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1 Annex 1

3 General Functional Requirements

3.1 Coverage of iSupport - EU Maintenance Regulation cases, the 2007 Hague Convention cases & other international maintenance cases

3.1.1 Usability of the iSupport case management system for EU Maintenance Regulation, 2007 Convention cases and other international cases

3.1.2 Universal usability of iSupport

RFP 3.1

18. The iSupport system will provide a case management system with all the features necessary for the processing of international maintenance cases and thereby assisting States in fulfilling their Central Authority obligations under the EU Maintenance Regulation and the 2007 Hague Convention.

19. To the extent possible, the case management system component of iSupport will also be usable by States for managing other international maintenance cases, which fall outside the scope of the Convention or Regulation.

20. The ability of iSupport to cover Regulation cases, Convention cases and other international maintenance cases is a necessary requirement, since for a number of States introducing iSupport solely for Regulation and Convention cases and continuing the maintenance of expensive stand-alone solution for “other” international maintenance cases would be financially burdensome and would thus thwart the wide implementation of iSupport.

21. For details on which requirements are “Must Have”, “Should Have” and “Could Have” functionalities see the relevant descriptions below.

22. iSupport must be usable regardless of whether the other country involved in the application uses iSupport or not. This means that in addition to sending applications and attachments electronically to the other State via secure iSupport communication, iSupport must allow for the production of all necessary documents for paper applications. Furthermore, it will be necessary that all automated processes triggered by an electronic sending of applications can be activated manually, when a paper application is prepared. The universal usability of the iSupport case management system is a necessary requirement. See also the descriptions of the detailed functionalities in this regard below (see for example, paragraph 111).

The iSupport system will have ability to maintain cases that fall within the scope of the Regulation or Convention as well as other international cases. The cases that do fall within the scope will be identified as such in order to direct the transfer of information between the requesting and requested state through the appropriate iSupport procedures.

As we understand, the procedure is that if the requesting state uses iSupport, then submitting an initial application will automatically trigger activities which result in transactions being sent to the requested state. The system will also have the capability to be able to initiate activity manually at any time. If the requested state uses iSupport, then the transactions will be transmitted through

e-Codex. If the requested state is non-iSupport based, then appropriate documents will be submitted from the requesting state.

If the requesting state does not use iSupport and the requested state does use iSupport, then the requested state could enter the information received from the requesting state into iSupport manually, if required.

3.2 User language

3.2.1 Front-end (user interface) available in both English and French; Capacity to use the front-end in other languages

RFP 3.2

23. The iSupport case management system will be produced with a user interface in English language and a user interface in French language. It will be up to each Central Authority which language version they want to use. The system must therefore allow the entry of the preferred language of usage. The provision of the interface in English and French as well as the ability to change the preferred interface language per Central Authority is a “Must Have” requirement.

24. Since States with official languages other than English or French might wish to use the front-end in their own language(s), adaptation of the front-end to use in other languages must be facilitated. This could, for example, be done through making available a list of all items used in the front-end and allowing for an easy implementation of the translated term into the system to set up the different language version of the front-end. The capability of using the case-management system in languages other than English or French is a “Must Have” requirement. This means the system must be designed in a way that a later use of the front-end in a language other than English and French is possible.

25. The translation and implementation work related to the creation of a different language version, however, is entirely the responsibility of the individual States. Development of the front-end in languages other than the English or French is for the purpose of the iSupport project a “Won’t Have” requirement. However, if sufficient additional funding is obtained, the development of the front-end in Spanish is a “Should Have” requirement.

The system preferences will be maintained as parameters in a table. One such parameter is the “Preferred Front-end Language”. Based on the language set on the Reference Parameters screen by the Central authority of the state, the iSupport screens will display in the language selected. The authorized worker will have the ability to change the language preference, at which time, the front-end will change to display in the language selected. Because of this localization file approach, the system will be easily able to adapt to future requirements of accommodating languages other than English and French.

3.2.2 Use of multilingual Forms independent of front-end language

**RFP
3.2**

26. Independent of the language of the user interface, the system must be able to auto-generate Forms in a number of languages (see next paragraph). Multilingual Forms have been created under both the Convention and the Regulation to simplify communication between Central Authorities and to overcome language difficulties. With a view to facilitating translation of the content of the Forms from one language to another, most of the information transmitted by the Forms is collected using tick-box choices. The free-text fields refer, with some rare exceptions, to language neutral data, such as names, dates and reference numbers etc.

27. The Convention Forms are currently available in English and French (and will be available in Spanish by September 2015) but all mandatory Forms under the EU Maintenance Regulation are available in 22 of the 24 official EU languages. The Regulation provides that the Forms must be sent in the official or otherwise indicated language of the requested State. Some States use more than one language, such as Belgium, which has three official languages.

28. The system must provide for sufficient flexibility to determine the language(s) of the output of the Forms (see further under “3.8 Forms”) including the option to create the output in different languages independent of the front-end language. This is a “Must Have” requirement. In addition to creating the Form in the preferred language of the receiving State, the sending State must always be able to create a copy of the Form in their own language for their own records. This is a “Must Have” requirement.

29. To support this capacity, the default preferred language for the Forms for each State and by legal instrument should be stored in iSupport following the official notifications by each State. This is a “Should Have” requirement.

30. iSupport should offer the administrator the ability to set or change a default language for the Forms output for each individual State under the Convention and Regulation. This is a “Should Have”. In addition, at the case level, the manual addition / change of the language for the Forms output in the casework must remain possible, see above paragraph 28.

In the same way that “Preferred Front-end Language” is stored in our Reference Parameters table, we will also store a reference for “Preferred Form Language” in iSupport. When forms need to be generated, the system will refer to this table to determine the preferred language for the State receiving these forms and by legal instrument and generates forms to suit the language needs of the receiving state.

A copy of the form will be saved by the state sending the form in the language preferred by the state. Case level preference of language can be set or modified by the administrator. In instances where there is a different language preferred at case level, the forms will be generated using that language preference. Otherwise, state level language preference is chosen.

3.2.3 Special character neutrality of all entry fields in the front-end

**RFP
3.2**

31. The system will be used internationally. Independent of the language in which the front-end is used, the system must allow for output in other languages. Therefore the system and the database must be able to cope with all kind of accents and special characters that may appear in particular in person's names as well as in names of foreign courts or other foreign authorities. The search tools must also be adapted to these particularities (see further under 5.12 "Search tools").

32. The iSupport system should allow unrestricted language entry in all case and actors entry fields.. However, in the first phase, iSupport will primarily be used for the entry of characters from Latin alphabet based languages, including all special characters that are found in the EU Latin alphabet based languages (such as for example, "Č" and "Ď" in Czech and "Ä" or Finnish language). Providing iSupport entry fields that allow the entry of any character from Latin alphabet based European Languages is a "Must Have". Ideally, the system should provide a "symbols" tool, for caseworkers to enter characters from other languages they do not have on their keyboard. This is a "Could Have" requirement. In a later phase, the iSupport entry fields should be able to also allow the entry of characters from other alphabets, such as Cyrillic, as needed by Contracting States to the 2007 Hague Maintenance Convention. This is a "Won't Have" requirement for the present as is the provision of a "symbols"-tool for these other alphabets. It is to be emphasised that iSupport must be created in a way that allows adding the functionality for language entry from other alphabets in the future "Must Have".

The iSupport online screens will allow the entry of any character from Latin alphabet based European Languages. The data entered on the screens will be captured in the database that allows for all characters from Latin alphabet. Symbols tool will be provided in the toolbar to allow the workers to enter alphabets that are not allowed on standard keyboard. This design will be easily adaptable for future requirements of language entry from other alphabets.

3.2.4 Homogeneous terminology

**RFP
3.2**

33. The terminology used in the EU Maintenance Regulation and the 2007 Hague Convention is not always consistent. For example:

- "defendant" (Regulation) / "respondent" (Convention)
- "legal aid" (Regulation) / "legal assistance" (Convention)

34. The screens of the case management system should be compatible for the use in Regulation / Convention and other international maintenance cases. If one term cannot be used in all scenarios, the two terms must be displayed, for example "defendant / respondent".

35. This is a "Should Have" requirement.

In instances where the terminology is different between EU maintenance Regulation and the 2007 Hague Convention, the screen will have both the terms on the screen. Where there are more than two terms to mean the same element or the representation of two terms is too long, help text will be provided for the screen to display the different associated terms. This may lengthen label names and sometimes it may not be practical to show both. In such situations, Protech uses tooltips to show long labels if space is a constraint. If space is inadequate to show both terms, it will be shown in full as a tooltip.

3.3 iSupport providing guidance to the caseworker

3.3.1 Procedural help text per application and system validation

RFP 3.3

36. The iSupport system will provide “suggested guidance” as opposed to “imposed guidance” to the caseworker supporting flexibility for caseworkers and the use of discretion in the case handling. Procedural help text will be made available throughout the system. Access to help texts will be optional i.e., available to be consulted upon demand. In addition, in certain clearly defined situations the system must validate the work completed by the caseworker and prevent the caseworker from proceeding in the event a step is missing. This will, for example, be the case if a caseworker tries to send an EU Regulation Form that does not contain all the mandatory required information.

37. The procedural help text will cover the work process steps that should be taken with regard to each application, outgoing and incoming, under both the EU Maintenance Regulation and the 2007 Hague Convention. The text for the procedural help will be provided by the Project team during the Project phase. The availability of procedural help text for the Regulation and Convention is a “Must Have” requirement. The provision of procedural help at the screen level is a “Should Have” requirement. At the Field level it is a “Could Have” requirement.

38. As concerns validation, iSupport will have to control, in particular, the sufficiency of data to auto generate the Forms, and the availability of the mandatory attachments for each application / Form. Furthermore, an optional validation (implemented at the option of each State using iSupport) will have to be implemented to check the applicability of the EU Maintenance Regulation and the 2007 Hague Convention.

39. The implementation of the validations is a “Must Have” requirement.

Procedure help will be provided in two levels: the iSupport Procedures document and the Screen Level Procedures document. The iSupport Procedures document will be accessible from any screen on iSupport and contains the procedures for the entire system while the screen level Procedures document is accessible from the specific screen and will contain the procedures relating to that screen. Field level codes, their values, and their descriptions are displayed in dropdown lists or as lookups for all fields containing finite number of values.

Workflows will be created for each process defining what the next suggested activity would be based on the current step. The caseworker will be able to override the suggested activity and choose another appropriate activity, where needed.

A reference screen will be provided to maintain the applicability of the EU Regulation and the 2007 Hague Convention. In addition, the screen will contain the list of associated forms for incoming and outgoing applications of the states under EU maintenance Regulation and 2007 Hague Convention. For each application/form, a checklist of required attachments for each state will be displayed a screen. This allows for caseworker to determine if the case is ready to be moved to next step or not.

All data elements associated with a form and the attributes of the data elements will be displayed on a screen. The attributes include Check Box/Dropdown/Text Box/Freeform, data type, length of the field, required field or optional field, System-derived field or User-input field etc.

Based on these attributes, the system will either generate the form or throw an error depending on whether or not all the validations and the required business rules are met.

3.3.2 Additional help texts

RFP 3.3

40. In addition to the above mentioned procedural help texts, the system could provide information to assist in the entry of data. For example, there could be help icons on a screen or for a field to give more detailed information on what information should be entered. These additional help texts are a “Should Have” requirement.

41. All help text can be modified by the manager / administrator, see paragraph 50 et seq.

Additional help texts will be displayed and if a lengthy amount of information would be helpful, the help texts can include hyperlinks. The administrator will be able to modify the help text as needed.

Further help is provided in the form of “field value banks”. This is a feature that allows the user to view field level codes, their values, and their descriptions in dropdown lists or as lookups for all fields containing a set of values.

3.3.3 Availability of guidance documents

RFP
3.3

42. A number of documents to assist the caseworker in case management will be made directly available in iSupport. These include:

Primary resources:

- The Regulation text
- The Convention text
- The caseworkers handbook (Convention) – in English , French and all EU languages
- The practical Handbook – Romania (Regulation / Convention) – in English, French and all EU languages
- Country profiles (with every of the regular update the latest version can be included) – in English , French and Spanish
- Secondary resource:
- The Explanatory Report to the 2007 Hague Convention – in English, French and Spanish

43. All In addition, the EU factsheets existing for each EU Member State will be made available either directly or through the inclusion of a link to the relevant e-justice portal page. States will update the fact sheets at least once a year. The month of update is however, left to the States. The up to date information must be available in iSupport. A link could be the easiest way to give access to the most recent information however, as certain Central Authorities restrict Internet access even where a link is used a copy of all the documents should be made directly available in iSupport in PDF or equivalent format.

44. A hyperlink to the HCCH website and the iSupport pages should be provided. Hyperlinks should open in a new window. The latter is a “Should Have” requirement.

45. Furthermore the information on competent administrative authorities instead of courts listed in Regulation Annex X and the information on competent authorities listed in Regulation Annex XI, both adopted in November 2011 must be made available in some way in iSupport.

46. The EU is currently creating additional documents of guidance, including guidance to the completion of Forms as well as a checklist prepared by Central Authorities for their counter-parts. Finalising of the latter documents is expected before the end of 2015 and will have to be included in some way in iSupport once it is available.

47. Making all of the above-mentioned guidance documents (see paragraphs 42 et seq.) available in iSupport is a “Must Have” requirement. Regular updates of the documents directly available in iSupport should be supported. At a minimum there will be an update of each document once a year. The latter is for the responsibility of the service provider (see paragraph 460).

48. The Country Profile mentioned above is created in a dynamic form and could be available in a future edition of iSupport “live” in the system. For the time being this is a “Won’t Have” requirement.

49. Furthermore, there should also be place in the system where States can upload their individual training materials. This is a “Should Have” requirement.

All resources listed in the above requirements will be available as hyperlinks. Documents that are limited to the use of the individual states will be available as local hyperlinks. Any modifications made on these documents will display only within the iSupport of that state. Documents that need to be uniform across all states will be maintained as a link at e-justice portal. Any modifications made on these documents will be displayed on iSupport systems of all states. Documents required to have direct access will be placed on iSupport as PDF or other preferred formats. Hyperlinks to HCCH website and any other useful websites will be available on iSupport. Provision will be made for each individual state to load their own training materials and other reference documents.

3.3.4 Customisability of help texts

**RFP
3.3**

50. Default help text for the system will be general and will not take into consideration the organisation of processes and requirements of case handling in different States. In order to allow Central Authorities the flexibility in case handling they need, it is important that they can adapt the help text to their context.

51. For help texts concerning a process or required steps to be taken, the customisability of help texts becomes crucial. There may be situations where a specific default good practice order for steps to be taken by the caseworker would be in conflict with the best practices for the individual country.

52. Caseworkers are required to follow internal guidelines in each Central Authority. iSupport should therefore allow the manager or administrator to modify the available procedural help texts (see above “3.3.1 Procedural help text per application and system validation”). This is a “Should Have” requirement.

53. The option to modify the additional help texts (see above “3.3.2 Additional help texts”) is a “Could Have” requirement.

The central authority administrators will be able to modify the help text based on the internal guidelines of each state. As mentioned earlier, workflows will be created for each process defining what the next suggested activity would be based on the current step. The caseworker would be able to override the suggested activity and choose another appropriate activity, where needed.

