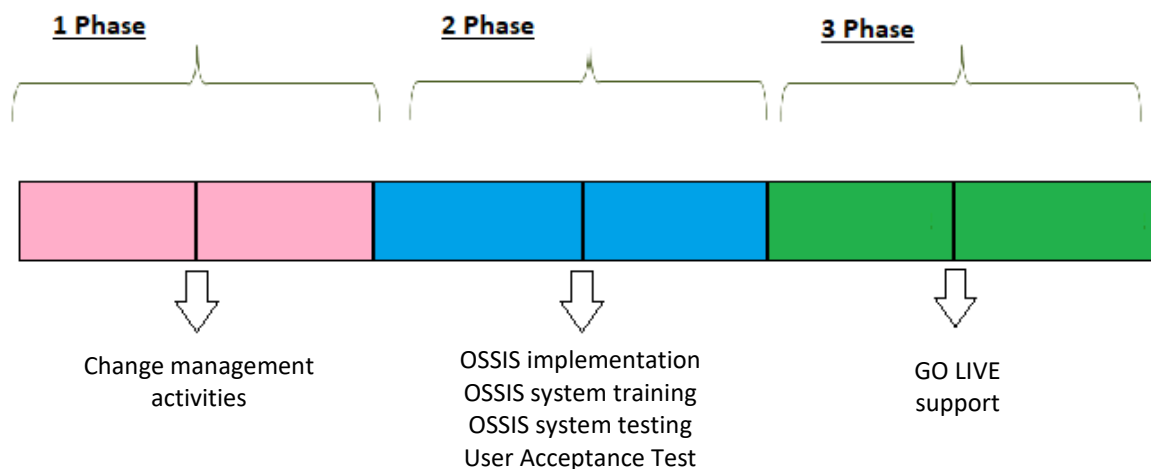
The proposed changes regarding organizational structure will be sent and illustrated to LGUs well in advance before the rollout.

At the same time the compliance of the infrastructure of each LGU with the needs highlighted in the Inception Phase will be checked with particular attention to VPN access, computers, etc. in order to start the rollout.

- **First phase**: we will conduct change management activities to ensure that the change management competency is part of the skill set of the LGU staff. Thus, we will ensure that process improvement will be in place in each municipality. After change management training, we will monitor the process in order to find out how effective the training has been and to determine LGU staff knowledge acquisition (see the Annex 4).

- **Second phase**: we will implement OSSIS in LGUs (supposing that each LGU has the necessary infrastructure). We will do system trainings on the test environment and conduct test cases for user acceptance testing. Beside of the onsite technical team we will support LGUs also by another back office technical team who will solve different issues that may emerge during the system implementation.
- **Third phase**: the system will GO LIVE and we will support mainly remotely LGUs for all support requests. If needed we will offer also onsite support for urgent and very problematic issues.

WP6.1.1 LGU GAP-FIT and change management - Institutional Capacity Building for Implementation Support

WP6.1.1.1

Our method of GAP-FIT analysis refers to the space between "where the municipalities are" (the present state) and "where we want them to be" (the target state). Our GAP-FIT analysis methodology will be referred to the needs analysis, needs assessment or need-gap analysis.

The GAP analysis provides a foundation for measuring investment of time, the budget and human resources required to achieve a particular outcome/the implementation of One Stop Shop in each municipality and administrative unit based on the legal requirements.

The team has done different fields visit, which have resulted in the first impact of the current situation of municipalities and administrative units. Regarding the needs assessment, we can say that all municipalities have shown the collaborative will to implement the OSSh in providing their services.

The GAP-FIT analysis methodology includes the provision of the AS – IS analysis and definition of the TO – BE approach.

The AS-IS analysis includes the definition of the current organization related to the administrative procedure. The aim of this process is to map the roles and the responsibilities for each administrative services offered. This phase of the process has taken place during the Inception Phase as part of WP1.2: it is therefore described above in Section 2.2.1.2. Another aspect of the activities performed during the Inception Phase, however, is more focused on supporting LGUs to embrace change and to acquire ownership of the new service delivery model. It is in fact important for the LGU staff and the Mayor to achieve the proper understanding of the project and the OSS concept. This approach is supported politically and organizationally within each municipality and it is process-oriented.

The project team has developed a framework which will guide staff of the Municipality from a situation in which there is no OSS to a condition in which one is created. Applying a One Stop Shop indicates a change in the working concepts of a LGU.

Actions realized for this step include:
- Inform the municipal staff about the objectives, benefits, and challenges of implementing the project.
- Assessment of the service delivery structure to document and formally review existing procedures.
- Design interviews with the staff to express their ideas to encourage and organize their support.

This approach reduces uncertainties of the staff of the LGU. If this support is not forthcoming at the beginning of the process, it is advised to be strongly encouraged and organized. During project implementation, the project team will encourage and organize support in the following ways:
- Intensive communication of the changes and benefits of the project through presentation of anticipated results.
- Involved all relevant staff in the process of project implementation.

After the completion of the AS-IS analysis, the process will be continued in the following period thorough a series of steps finalized to the full involvement of the municipal structure and to the preparation of organizational and technological change:

- Organized interactive meetings with the Mayor of the municipality staff to report on the process and present the findings of the situational assessment;
- Presentation of the OSS system prototype to gather their feedback;
- Organized meetings to present the findings and gain consensus and agreement on business analysis results and prototype with each municipal department after the situational assessment.

The second phase of the GAP-FIT Analysis is the definition of the TO-BE roles.

The objective of this phase is to determine the actors and their roles related to the law and system requirement, which may differ from administrative procedure requiring personal presence roles. Also in cooperation with the municipality staff some of the roles will change regarding the definition identify during AS-IS participants and roles stage.

In this phase, we will determine roles and responsibilities related to the tasks on the level of individual and municipality authorities. Roles and responsibilities are an input to process design.

The final result of TO-BE process is the preparation of LGUs master data: roles, users, org. units and their addresses, users & roles matrix, document templates.

WP6.1.1.2/6.1.1.4/6.1.1.5 – Training

For each LGU, a detailed training plan will be prepared, after the assessment done in the previous tasks for trainings, locations, number of participants, duration, trainers list, topics to be taught, evaluation and testing of acquired knowledge, grouped by typology of users.

We will deliver electronic and hardcopy documentation for all aspects of the OSS model developed and we will provide appropriate training to relevant OSS model stakeholders. This will include on-the-job support and handholding (including in-person, telephone and on-line support), as well as formal training sessions at regular intervals throughout this assignment. Electronic copy will be provided and one set of hardcopy. In the end of the training we will organize testing and certification of their knowledge for each employee/user, and recommend second round tailored training for those not passing the test. Further information on the training methodology and organisation is to be found in Annex 4.

WP6.1.1.6 – Support to procurement

After infrastructure activities phase [WP 3], we will provide each LGU with technical proposal of hardware that they need to procure. We will assist them with the development of procurement-related documentation (e.g. specifications), which will be made available at the earliest to UNDP and the LGUs so that LGUs are given lead time to fill in the gaps and get ready.

WP6.1.1.3 – Surveys

We will conduct regular online and other surveys to determine user satisfaction and solicit suggestions for improvement.

WP6.1.2 – Solution configuration and optimization

Based on [WP 5.2.5] we will have good practice documents and setups to easily replicate the start-up in other LGUs. We will implement specific configuration and extension to each LGU and will optimize workflows that emerge as not being fully compatible with what the LGU performs in practice. This level of customization is provided thanks to OSSIS system architecture which is composed of core sub- components that are the most dynamic part of the system in terms of configuration and customization. It can even be configured to run as a single-tenant application

running in multiple load balanced instances (in this context each tenant (LGU) has a separate single runnable instance with its specific configurations). The architecture supports both and the decision will be based on the level of isolation required between tenants and their specific requirements which will be provided as a result of inspection phase.