3.4 Templates

3.4.1 Skeleton Template

RFP 3.4

54. iSupport must provide the option to auto generate a skeleton letter from data included in iSupport on the case and / or an actor. The data for the letter to be auto-populated must include:

- the name of the recipient of the letter (the person, body or authority involved in the case),
- the name of the sender,
- the address of a the recipient,
- the address of the sending Central Authority,
- the iSupport case number (see “5.3.1 Composition of the functional iSupport case number”),
- the iSupport application number if any (see “5.2 Application or request number”),
- the name of the debtor,
- the name of the persons for whom maintenance is sought,
- the type of application,
- the internal case reference number(s) for the sending and receiving State, and
- the date of creation of the letter.

55. The actual text of the body of the letter will have to be filled in by the caseworker. Editing of the letter with Microsoft Word, within iSupport must be possible. Copy and paste function must be available (see below “3.4.2 Ability to use Microsoft Word”).

56. The possibility to create such a skeleton letter addressed to a person, body or authority of the caseworker’s choice is a “Must Have” requirement. Should a person have more than one address in the system, the most recent address, identified as “active” address (see paragraph 222) will be used by default. This is a “Must Have” requirement. The address can be replaced manually by the caseworker, should the letter have to be addressed to an older address of the recipient. iSupport could also enable the caseworker to choose the appropriate address for the template. This is a “Could Have” requirement.

Each form is given a unique Form ID. For each form, all data elements associated with the form and the attributes of the data elements will be maintained on a screen. The attributes include Check Box/Dropdown/Text Box/Freeform, data type, length of the field, required field or optional field, System-derived field or User-input field etc.

Based on these attributes, the system will either generate the form or throw an error depending on whether or not all the required data elements are populated. The fields listed in the requirement above and their attributes will be set up for each form ID. The caseworker will have the ability to type actual text of the body of the letter or copy and paste from another document. Editing the document includes editing the text or the data. The caseworker will be able to edit the document

until the document is transmitted to the other state. After the transmission, the form can only be viewed. No modifications will be allowed.

The system defaults to the latest active address of the recipient. A list of addresses maintained in the system will be displayed. The caseworker will be able to choose a different address of the recipient or edit the document to enter an address that does not exist in the system.

3.4.2 Ability to use Microsoft Word

RFP 3.4

57. Microsoft Word should be able to be opened in iSupport, provided it is installed on the local system. The ability to use Microsoft Word in iSupport is a “Must Have” requirement. The ability to also use other word-processing software is a “Should Have” requirement. See paragraph 375 concerning the ability of iSupport to deal with open source formats.

Microsoft Word will be used in iSupport. The ability to use other word-processing software will be considered based on the availability of time.

3.4.3 Thirty Pre-set Templates

RFP 3.4

58. iSupport will contain 30 auto-generated templates, available in both English and in French, which will have additional text beyond that identified for the skeleton letter. The text for these templates will be provided to the programmers prior to the commencement of the programming.

59. The inclusion of up to 30 pre-set templates is a “Must Have” requirement. In addition, iSupport must have the capacity for templates to be added in the future. This is a “Must Have” requirement.

For the forms with boilerplate text identified, the system will maintain the text. At the time of generation of the form, the text and the data will be merged and displayed for the caseworker to edit the form if required. iSupport will have the capability to add new templates in future.

Protech will work with the iSupport team to make available the 30 pre-set templates.

3.4.4 Customisability of Templates

RFP 3.4

60. Furthermore, it is very important to allow States to modify the pre-set template text for the 30 pre-set template letters. This is important to adapt the template text to national requirements and to allow for the sending of these letters in a language other than English or French.

61. The manager / administrator should therefore have a tool to change the pre-set template texts other than the pre-set auto populated fields in the letter.
62. This is a “Should Have” requirement.
63. In addition, the manager / administrator could be provided with a tool that allows him / her to create new templates including auto-populated fields of his / her choice. That is to say the tool could allow the manager / administrator to choose from a list of auto-populate-building blocks to set up a new template.
64. This is a “Won’t Have” requirement.

The manager/administrator will be able to change the pre-set template text. The forms generated from then on will have new version of the template. The historical versions of the templates are maintained in the system. When an already generated form is viewed, the correct version of the template is merged with the appropriate data and the document is displayed.

3.5 Logging of changes and viewing access & accessibility of audit trail

3.5.1 Logging of changes and viewing access

**RFP
3.5**

65. iSupport should provide for a “Time-stamp” / “audit trail” which logs case access and changes. See for further technical details “9.1.1 User- and timestamp”.

66. In order to not compromise the speed of the system, records concerning changes to data in the system should, with some limited exceptions, be stored at the level of the screen not field.

67. The information that must be recorded is:

- which screen has been changed,
- the new field value,
- the previous field value,
- username for person who changed the data,
- when (date and time) was it changed.

68. Two exceptions need to be made: changes to (1) address information and (2) banking information. This information must always be recorded and stored at the field of data entry. See also further under “5.9.2 Particularities of address and banking information”.

69. For the recording of “views” it is sufficient to record who (i.e., username) viewed a case and when but not exactly which information was viewed in the case.

70. For the prioritisation of the above-described functionalities see “9.1.1 User- and timestamp”.

Case related and actor related data modifications will be recorded in the system as well as form templates and other party related data. For example, if an actor’s name is modified by the caseworker, the existing record will be end-dated and a new record will be inserted with the modified value. The end-dated record will have details of which user modified the name, the date and timestamp of the modification, and the screen from which it was modified.

The individual screens that maintain the current information will have a History button at the bottom of the screen. Clicking on this button will enable the history record view with a highlight on the field(s) that have been modified. For all types of records, including address and banking information, the worker will be able to view the history records, the user name, and the date and timestamp of when the change occurred.

For recording of views, a separate screen will be provided to display the screens accessed by any caseworker, the key information on the screen, and the date and timestamp when the data was viewed. The access level for history data could be restricted to managers or administrators.

Protech will work with the iSupport Team to identify the transactions for which an Audit trail is required and implement it.

3.5.2 Accessibility of audit trail

**RFP
3.5**

71. With some limited exceptions, all recorded viewing access and changes will generally only be available in the back-end. Thus only technical staff will be able to access this information, when needed, for example, for an inquiry for fraud or negligence.

72. For changes of address, a complete history will be saved and has to be accessible within the case (not only through the audit records) to the caseworker together with the information on when the information was modified and by whom. This is a "Must Have" requirement. The same requirement applies to banking information ("Must Have"), however, the record of when and by whom the information was changed or added does not necessarily have to be made available in the case. It would be sufficient for the information -about who changed the banking details to be accessible in the audit trail by the technical staff. Making available the history of who changed the banking details and when in the front-end is a "Should Have" requirement. See further under "5.9.2 Particularities of address and banking information".

As mentioned above, Case related/Actor related/Form templates/Other party related data modifications would be recorded in the system. For example, an actor's address is modified by the caseworker, the existing record will be end-dated and a new record is inserted with the modified value. The end-dated record will have details of which user modified, date and timestamp of the modification, the screen from which it was modified. The individual screens that maintain the current information will have a History button at the bottom of the screen. Clicking on this button will enable the history record view with a highlight on the field(s) that got modified. For all types of records, including address and banking information, the worker will be able to view the history records, the user name and date and timestamp of when the change occurred.

For recording of views, a separate screen will be provided to display the screens accessed by any caseworker, the key information on the screen and date and timestamp when the data was viewed. The access level for history data could be restricted to managers or administrators. Protech understands that the access to audit trail assessment needs to be only from the backend.

3.6 Access Rights

3.6.1 Non-combinable profiles of access rights for members of Central Authorities

3.6.2 Combinable profiles of access rights for members of Central Authorities

**RFP
3.6**

73. iSupport must provide different sets of access rights giving Central Authorities sufficient flexibility to adapt the access rights to the iSupport system by different members of staff based on their unique internal structures and policies. Ideally the profiles should be set up in a way that a combination of roles / access rights is possible, to allow significant flexibility.

74. Should a combination of profiles not be possible, iSupport must provide at least for the following access rights profiles: (see original figure)

75. The availability of the above-mentioned profiles is a minimum requirement and thus a “Must Have” requirement.

76. Should profiles be combinable the following profiles could be implemented instead. (see original figure)

77. The provision of combinable profiles is a “Could Have” requirement.

Combination of profiles is possible in the proposed iSupport system. The same user could be in two different roles, say, for example, be a Registrar A and a Caseworker B. The user will have access to a screen if any one of the roles allows for access to that screen.

3.7 External Access to iSupport

RFP 3.7

78. The process of handling international maintenance cases involves many different stakeholders. Depending on how States organise the handling of international maintenance cases, more than one body can be designated to fulfil certain Central Authority tasks. Besides Central Authorities, a number of other State authorities get involved in these cases such as authorities competent for the establishment of maintenance and authorities responsible for the enforcement of maintenance claims.

All users and their roles could be defined in the iSupport system to restrict the access to required functions of the system.

3.7.1 Remote access to iSupport for Central Authorities

RFP 3.7

79. In States where a Central Authority is working from two different locations or where two or more bodies share the Central Authority tasks, it must be possible for the State to use one iSupport system for all of these authorities by providing remote access to one installation of iSupport. The authorities would “share” iSupport and would have access to all data in the system. Restrictions related to access rights assigned to member of the remote working body would limit certain data access. The remote access could also be used for members of Central Authorities working from a distant location or from home. Providing remote access to iSupport from multiple user locations is a “Must Have” requirement.

iSupport system will be installed centrally and it will be one system per state. This means that there will only be one database associated with this system per state. The users will have roles that restrict access to certain functions of the system as required by the state. These roles could be added/modified online by the system administrators as the requirements for these roles and users change.

To access system remotely, authorized users will be able to VPN/remote access to the iSupport system.

3.7.2 External access of competent authorities not part of the Central Authority

**RFP
3.7**

80. iSupport will assist States in the fulfilment of their obligations under the EU Maintenance Regulation and the 2007 Hague Convention. iSupport will primarily facilitate the Central Authority case management but will also assist in the effective exchange of data and information between Central Authorities and competent authorities outside the Central Authority within the State. To the extent feasible, direct access of these authorities to iSupport to enter information and to receive certain information concerning individual cases should be included.

81. The external competent authorities that could exist in a number of States can be grouped as follows:

A The authority of origin of the decision / court settlement / authentic instrument, which is responsible for completing the extract / abstract in form of the Regulation Annex I, II, III or IV or in the Convention recommended “Abstract of a decision”-Form.

B The authority assisting the applicant with completion of the application under the EU Regulation: Part B of either Regulation Annex VI or Annex VII. This task is in the hands of courts but can in some States also be fulfilled by social welfare bodies.

C The authority competent for the maintenance establishment (in modification cases, the authority competent for the modification).

D The authorities competent for the enforcement. These may include the authorities involved in the process of declaration of enforceability or registration, the authorities involved in taking enforcement measures as well as the bailiff enforcement officers involved, for example, in seizing the debtor’s property.

82. There are some States where part or all of the mentioned categories of authorities are all part of the body designated as CA (for example Norway). For these States the question of external access of competent authorities does not arise.

The states will have the ability to add users and associate appropriate roles/profiles to these users. Based on the roles/profiles, the access to screens will be restricted. The information that needs to be transmitted to the other state could either as part of an automatic trigger or a manual request by the caseworker.

3.7.2.1 External access of authorities category A or B**RFP
3.7**

83. Authorities of the above-mentioned category A and B would not need any information from iSupport but would only enter information. The capability of these authorities to complete the Forms directly in iSupport or at least to be able to submit the data electronically to the Central Authority would be of considerable assistance. This could be achieved in two possible ways:

(1) by giving these competent Authorities access to iSupport for the purpose of completing the Forms Regulation Annex I, II, III or IV or Part B of Annex VI or VI as well as the Convention Form “Abstract of a decision” in iSupport. They would not have any viewing or editing access to any data in iSupport, or

(2) to allow the electronic submission of data by uploading electronic Forms into iSupport. iSupport could issue a temporary processing number when receiving an electronic form. The caseworker could import the data contained in the Form into the case when the case is fully opened in iSupport.

84. The capability of the competent authorities to complete the Regulation Annexes I, II, III or IV or Part B of Annex VI or Annex VI as well as the Convention Form “Abstract of a decision” directly in iSupport or to submit the data electronically is a “Should Have” requirement.

85. The option for completion of the application Forms Annex VI Part B or Annex VII Part B directly in iSupport or to submit the data electronically, could also be provided to individual applicants, such as the parent seeking maintenance for herself and her children or the parent owing maintenance wishing to modify a decision. Making this option available is a “Could Have” requirement.

86. A State may decide to provide an online fillable Form for above mentioned authorities and applicants, not using the iSupport system. iSupport will provide a plug-in, which the State can use to build an import functionality for this data, but the State is responsible for the export of the data to iSupport. The provision of this plug-in is a necessary requirement, see “17.4 Plug in” for the prioritisation.

Based on the appropriate profiles given to authorities in Category A or B, the user will be able to enter the application data into iSupport system. Where the states have capability for the applicants to enter their application on the web and submit the application in an electronic form, iSupport system will have a plug-in the states can use to be able to export data from the external source to the iSupport system.

3.7.2.2 External access of authorities category C or D

RFP 3.7

87. For the authorities of the categories C and D the situation is different as they would not only enter information into iSupport but they also would benefit from access to certain information and documentation available in iSupport.

88. Authorities of the category C could enter information concerning the scheduling of court hearings and the progress of proceedings as well as concerning the final outcome. With respect to completion of an extract / abstract of a decision they would come under category A and would benefit from any solution in place for this type of authority. Authorities of the category C may need access to all documents and information concerning the establishment / modification of the decision, however this would be only in relation to an individual case. In general, most of the necessary information and documentation will be transmitted to the authorities in category C using the relevant Forms.

89. Authorities of the category D could enter information on the progress of the enforcement and the status of the payments i.e., the amount received from the debtor

and the amount transferred to the requesting State or creditor. They need access to documents and information assisting in the enforcement. Again, this data exchange would be one concerning an individual case and most of the necessary information and documentation will be transmitted to the authorities using the relevant Forms.

90. The provision of direct access to iSupport for authorities in categories C and D is much more complex, since they would need individual case specific information and would input information that is not standardised in Forms. Giving these authorities viewing access to all cases could also be problematic since they may not have the competency or need to view all cases. A solution may lie in some kind of privileged messaging system between Central Authorities and these competent authorities. This could in the future be developed as a part of iSupport. For the time being, however, the capability of the authorities of category C and D to have access to iSupport is considered a “Won’t Have” requirement.

Security access to screens could be restricted only to workers associated with the case. At the time that the case is created in iSupport, the system will derive the appropriate workers associated with the case, which include workers under Category C and Category D. These users will be able to view information only if they are associated with that case. The capability for data exchange through forms also exists in iSupport.

3.8 Forms

3.8.1 Implementation of the Regulation and Convention Forms in iSupport

RFP
3.8

91. As explained under “User language” multilingual Forms have been created under both the 2007 Hague Convention and the EU Maintenance Regulation to simplify communication between Central Authorities and to overcome language difficulties. The implementation of these Forms will be at the core of the creation of the iSupport case management system. The system must be able to auto generate all the Regulation and Convention Forms and auto populate the fields in the Form with the data saved in the system. As a consequence, the system must allow for a comprehensive data collection corresponding to the content of the Forms.