WP6.1.3 – Solution integration

LGUs will be integrated with other business applications like the accounting systems and their own web portals but at the same time they have to interact and communicate with other government systems in order to provide their services like NCR or NRC.

At the end of the system analysis, we will have knowledge about third party systems with which OSSIS will be integrated such as: LGU portal, accounting systems etc. So, we will know for each LGU, with which system it will be integrated and we will define if something needs to be modified on the LGU systems.
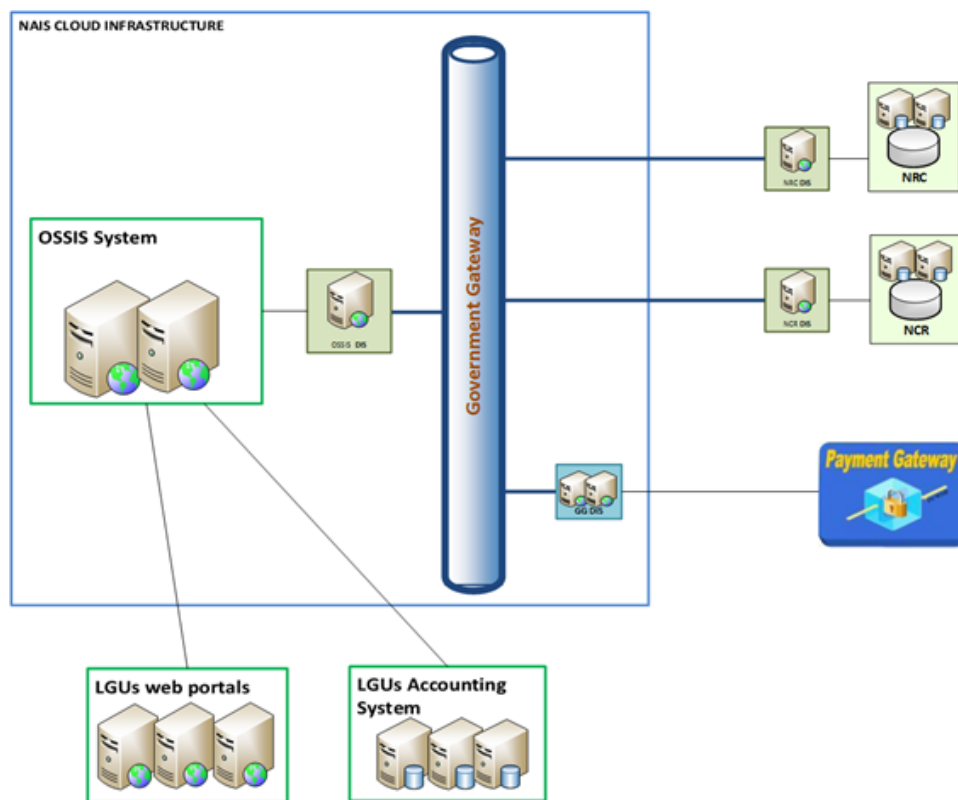
During the system analysis, if OSSIS needs to get information from third parties, we will notify them in advance in order to make the needed developments and so they can have the needed time to get the right measures.

If third party systems need to get information from OSSIS, then we will make the needed developments, like developing a Web Service. OSSIS System will be flexible in communication with third party systems, national databases. There will be delivered documentations and code samples for the web services and REST API, and, if needed, municipalities will assist so that they can also use these web services or REST API.

The OSSIS system will rely on e-Government Communication Infrastructure to provide data center hosting, network communication (GovNET or through VPN), integration services through Government Gateway (GG) and infrastructure services (like PKI-services, Payment Services etc). The GG will enable the OSSIS system to integrate and communicate with Central Government systems (like NRC and NCR systems). It can also enable LGU systems (like the Accounting Systems and Web Portals) to communicate with OSSIS systems. . In case LGUs are not on the GovNET fiber network, VPN communication channels can allow the LGU specific systems to integrate with OSSIS system through GG, on the basis of their exposed integration interfaces.

Through the integration layer, LGUs will be integrated with the SMS gateway and Mail service, to notify citizens by SMS and mail. One of the important functionalities of the integration layer is the communication with LGUs accounting system. It will send performed payments to accounting system and it will calculate local taxes for a citizen or a business from the accounting system.

The following figure shows how the OSSIS communicates with other systems through the integration layer.

OSSIS integrations with other systems.

The Central Government Context includes communication with national registers and government payment gateway. The OSSIS will enable electronic payments, through integration with payment gateway services. The Integration Layer will integrate OSSIS with the e-Albania Payment Services in order to support electronic payments. It will allow integration with the banks POS in order to process the payment transactions.

WP 6.1.4 – Testing

We will conduct specific solution testing based on predefined test cases in order to validate the functionalities of the systems. Test cases will be prepared based on use cases developed for the LGU.

The acceptance test scenarios shall cover all functional requirements and reflect the accepted software specification documentation.

The common system acceptance tests and the Pilot LGUs specific acceptance tests will lead to the acceptance of the baseline solution "prototype" and then to the acceptance of the "Stable solution".

User acceptance tests will be conducted at two different levels:
- common system acceptance tests: all the functional requirements that represent the OSSh core and that are available for any Municipality will be tested
- LGUs specific acceptance tests: each Municipality will have different configurations according to its organization, its processes and the level of integration with external systems; all the associated functional requirements will be tested.

WP 6.1.5 – Training of End Users

The implementation activities as part of system design, development, customization, OSSIS deployment in data center and/or local infrastructure and rollout in the facilities, will include centralized and on-site user training based on their rights in the system (for a detailed description of training activities see Annex 4). All the three main groups will benefit from the training activities:

- LGU end users
- key users
- OSSIS administrators

In order to facilitate the learning process, we will create and share with LGU users training materials like:
- Training manuals and brochures to detail system features in a step-by-step fashion for every typology of users.
- PowerPoint presentations and screen shots for more complicated system elements and tasks.
- Visual elements as graphics, videos, tables and other visual tools to reinforce important concepts and tasks.
- Feedback forms
- Surveys (online and hard copy)

WP 6.1.6 – GoLive Support

Once the OSSIS goes live, we will provide supervision for the LGU staff. The supervision and support will be active through different communication channels like: onsite, email, cell phone, or remote tools if needed and will be offered by two groups, one with technical background (software development) and the other with legal background. The main objective of onsite supervision is to make sure that the system is being used properly by LGU staff and that everything is as it should be. In this way LGU users will be using the system with a high level of productivity. On site supervision will involve looking for and fixing problems that may occur. The duration of supervision will be one to two weeks but despite of this we will support LGUs until the final stabilization of the system. User manuals will be used as operation guidelines.

2.2.7   Closeout Phase

The Project Closure is the phase in which all activities for the project and the contract are finalised. The key benefit of this phase is that project information is archived.

When closing the project, the JV project director and JV project management team review the project charter and all documents to ensure that all activities are completed and that the project has met its objectives.

The activities necessary for the administrative closure of the project include:
- making certain that all documents and deliverables are up-to-date, particularly as regards project management and technical documentation;
- verifying that all the critical issues and risks are closed and resolved or making a list of critical issues that are still open;
- confirming all acceptance certificates for each contractual installment;
- managing knowledge sharing and transfer using CMS as project archive;
- collecting all the results of the surveys carried out during the project life and presenting the Beneficiary with the LGUs level of satisfaction;
- elaborating the final report.

The output of this phase is the project final report, that includes:
- a summary of the project performance;
- all document deliverables in the annexes;
- achieved results;
- system usage statistics;

- lessons learned and proposals for the future;
- maintenance and warranty procedure;
- list of possible critical issues for the maintenance of the OSS system after the closure of this project.

Within two months from the start of this phase, the Joint Venture presents a draft of the project final report to the Contracting Authority. After eventual modifications are made to integrate eventual remarks from the Contracting Authority, the Joint Venture submits the final version of the report.

The Joint Venture will share the project final report during the last monthly report meeting with the Project Board, to receive a confirmation that all deliverables have been accepted (or not and for what reason) in order to formalize the completion of the all contract instalments.

The Contractual Authority will approve the project final report and, if necessary, the associated list of possible critical issues for the maintenance of the OSS system after the closure of this project.

2.2.8 Warranty and Maintenance

At the end of the Rollout phase, once the User Acceptance Testing of the OSSIS is done by each individual LGU, the Joint Venture will sign a one-year Warranty and Maintenance contract with each LGU in order to offer warranty and technical support services.
The Joint Venture is available for providing ongoing maintenance support services for at least three years after the expiration of the 1st year of support, based on another contract that will enable the three additional years of support.

Warranty

Warranty will include the elimination of each defect in the OSSIS (bugs in source code). During the warranty period, we will rely on the meeting of following criteria, in order to fix the defects:
- documented evidence of system failure or fault is given;
- proof that the failure occurred due to a development fault;
- proper usage of software in accordance with the manual;
- no unwarranted interference with the software package on the part of the client;
- subject of the client's complaint is covered in the requirements specification.

Scope of Maintenance Services

The following topics are within the scope of technical support:
- Preventive maintenance will include monthly periodic checks for verifying the health and performance status of the OSSIS and the verification of communications with integrated systems.
- In addition to proactive support, the Joint Venture will offer repair services on the central site. Our specialized and certified staff will provide its assistance and expertise to ensure diagnosis and repair service. For this purpose, we will perform diagnostics procedure, collect and analyse the logs, in order to troubleshoot and diagnose the problem or the defective part of the OSSIS. The proactive support will also include:
  - the exhaustion of hardware resources,
  - problems with normal functioning of services installed in the appropriate roles,
  - the increased size of logs to the extent that affect the performance of the system,
  - the validity of the used certificates.

We will provide 2nd and 3rd level support for the OSSIS. The first level of support will be provided by a trained user in each LGU. In the 2nd level support the consortium Service Desk will be contacted for any problem regarding the implemented infrastructure and system functionalities delivered in this project as OSSIS. If the consortium fails to resolve the problem then the support request will be escalated to platform manufactures, this process constitute in the 3rd level support.

Technical Support procedure

The technical support procedure is initiated by a technical support request posted in two ways:
- Sending an email to a dedicated e-mail address;
- Calling a predefined phone number for very urgent problems with high impact in the system.

To all municipalities will be made available a dedicated e-mail address to send support requests. For each e-mail sent to this address, a ticket will be automatically generated at the helpdesk system. Tickets raised for OSSIS, will be managed and organized according to the Service Level Agreement. Each ticket will have the following details:
- A brief description of the problem
- Business impact in accordance to the severity table below

Once the ticket is registered in the helpdesk system, the support team will start the troubleshooting procedures and will collect logs generated by the system in order to diagnose the problem.

Service Level Agreement (SLA)

All support requests will be classified based on the following support service levels. At least two conditions should be met in order to classify a malfunction in one of the three levels above.

Gravity 1 (Critical/High)	Gravity 2 (Average)	Gravity 3 (Low)
Work suspension		
The application malfunction prevents users from achieving the majority tasks of their work.	The application malfunction prevents users from achieving small parts of their work, but they are capable of achieving the other tasks of their job. Can also include information questions and answers.	The application malfunction prevents users from achieving minor parts of their work, but they are capable of achieving the other part.
Number of affected users		

Gravity 1 (Critical/High)	Gravity 2 (Average)	Gravity 3 (Low)
The application malfunction affects a vast number of users.	The application malfunction affects very small number of users.	The application malfunction affects 1 (one) or 2 (two) users.
Temporary alternative solution [This holds the main part of the gravity characteristics 1 and 2]		
There is not a temporary and acceptable alternative way to solve the problem (e.g., the work cannot be accomplished in another way).	There might be a temporary and acceptable alternative way to solve the problem.	There is potentially a temporary and acceptable alternative way to solve the problem.

Response and solution time

The support will be provided by the technical support team according to response time set below. The solution time of the problems is for at least a workaround solution.

Gravity 1 (Critical/High)	Gravity 2 (Average)	Gravity 3 (Low)
Response time		
Within an hour	Within 8 (eight) hours or the next working day	Within 8 (eight) hours or the next working day
Solution time		
The maximum solution acceptance is 24 continuous hours after the first contact.	The maximum solution acceptance is 20 continuous working days.	The maximum solution acceptance is 45 calendar days.

Service hours

The term Business Hours in this document refers to the hours when there will be assistance and availability from the support team.

Business Hours:	Monday – Friday
	08:30 – 17:30 (Official holidays are excluded)

Change Requests

During phase of Warranty and Maintenance diagnostic services, maintenance and intervention for problem solving regarding hardware infrastructure and system functionalities will be done in cooperation and with the confirmation of all parties based on the procedure described in the section 3.2.5 of the Project Charter

Reporting

The Joint Venture will submit monthly reports that will include information for periodic services delivered, as well as details about every problem reported and encountered during the month. The main topics who will be included in the periodical report are:

- all the incidents of the period (raised, resolved, in progress, unsolved);
- all actions taken to correct them;
- proposals and recommendations for preventing any recurrences.

3. PROJECT MANAGEMENT

3.1 Methodology

In order to adapt to Project reality, Joint Venture uses an iterative and at the same time incremental and cyclic development process, instead of the more classical waterfall development process. The process is iterative because the project is articulated along a series of iterations (sequences of activities), that aim at reducing progressively the risks of failure, most of all the main risks (e.g. misunderstandings on the prerequisites, uncertainties on the architecture). Moreover, each iteration sees the repetition, in different measure and percentage, of the same typology of activity (e.g. analysis of the requisites, design, implementation, test).

This allows monthly incremental deliveries, and allows to appreciate the growth in number of the released services, and the progress of the enabling environment (e.g. organization, hardware, logistics) in which services can efficiently and effectively run.

One of the main advantages is that is not a rigid methodology: on the contrary, it provides a broad framework and a set of principles that can be used and adapted to the reality of each project and that can be easily intertwined with different software development methodologies.

More specifically, the methodology can be integrated easily with Agile Methodologies and SCRUM in particular. They introduced a new set of values and principles for software development under which requirements and solutions evolve through the collaborative effort of self-organizing cross-functional teams, advocating adaptive planning, evolutionary development, early delivery, and continuous improvement, and it encourages rapid and flexible response to change.

Regarding IT services and support delivery, the project team will adopt the indications of the Information Technology Infrastructure Library (ITIL) for providing IT services. The Project Team will specifically apply the ITIL reference model to:

- harmonize service providing procedures;
- track the developed activity;
- spread knowledge to ensure the best service coverage;
- deal with Service Desk, Incident Management and Problem Management issues through a re-organization process.

The project management framework [W1, W7, W9] will be established using some of the PMBOK knowledge areas, see next Section 3.2 Framework. The PMBOK process groups Initiating and Planning will be merged as well as the process groups Executing, Monitoring and Controlling in order to simplify the framework usage and information sharing.

The SCRUM Agile methodology is perfectly adapted to software development [W2, W3, W4] that requires a high level of flexibility and where the involvement of the final user during the implementation is a key issue. The project implementation methodology based on SCRUM will mainly propose monthly Sprints during the centralized implementation and then weekly Sprints to address Pilot rollout and stabilization and Massive rollout for LGUs [W5, W6].