92. The ability of iSupport to completely auto-generate and auto-populate each of the Regulation and Convention Forms is a “Must Have” requirement.

93. In view of the fact that certain Forms may not be completed by the Central Authority but might have to be completed by others, all Forms must also be available as empty templates in the system to allow forwarding these Forms for manual entry rather than auto-population. This is a “Could Have” requirement.

94. All application Forms must be able to be printed in PDF or other equivalent formats for filing / archiving purposes if electronic files have no legal value under the law of State of the Central Authority. Forms may also need to be printed for sending purposes if the other State involved has not implemented iSupport. This is a “Must Have” requirement.

Forms will either be triggered automatically when certain task is completed in a workflow or generated manually by the user. Forms will be generated in the language preferred by the receiving state but a copy of the form will be stored in the language preferred by the sending state.

Each form is given a unique Form ID. For each form, all data elements associated with the form and the attributes of the data elements will be maintained on a screen. The attributes include Check Box/Dropdown/Text Box/Freeform, data type, length of the field, required field or optional field, System-derived field or User-input field etc.

Based on these attributes, the system will either generate the form or throw an error depending on whether or not all the required data elements are populated. The fields listed in the requirement above and their attributes need to be maintained for each form ID. The caseworker will have the ability to type actual text of the body of the letter or copy and paste from another document. Editing the document includes editing the text or the data. The caseworker will be able to edit the document until the document is transmitted to the other state. After the transmission, the form can only be viewed. No modifications will be allowed.

iSupport system will have ability to print the document with the data auto-populated or create a blank document with only boilerplate text where the user could enter all the data manually. Also, any transmission of data by means of electronic file could be saved within the system as an electronic file or as a form. The preference of storage will be maintained in the Reference Master. Printed Forms can saved as a PDF and a reprint can be done at any stage.

The system defaults to the latest active address of the recipient. A list of addresses maintained in the system will be displayed. The caseworker will be able to choose a different address of the recipient or edit the document to totally enter an address that does not exist in the system.

3.8.2 Validation – check for completeness of outgoing forms

RFP 3.8

95. Before allowing the sending of an auto-populated Form via the iSupport secure communication from one State to another, iSupport will validate the completeness of the Form. Not all information collected in the Form is mandatory information and the system will assist the caseworker by highlighting where mandatory information is missing. Information will be considered as complete where either a value is present or the mandatory information is marked as “Not Available” or “Not Known”. If mandatory information is missing, the system will not allow the Form to be sent but will allow the saving and printing of a draft Form. The described validation is a “Must Have” requirement (see also paragraph 39). The validation check will also comprise a check for completeness of the necessary attachments that

are to accompany certain Forms (a detailed list of mandatory information per Form and to be attached documents will be provided before the programming).

96. The means that iSupport uses to assist the caseworker in the completion of the necessary information is to be determined. At a minimum, the system must list and display the missing information. This is a “Must Have” requirement. Possible options include providing links to the relevant screens to complete the information. Alternatively the system could provide a separate screen for the entry of the relevant information, which would then complete the relevant fields in the database. Whatever solution is chosen, it is mandatory that the missing information be entered into in the database itself and not just into the Form. This is important because should the Form need to be regenerated, it will only contain the information that is in the database. Providing a means to support the caseworker to enter missing information is a “Could Have” requirement.

Each form is given a unique Form ID. For each form, all data elements associated with the form and the attributes of the data elements will be maintained on a screen. The attributes include Check Box/Dropdown/Text Box/Freeform, data type, length of the field, required field or optional field, System-derived field or User-input field etc.

Based on these attributes, the system will either generate the form or throw an error depending on whether or not all the required data elements are populated. The error message displays the data elements required to be filled for the form to be completed. The user could then enter the information on the appropriate screens so that the form will get auto-populated. An incomplete form can still be saved in the system as draft.

The caseworker will have the ability to type actual text of the body of the letter or copy and paste from another document. Editing the document includes editing the text or the data. The caseworker will be able to edit the document until the document is transmitted to the other state. After the transmission, the form can only be viewed. No modifications will be allowed.

3.8.3 Forms that are to be implemented and made available in iSupport

RFP 3.8

97. The following Forms have to be implemented for Regulation based work in iSupport:

- The mandatory EU Regulation Annexes I to IX
- The recommended EU arrears Form
- The adapted recommended Convention status report Forms

98. The following Forms have to be implemented for Convention based work in iSupport:

- The mandatory Convention Forms Annexes 1 and 2
- The recommended Convention Forms
- The adapted Form for the request for a specific measure
- The adapted arrears Form

99. The implementation of all the above-mentioned Forms (paragraphs 97 and 98), which includes the ability to auto-populate the Forms from the iSupport database, validate for completeness, generate the Forms, print the Forms and transmit the Forms with iSupport is a necessary requirement, see paragraphs 95et sec.

100. For the Regulation Annexes V, VI and VII the particularity that Part A and Part B is to be filled in by different actors needs to be taken into consideration. The system needs to allow for a separate treatment of these two parts as concerns, auto-population, printing and validation process. This is a “Must Have” requirement.

101. Certain of the above-mentioned Forms available that are “instrument” neutral, such as the adapted arrears Form could also be made available for non-Convention, non-Regulation cases. This is a “Could Have” requirement.

All the identified forms, form templates, associated data elements, and data element attributes will be stored in the system. The forms will be classified as Regulation specific forms, Convention specific forms and Instrument neutral forms. The attributes include Check Box/Dropdown/Text Box/Freeform, data type, length of the field, required field or optional field, System-derived field or User-input field etc. Depending on the state to which the form is sent, the associated form template will be chosen for generation.

The system will either generate the form if all the required data elements are populated. If any of required elements of the form do not have data populated, the system throws an error. The error message displays the data elements required to be filled for the form to be completed. The user could then enter the information on the appropriate screens so that the form will get auto-populated. An incomplete form can be still saved in the system as draft.

The caseworker will have the ability to type actual text of the body of the letter or copy and paste from another document. Editing the document includes editing the text or the data. The caseworker will be able to edit the document until the document is transmitted to the other state. After the transmission, the form can only be viewed. No modifications will be allowed.

Protech shall implement the specified Regulation and Convention Forms with the necessary validations and workflow between multiple actors.

3.9 E-file adapted electronic case management and user-friendliness

3.9.1 Fulfilling all technical requirements for e-file case management

RFP
3.9

102. iSupport should allow Central Authorities to move from paper file case handling to an electronic case management. The system must therefore meet a very high standard of data security to have the capacity to comply with the different national e-filing requirements, which expect the same degree of data integrity for electronic files as in place for paper files. The logging of views and changes mentioned above is a crucial condition for e-file case handling. Furthermore the system must include safeguards that make it impossible to delete case data. All case data has to be kept from the moment the case is created until it is archived. When a

case is archived, the case data is not deleted but will be moved to a separate database and can, when needed, be reactivated. The final deletion of case data after archiving will not happen in iSupport but in the separate database. See “7.4 Archiving” for further details on the archiving.

103. The fulfilment of the technical requirement for electronic data integrity is a “Must Have” requirement. See for the system performance “11.7 System performance”.

Protech understands the need for a complete e-Filing environment with the associated security, data integrity and archival capabilities for case data.

Any data added/modified will result in maintain current record and history record. Authorized users will be able to view history records and see the highlighted elements where the changes occurred. The change log such as the user who updated the data, date and timestamp, the screen where update occurred will be maintained in the system. No data existing in the system will be deleted. The archival process will leave key data in the current database and move the entire data relating to the case in an archival database. Data integrity requirements and high standard of security requirements will be handled in the iSupport system.

3.9.2 Practical requirements for paperless case management

RFP 3.9

104. In order to allow caseworkers to handle cases without paper support, iSupport will have to fulfil certain "ease of use" related functionalities. A caseworker must be able to open several documents at the same time in different windows. For example, it must be possible to open a PDF (or equivalent) of the decision in a window beside the case management screen on which data has to be entered. In addition, the opening of at least three iSupport cases at the same time should be possible in combination with the Actors Module screens.

105. The capacity of iSupport to allow for the opening of as many documents as possible side by side and the opening of at least three iSupport cases and screens from the Actors Module per caseworker at the same time is a “Must Have” requirement. It will of course depend on the local system on which iSupport is installed whether there is a limit to the capacity of opening as many documents as wished at the same time.

106. Creating additional tools for user-friendly paper less case management is a “Could Have” requirement.

The iSupport system will allow for multiple sessions of the system active at the same time. For example, the user will be able to open a case related screen in one session and actor related screen in another session. Opening of multiple e-files and multiple iSupport sessions

simultaneously will be provided. The number of simultaneous sessions allowed and the number of open documents allowed will depend on each individual state.

3.9.3 Print Option

RFP 3.9

107. Even though Central Authorities may be moving to paper-less case management, many of the stakeholders involved in the international recovery of maintenance will still require paper documents. Therefore, iSupport must offer the caseworkers the option to produce a copy of the case or extracts of essential case information to be sent to certain authorities.

108. There should be in particular print option for:

- Critical personal data including names, addresses and person identifiers for the applicant, respondent, debtor (if different than applicant / respondent), and persons for whom maintenance is sought (“Must Have”)
- Decision and supporting documents (“Must Have”)
- All Forms (“Must Have”)
- The case summary (“Must Have”)
- Payments due and received (“Must Have”)
- The case notes (“Must Have”)
- The full messages history (“Must Have”), and
- A full case copy (“Should Have”)

109. In addition, as described earlier under “3.1.2 Universal usability of iSupport” any application and Form as well as attached documents must be printable, since a paper sending might be necessary (“Must Have”).

A Case Summary screen will be developed which will display case level details, actors details, latest address of the actors, the obligation information, latest payment information, latest five case notes, message history and recent activities on the case. Printing of forms, screenshots, documents and pre-defined extracts will be allowed on iSupport system.

3.10 Default Values

RFP 3.10

110. For each Central Authority (database) a default address is required. This is used to complete the Forms. This is a “Must Have” requirement.

111. For each Central Authority (database) a default code is required. This is used, inter alia, in “case overviews”, in the “list of history of the messages”, in the case numbers and to identify the mailbox for the e-CODEX messages (see further under “e-CODEX”). This is a “Must Have” requirement.

For each central authority, an assigned default code and the address will be maintained in the system.

3.11 Copying a Case

3.11.1 Copying the content of an iSupport case to create a new iSupport case

3.11.2 Copying the content of a case from a national database to create an iSupport case

RFP 3.11

112. iSupport offers the following ways to copy existing case information into a new iSupport case.

113. It may be necessary to create a new iSupport case that will contain basically the same data as an already existing iSupport case. For example, if the debtor moves during the case processing to another State and the enforcement will now have to be done in this new State, a new case needs to be opened as the States involved in the case have changed. iSupport should provide for the ability to create a new iSupport case by copying the essential data from an existing iSupport case. This is a “Should Have” requirement.

114. States can choose to program by themselves an interface to enter data from existing cases into iSupport. When programming the interface, States can use the plug-in that is provided by iSupport, see “17.4 Plug in”. Programming the interface itself in iSupport is a “Won’t Have” requirement.

When a case with similar case information needs to be opened, the user will be able to create a new case with existing information by clicking on ‘Recreate’ button. States can also use the plug-in provided by iSupport system to export data to iSupport from the extract created from their local case management system.

4 Functional structure of the case management system, the stability of the system and general navigation settings

4.1 E-file adapted electronic case management and user-friendliness

RFP 4.1

115. This chapter of the Deliverables Document provides an overview of the functional structure of the iSupport case management system and the important navigation requirements.

116. iSupport must provide a general navigation panel for the users to quickly access the following modules of the system:

- The Casework Module
 - Creating a new case
 - Working on a case (initiating applications, processing applications, case communications, monitoring and reporting etc.)
 - Closing a case
 - Archiving cases
- The Actors Module
 - Data collection of contact details across all cases
 - Banking details for actors
- The Task List (workflow)
 - Showing all outstanding tasks with deadlines
 - Offering tools to priorities the work on these tasks
- Support or Help area
 - Access to the Handbook for caseworkers etc. (as described above under “3.3.3 Availability of guidance documents”)

117. For the Central Authority manager / administrator in addition the navigation will include the:

- Management / administrator area
 - Managing of access rights and role allocations
 - Statistics / reports
 - Customising and defining target dates
 - Customising help texts
 - Support or Help area

118. The inclusion of the above-mentioned modules, which will be described in more detail below, as well as an easy navigation between these modules is a “Must Have” requirement.

The Process Menu allows the user to navigate to any screen in iSupport. The Process Menu contains 5 tabs, one for each module. For example, Case Work module will be on one tab and all associated screens in this module will be listed under this tab. The user will be able to navigate to the screen after selecting the tab and clicking on the appropriate screen. There is also a faster way to navigate to a screen, which is through Quick Navigation icon.

When Quick Navigation icon is clicked, a pop-up is displayed allowing the user to enter the screen name to navigate to. The system allows for entry of partial or full screen name on this pop-up to search for the screen. If the search results in multiple matches, a screen list will be presented for the user to choose the appropriate screen.

The system will be designed to provide consistent navigation to move from one screen to another within a module or across modules. iSupport will have a feature called “sticky data”. Certain key data entered on one screen will be automatically carried forward to another screen and related data is pre-populated. When you navigate from an actor-based screen to case-based screen, the first open case associated with the actor will be carried forward to display data on the case-based screen.

4.1.1 Casework Module

RFP 4.1

119. The Casework Module will be the part where the actual casework will take place. Key supported functions include opening a case, closing a case and archiving a case. Case data can be entered and modified. The Casework Module will also include a number of case management tools, such as the setting of caseworker deadlines and adding of notes to a case. Also messages concerning the case will be sent and received here. The fulfilling of individual case related tasks will be dealt with under each case. But the central tool for the task management concerning all cases the caseworker works in, the task list, will be accessible separately.

120. The main screens of a case will, in accordance with the case definition (see below), need to be constructed in an application neutral way, since one case can involve more than one application.

121. Ideally the first screen available under this module should be one that allows for a case search and the creation of a new case. This is a “Should Have” requirement.

122. The Casework Module must allow the entry of detailed case-data corresponding to the requirements of the Forms. This is a “Must Have” requirement. A detailed list of data entry fields that need to be provided in the Casework Module will be provided before the beginning of the programming phase.

123. The Casework Module will consist out of a number of sections between which an easy navigation must be possible. The inclusion of all necessary sections and an easy navigation between these sections is a necessary requirement, see paragraph 120. The sections will include, inter alia:

- Case summary (or overview)
- Tools for case management (case related task management, caseworker deadline, status of the case, responsible caseworker)
- Case notes
- Section displaying the requesting and requested CA and contact details
- Section displaying the main actors (person(s) for whom maintenance is sought, debtor(s), public body) on that case
- Applications and requests
- Decisions / agreements
- Enforcement
- Monitoring of funds on the case
- Case-related documents
- Messages

124. Depending on the proposed design, certain sections may be combined or reorganised in the programming phase. Each of the relevant fields in the Form must find an equivalent in these sections. A detailed list of fields that need to be included in each section will be provided before the start of the programming.

125. The documents stored with the case could have type related icons to easily identify them. See further under “7.3 Case documents”.

126. The screen design for each screen of a case will have a header with the essential “tombstone” data.

Protech understands the requirements relating to easy navigation and completion of the case management functions and will implement it. Our solutions feature Case Search, Casework management and Case Summary fairly similar to the functionality described in the requirements

Each screen will have Header section and Details section. The Header section will have a Find button to search if the case entered on the screen already exists in the system. If not, the user will be able to enter new case details. An Attachments icon will display on the case record to indicate that there are attachments associated with this case. When a new case is created, a caseworker will be associated with the case. The case worker can be entered by the user entering case data or system can derive using the rules of assignment of caseworkers.

Actual screen design and possibility of organizing/reorganizing modules will be possible when more information is provided during Programming phase.

4.1.2 Actors Module

RFP 4.1

127. The Actors Module in iSupport will be the place to enter and modify contact and banking information (if relevant) for any actor in any case. This includes individuals for whom maintenance is sought or who owe maintenance, as well as legal representatives, public bodies, competent authorities and other stakeholders.

128. iSupport will follow the approach of a “client and case based” data collection as opposed to a purely “case based” data collection i.e., the data concerning the actors involved is kept in a place separate from the case data. If a new case is opened, the client characteristics will be entered in a separate place and a link will be made between that client data and the case. The advantage of the “client based” collection of personal data is that updates for addresses can be done centrally. It further allows the keeping of comprehensive address history, which can be very helpful to track parties. As concerns the archiving of data, the actor information will be archived together with the case with which it is linked unless the actor is linked with another actor, not yet archived case in the system. In the latter case the actor information will not be archived.

129. The collection of “client based” data independent from the collection of “case based” data is a “Must Have” requirement (see also “5.7 Linking actors with a case and the roles of the different actors”).

130. Ideally the first screen available in the Actors Module should be an actor search and the option to add new actors. This is a “Should Have” requirement.

131. The Actors Module will allow entry of detailed information on each actor corresponding to the requirements of the Forms. This is a “Must Have” requirement. A detailed list of data entry fields that need to be provided in the Actors Module will be provided before the beginning of the programming phase.

132. As concerns the structure of the Actors Module, screens for the data collected for natural persons will differ from those collecting data on public bodies and other authorities. The data entry should be divided into (1) general information, (2) contact information, and (3) information concerning the bank accounts and payment instructions concerning the actors. This is a “Should Have” requirement.

133. The iSupport case number(s) of the case to which the actors are linked will be displayed. For authorities and bodies linked to a large list of cases, the list might have to be extendable. This is a design issue that, as other design issues, will be addressed in the programming phase. This is a “Must Have” requirement. Furthermore, where there are linked cases, the Actors Module will display whether that actor is a person for whom maintenance is sought, a debtor or a public body, in each linked cases. This is a “Should Have” requirement.

134. In the Actors Module the caseworker will be able to capture the data on all actors including contact information concerning competent authorities such as courts and enforcement bodies. This is a “Must Have” requirement.

135. To protect individuals in domestic violence cases, access to contact information and banking information can be (see further under “5.09 Domestic violence cases”). In restricted access cases, all information concerning a certain individual and the data concerning the cases in which this person is involved can be under particular protection (see further under “5.10 Restricted access cases”).

Actor information will be created in Actor related screens. An actor is linked to one case or multiple cases. There will only be one actor record but the role of the actor in different cases could be different. Actor could be one for whom maintenance is sought on one case and a debtor on another case. The Actor-related screen might have three tabs, one for personal information, one for contact information, and one for bank information and payment instructions. The header of the Actor-related screen will display the cases in which the actor is associated in a dropdown box.

The central authorities of different states and public bodies information will be maintained on Other Party screen. The Other party type such as Central authorities, Public Body, Competent authority such as courts and enforcement bodies, and Attorneys etc., will classify the third parties. A unique Other Party Id is given to each of these parties. These third parties are linked to the case/actor appropriately.

If a case/actor is marked as under domestic violence, only users that have access to restricted cases will be able to view all the information on these cases.

4.1.3 The Task List

**RFP
4.1**

136. The Task List will contain a list of open tasks in relation to the overall caseload. Each caseworker logged in with his / her iSupport profile, will have access to a task list displaying all tasks concerning all cases he / she is responsible for. At the management level the manager will be able to access an overall task list showing all open tasks of all caseworkers. In addition, in each case all tasks relating to that case will be displayed. See for further information on the functionality of the Task List below “5.15 Task List”.

All open tasks will be displayed on WorkList screen. The logged in worker will have ability to view all the open tasks of cases assigned to him/her. If the logged-in worker is in supervisor role, then there is an option to see open tasks assigned to him/her or to see open tasks of all workers reporting to him/her. The filter section in the header of the WorkList screen allows for filtering the open tasks for a specific case.

4.1.4 The Library of Help/Support

**RFP
4.1**

137. As described under “3.3.3. Availability of guidance documents” a number of assisting documents will be made available in iSupport. The caseworkers must have easy access to this library of guidance.

All guidance documents will be available on iSupport for the workers to have easy access. As explained earlier, Support/Helpdesk Area will be one of the tabs under the main Process Menu and this tab will contain all necessary guidance documents.

4.1.5 Management / administrator area

**RFP
4.1**

138. Finally, for those accessing iSupport with a manager profile, a management / administrator area will be available. This will contain all described tools of manager and administrator settings in iSupport, such as the definition of target dates for the casework. This is a “Must Have” requirement.

Management and Administrative area will be one of the tabs under main Process Menu. Screens that relate to setting parameters and attributes that only administrators/managers are allowed to modify, are placed under this tab.

4.1.6 Optional Favourite Screens

**RFP
4.1**

139. iSupport could, in addition, provide the option to customise the navigation by including bookmarked screens, which the caseworker could jump to immediately. For example, the caseworker may wish to have a direct link to one of the guidance documents or might wish to have the option to jump to certain cases he / she is currently working on directly.

140. Allowing for the customisability of the general navigation in iSupport is a “Could Have” requirement.

Allowing pinning certain documents or certain cases will be handled in next phase. Customizable navigations will also be part of the next phase.

4.2 Stability of the System

**RFP
4.2**

141. A crucial requirement is that the iSupport case management system is stable and must not compromise data entry integrity in the event of a system breakdown. Saving data entered by the users is a required process. Providing the option to manually save the data entry independent of whether an automatic saving process is offered in addition or not is a “Must Have” requirement.

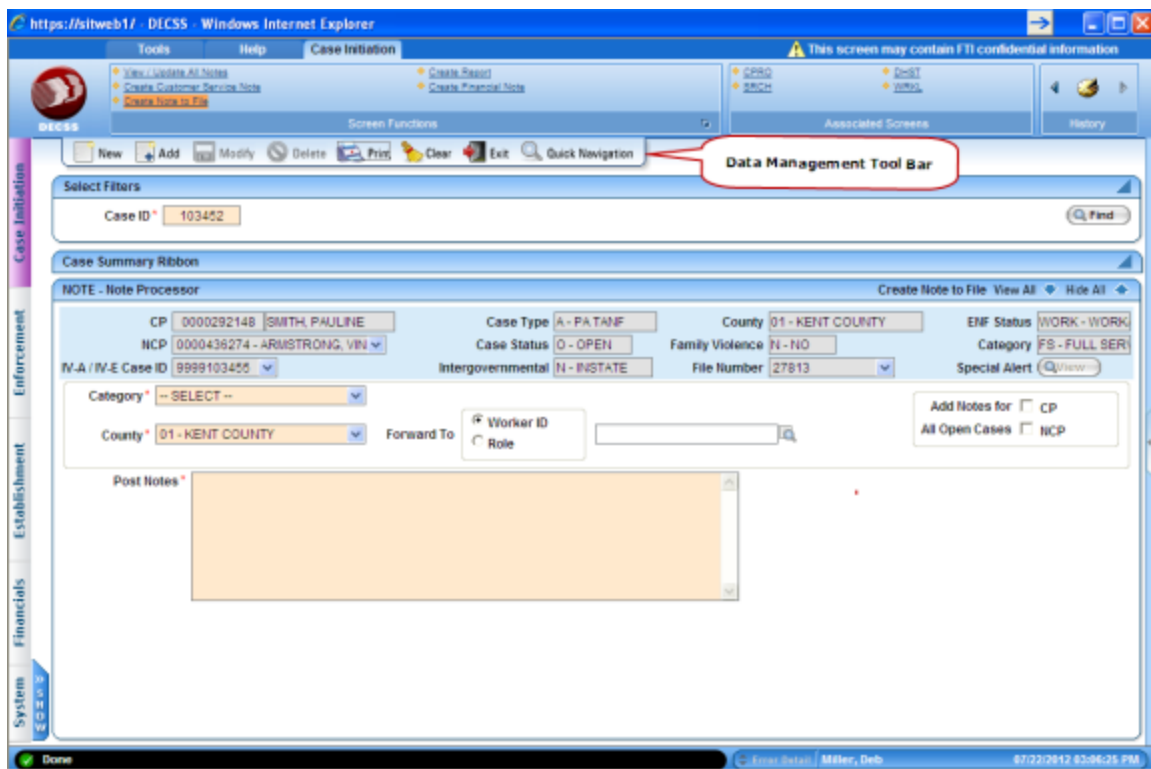
142. Which tool or tools will be offered to trigger the manual saving of the case or actors' information is not prescribed. However, the provided tool(s) must be easily accessible and useable and must allow the saving of individual case or actor data on each case; this is a “Must Have” requirements. There could be a “save” button on each screen; the user has to click to save the data into the database. This is a “Could Have” requirement. There could also be the (additional) option to save the data with a keyboard-shortcut. This is a “Could Have” requirement.

143. There should be a mechanism to see the time of last update of the case or actors information, to allow the caseworker to check whether the data entry has already been saved. This is a “Should Have” requirement.

144. iSupport could offer functionality (comprehensive “screen level sticky data”) that ensures that when a caseworker enters data on different screens of an open case the data entry will be kept in the system despite the switching of screens. This is a “Could Have” requirement. iSupport must maintain any data entered in an open case screen without activating the saving, while the caseworker consults other screens of a another case or another Actors Module. This is a “Must Have” requirement. When a case is closed without saving the data, the data entry or modification is lost. iSupport could offer the option to prompt the user to save modified data where the caseworker leaves the screen / case on which he / she has entered or altered data. This is a “Should Have” requirement.

145. iSupport could, in addition, offer the option to save all data entered in at regular intervals. This is a “Won’t Have” requirement in the first phase. The administrator could choose the interval for auto-saving in any time period up to 60 minutes. If ‘0’ is entered, no auto-save of the data takes place. This is a “Won’t Have” requirement.

A Data Management tool bar containing icons such as New, Clear, Add, Modify, Delete, Print, Exit, and Quick Navigation exists and is displayed above the screens. If the user makes changes to data on a screen and tries to navigate to another screen or tries to exit from iSupport, the system will prompt a message stating unsaved data will be lost and requesting that you confirm that you are ok with not saving the data. To illustrate, screenshot from another Child Support project is displayed here.



4.3 General Navigation Settings

**RFP
4.3**

146. iSupport must provide for easy navigation between screens, for example with the help of “browser navigation”. Screen design must follow generally accepted usability design principles. This is a necessary requirement. See also under “11 Look & Feel”.

147. The number of screens a caseworker will have to access to conclude the work of entering information on a case should be kept to a minimum. This is a “Should Have” requirement.

The screens will be designed in such a way that the related information will be entered on one screen and there is minimum number of screens to navigate to complete a process. There will be easy navigation such as passing sticky data from current screen to automatically pre-populate data on the screen navigated to.

5 Case Management

5.1 Definition of a “case” – composition, creation and transmission of functional iSupport case number

5.1.1 Definition of a “case”

**RFP
5.1**

148. The chapter describes a number of crucial functionalities for case management.

149. A central decision for the determination of functionality of the case management is what is considered a “case” for the purpose of iSupport.

150. A case in iSupport is defined as a case concerning the same debtor and person(s) for whom maintenance is sought and involving the same requesting and requested States. Therefore, all applications (and requests for specific measures) sent from one Central Authority (the requesting Central Authority) to the same requested Central Authority in relation to the same debtor and person(s) for whom maintenance is sought will be dealt with under the same functional iSupport case number even if in an individual application the role of the applicant should change.

151. Incoming and outgoing applications are dealt with under two different functional iSupport numbers, but can be connected in iSupport.

152. Should the debtor move to another State and should the enforcement have to take place in that other State, a new case will have to be opened.

153. Basing the iSupport case management system on this case definition is a “Must Have” requirement.

A screen will be provided to search by the actors’ Name, Date of Birth, SSN, Requesting state, Requesting state Case ID etc. to make sure that the case in the application does not already exist in the system. The search screen displays a list of matches in the grid, if there is a match. The

user can then decide to select an existing case by clicking on the matching row and update the details on that case or add a new case. When all the case information is entered on a new case, on save, the system will generate an iSupport case number.

The incoming application and outgoing application will have requesting state and requested state combination different and therefore a new case will be created even if the actors are the same and their roles are the same.

5.1.2 Data Connections

RFP 5.1

- 154. One Case can cover one or more applications.
- 155. More than one application can be pending on one case.
- 156. Each case can include several decisions, court settlement etc.
- 157. A father with several children from different mothers will have several cases. Depending upon how the State deals with these situations, it will be possible to either have a separate case for each child or one case for each set of children (one set per mother). The cases can be connected in iSupport (see below “5.4 Cross-references – connecting cases”).
- 158. Besides the requesting and requested Central Authorities and the parties in the case, competent authorities or body or person might be involved. All these actors will be linked with the case (see below “5.7.1 Linking actors with a case”).

When the requested state receives case details from requesting state through iSupport, the system automatically assigns the same iSupport case number received in the transmission and updates the case details in local iSupport system. If the requesting state does not have iSupport system, the worker in the requested state will create a case after the search and ensuring that the case does not already exist. If the case already exists in the system, the case details will be updated on the existing case.

A case construct includes a search by requesting state, requested state, debtor and mother of children, iSupport case number as the criteria to determine if the case already exists or a new case needs to be created. For example, even if debtor and mother in the existing case are the same as the ones received in the application, if the requesting state or requested state is different from the current one, a new iSupport case number is created.

In addition to the above criteria, depending on requesting state and requested state rules, there may be need to create multiple cases one for each child. Overriding the matches identified by the system on the Search screen and creating a new case can achieve this.

5.1.3 Composition of the functional iSupport case number

RFP
5.1

159. An iSupport case number is a unique number for that case in all iSupport systems and both States involved will use the same case number.

160. The functional iSupport case number will be composed out of:

- the abbreviation of the requesting State (& sub-unit),
- the abbreviation of the requested State (& sub-unit),
- the year in which the case was set up in iSupport,
- a 7 digit running number (3+4 digits), and
- the abbreviation of the State (& sub-unit) in which the iSupport number was issued.

161. For example: in a case of the year 2005 involving the requesting State UK (England Wales) and the requested State Germany created in Germany, the functional iSupport number could be UK(EW)-DE-2015-123_4567-DE. Creating for each iSupport case a number composed of the above listed items is a “Must Have” requirement.