The delivery of IT services and maintenance [W8] will be based on ITIL guidelines.

| W	Phase / Activity / Milestone	2017		2018												2019											
		11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
W1	Inception phase + business analysis	▨	▨																								
W2	Software analysis and design phase			▩	▩	▩	▩																				
W3	Infrastructure activities			▩	▩	▩	▩																				
W4	Customization and development phase				▩	▩	▩	▩	▩	▩																	
W5	Pilot rollout and stabilization								▩	▩	▩	▩	▩														
W6	Rollout Phase													▩	▩	▩	▩	▩	▩	▩	▩	▩	▩	▩			
W7	Closeout phase																								▨	▨	▨
W8	Warranty and maintenance													▤	▤	▤	▤	▤	▤	▤	▤	▤	▤	▤	▤	▤	▤
W9	Project management			▨	▨	▨	▨	▨	▨	▨	▨	▨	▨	▨	▨	▨	▨	▨	▨	▨	▨	▨	▨	▨	▨	▨	▨

▨ PMBOK
▩ SCRUM Agile
▤ ITIL

3.1.1 Project Governance

Project governance is the alignment of the project with stakeholders needs and objectives. It is the framework in which the project team, who is responsible for planning, executing, controlling, and closing the project, performs its activity. Project governance is operated according to project management plans detailed in Section 3.2 Framework. Specifically, the plans are scope management, resources management, time management, quality management, change management, risk management, and communications management.

The governance is ensured at two levels:

- **STAR2 steering committee**: UNDP, Donors, Minister of Internal Affairs of Republic of Albania, LGUs associations or their responsible members monitor the progress of the overall project to periodically share the progress about the STAR2 project as against the defined objectives.
- **Project Implementation steering committee or "Project Board"**: it is composed by representatives of JV, UNDP (the contracting authority that accepts the deliverables), and other stakeholders if and when requested by UNDP. The schedule of periodic meetings of the Project Board will be agreed upon by UNDP and the JV during the kick-off
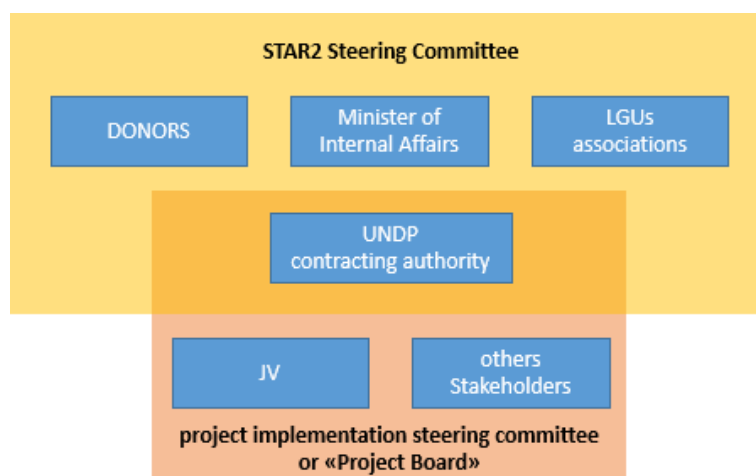
The Joint Venture works under the overall supervision of UNDP Albania to which it directly reports. Decisions are agreed upon with the Contracting Authority, that is also responsible for the acceptance of deliverables. In principle, the estimated lead time for the Contracting Authority to review outputs, give comments, approve or certify acceptance of outputs will be up to ten days. When a deliverable

is not approved, the Contracting Authority states in writing any non conformities or any other contractually binding reasons for not accepting it and gives the Joint Venture a delay to submit it again with the necessary modifications.

As this project is within the framework of STAR2 Project, the Project Board will be established by the Contracting Authority by the date of the kick-off meeting.

Change is managed according to change management plan. The way stakeholders communicate is described in the communications management plan.

Project governance is a critical element of any project, especially on complex and risky projects, thus is important find and evaluate risks, and carry out tasks in order to manage risks: contain and eliminate threats and increase opportunities; the risk management plan describes the approach on risks.

The time management plan and the quality management plan describe the approach, respectively, to schedule and to quality policy.

Project management plans may need changes to be managed at Project Board level.

3.1.2 Reporting and Monitoring

Clear and timely reporting is a primary means of keeping the project on track and of illustrating its progress, its challenges and its developments to stakeholders, thus ensuring their continued involvement and commitment.

The project team will provide a series of reports during project implementation. These reports will provide information on the current situation (as-is), present concepts, designs and plans (to-be), and/or will describe results and summarise progress. The aim of these reports is to:

- inform the stakeholders of project progress, constraints encountered and any significant corrective or supportive action required;
- provide a formal documented record of achievements during the reporting period, and thus facilitate future reviews or evaluations;
- document any changes in plans;
- promote transparency and accountability;
- point out main decisions to be finalised.

The following reports are requested during the project course:

Report	Content	Due on
Inception report	Documentation and results of activities performed during Inception Phase	End of Inception Phase; Annex to the Project Charter
Monthly progress reports	As per template in Annex 6.3	Monthly, starting after the "Project Board" kick-off from the first trimester of implementation
Maintenance reports	Incidents occurred, with brief description, indication of gravity, response time and solution time	Periodically during Maintenance Period

Report	Content	Due on
Stabilization phase issue list	Documentation of all issues during pilot LGU GO LIVE support	WP5.2
Final solution acceptance issue list	Documentation of all outstanding issues at the moment of solution acceptance	Closeout Phase
Final Report	- Achieved results, system usage statistics, lessons learned, and future proposals. - Detailed maintenance and warranty procedure - Final invoice and the financial report - All document deliverables as annexes	Closeout Phase
Required LGU changes report and checklist	Documentation of all change requests by LGUs accepted during the rollout phase	WP6
Site survey report with BOQ of necessary hardware and communication infrastructure for each project LGU	As per template in Annex 6.2	WP3.6

Reporting and monitoring approach is fully described in the communications management plan.

3.2 Framework

A complex project such as the present one has to be managed with a strong methodological approach, both on the Project Management side and on the software development side. Regarding the Project Management Framework, the "Project Management Book of Knowledge (PMBOK)" is the reference standard used in the project delivery activities.

As the result of a worldwide professional community the PMBOK is appreciated when different organizations need to collaborate to achieve a common goal. It is perfectly adapted as a common management language between parties that have different skills and cultures, but common project objectives.

Project Management Framework includes major Project Management disciplines, such as scope, resources, time, quality, change, risk, communications. Each of them needs to be accurately managed.

Scope Management - it helps understanding what is the work required to complete the Project successfully and thus what is included and what is not included in the Project. That is done through the appropriate processes depicted in the "Scope Management Plan".

Resources Management - It includes the processes to identify, acquire and manage the resources needed for the successful completion of the project, to ensure the right resources will be available to project managers. The "Project Resources Management Plan" talks about this for the project phases.

Time Management - It concerns the execution of the activities during the project, from start schedule to the monthly control and to change of planning tasks, if necessary. That is depicted in the "Time Management Plan".

Quality Management - It regards the quality policy for the project and also plan, manage and control product quality requirements in order to meet stakeholders' objectives.

Change Management - It describes how the change requests throughout the project will be formally authorized. The "Change Management plan" is about product's change and the tracing in "change register", it does not concern the LGU change management (Annex 3).

Risk Management - It provides the approach for identifying, analysing, and monitoring risks. The risk management plan provides controls that will impact in the activities and will be tracing the risk list and the issue log.

Communications Management - It is a critical area in the present project, due to many involved stakeholders, at all levels. Communications among stakeholders have to be clear, possibly synthetic and schematic; they help minimize misunderstanding and allow early warning, in a way problems can be dealt with as soon as they arise. Communications among stakeholders have to be planned, managed and controlled through suitable processes.

The following sections describe how chosen Project Management disciplines are implemented in the present Project.

3.2.1 Scope management plan

Project Scope Management helps to understand what is the work required to complete the Project successfully and thus what is included in the Project and what is not.

The project aims to:
- Support the change management related to the introduction of One Stop Shop for the delivery of public services in 49 identified Municipalities
- Implement a OSS software solution for the delivery of 40 services with high granularity, 80 in total in each Municipality
- Configure the OSS solution with the organization, procedures and services specific to each Municipality
- Support the rollout of the OSS in each Municipality
- Maintain the OSS solution during one year after its roll out

The ToR provides a detailed WBS.