162. The sub-unit could be a territorial sub-unit but can also be a functional sub-unit. For the latter an example is a State that allocates the task of dealing with outgoing cases under an instrument to one body and the task of dealing with incoming cases to another.

iSupport case number will be unique across iSupport systems and the case number will have the format as specified in the requirement. The abbreviations for the states, territorial sub-units will be maintained in a Reference table and these codes will be used in assigning a case number. Protech will work with the iSupport Team to implement a case numbering system in line with the requirements specified.

5.1.4 Creation and transmission of a case in iSupport allocation of the functional iSupport number

RFP 5.1

163. In iSupport, a case will be created in the requesting (sending) State. However, since not all States will have iSupport, it is possible that the requested State will be the first one entering data in iSupport and responsible for creating the iSupport number.

164. The caseworker in the State creating the case in iSupport will click on “create new case” and will be asked to identify the “requesting State” and the “requested State” including the relevant territorial or functional sub-unit. Then the iSupport number will be created by the system. This is a “Must Have” requirement. The caseworker can now start to enter case data.

165. The list of States and their sub-units will be provided in alphabetical order (relating to the State’s name and then the name of the sub-unit). It is important to note that the alphabetical order has to be available for the English and French versions (“Must Have”) of the system and for possible other language versions (“Should Have”). Furthermore, iSupport must allow the caseworker to easily identify which States / sub-units of States are using iSupport and which do not (“Must Have”). This could be done through noting this information adjacent to the State name in the drop down menu (“Could Have”) or in another way.

166. A caseworker in a requested State that receives an application through the iSupport secure communication, will not create a new case, but simply accept the case to be opened in his / her system (see further under “5.5 Status of a case”.) The case has already been allocated an iSupport case number in the requesting State and the case will be created in the system of the requested State under that number.

167. If the requesting State did not initially have iSupport, and the case was created in iSupport by the requested State, it must be possible for the requesting State to later open the iSupport case under the number assigned to it by the requested State. The same case must always have the same iSupport number in the two States concerned. This is a “Must Have” requirement.

iSupport case will be created by the requesting state and the case details will be transmitted to the requested state for requested state to save the case details. If the requesting state does not have iSupport, the requested state will create the case and save the case details.

When the requested state receives case details from requesting state through iSupport, the system automatically assigns the same iSupport case number received in the transmission and updates the case details in local iSupport system. If the requesting state does not have iSupport system, the worker in the requested state will create a case after the search and ensuring that the case does not already exist. If the case already exists in the system, the case details will be updated on the existing case.

A case construct includes a search by requesting state, requested state, debtor and mother of children, iSupport case number as the criteria to determine if the case already exists or a new

case needs to be created. For example, even if debtor and mother in the existing case are the same as the ones received in the application, if the requesting state or requested state is different from the current one, a new iSupport case number is created.

In addition to the above criteria, depending on requesting state and requested state rules, there may be need to create multiple cases one for each child. Overriding the matches identified by the system on the Search screen and creating a new case can achieve this.

When a new case is created, the system automatically assigns a case number in the specified format based on the rules given in the requirement. If a state implements iSupport at a later date, the system will allow for worker to enter already existing iSupport case number and case details into the system. In order to achieve this, the case number field will be enterable at the time of case creation. If a case number is entered by the worker on "iSupport Case number" field, the information is stored with the iSupport case number entered. If the "iSupport Case number" field is left blank, then system assigns a new case number.

In order to create case numbers in the specific format, the codes of all states, sub-units etc will be maintained in a reference table and will be listed in a Dropdown or Lookup. Based on the front-end language chosen, the Lookups will be displayed in alphabetical order. The states with iSupport application will be differentiated from other states by some indication like an asterisk beside the state code. An illustration of this function is displayed from Case Create process of another project. The State field has a magnify icon next to the text box. Clicking on the magnify icon opens a popup of all states of US in alphabetical order.

The screenshot shows the DECSS Case Create form. A 'List of Values' popup is open, displaying a table of US states. The table has two columns: 'Code' and 'Description'. The states are listed in alphabetical order by code. The 'CO' row is highlighted. The background form shows fields for Application ID, CP Last Name, First Name, MI, Suffix, CP Basic Information (Name, Race, Date of Birth, Other Name Used), CP Address Information (Address Type, ATTN/Care Of, Address), CP Contact Information (Home Phone Number), and CP Employer Information (OTHP, Name, ATTN/Care Of, Address). There are also fields for Social Security Number, Gender, MCI, Maiden Name, State, Country, Occupation Type, and Employment dates.

Code	Description
CO	COLORADO
CT	CONNECTICUT
DE	DELAWARE
DC	DISTRICT OF COLUMBIA
FM	FEDERATED STATES OF MICI
FL	FLORIDA
GA	GEORGIA
GU	GUAM
HI	HAWAII
ID	IDAHO

5.1.5 Display of the functional iSupport number

**RFP
5.1**

168. The functional iSupport case number will be displayed prominently on all screens of the Casework Module.

All case related screens would have iSupport case number displayed in the screen header prominently. Where the screen is actor related, a dropdown of all associated cases of the actor would be displayed in the screen header.

5.2 Definition of a “case” – composition, creation and transmission of functional iSupport case number

RFP
5.2

169. In addition to the iSupport case number, screens that relate to a specific application (or request) in the case must prominently display an abbreviation for the type and number of application. This is a “Must Have” requirement. The following abbreviations could be used:

• Request for Specific Measure	RSM
• Recognition (and Declaration of Enforceability / Registration)	REC
• Recognition and Enforcement	REC/ENF
• Enforcement	ENF
• Establishment	EST
• Modification	MOD

170. As for the numbers of applications, they would relate to applications of the same type in that case. For example, for a second Application for Modification the application abbreviation would show: MOD-02. Displayed in connection with the above described functional iSupport case number this would be, for example: UK(EW)-DE-2015-123_4567-DE / MOD-02. The exact layout is a design issue that can be addressed in the programming phase. Using the above example layout is a “Could Have” requirement.

171. The application type and number should be visible on all application-related documents produced by iSupport together with the unique functional iSupport number. This is a “Must Have” requirement.

All application related screens would have iSupport Case number field, Application Type and the number displayed prominently in the screen header.

5.3 Internal reference numbers

RFP 5.3

172. Some Central Authorities will need to continue using their internal reference number system alongside iSupport. In view of the fact that States use very different “case” definitions and that what is considered one iSupport case may be considered several separate cases in a national system, sufficient space must be provided to enter several internal case reference numbers for one iSupport case. This is a “Must Have” requirement.

173. iSupport must display at least one internal reference number for each of the two CAs (“Must Have”) on the Case Module screens. iSupport should also provide the possibility for showing all internal reference numbers that relate to the same case on each case-related screen (“Could Have”) in addition to the iSupport case number (see regarding the iSupport number paragraph 170 above. How this can be achieved is a design issues that, as other design issues, will be addressed in the programming phase.

If multiple reference case numbers exist for a given iSupport case number, all the case numbers will be saved in the system and will be displayed in a dropdown. An illustration from a different project is shown in the screenshot below.

DECSS - Windows Internet Explorer

Tools Help Financials

View by MCI Number View by IV-D Case View by IV-A / IV-E Case

Screen Functions Associated Screens History

New Add Modify Delete Print Clear Exit Quick Navigation

Select Filters

MCI * 0000000033 BOAGO, BAROTA TILODDO Associated IV-D Cases ALL County ALL Find

ALL 401038 402205 425120

MHS - Member Program History View by MCI Number

DOB 02/23/1983 Case ID 148641 File Number Family Violence N - NO

SSN ***-**-4184 IV-A/IV-E Case ID 1111117422 Locate Status L - LOCATED Restricted N - NO

Begin Date	End Date	Program Type	Reason	CP Name	IV-A / IV-E Case ID	PID	IV-D Case ID	MCI Number	Worker	Date Updated
09/01/2013		N - NON TANF		BOAGO, HONA A			148641	0000000033	CONVERSION	09/30/2013
10/01/2012	08/31/2013	N - NON TANF		BOAGO, HONA A			148641	0000000033	DECSS	09/30/2013
09/30/2012	09/30/2012	A - TANF		BOAGO, HONA A	1111117422		148641	0000000033	DECSS	09/30/2013
09/01/2013		M - MEDICAID		BOAGO, BAROTA TILOD	5000750053		401038	0000000033	CONVERSION	09/30/2013
10/01/2012	08/31/2013	M - MEDICAID		BOAGO, BAROTA TILOD	5000750053		401038	0000000033	DECSS	09/30/2013
09/30/2012	09/30/2012	A - TANF		BOAGO, BAROTA TILOD	5000750053		401038	0000000033	DECSS	09/30/2013
09/01/2013		N - NON TANF		BOAGO, BAROTA TILOD			402205	0000000033	CONVERSION	09/30/2013
08/01/2013	08/31/2013	A - TANF		BOAGO, BAROTA TILOD	5000750053		402205	0000000033	CONVERSION	09/30/2013
09/01/2013		M - MEDICAID		BOAGO, BAROTA TILOD	5000750053		425120	0000000033	CONVERSION	09/30/2013

Done Error Detail / GARIMALLA, SATISH 05/19/2015 05:17:37 PM

The header displays associated cases for a member in a dropdown. Displaying reference case numbers for a given iSupport case number will be a similar design.

5.4 Cross-references – connecting cases

RFP 5.4

174. iSupport will offer the option to connect cases. There must be a field called “connected cases” where the connected cases will be displayed e.g., when the same debtor is connected to two different cases. For all cases that have an iSupport number there should be a direct “link” to the connected cases i.e., when the caseworker clicks on this “link” the relevant other case will open in a separate window. In addition, there must be the possibility to list cross-references to older cases, which will not have an iSupport number but only a national reference number. Here there will, however, be no “link-function”. It will also be possible to disconnect cases.

175. A recommendation concerning the choice of which cases should be connected can be given in a help text but it is left to the discretion of the caseworker to connect or later disconnect the cases. The recommended connections would be based, for example, on the name of the parties (applicant, debtor, creditor) and on the names of the children (creditor).

176. The functionality of listing connected cases is a “Must Have” Requirement. The provision of direct links to connected iSupport cases is a “Should Have” Requirement.

Functionality will be provided to link an iSupport case to another iSupport case. The details of parties in both cases will be displayed for the worker to determine if linking or delinking is appropriate between the cases. Option to link or delink iSupport cases will be provided to only authorized users of the system. Based on the logic defined during development phase, older cases will be cross-referenced with the iSupport case number.

5.5 Contact details of Central Authorities

RFP 5.5

177. The contact details of all Central Authorities under the EU Maintenance Regulation and under the 2007 Hague Convention will be saved in iSupport and accessible in the Actors Module. The moment a case is opened and the requesting and requested State including the territorial or functional sub-unit chosen (see above “5.3.1 Creation and transmission of a case in iSupport allocation of the functional iSupport number”), the system will display the relevant contact data under the “requesting Central Authority” and the “requested Central Authority” on each case. This is a “Must Have” requirement.

178. In addition, there will be fields that indicate the responsible caseworker(s) for both Central Authorities. By default the principle caseworker who is assigned to the case in his / her Central Authority will be entered here. This is also the name that will be displayed in the Forms under “responsible” caseworker. This functionality is a “Must

Have” requirement. When the Form noting the responsible caseworker is received through and opened or accepted by the receiving Central Authority, the name of the responsible caseworker from the sending Central Authority is copied into the iSupport of the receiving CA. When the sending CA changes the responsible caseworker, there is no automatic update in the iSupport of the other CA. Information about these changes will be updated in the system of the other CA only when a Form with updated information is received.

When a case is being created on iSupport, the Requesting state, Requested state, territorial unit, functional sub-unit where applicable, caseworker of the requesting state, caseworker of the requested state will be entered in the system. The contact details of requesting state and requested state will display by default as the caseworkers of both states unless the contact details are entered differently.

When the responsible caseworker is changed on either side, an activity could be triggered to transmit the change of worker information or a form could be sent with the updates to the other state.

5.6 Status of a case

5.6.1 Status “open”

5.6.2 Status “closed”

5.6.3 Status “archived”

RFP 5.6

179. iSupport must allow Central Authorities to note the “status of a case”. There will be three primary categories of case statuses: “open”, “closed”, or “archived”. A number of sub-categories will be available for “open” and “closed” cases with the sub-categories to be used at the discretion of each Central Authority.

180. Each Central Authority will determine the status of a case independently of the way the other involved Central Authority determines the status. The status determination in the described categories is principally for internal purposes only.

181. The inclusion of the status and sub-statuses described below and the described functionalities is a “Must Have” requirement for iSupport.

182. The case search will allow searching for cases with a certain status (see below).

183. A case is marked with the status “open” upon its creation in iSupport and it remains “open” throughout the whole process of case management. I.e., that status “open” marks cases in which action still needs to be undertaken by the Central Authority in that case (“Must Have” – see paragraph 183).

184. A case that has been closed can be re-opened any time, if further action is needed (“Must Have”).

185. When the caseworker creates a new case in iSupport, the status of the case will automatically be “open” (“Must Have”). This is independent of whether the new case is

created in iSupport in the requesting Central Authority (this will be the standard) or in the requested Central Authority (this will be the case if the requesting CA does not use iSupport).

186. As mentioned above, the case status determination is for internal purposes only and will not be synchronised between Central Authorities. This means that if a caseworker in a requested Central Authority receives a new request / application through iSupport, a manual intermediary step will have to be taken to mark the case “open” in the requested Central Authority (“Must Have”). The caseworker will have to click “create / open” case or otherwise actively start the case management of the case. The iSupport number will be the one that had already been designated by the system in the requesting State. The additional manual step is meant to safeguard the autonomy of each Central Authority. iSupport will therefore not automatically open a new case in the requested State’s iSupport system upon the sending of an application through the system.

187. There will be a number of sub-categories that caseworkers can choose from (“Must Have” – see paragraph 183). The caseworker is, however, not obliged to choose a sub-category (“Must Have”).

- “Incomplete” – the processing of the case is not yet possible due to missing documentation / information
- “Enforceability proceedings ongoing” – this sub-category should be used, when the application for the declaration of enforceability / registration is being processed by the competent authority; the status will be kept until the exequatur or registration is obtained and any possible appeal or further appeal is being dealt with; enforcement may have started before, since it can occur as soon as the decision is registered / declared enforceable even though an appeal and further appeal is being processed
- “Establishment proceedings ongoing” – this sub-category should be used, when the application is being processed by the competent authority for the establishment of the decision, including all appeal instances; enforcement may have started after the first instance or second instance
- “Modification proceedings ongoing” – this sub-category should be used, when a modification application of either the debtor or creditor is being processed by the competent authority independent of whether the enforcement is continuing or not
- “Enforcement ongoing” – this sub-category should be chosen, when the enforcement is ongoing; it should only be chosen once proceedings are completed (enforceability, establishment, modification proceedings). Should such proceedings be ongoing, one of the other above proceedings categories will be used).
 - “Enforcement suspended, Art. 21(3) EU Regulation” – this sub-category should be chosen, if the enforcement is suspended in accordance with Art. 21(3) of the EU Maintenance Regulation
 - “Monitoring of payments only” – this sub-category should be used for cases, where no concrete action is required from the Central Authority but the Central Authority wishes to monitor the (voluntary) payment by the debtor for a certain period of time

188. The case status “closed” will be available for cases in which no further action needs to be undertaken by the Central Authority (“Must Have” – see paragraph 183).

189. Cases can be re-opened without any formality; the case status can simply be changed back to “open”, see paragraph 186.

190. As a consequence of choosing the status “closed” in iSupport, data in the case will no longer be editable. However, all case data remains in the system and can be viewed. This is a “Must Have” requirement. Should the caseworker want to make changes or additions to the case, the case will have to be re-opened.

191. There will be a number of sub-categories (“Must Have” – see paragraph 183) indicating reasons for the closing of the case that caseworkers can choose from:

- “Requirements manifestly not met (processing refused)” – the application is refused since it is manifest that the requirements of the Convention / Regulation are not met
- “Debtor cannot be found” – Despite all efforts of the requested Central Authority the whereabouts of the debtor cannot be found or the debtor is not living in the requested State
- “Debtor moved to other State” – the debtor has moved to another State during the case processing
- “Unsuccessful despite all efforts of the Central Authority” – Despite all efforts of the Central Authority the case could not be concluded successfully; should the reason of the impossibility to complete the case be that the debtor cannot be found, the specific sub-category “Debtor cannot be found” will be used
- “Completed” – the case has successfully been concluded
- Status “archived”

192. The status “archived” will be available for cases that have been closed for a longer period of time and where the case data does no longer need to stay immediately accessible (“Must Have” – see paragraph 183).

193. Each Central Authority will have its own practice as to when they will archive closed cases. Given the very different practices in States, there will be no default deadline in iSupport for automatically switching the case from “closed” to “archived”. The change will be done manually on a case-by-case basis (“Must Have”).

194. The consequence of choosing the status “archived” is that the case data is removed from iSupport to a separate database (within the national infrastructure outside iSupport). The data will be moved i.e., but not permanently deleted at this stage. This is a “Must Have” requirement, see also “7.5 Archiving”. The applicable archiving laws in each State concerned will determine how long the information will be stored before it is deleted. After being moved, the data will no longer be available in the iSupport database apart from some basic case information (see for further details “7.5 Archiving”).

195. In view of the fact that the case data is no longer readily available when a case is “archived”, only cases that do not need to be reopened should be archived.

196. Once a case is archived some basic information about the existence of the case will remain in iSupport (“Must Have”, see “7.5 Archiving”).

Case header in all case related screens will display the Case Status and Case sub-status. Case Status will be entered/modified by the caseworker and is not defaulted to open status at the time of case creation. Case Status will be a required field while Case Sub-status will be Optional field. The Sub-status field codes and descriptions for each Status code will be maintained in Reference Master table. The managers/administrators of states will have the flexibility to add/modify/delete Sub-status codes and descriptions online.

Validations will be placed on Case screen not to allow modifications to data on closed cases except for reopening a closed case with a reason for reopening. The case status and sub status on requested state and requesting state do not have to match.

There are no specific rules as to when to archive the case. The individual states will have their own internal procedures to determine when to archive a case. When the caseworker reviews a closed case and determines that a case has been in closed status for a long period and there is no need for the case to be reopened in future (for reasons such as all children have emancipated or debtor is deceased etc), he/she would manually request for the case to be archived.

Once archived, all the data relating to the case will be moved to Archive database. If the actors that are individuals, associated with this case, do not belong to any other case, such actors also will be archived. The key data on the case and actors will still remain in main iSupport database for displaying on Search screen and on the Case screen with a Case Status of Archived.

5.7 Caseworker(s) assigned to a case

5.7.1 One or several caseworkers can be responsible for a case

RFP 5.7

197. iSupport will offer the option to assign one or more caseworkers to be responsible for a case. The responsible caseworker(s) will be listed in the case. Each case must have an assigned caseworker. The possibility to assign as many, with a maximum of 25, caseworkers as needed to a case is a “Must Have” requirement.

198. Tasks relating to the case will only be displayed in the personal task list of those caseworkers assigned to the case. See for further details under “5.18.1.2 Caseworker task list”.

199. However, all caseworkers, whether assigned or not to the case, generally have editing and viewing access to all cases. Certain restrictions apply to “5.9 Domestic violence cases” and “5.10 Restricted access cases”, see below. See also the profiles of access rights above.

When a case is created from an application, the user entering information could assign one or more caseworkers. The existing caseworker will have authority to add/delete caseworkers to the case. All workers with edit capability on Case screen will also be able to add/delete workers to the case. History of caseworkers, their effective and end date, the user who updated, date and timestamp will be logged in the system. The current active caseworkers would be able to view all the task lists of the cases assigned to them.

All workers will have access to all cases except in the case of restricted cases. Cases with High profile, familial cases and families with domestic violence will be restricted for view and update to a secure group of users.

5.7.2 One or several caseworkers can be responsible for a case

RFP 5.7

200. The name of the responsible caseworker(s) is added in the case in fields provided for this purpose. Any person with editing access to the case can add or change the responsible caseworker(s). Any changes will be logged. See” 3.5 Logging of changes and viewing access & accessibility of audit trail”.

201. Usually it will be the person receiving / allocating tasks for newly incoming applications or messages (see profiles of access rights), that will assign the case to the relevant caseworker(s). That person, if provided with the required access rights, may open the case him / herself and enter the responsible caseworker(s) to the case or may task the caseworker(s) to do so. In many Central Authorities the choice of the responsible caseworker is decided in accordance with protocols. In the view of the very different models used in practice for assigning cases to caseworkers it is not workable to include a default automatic allocation in iSupport. In a later edition of iSupport it may be useful to allow Central Authorities to define their own automatic allocation key. This is a “Won’t Have” requirement.

When a case is created from an application, the user entering information could assign one or more caseworkers. The existing caseworker will have authority to add/delete caseworkers to the case. All workers with edit capability on Case screen will also be able to add/delete workers to the case. History of caseworkers, their effective and end date, the user who updated, date and timestamp will be logged in the system. The current active caseworkers would be able to view all the task lists of the cases assigned to them.

5.7.3 Co-ordination of different caseworkers working the same case

RFP 5.7

202. iSupport will assist caseworkers that are working a case together to coordinate their work through a number of helpful tools, such as the case notes, the internal messages and the caseworker deadline; see below for the detailed description of these tools.

203. In addition, each case will include a button “last updated” to show information as to who last worked on the case and when i.e., the username and the time of the last change. Showing the time of the last update is a “Must Have” requirement; showing the username of the person who last changed the case is a “Should Have” requirement.

204. Different caseworkers are not permitted to work on the same case at the same time. Should a caseworker access a case that is currently opened by another caseworker of his / her Central Authority, the second caseworker accessing the case will only have viewing access. Only one caseworker at a time can have editing access to the case in an iSupport system. This is a “Must Have” requirement. The caseworker opening the case in “view only” mode, will receive a notice saying this case is currently being worked on by the person with the username: xyz. The information notice stating that the case is currently opened by another user and can only be accessed in viewing mode, is

a “Must Have” requirement. A notice advising who is currently editing the case is a “Should Have” requirement.

All modifications to case data would be logically updated. This means that the existing record is end-validated and a new record is inserted with the modified data. The worker who updated, date and timestamp will be maintained in the system.

The system maintains referential integrity that no two workers can update the same record. When one caseworker is updating the record, another worker will only be able to view the record. If an attempt is made to update, a message that another user is updating the record will display.

5.8 Linking actors with a case and the roles of the different actors

5.8.1 Linking actors with a case

RFP 5.8

205. Detailed information for each actor is entered and modified in the Actors Module only (see also above “4.1.2 Actors Module”) and not in the case. The case is linked with the relevant persons and authorities and as a result certain minimum information on the linked actors is displayed in the case. The ability to link all relevant actors with a case is a “Must Have” requirement. It must therefore be possible, when working in a case to search the Actors Module and to identify a person or body from the Actors Module as an actor in the individual case. Also the role of that actor in the case must be identifiable (see “5.7.2 Types of actors and roles of actors” below).

During the process of creating cases, minimal information such as Name, SSN and DOB relating to an individual actor is entered to force the caseworker to search existing database for a match. If there is a match, the person will be linked to the current case. If there is no match, a new ID will be created for the actor and the actor is linked to the case. In case of authorities, the worker would be provided with a lookup of authorities that already exist in the Third Parties table to select appropriate CA and link to case. Complete details of the individual actors will be recorded on Demographics screen.

If actors are created first and then are linked to a case, there is a possibility that the system would be left with orphan actors that are not associated with any cases. If this is not an issue, actors will be created first and then linked to a case.

5.8.2 Types of actors and roles of actor

**RFP
5.8**

206. For the purpose of iSupport casework, four groups of actors can be distinguished: (1) The requesting and requested Central Authorities; (2) competent authorities; (3) the case-related main actors (the person(s) for whom maintenance is sought, the debtor(s) and, where applicable, a public body); and (4) further application related actors, such as a representative etc.

207. (1) The requesting and requested Central Authority will be linked with the case from the beginning. The creation of a new case requires the identification of the requesting and requested State. Since the CA contact data will be readily available in iSupport, the CA actors details will be displayed as soon as the case is created, see paragraph 179 above.

208. (2) The contact details of competent authorities, such as the authority competent to declare a decision enforceable or a body competent for the enforcement of a decision, will have to be entered in the actors' module and are then available to be linked with all relevant cases. Providing an option to link the case or relevant applications with competent authorities and to identify their role, as authority competent for a certain process is a "Must Have" requirement.

209. (3) Each international maintenance case involves at least one person for whom maintenance is sought and one debtor (person who owes or is alleged to owe maintenance). Very often there is more than one person for whom maintenance is sought. The Forms provide as a default space for the entry of three persons. If there are more than three persons an attachment to the Forms has to be produced (a detailed list of required fields for the Forms will be provided in advance of the programming phase). In rare cases, there can also be more than one debtor (the iSupport case definition above at paragraph 152 will be applied accordingly to these cases; i.e., the same two debtors have to be involved for a case to be considered the "same" case in iSupport). Often international maintenance cases also involve a public body. These three main roles (person(s) seeking maintenance, debtor(s) and public body) will be identified when linking the actor with the case. This is a "Must Have" requirement.

210. (4) Further actors can play a part in applications in international maintenance cases. An option must exist to link these additional actors to the case. Certain of the "Main actors" mentioned under (3) above may have an additional application-related role. The following roles must be available, inter alia, to be assigned to the relevant actor: applicant, respondent (defendant) and representative. The determination of who fulfils these role will have to be made separately in each respective application of a case. Any of the "main actors" in a maintenance case may be either the applicant or the respondent in an individual application. Providing for the capability to identify all necessary application-related roles is "Must Have" requirement.

Case creation in iSupport requires requesting state CA and Requested state CA contact information.

During the process of creating cases, minimal information such as Name, SSN and DOB relating to an individual actor is entered to force the caseworker to search existing database for a match.

If there is a match, the person will be linked to the current case. If there is no match, a new ID will be created for the actor and the actor is linked to the case. In case of authorities, the worker would be provided with a lookup of authorities that already exist in the Third Parties table to select appropriate CA and link to case. Complete details of the individual actors will be recorded on Demographics screen.

Competent Authorities details are maintained in Other Party table with a Other Party Type of “Competent Authorities”. These Competent Authorities are displayed in a lookup or dropdown for the worker to associate with a case at the time of case creation or during maintenance of the case.

Public Bodies details are maintained in Other Party table with a Other Party Type of “Public Bodies”. These Public Bodies are displayed in a lookup or dropdown for the worker to associate with a case at the time of case creation or during maintenance of the case.

When parties are associated with a case, the parties will have roles such as Debtor, or person for whom maintenance is sought and children. When application details are entered, the roles have different meaning. The debtor on a case could be Applicant on one application of the case and Respondent on another application of the case. For this reason, the actors will be associated with Application with roles such as Applicant/Plaintiff, Respondent/Defendant.

When forms are generated, up to a maximum of three children could be accommodated in the forms and any additional children need to be printed and submitted as an attachment. Or the forms could be auto-adjusted to include as many children as there are on the case.

5.8.3 Information displayed in the case for the person(s) for whom maintenance is sought, the debtor(s) and the public body

RFP 5.8

211. The individual case displays the linked actors with a minimum of required data only. The core data displayed in the case for the person(s) for whom maintenance is sought and the debtor(s) will be: the surname, the given name(s), the birth name, the date of birth and the language(s) spoken. For a “public body”, the minimum required information to be displayed is: the name of the public body and the country. All this information is taken from the Actors Module. Further details concerning the actor and any modification of this data must be done in the Actors Module. The display of the above mentioned core data in the Case Module is a “Must Have” requirement.

212. In addition, for each person for whom maintenance is sought the “maintenance basis” (corresponding to the categories for maintenance basis mentioned in the Forms) will be recorded in the case. This is a “Must Have” requirement. The maintenance basis can be identified in a drop down menu (“Should Have”). Since the “maintenance basis” is case-related information it is not entered and modified in the Actors Module but in the case itself.

213. Furthermore, for a public body iSupport will further provide for space to enter: the person representing the body in the proceedings (if this is always the same person for all cases, it might be information that is entered in the Actors Module and that can be field in automatically by the system), the public body case reference, if any. This is a “Must Have” requirement.

Minimum information relating to an individual actor will be displayed on case related screens and all information relating to actors would be viewable on Demographics screen. A screenshot of Demographics screen from a different project is presented below:

Minimum information relating to competent authorities and public bodies associated with a case will be displayed on case related screens and all information relating to this type of actors would be viewable on Other Parties screen.

For all fields that have definite set of codes and values, the system will maintain them in Reference Master and will be displayed on the screens with the code and the description. This includes values for Maintenance basis field.

Public Bodies can be maintained as Other Party records with Other Party type of Public Bodies. For a combination of Country and the person representing the public body, one Other Party ID could be created. This Other Party ID will be linked to the case based on person representing Public body and the country.

5.8.4 Information displayed in the case for other actors

**RFP
5.8**

214. For the other actors (see “5.7.2 Types of actors and roles of actors”) linked to the case minimum identifying data must be displayed (“Must Have”).

Minimum data of the other actors will be displayed on the case related screens. What data is minimum for other actors will be determined during design phase of the project.

5.9 The entry of actors information in the Actors Module

5.9.1 General issues

**RFP
5.9**

215. The structure provided to enter the information on a natural person will differ from that of data entry concerning a body or authority (see above the description of the Actors Module).

216. All fields contained in the Forms relating to actor’s information will find their equivalent in the Actors Module. In addition, there will be fields for birth name and alias of natural persons, as well as a field on the languages spoken (a list of all necessary fields will be provided before the start of the programming).

The data related to an individual party will be different from the data relating to a body or authority. All information required for generating forms will be gathered on the actor related screens for individuals as well as bodies.

Though not all fields displayed in the screenshots are required for this project, an illustration of how demographics of individual party differs from that of a body, taken from different project, is displayed below.

Demographics of an individual party:

Information relating to a Other Party or a body:



5.9.2 Particularities of address and banking information

RFP
5.9

217. The collection of precise address information and the keeping of an exact address history are crucial for iSupport. This is particularly true for debtor's address and contact data. Similarly, the exact history of banking details has to be kept.