Work Packages	
W1 Inception phase and business analysis	WP1.1: Establishing project management framework
	WP1.2: Unified services modelling
W2 Software analysis and design phase	WP2.1: Overall GAP-FIT Analysis
	WP2.2: To provide solution blueprint documentation set
	WP2.3 Provide integration specification
	WP2.4 Define list of service delivery KPIs - Define list and structure of statistical reports and dashboards

Work Packages	
	WP2.5 Pilot LGUs GAP-FIT analysis and change management
W3 Infrastructure Activities	WP3.1 Configure and provision test environment installed and configured on Joint Venture's own hardware
	WP3.2 Configuration of DC infrastructure and solution staging
	WP3.3 Provision of generic HW requirements for municipality
	WP3.4 Site survey in project municipalities - Assess the current infrastructure and report to STAR2 team for the necessary interventions from the LGUs for devices, room space, network and internet connection status
	WP3.5 Provision of site survey reports for municipalities
W4 Customization and Development Phase	WP4.1 Configuration, extension and development of a workflow-based One Stop Shop Information System (OSSIS) empowering LGU staff to manage G2C and G2B cases for locally delivered LGU services, with extensive list of features
	WP4.3 Integrate OSSIS with NAIS GG platform and the central services provided through it, namely services of Civil register, business register, and others directly related with the local LGU services delivery process
	WP4.4 Prepare and conduct functional testing. Testing shall follow the recommendations of OWASP. Functional testing scenarios shall be provided to Customer in advance and shall reflect both functional requirements of ToR Section C and the confirmed SRS
	WP4.5 Prepare and conduct integration testing. Integration testing scenarios shall be provided to Customer in advance and shall reflect the confirmed Integration specification
W5 Pilot Rollout and Stabilization	W5.1 LGU rollout
	W5.2 Solution stabilization
W6 Rollout Phase	W6.1 Rollout for one LGU
W7 Closeout phase	WP7.1 Conduct audit and update of project management and project technical documentation. Review all acceptance certificates.
	WP 7.2 Resolve all CRIT and high priority issues. Provide a feasible and acceptable resolution plan for normal and low priority issues.
	WP 7.3 Provide final report, including all document deliverables in the annexes, achieved results, system usage statistics, lessons learned, and future proposals
W8 Warranty and Maintenance	WP8.1 Provide OSSIS warranty and maintenance services, including 2nd level and 3rd level support as defined in section C3 (at least 1 year)
	WP8.2 Provide OSSIS further 3 years' warranty and maintenance services, including 2nd level and 3rd level support, as defined in section C3 (optional)
W9 Project Management	WP 9.1 Create project management framework and provide PM documentation as specified in WP1.2
	WP9.2 To ensure successful project implementation, the bidder shall follow the project management framework (as per W1) and perform high professional level activities of:
	WP9.3 Conduct monthly project Implementation steering committee (or "Project Board") meetings - Provide Minutes of Meeting
	WP9.4 Monthly progress reports

The Services to be delivered through OSS and supported by the OSS solution are a subset of the 107 services detailed in the ToR and classified in Section 1.3.4.1.

The support to Change Management in a Municipality is limited to:
- The presentation of the OSS delivery model (principles, aims, best practices, lessons learned…)
- The identification of their level of readiness through a specific assessment
- The proposal of a standard organizational target model
- The proposal of standard services and processes

- The facilitation of practical know how transfer between Municipalities

The main activities regarding Scope Definition are:
- The definition of the Services Catalogue (WP1)
- The definition of the OSS Solution specifications (WP2)
- The integration with Municipality systems (portal, accounting systems)

The acceptance by the Contracting Authority of this Project Charter will conclude the scope definition regarding the Services Catalogue.

The acceptance by the Contracting Authority of the OSS solution will conclude the scope definition regarding the OSS solution.

The technical conditions for the integration with Municipality systems are defined in the ToR.

The assessment held during the Inception Phase will define the scope of work regarding the integration for each Municipality.

Further scope variations are subject to Change Management process.

3.2.2 Resources management plan

The Joint Venture combines all the complementary capabilities necessary to deliver this project successfully and it has been defined in order to be consistent and complete in terms of professionality and experiences and to be immediately operational. The prevalent roles of the four different partners can be summarised as follows:
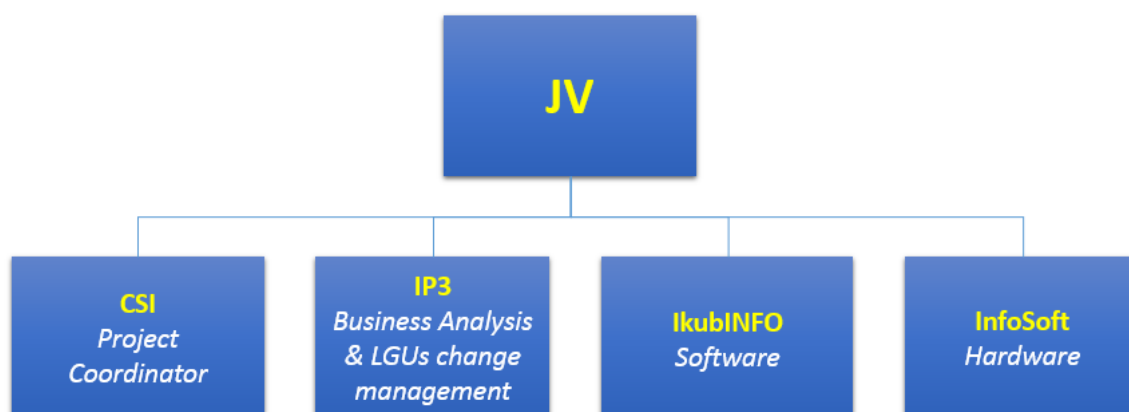
The Joint Venture's approach ensures that all resources working on the project are highly trained and experienced professionals in their respective fields. All CVs will be submitted to the Contracting Authority for its approval before they are employed in project activities (the CVs submitted in the offer are considered as approved). The allocation of resources on the different tasks will be defined, detailed and agreed upon with the Contracting Authority on the basis the project activities and needs, according to SCRUM Agile project methodology. This flexibility will maximise the effectiveness of the team, still ensuring the respect of deadlines and milestones delivery. The present Plan details all the roles to be involved in the project activities and on which specific WPs they will be allocated.

Project Role	WP1	WP2	WP3	WP4	WP5	WP6	WP7	WP8	WP9
Project Director	■						■		■
Project Manager - Implementation Team Leader	■						■		■
Project Manager - IT Infrastructure	■		■						■
Local Governance Specialist	■	■			■	■			
Lawyer	■				■	■		■	
Business Analyst	■				■	■			
Business Analyst - Implementation Team Leader	■			■					
Implementation Team Leader	■	■	■	■			■		
Implementation Team Leader - DataBase Administrator		■		■	■	■			
Implementation Team Leader - Senior Developer		■		■					
SOA Architect - Implementation Team Leader - Senior Developer		■		■					
Implementation Team Leader - Maintenance Specialist							■	■	
Maintenance Specialist								■	
Network Routing Specialist	■		■						
Software developer				■	■	■			
Senior Developer				■	■	■			
Software Tester				■	■	■			

The Project is professionally managed thanks to the Joint Venture Project Management Team, whose members have a Project Management certification. Specifically, Project Management Team is made up by the Joint Venture Project Director, the Joint Venture Project Manager and the Joint Venture Project Manager for Quality Assurance and Reporting.

The overall responsibility will be with the Project Director who will ensure that the project is implemented smoothly and to the satisfaction of the beneficiary, activating all necessary resources in the Joint Venture. Project Director and Contract Manager will represent the Joint Venture at institutional level.

Together with the Project Director, the Project Manager will direct the project progress, supervise its daily operations, manage the team of experts, supervise and coordinate all aspects of technical work and organise administrative and logistic support. They will be responsible for the preparation of monthly progress reports to be presented and discussed in the Project Board meetings. The Project Manager will participate in the Project Board meetings and will represent the Joint Venture on an operational, day-to-day basis. Support to the project management will be supplied by the Backstopping Team, whose activities are described below.

In order to ensure that the project runs smoothly a backstopping facility is very important in a number of aspects and the Joint Venture recognizes that it is an important requirement of any project of this scope to provide backstopping resources during project implementation. The Joint Venture has a proven track record in managing and implementing international consultancy assignments of short and long duration. Drawing on this experience, the Joint Venture is very aware of the importance of support to its field personnel for the successful implementation of international assignments and in order to provide a quality service to its clients. A full-time backstopping unit will provide consistent support to ensure smooth project implementation in order to take care of all the daily issues where the project team and the local counterparts may be in need of assistance.

When any need arises that implies changes in the Project Resources, they are managed at Project Board level. When it is needed to replace a resource, the Joint Venture is expected to submit the curriculum vitae of the new resource prior to acceptance by the Contracting Authority

The Joint Venture will organize periodic dedicated training for their staff and support their development. Training is performed through on-line and in-class courses. The quality of the product or service is highly influenced by the quality of the processes used to develop and maintain it. Trained and experienced people achieve their best results only by relying on effective and efficient processes.

3.2.3 Time management plan

Time Management includes processes that plan schedule management, define activities and put them into sequence, estimate activities resources and duration, develop and control schedule.

The Work Breakdown Structure and the contract instalments provide the framework for the Time Management Plan.

Installment		Contractual due date	WBS activities	Milestones
1st	•Draft Inception Report and Business Analysis; •Minimal requirements specs for central HW and communication infrastructure	27/12/2017	WP1, WP3, WP9	M1, M2, M3
2nd	•OSSIS model developed, system architecture designed, functional requirements' check list; •Optimized workflow for more than 60 services; •OSSIS model's test case and results; •Source code documentation; • Monthly Progress Report	30/04/2018	WP2, WP3, WP4, WP9	M4, M5
3rd	•Deploy OSSIS model in Pilot LGUs, deployment report for each LGU, UAT with functional services and test results •Training plan and implementation, manual, online surveys, establishment help-desk •Handover OSSIS to LGU, signature of UATs • Monthly Progress Report	01/11/2018	WP3, WP5, WP9	M6, M7, M8

Installment		Contractual due date	WBS activities	Milestones
4th	•Same tasks as 3rd Instalment, delivered for remaining LGUs	25/09/2019	WP6, WP9	M9', M10
5th	•Signature of SLAs with each OSSIS-equipped LGUs for a one-year maintenance •Final report	15/12/2019	WP7, WP8, WP9	M11

W	Phase / Activity / Milestone	2017		2018												2019											
		11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
M1	Contract in force	1																									
W1	Inception phase + business analysis																										
M2	PM documents accepted			2																							
M3	Services catalogue accepted			3																							
W2	Software analysis and design phase																										
M4	Solution tech spec. package accepted						4																				
M5	Configuration, solut. extension specific.						5																				
M5	Required LGU changes report, checklist						5																				
W3	Infrastructure activities																										
W4	Customization and development phase																										
M6	Baseline solution prototype accepted								6																		
W5	Pilot rollout and stabilization																										
M7	Pilot LGUs Go Live												7														
M8	Stable solution release accepted												8														
W6	Rollout Phase																										
M9'	LGU' Go Live															9'	9'	9'	9'	9'	9'	9'	9'	9'	9'		
M10	Rollout Phase accepted (the last site)																								10		
W7	Closeout phase																										
M11	Project final report accepted																										11
W8	Warranty and maintenance																										
W9	Project management																										
	1st installment																										
	2nd installment																										
	3rd installment																										
	4th installment																										
	5th installment																										

The plan is updated monthly and illustrated in the monthly reports.

The main characteristics of this delivery project are: the services and the Municipalities.

The development of a single service is subject of more Work Packages and the pattern is the following:
- WP1.2 – Business Analysis & Service modelling
- WP2 – Software analysis and Design
- WP4 – Customisation and development
- WP6.1.2 – LGU specific configuration
- WP6.1.4 - Conduct LGU specific solution testing

- WP8 – Maintenance

The roll out of a single Municipality also follows the following generic pattern, distributed across several Work Packages, to be applied on each of them:
- WP1.2 – Business analysis & Service modelling
- WP6 –LGUs Rollout

The Time management shall then be interpreted in terms of throughput capability: the question for each iteration is not which services have been developed but how many are in each development phase.

Analogously, from a schedule point of view, the focus on roll out is how many Municipalities are in each phase.

So, the Time management plan is a based on a natural sequence of ground activities merged with productive and throughput considerations.

WP	Characteristics
WP1	The Inception Phase plan illustrated the activities and sequence.
WP2.1	The overall GAP-FIT Analysis will start at the end of the Inception Phase, once the baseline Service Catalogue is defined and will be addressed during the 4 following months.
WP2.2	The solution blueprint will be developed in 3 steps The first step will include SRS, Solution Architecture Design, Security Requirements. The second step will include Integration specification with 3rd party system, list of KPI, BI and reporting specification. The third step will include the baseline service catalogue specification by services granularity level and the procedural instructions for offline operation.
WP3.1	Concluded during the Inception Phase
WP3.2	The activities are check list based and can be managed in a single iteration. The VPN configuration with LGUs will not be continuous but scheduled in relation with the single LGU roll out.
WP3.2	The availability of the DC Infrastructure is not formally defined; it is however a constraint for the start of the rollout phases. A 3 months delay between the delivery of the specifications and the procurement processes conclusion would not generate difficulties to the project. Once available, the activities are check list based and can be managed in a single iteration. The VPN configuration with LGUs will not be continuous but scheduled in relation with the single LGU roll out.
WP3.3	Concluded during the Inception Phase
WP3.4	Concluded during the Inception Phase
WP3.5	The first site survey report is included in the Inception Report. The Municipalities which need interventions will be periodically monitored upto the roll out phase.

WP4	The development will be incremental. Once the detailed analysis for a single service is available (WP2), it can then be developed. The foreseen throughput is 10 services/month.
	The testing scenario will be developed together with their development.
	Integration with all the central services will be held during the first month.
	The integration mechanisms with the Municipality systems will be held the second month.
	The non functional requirements will be developed in parallel.
	The last month will be dedicated to testing.
WP5	Start of the rollout is subject to the availability of the central DC infrastructure (general constraint, blocking the overall start of the phase) and of local infrastructure (constraint blocking the start of the individual LGU rollout)
	The activities related to the 3 chosen pilot LGUs will be managed in parallel.
	The configuration and integration with Municipality systems is foreseen to last 3 months.
	The roll out phase is subject of a specific roll out plan to be applied to each of the 3 pilots.
	The roll out overall duration is estimated to be 8 weeks.
	During this period, the proposed solution will be stabilized.
	The complexity and specificities of the single Municipality, the existence of third party systems as LGU portal and accounting system, the number of users to be trained are parameters which will influence the specific roll out duration.
WP6	Start of the rollout is subject to the availability of local infrastructure (constraint blocking the start of the individual LGU rollout)
	The roll out phase is subject of a specific roll out plan to be applied on each single LGU, on the basis of the stable solutions developed for the pilot LGUs.
	The sequence of LGUs to be rolled out will be defined during the first project year.
	A roll out overall duration is estimated to be 6 weeks.
	The complexity and specificities of the single Municipality, the existence of third party systems as LGU portal and accounting system, the number of users to be trained are parameters which will influence the specific roll out duration.
	The number of LGUs to be rolled out simultaneously is 4.

3.2.4 Quality management plan

Project Quality Management includes all processes and activities that shape quality policies, objectives, and responsibilities in such a way that the Project will satisfy the needs for which it was undertaken. The specific processes are described below.

Plan

The *Quality Management Plan* identifies quality requirements/standards for the Project deliverables and documents how compliance with requirements/standards is met along the Project life. Details of the Plan, at all levels, follow hereby.