218. The address and banking data will be entered in the "Actors Module" and the actor will then be linked to the case (see description above under "5.8.1 Linking actors with a case").

219. The exact fields that need to be provided will be derived from the Forms and will be made available in an overall excel-sheet in advance of the programming phase. In addition, to the Form-driven data, other information will have to be kept in iSupport, such as the source of the address and banking information.

220. Actors can have more than one "active" address. iSupport needs to allow for the display of all "active" addresses and the logging of all old addresses.

221. As described earlier under the logging of views and changes, the address and banking information is given a special status. The logging will be detailed i.e., per field, and the full history will be visible on demand for the caseworker on the screen. Therefore, the caseworker can, if needed, see the full list of old address and banking details as well as who changed the data and when.

222. The above-described functionalities are necessary requirements see "3.5.2 Accessibility of audit trail".

Multiple active addresses for a single actor is allowed in iSupport. Where possible, the address Type such as Residential address, Mailing address, PO Box address, address from tax return etc. can be recorded in the system. When generating a form, a default type of address could be auto-populated on the form unless the caseworker chooses to select a different address.

All changes to address and bank information of actors will be tracked and the history data along with the user ID of the updated worker, date and timestamp will be logged in the system and displayed on the screen. The history record will display the same fields as on main screen and additional fields such as updated worker id and worker name, date and timestamp of update. An illustration of original and history record taken from a different project is displayed below.

Please note that the latest financial institution record has History button enabled indicating that there is history of modifications on this record.

DECSS - Windows Internet Explorer

Tools Help System

View Other Party Information View Employees List of Employees

Screen Functions: New Add Modify Delete Print Clear Exit Quick Navigation

Select Filters: OTHP Type H - FINANCIAL INSTITUTION OTHP ID 1216582 Find

OTHHP - Other Party Information Screen Modify Other Party Information

Verified ☒ SEIN Insurance Carrier ID Parent FEIN Attorney No

FEIN 51-0083276

Name DOVER FEDERAL CREDIT UNION Insurance Carrier ID Doing Business As

Attn LEVY DEPARTMENT Contact Person FRANC JOHNSON Email Address

Address 1075 SILVER LAKE BLVD FIPS Code Tribal Indicator

County --SELECT-- Tribal Code --SELECT--

City DOVER

State DE - DELAWARE Zip 19904-2411 Country US - UNITED STATES

Note

Begin Date 05/21/2015 Reference ID Last Updated 05/21/2015

End Date Worker SGARMALLA

History

Done

Screen Detail: GARMALLA, SATISH 05/21/2015 02:21:44 PM

Clicking on History icon displays series of modifications, one record at a time. Screenshot of one history record is:

DECSS -- Webpage Dialog

Other Party Information Screen History

Verified ☒ SEIN Parent FEIN Attorney No

FEIN 51-0083276 Insurance Carrier ID Phone 3

Name DOVER FEDERAL CREDIT UNION Doing Business As Fax 3

Attn LEVY DEPARTMENT Contact Person LEVY DEPARTMENT Email Address

Address 1075 SILVER LAKE BLVD FIPS Code Tribal Indicator

County --SELECT-- Tribal Code --SELECT--

City DOVER

State DE - DELAWARE Zip 19904-2411 Country US - UNITED STATES

Note

Last Updated 10/29/2013

Begin Date 10/29/2013 Reference ID

End Date Worker STACY.SAYLOR

Done

5.10 Domestic violence cases

**RFP
5.10**

223. iSupport will be designed in a way to assist States in fulfilling their Regulation and Convention obligations to not disclose information that could jeopardize the health, safety or liberty of a person. This is a “Must Have” requirement. With a view to making certain that the issue of domestic violence is addressed, the caseworker will be required to identify whether a person involved in a case is under a threat of domestic violence: YES or NO. This is a “Must Have” requirement. The identification will be done with the help of two tick boxes (“Could Have”) or in another way. If the caseworker has identified that the person involved is at risk of domestic violence, all contact information, including address and bank details will be under special protection. This is a “Must Have” requirement. Since the domestic violence protection concerns data entered in the Actors Module, the identification of a domestic violence issue will be done in the Actors Module. The domestic violence identification will automatically apply to all cases involving that actor. This is a “Must Have” requirement.

224. For data privacy reasons the case will not prominently be marked a “domestic violence” case in every place where the case shows up. The domestic violence identification itself must not be visible outside the case. This is a “Must Have” requirement. Therefore, those inside a Central Authority doing a regular case search will not see a domestic violence indicator. However, within all cases that are linked to a person where there is a domestic violence concern, on appropriate case screens, there will be a discreet mark (“Must Have”) such as an asterisk beside the name of that person, to indicate to the trained caseworker, that this is a domestic violence case.

225. Once a case is identified as a domestic violence case in the system, a filter will be applied when generating the Regulation or Convention Forms to protect the sensitive information. This is a “Must Have” requirement.

226. The classification of address information as sensitive in the iSupport system of the sending Central Authority will not automatically trigger the classification of the contact and banking information as sensitive in the iSupport system of the receiving Central Authority. It will require an additional step by that Central Authority. This is a “Must Have” requirement.

227. As concerns the visibility of the sensitive data in the case management system, the Central Authority has the choice to restrict the profile with access to the sensitive data (using the Caseworker A and B Profiles of the Profile set I, for example) to only a limited number of caseworkers.

Person involved in any case is under the threat of domestic violence will be recorded in the system accordingly by means of a Domestic Violence indicator (Yes/No). Any case related screens will display an asterisk next to the Person ID to indicate that there is domestic violence related to that member. The Search screen will display all members and cases based on the search but would not reveal if the member is under the threat of domestic violence.

Only workers with access to such cases will be able to view and work the cases with domestic violence. When one state transmits information to another state, additional transactions need to be made to indicate to the receiving state that the person/case is in domestic violence and that the data needs to be secured to protect the whereabouts of the person.

When any forms are generated to the debtor on a domestic violence case, the system will ensure that the address and bank information of the other members will not be recorded on those forms.

5.11 Restricted access cases

RFP 5.11

228. There will be a separate category of “restricted access” cases. These are cases that for certain reasons should have a particular protection, for example, cases that relate to famous persons. iSupport will allow the identification of a case as a “restricted access case” (“Must Have”) by a tick box (“Could Have”) or in a different way. As a consequence only caseworkers with the relevant access rights will be able to view and edit the case. Should another caseworker use the case search function he / she will, when entering the case number, receive a notice that the case exists but that it is a restricted access case. This is a “Must Have” requirement.

229. The designation of a case as restricted access does not affect the data that is shown in the Forms. Banking information and address information will be collected and included in any Forms. This is a “Must Have” requirement. The only difference between a regular case and a restricted access case is that the ability to view and edit the case is limited to those who have been given the relevant access rights.

230. Since the restricted access classification is actor linked, the activation of the special protection will be done in the Actors Module. All cases involving that actor will then be “restricted access cases”.

231. A case may be designated as restricted access or as domestic violence or as both. This is a Must Have requirement.

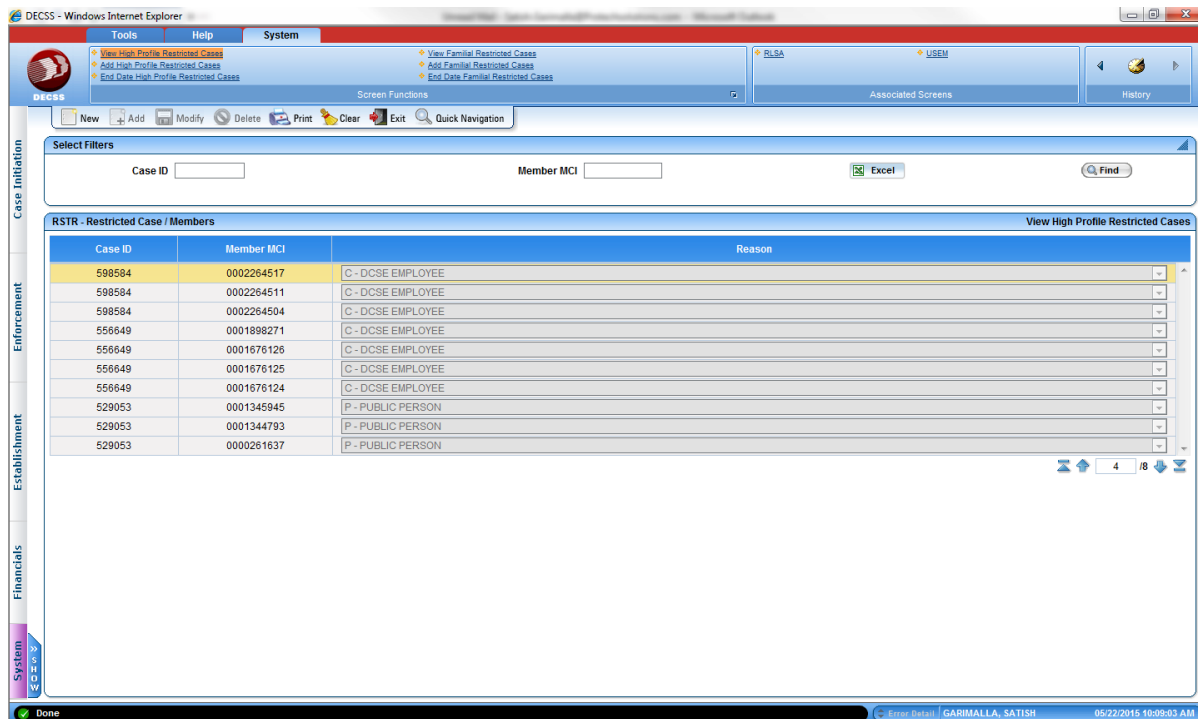
232. The classification of a case as restricted access case by one Central Authority is not binding on the other Central Authority involved. This is a “Must Have” requirement.

The classification of a case as restricted access case by one Central Authority is not binding on the other Central Authority involved. This is a “Must Have” requirement.

Cases or Actors can be marked as restricted for reasons such as a high profile person or a case where the party in the case is related to a worker in the state or a case where one of the workers in the state is a party to the case etc. The workers with access to restricted cases/actors will only be able to work on these cases/actors.

Domestic Violence cases also have restricted access to a small group of workers. But the domestic violence cases differ from above-mentioned restricted cases by the fact that the forms should not reveal the address of individuals under threat in domestic violence cases.

Restricted cases screen from another project is illustrated hereunder:



5.12 Three types of deadlines for the case management

5.12.1 Regulations and Convention deadlines

RFP 5.12

233. The iSupport system will provide for three types of deadlines:

- The fixed Regulation and Convention deadlines applicable to all cases,
- The target dates to be defined by the manager applicable to all cases, and
- The caseworker deadline that applies to individual cases.

234. There are a number of deadlines mentioned in both the EU Maintenance Regulation and the 2007 Hague Convention for the Central Authority to fulfil certain tasks. These deadlines differ slightly and thus Convention and Regulation applications will not have the same timelines. The Convention and Regulation deadlines are legal obligations and cannot be changed by the Central Authority manager or the caseworker. iSupport will indicate when these deadlines are overdue.

235. The implementation of the mandatory Regulation and Convention deadlines is a “Must Have” requirement.

236. For deadlines regulated by any other bi-lateral or international instrument, iSupport will not provide pre-set deadlines. The Central Authority can address this kind of deadline through target dates or caseworker deadlines. The inclusion of pre-set deadlines for other instruments is a “Won’t Have” requirement.

The iSupport system will maintain deadlines for each of the tasks separately for EU Maintenance Regulation and the 2007 Hague Convention. These deadlines are table-driven and the managers/administrators will maintain these. These deadlines will not change for each individual worker or case. The deadlines are uniformly applied across the systems.

For all other, the central authorities could set targets for each task for all cases across the system, or target for a task for each caseworker's all cases or a target for a task for each specific case.

The case list with the task description and the target date will be displayed on a screen for the logged-in worker ID. The logged-in worker can view the tasks assigned him/her or the tasks of the workers reporting to him/her.

5.12.1.1 Deadlines - EU Maintenance Regulation

RFP 5.12

237. These are the deadlines set by the EU Maintenance Regulation for certain Central Authority action: (see original table)

238. The event triggering these deadlines is the “date of receipt of the application” and for the latter the date of sending the “acknowledgement of receipt”.

239. A further timeline is mentioned in Art. 58(9): If upon request of additional documents / information (i.e., that would be the start date) the other CA does not provide these within 90 days, the requested CA may decide to no longer process the application. In that case, it shall promptly notify the other CA using Annex IX.

240. The EU Maintenance Regulation furthermore sets a number of additional deadlines that relate to actions of competent authorities and appeal deadlines. These will have to be taken into consideration when creating default target dates for the tasks in the task list.

The iSupport system will maintain deadlines for each of the tasks separately for EU Maintenance Regulation and the 2007 Hague Convention. These deadlines are table-driven and the managers/administrators will maintain these. These deadlines will not change for each individual worker or case. The deadlines are uniformly applied across the systems.

Workflows will be created for each of the processes. Workflow contains each step/task of the process along with the possible outcomes of the task and the next step/task in the process based on the outcome of the current step.

For example, “Application Received” could be the current step. The outcomes could be “Documents missing”, “Additional Data elements required”, “All data elements received” etc. The next step could be to transmit to the other state to “send missing documents”, “send other data elements”, or transmit “Acknowledgement of receipt” respectively.

During design phase, the workflows will be designed for each of the processes. When the current step of the workflow is ended with a possible outcome, the system automatically initiates the next step. The iSupport system will have capability to associate any forms with the steps. When the process reaches a step that involves a form, the form will be displayed with the data elements derived by the system from the database and displayed. The elements required for the form to be generated that are not readily available in the system will be displayed for the worker to either enter on the screens and regenerate the notice or enter directly on the form where it is freeform text.

When the action is not taken on the current step within the due date, the caseworker will be alerted. If system needs to take a default action on the day of deadline, the system could be setup to define a default action. One such example is that there is no response from the requesting state for the request made to send missing documents or data elements. The default action in this scenario would be for the system to close the case on the day of deadline.

5.12.1.2 Deadlines – 2007 Hague Convention

**RFP
5.12**

241. These are the deadlines set by the EU 2007 Hague Convention for certain Central Authority action: (see original chart)

242. As for the Regulation deadlines, the triggering event is the “date of receipt of the application” and for the latter the date of sending the “acknowledgement of receipt”.

243. A further timeline is mentioned in Art. 12(9): If upon request of additional documents / information (i.e., that would be the start date) the other CA does not provide these within 3 months, the requested CA may decide to no longer process the application. In that case, it shall inform the requesting CA of this decision.