The present plan states that the Project is to be professionally managed thanks to the Joint Venture Project Management Team, whose members have a Project Management certification. This allows to refer to the "Project Management Book of Knowledge (PMBOK)" as the reference standard, and to find its best implementation in this Project. Specifically, the Project Management Team is made up by the Joint Venture Project Director, the Joint Venture Project Manager and the Joint Venture Project Manager for Quality Assurance and Reporting.

All project documentation is kept available in the Content Management System (see Communications Management).

Reports, letters and all written documentation have to abide by the following guidelines. Table of Contents is needed, in third page; at the beginning the document has to state its purpose. The front page of the documents should have a header and a footer. The header reports the STAR2 project logo. The footer reports the Joint Venture logos, the name of the file, the page number. The centre of the front page reports the Project title, the Contract number, the title of the document, the version and the date. The second page reports the Project Title, the Contract number, the date, the version, the status (draft, for approval, approved), the responsibility, the version history, with changes occurred, the editors, the reviewers. Each document states where its level of approval rests, according to the procedures established by the "Project Board".

Filenames will start with STAR2-OSSh- followed by a short reminder of the content in CamelCase and followed by the version of the file in this form: _V## where ## is the progressive double digit of the version (starting at 00). Example: STAR2-OSSh-ListOfMunicipalitiesContacts_V00.xlsx.

Starting from project baseline - WBS and Project Scope Statement - and from Risk List, the present plan states that each project deliverable has to obey to applicable quality standards, that helps for software products to assure quality, as described in the following process *Perform Quality Assurance*.

Quality Management Plan is characterized in a way to avoid failures, rather than mend happened failures.

Stakeholders may have the need to modify Quality Management Plan, and it is possible to express that in Annex 6.4, the change request form template.

Upon approval of the Contracting Authority the present Quality Management Plan is reviewed and updated.

Perform Quality Assurance

The Project Team has comprehensive knowledge and experience in all types of testing and in quality assurance, with well established procedures and infrastructure that support the activities of quality assurance. IEEE 730-2014 standard is followed for planning, controlling, and executing the software quality assurance processes in the Project. Some of the core activities performed are testing, inspections and reviews. In this way there is confidence that products and services conform to the established requirements. Furthermore, the use of well-defined software development processes and well known project management approaches (PMP, SCRUM, etc.) guarantee the successful completion of projects deliverables.

The use of the 'V model' for this Project answers all the specified testing requirements and also is suitable for government projects. This model puts high emphasis on validation and verification of the product and defines the activities that must be performed during each stage of software development lifecycle with regard to testing. This is a generally easy to use model that makes sure that each deliverable is testable and provides insight to the project management on the progress of the project

by milestones. A plan is created once the Business Analysis is accepted. This plan is produced by the Project Team and will be approved by the Contracting Authority.

The plan consists, among other components, also of the set of test cases that will serve the validation of the system to be delivered (software and hardware). Once the functional specifications are completed, the system testing plan will be generated. It will serve the validation of the system. The plan defines test cases for the validation of the functionalities of the system and shall be approved by the Contracting Authority. During the high-level design of the system, the integration testing will be planned. It contains all necessary test cases and other relevant actions to verify that all the developed components of the system work together as planned. During detailed design unit tests will be developed, so to rely on error free units of code. The Project team will run test cases first on his development environments, in order to have a continuous insight on the quality of the system during the whole development process. On the other hand, the test cases, per each test type, will be executed on the environment of the Customer, the ones that will be planned for acceptance testing. The results of the executed test cases will be recorded by the Project Team and required reports will be generated. Project Team relies on specialized tools that record the test cases and their execution records. Main test types during the project are unit test, integration test, system test, performance test, load test, acceptance test. Unit test: is the first test in the development process. The source code is normally divided into modules, which in turn are divided into smaller units called units. These units have specific behaviour. The test done on these units of code is called unit test. Unit test depends upon the language on which the project is developed. Unit tests ensure that each unique path of the project performs accurately to the documented specifications and contains clearly defined inputs and expected results.

Test	Description
Integration Test	It means testing two or more modules or functions together with the intent of finding interface defects between the modules or functions. Testing completed act as a part of unit or functional testing, and sometimes, becomes its own standalone test phase. On a larger level, integration testing can involve putting together groups of modules and functions with the goal of completing and verifying that the system meets the system requirements. Testing with the intent of determining how well the product handles competition for system resources. The competition may come in the form of network traffic, CPU utilization or memory allocation.
Unit Test	During design phase, the smallest testable parts of an application (units) are individually and independently scrutinized for proper operation. It can be automated.
System Test	Several modules constitute a project. If the project is long-term project, several developers write the modules. Once all the modules are integrated, several errors may arise. The testing done at this stage is called system test. System testing ensures that the entire integrated software system meets requirements. It tests a configuration to ensure known and predictable results. System testing is based on process descriptions and flows, emphasizing pre-driven process links and integration points. Testing a specific hardware/software installation is typically performed on a COTS (commercial off the shelf) system or any other system comprised of this parent parts where custom configurations and/or unique installations are the norm.

Test	Description
Performance Test	It aims to verify the performance of the system, i.e. the time interval the system responds to user's request. This is an important test in order to give users performant systems.
Load Test	It aims to verify the endurance of the system under high loads of requests, i.e. with a high number of concurrent requests, actually the maximum possible number of users. Through this type of testing is identified the upper limits of the load that system can hold.
UAT - User Acceptance Test	It tests the system with the intent of confirming readiness of the product and customer acceptance.

Quality Control

Control Quality process identifies the causes of eventually poor product quality and find action to eliminate them, and validates that project deliverables meet the stakeholder's requirements.

To control the project's progress and degree of satisfaction of LGU operators and citizens, online and off line surveys will be carried out during the project. The surveys will initially cover the first LGUs to introduce the OSS information system, and gradually be extended to include all those participating in the project.

The quality control on documentation is done by reviewers. Each document needs reviewer(s) that identify how eventually increase its quality, stated the purpose of the document, and the recipient(s).

3.2.5 Change management plan

This plan describes how the change requests throughout the project will be formally authorized and incorporated. A change request is a formal proposal to modify any document, deliverable or baseline. Any project stakeholder may request a change.

Within the project context, the Joint Venture has identified three different change management levels:

- *Organisational Change Management*: it deals with the organizational change needed in the LGUs in order to implement successfully the OSS model and to operate correctly the OSSIS. It is the most complex, as it involves external actors; on the other hand, reaching project objectives depends heavily on it. The topic is analysed in depth in Annex 3.
- *Project Change Management*: it deals with change requests insisting on the main project framework disciplines. Such change requests may be issued to expand, adjust or reduce project scope, quality requirements, and schedule baseline; they must be tracked, evaluated by the JV, and approved (or rejected) by the Contracting Authority. Approval may imply a written contractual amend agreed between the authorized representatives of the Parties.
- *Product Change Management*: starting with the first Pilot rollout, services are handed over to the LGUs and the "Warranty and Maintenance" phase of the project begins, as per the ToR. From this moment on, change requests regarding services already installed in all LGUs invest the final product and not the production process: they will be therefore evaluated by the JV according to an intervention work plan that weighs carefully the benefits and losses for the whole project implementation; only in cases where rejecting the change would result in a substantial prejudice to the quality of service throughout the LGUs, they will be approved by the Contracting Authority.

When submitting a change request, the proposing stakeholder shall notify the JV of the nature and content of the changes that are being considered for implementation. After receiving this notice, the Joint Venture will submit:

- a description of the tasks or products, if any, that need to be performed or delivered in addition to the tasks already provided for in the project framework;
- a description the potential impact of the changes on other project components, tasks, services or products;
- its proposal for any necessary modifications to the Time for Completion and/or Contract Period.

Change requests must be submitted by e-mail to the JV Project Management Team. Requests must be approved in writing by the Contracting Authority. Any consequential contractual variations must be agreed and formalised between the authorized representatives of the Parties.

During each Project Board meeting, a specific point of the agenda is devoted to the change progress review, to the evaluation of new change requests and their eventual approval/modification/rejection; the following monthly progress report accounts for the changes through the following steps:

- the change log is produced and updated;
- the risk list is reviewed according to the approved changes.

Approved changes are managed according to Project Framework.

The Change Management Plan uses the "Change Register" tool (Annex 6.4) to manage the following information throughout the project duration:

- Change Request Form (CRF): the template to be used by any stakeholder requesting a change to the JV;
- Change Request Log (CRL): the list of all change requests received, each provided with the JV analysis, the current status, and information on any related SC decisions.

3.2.6 Risk management plan

Risk Management includes the processes of planning, identifying, analyzing, and controlling risks on the Project. The objectives of risk management are to increase the likelihood and impact of positive events, and decrease the likelihood and impact of negative events.

Plan

This plan defines how to conduct risk management activities for the project. It is vital to communicate with and obtain agreement and support from stakeholders to ensure the risk management is performed effectively over the project life cycle.

The key of the plan is the Risk list (see below) where responsibilities and timing are defined, the risks are categorized, and risk probability and impact are defined.

The Project Management Team of the JV identifies and assesses risks through an internal procedure that includes the following steps:

- to produce and update the risk list;
- to review progress on the issues and the risk responses.

Risks with a higher level of impact and probability are classified as main risks; evidence on these and their management is given in Project Board meetings. Any stakeholder can ask for a review or adjustment of the Risk Management Plan with a written motivation to the Project Board (see Annex

6.4 for the change request form template). Upon approval of the Contracting Authority the Risk Management Plan is reviewed and updated.

Identify risks, risk analysis

Risks that may affect the Project are identified and described in order to be prepared on how to face them. Assumptions analysis is performed to verify their inaccuracy, instability, inconsistency, or incompleteness; assumptions may generate risks.

Risks are prioritized by combining their probability of occurrence and impact.

The Risk list (Annex 6.6) records risk analysis and risk responses. Below are described the risk list main items.

Risk report	It provides information on threats and opportunities, on source of overall project risks along with summary information; e.g.: description (type, state, probability, impact, start and closure date), measures that will be put in place to mitigate risks and assumptions that might change in risks during the project. Probability and impact are specified by the responsible of the management of the risk.
Issue log	It is used for the management of unforeseen risks – as not all risks can be identified and addressed before the project starts, and evolving situations can make new, not yet foreseeable risks appear. Critical external factors could affect the implementation, thus it is important to put them in a log at first. Each record describes the issue, its state, what happened with the closure and if it has produced any change or risk.

Risk responses

Risk responses process addresses the risks priority, inserts resources and activities in order to enhance opportunities and reduce threats to project activities. Risk responses are recorded in the Risk list.

Control risks

In this process the risk responses are implemented, risks are tracked and monitored, new risks are identified. Control risks process optimizes responses to risks. Control risk process finds its evidence in the Risk list.

3.2.7 Communication management plan

The Communications Management Plan is built upon stakeholder information needs and requirements and basically refers to Terms of Reference of the Project. The Communications Management Plan addresses who communicates what to whom, how and when. The Joint Venture Project Management Team is in charge of writing the Communications Management Plan, the details of which are exposed below.

As per the Terms of Reference, the Joint Venture Project Management Team conducts monthly Project Board meetings and provides Minutes of the Meeting. The Joint Venture Project Management Team also presents in writing monthly progress reports on the implementation of the Project and on the production of deliverables; these reports describe progress and achievements through narrative and statistics, and provide evidence of any issue or bottleneck.

When reporting is linked to the release of relevant instalments, as per the payment schedule specified in the Contract, the Joint Venture Management Team provides, along with the narrative, the corresponding invoice and financial report.

A final report, with a final invoice and the financial report will be submitted at the end of the period of execution. The draft final report must be submitted at least one month before the end of the period of execution of the Contract.

Other reports will be produced during implementation, namely:
- Test reports (as per ToR, letter H)
- Required Pilot LGU changes report (WP 2.5.4)
- Site survey reports for municipalities (WP 3.6)
- Final Deployment Report for each LGU implemented (as per ToR, letter H)
- Maintenance report (as per ToR, C3.1. - W8)

Each report will be submitted to the Project Board, which will propose comments and revisions within the delay of ten days; the Joint Venture Project Management Team will then propose within ten days a new version of the report, resolving issues. If no more comments are issued within ten days of submission, the report is deemed to be approved by Contracting Authority.

The Joint Venture Project Management Team conducts online and direct surveys to determine user satisfaction and solicit suggestions for improvement. Surveys, targeting both LGU operators and citizens, will cover all LGUs operating the OSSIS, starting approximately three months after the system is put in operation. Those surveys will be undertaken every three months and will incrementally include the new LGUs that have started to use the OSSIS. The STAR2 project may undertake additional surveys to this effect and provide feedback to the Joint Venture Project Management Team in case findings require action to be taken.

In consideration of the high number of beneficiaries involved in the project, the Joint Venture proposes to create a dedicated CMS - Content Management System for this project in order to:
- publish the approved overall project documentation to enable every stakeholder to have access to the same official information;
- facilitate a transparent dialogue between the JV and the LGUs during the "Customization and development" phase;
- publish the LGUs readiness plans in order to provide each LGU not only with the information related to the gaps to be filled, but also with some grounds for comparison with other LGUs;
- publish the periodical surveys and results;
- publish the training documentation.

The CMS would significantly facilitate typical backstopping communications, providing easy access to documentation and information and eliminating the need for cumbersome managing of documentation distribution and of requests for information. It would also contribute to keep aligned and involved the LGUs during the project.

The CMS would be available as project archive and facilitate the Closeout Phase.

Along the life of the Project communications are performed through letters, authorizations, notices, questionnaires, reports, e-mails, etc. They all are part of the Communications Management Plan and their templates are approved by the Contracting Authority.

Periodic reports and project communications at project governance level have to be expressed in English language. Operational communications can be written in Albanian language.

Communication Table

Communication	From	to	Means	Schedule
Project start	UNDP	Municipalities	Letter	Contract signature
Visit and Questionnaires	JV	Municipalities	Mail	Inception Phase

Communication	From	to	Means	Schedule
Project Board Meeting convocation	UNDP	JV	Mail	Monthly from Kick-off Meeting
Progress Monthly Reports	JV	UNDP	Mail	Monthly
Test Reports	JV	UNDP	Mail	Monthly
Pilot LGU Change Request	Municipality	JV UNDP	Mail	When necessary
Deployment Reports	JV	Municipalities UNDP	Mail	Roll out completion
Survey Reports	JV	Municipalities UNDP	Mail	From December 2018, after LGU roll out, maximum every 3 months
Maintenance Reports	JV	UNDP	Mail	From Maintenance start (November 2018), maximum every 3 months
Deliverables	JV	UNDP	Mail (and signed documents for installment deliverables)	Milestones
Signed Handover Certificate	LGU	JV	Letter	Roll out completion
Instalment Deliverables	JV	UNDP	Letter	Milestones
Invoices	JV	UNDP	Letter	Contractual Instalment

ANNEXES

Annex 1. Business Analysis and Unified Service Modeling

Annex 2. OSS Information System Technical Solution

Annex 3. Change Management in LGUs

Annex 4. Institutional capacity building and training model and plan

Annex 5. Hardware and Infrastructure requirements

     Annex 5.1. Minimal requirement specifications for central hardware and communication infrastructure

     Annex 5.2. Generic Hardware and Infrastructure Requirements for LGUs

Annex 6. Project Management Documentation

     Annex 6.1. Rollout Plan

     Annex 6.2. LGU readiness assessment checklist

     Annex 6.3. Project progress report template

     Annex 6.4. Change request form template and log

     Annex 6.5. Solution test scenario template

     Annex 6.6. Risk list template

Annex 7. Inception Report
(in the final release of the Project Charter due at the end of the Inception Phase)