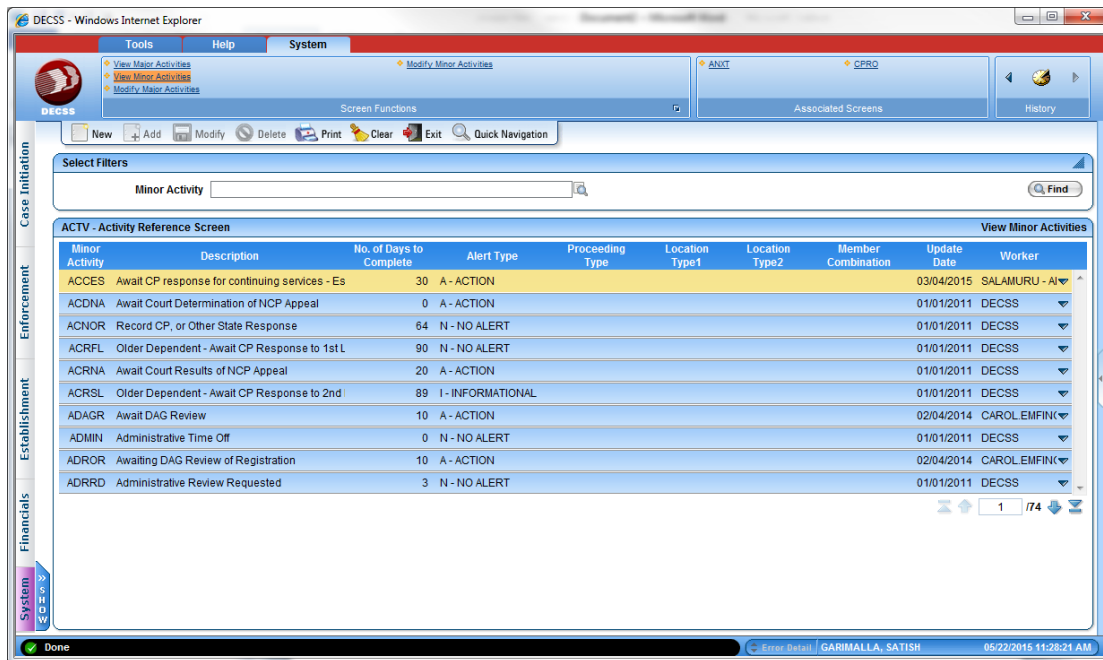
244. The 2007 Hague Convention furthermore sets a number of additional deadlines for the recognition and enforcement procedure, which will have to be taken into consideration when creating default target dates for the tasks in the task list.

The iSupport system will maintain deadlines for each of the tasks separately for EU Maintenance Regulation and the 2007 Hague Convention.

A list of pre-defined tasks will be maintained on iSupport system where the manager/administrator will be able to add/edit tasks and modify number of days to complete a task. If a task has 30 days as the number of days to complete, the task of a case will remain open with a due date of 30 days from now and the worker has the ability to update this task with possible outcome. If the task is defined with zero days, it indicates that it is a system task that takes zero days; for example printing a form takes zero days.

The tasks could also be defined to have an informational alert, action alert or no alert. Informational alert will display when the task occurs and will display for certain number of days. The worker will be able to remove the alert before the specified number of days. An example of this type of alert is letting worker know the data transmit to the other state is successful. Another type of alert, which is action alert, will keep alerting the worker from the due date until worker completes that work. Worker will not be able to remove this alert.

An illustration of the task maintenance screen is displayed below.



5.12.2 Target Dates

RFP 5.12

245. iSupport will in addition offer Central Authorities the ability to set target dates for a list of predefined items. This list goes beyond the few actions for which the Regulation / Convention mentions deadlines. The set target dates will affect all cases in that State. Any change of these target dates affects equally all cases, including those in which the deadline has started running (i.e., the change would be applied retroactively). In the situations where the Regulation / Convention sets a deadline, the target date for the same actions cannot be later than the Regulation / Convention deadline, but it is in the discretion of the manager to set a shorter target date. This is a “Must Have” requirement.

246. The target dates will be set by the manager or administrator. A caseworker without the required access rights cannot change the target date but he / she can set another caseworker deadline for an individual case (see below “5.11.3 Caseworker deadline”). However, this does not affect the application of the target date to that case.

247. A list of pre-defined items for which a target date can be set, will be provided before the beginning of the programming. Providing the manager with a tool to set the target dates for a pre-defined list of target date items is a “Must Have” requirement. This can be done with the help of a drop down menu choice (“Could Have”) or in another form. As a starting point, iSupport will provide pre-set default target dates that the manager can modify in accordance with the above-described rule (paragraph 247). This is a “Should Have” requirement. The use of the target date pre-defined deadlines by each State is optional (for example a State can choose to use some but not all of them). Providing this flexibility for States is a “Must Have” requirement. iSupport could, for example, ignore any target date the value of which is set to “0”.

248. iSupport should also make it possible for States to extend the list of predefined items for which target dates can be set i.e., make the list of the items for which target dates can be set customisable. This is a “Should Have” requirement.

A list of pre-defined tasks will be maintained on iSupport system where the manager/administrator will be able to add/edit tasks and modify number of days to complete a task. If a task has 30 days as the number of days to complete, the task of a case will remain open with a due date of 30 days from now and the worker has the ability to update this task with possible outcome. If the task is defined with zero days, it indicates that it is a system task that takes zero days; for example printing a form takes zero days.

The tasks could also be defined to have an informational alert, action alert or no alert. Informational alert will display when the task occurs and will display for certain number of days. The worker will be able to remove the alert before the specified number of days. An example of this type of alert is letting worker know the data transmit to the other state is successful. Another type of alert, which is action alert, will keep alerting the worker from the due date until worker completes that work. Worker will not be able to remove this alert.

An illustration of the task maintenance screen is displayed below:

Minor Activity	Description	No. of Days to Complete	Alert Type	Proceeding Type	Location Type1	Location Type2	Member Combination	Update Date	Worker
ACCEs	Await CP response for continuing services - Es	30	A - ACTION					03/04/2015	SALAMURU - Al
ACDNA	Await Court Determination of NCP Appeal	0	A - ACTION					01/01/2011	DECSS
ACNOR	Record CP, or Other State Response	64	N - NO ALERT					01/01/2011	DECSS
ACRFL	Older Dependent - Await CP Response to 1st L	90	N - NO ALERT					01/01/2011	DECSS
ACRNA	Await Court Results of NCP Appeal	20	A - ACTION					01/01/2011	DECSS
ACRSL	Older Dependent - Await CP Response to 2nd L	89	I - INFORMATIONAL					01/01/2011	DECSS
ADAGR	Await DAG Review	10	A - ACTION					02/04/2014	CAROLEMFIN
ADMIN	Administrative Time Off	0	N - NO ALERT					01/01/2011	DECSS
ADROr	Awaiting DAG Review of Registration	10	A - ACTION					02/04/2014	CAROLEMFIN
ADRRD	Administrative Review Requested	3	N - NO ALERT					01/01/2011	DECSS

5.12.3 Caseworker Deadline

**RFP
5.12**

249. A third type of deadline can be set by the caseworker: the caseworker deadline. The deadline applies to a specific action / task the caseworker defines or can relate to a task for which a target deadline and even a Convention deadline is already running. The caseworker deadline is case specific and relates to an individual item of casework. It will not apply to several tasks of the same kind relating to different cases.

250. The purpose of the caseworker deadline is to allow the caseworker to set priorities in the daily work.

251. The above-described functionality is a “Must Have” requirement.

252. iSupport could provide for a setting whereby a two or three month default deadline is set by the system for cases where no deadline is currently running. This would guarantee that cases are regularly looked at. This could also be a setting that could be included in the management set target dates. This functionality is a “Should Have” requirement.

iSupport system will have capability for workers to set as many reminders as required, to themselves on case tasks or set reminders to other caseworkers on case by case basis.

5.13 Search Tools**5.13.1 General Functionalities****RFP
5.13**

253. The iSupport case management system will offer comprehensive search tools. There will be two pre-set search screens, one for an “actor” search and one for a “case”-search since these are the two most used searches in the maintenance case management. This is a “Must Have” requirement.

254. Both search screens will include default search items but should allow the user to add further search criteria from a list of additional criteria. This is a “Should Have” requirement.

255. A query can search on more than one criterion. Should several fields be filled in, by default, a combination of this data will be searched for. This means that only those actors or cases will be displayed as search results that meet the combination of all the data entered in the search. This is a “Must Have” requirement.

256. It should also be possible to further refine the search if too many results appear. This is a “Should Have” requirement.

257. In the requested value, 1 position can be a wild card to search for every character on this position. This is a “Must Have” requirement.

258. Diacritics should be shown in the result when searched for on the connected character. Like search for 'u' and also results with e.g., 'ü', 'ù', 'ú' are shown. This is a "Should Have" requirement, see also "15.7 Character set".

259. A wild card can be used for more than 1 position (*). This is a "Could Have" requirement.

260. All the search results of actors and cases must be displayed in Form of links and the caseworker must be able to get directly to the case (general case screen) or to the actor page by clicking on the link. This is a "Must Have" requirement. An easy back and forward navigation between the search results and the corresponding cases or actors must be possible. For example, if a caseworker wants to see which of the three cases given as a result is the one he / she is looking for, it must be possible to open a case and then jump back to the search results to check the other cases. This is a "Must Have" requirement.

Search for cases and actors will be provided to search by a set of data elements such as name, SSN, DOB, Also Known As name, etc. Name search could be Exact Match, Sounds Like match, Begins with, Ends with, Contains etc. The results will be displayed in a grid. The worker will have the capability to navigate back and forth to Search screen and other screens by selecting any row on the grid and clicking on Back button.

5.13.2 The search for an actor

261. The search for an actor must allow the search using any or all of following search criteria:

- Search by natural person or by body / authority,
- For natural persons:
 - o Surname,
 - o Given name,
 - o Birth name,
 - o Alias,
 - o Date of birth (dd/mm/yyyy),
 - o Place of birth,
 - o Nationality (drop down menu),
 - o Residence State (drop down menu),
 - o ID or Social Security number,
- For authorities / bodies
 - o Type (drop down menu),
 - o Name,
 - o Abbreviation,
 - o Country (drop down menu),
 - o Territorial unit (drop down menu),
 - o Caseworker.

262. The search results must be precise enough to make an immediate assessment of applicability in most cases without having to open all actor's cases or screens. This

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5.13

means the search results must not only display the name of the actor but a number of further identifying items including the names of the parties and possibly the iSupport case numbers of cases they are involved in as well as their role in the case. The details are a question of design and will be discussed in the programming phase.

263. The above-described composition of the search screen and the result page are minimum requirements and as such “Must Have” requirements.

Search for individual actors will be provided to search by a set of data elements such as name, SSN, DOB, Also Known As name, Place of Birth, Place of Residence etc. Name search could be Exact Match, Sounds Like match, Begins with, Ends with, Wildcard search etc. Search authorities/bodies will include Name, Type, Caseworker, Abbreviation, and Country etc.

The search results are displayed in a grid. Case details, actor details, and caseworker details are displayed in the grid to facilitate identifying the right case. The worker would be able to navigate to any screen by selecting a row in the grid. The key data from the row in the grid is passed to the screen navigated to. The worker will have the capability to navigate back to Search screen by clicking on the Back button. An example of a Search screen is provided below.

DECSS - Windows Internet Explorer

Tools Help Case Initiation

Search for Cases

Screen Functions

New Add Modify Delete Print Clear Exit Quick Navigation

Back button

Select Filters

First Name Last Name C-CONTAINS Case ID

Search By ALL SSN MCI File Number

IV-A Case ID County -SELECT- DOB Find

Case Summary Ribbon

SRCH - Search For Cases Search for Cases View All Hide All

Case ID	County	Case Type	Case Status	File Number	CP Name	NCP Name	IV-A Case ID

Done Error Detail GARIMALLA, SATISH 05/22/2015 11:45:57 AM

5.13.3 The search for a case

RFP
5.13

264. The search for a case must as a default allow the entry of at least the following search data:

- The iSupport case number,
- Internal reference number (requesting CA),
- Internal Reference number (requested CA) ,
- Type of application,
- The requesting State (drop down menu),
- The territorial unit of that requesting State (drop down menu),
- The requested State (drop down menu),
- The territorial unit of that requested State (drop down menu),
- Details concerning as least two natural persons connected with the case:
 - o Surname,
 - o Given name,
 - o Birth name,
 - o Alias,
 - o Date of birth (dd/mm/yyyy),
 - o ID or Social Security number,
 - o Whether this is an “applicant”, “child”, “person seeking maintenance” or “debtor”,
- Details concerning a public body connected with the case:
 - o Name of the public body,
- Status of the case (drop down menu),
- Sub-status of the case (drop down menu).

265. The search results must be precise enough to make an immediate distinction in most cases without having to open all the cases listed. This means the search results must not only display the case number but a number of further identifying items as listed above.

266. The above-described composition of the search screen and the result screen are minimum requirements and as such “Must Have” requirements.

Case search screen will have the data elements listed above for search criteria. The data elements required to be able to identify the right case will be provided in the grid. The matching records will be displayed in the grid. Selecting a row and navigating to a different screen will take sticky data and auto-populate data. Back button will navigate back to Search screen.

The search results are displayed in a grid. Case details, actor details, and caseworker details are displayed in the grid to facilitate identifying the right case. The worker would be able to navigate to any screen by selecting a row in the grid. The key data from the row in the grid is passed to the screen navigated to. The worker will have the capability to navigate back to Search screen by clicking on the Back button.

5.14 Notes for caseworkers

5.14.1 General requirements

**RFP
5.14**

267. The caseworker can add internal notes into the case to provide additional information that does not appear in the Forms or documents attached to the case. Notes are not exchanged with other Central Authorities. The notes allow the caseworker to keep a brief record of certain points as an aid to memory, to record communications or to provide additional information to an internal colleague who might work on the case later. The provision a tool for these internal case notes is a “Must Have” requirement.

268. Even though the notes are internal notes, data protection requirements make it necessary for these notes once saved to become part of the case record. This means that once the note is saved in the case it cannot be deleted or modified. Should a note contain a mistake or false information a new note correcting this error can be added (“Must Have”).

269. Notes are case related and will be displayed on a screen in the Casework Module. All notes relating to the same case can be viewed at the same time. The most recent entry will be listed on top. Should the list of notes be very long, only the most recent will be shown with the option to extend the view to the full list (“Must Have”). The list of saved notes will be composed of the below listed (see “5.13.2 Items displayed in the list of notes”) note items.

270. New notes can be entered into specific defined space. This space would have to be beside or above the list of old notes. The caseworker can enter an optional status of the note if wished (open / done) and can add an attachment. When the caseworker presses save, the content added as a note and the attachment will be moved to be on top of the notes history list. The full text of this note together with the automatically saved time of creation and user name of the caseworker will be displayed for each item in the list “Must Have”.

Caseworkers will be able to enter case notes. When a note is added in the database, the updated worker and date and timestamp are logged in the system. Modifying or deleting existing notes will not be allowed on this screen. Once added, the notes will remain in the case notes. The data elements included in the note screen are Note text, Created by Worker, Date and Timestamp, Attachment link, Status. Status can be modified by the worker from Open to Done.

If notes list is long, there will be pages and the worker will be able to view older notes by clicking on forward button for next page. Option to add an attachment to the note will be designed in the Case notes screen.

5.14.2 Items displayed in the list of notes**RFP
5.14**

271. The list of saved notes will show the following items:
(Table 1 Layout of Notes)

272. The provision of the columns “Note text”, “Created by” and “Created at (date and time)” is a “Must Have” requirement, while the possibility to add an attachment or to mark the status of the note is a “Should Have” requirement.

Caseworkers will be able to enter case notes. When a note is added in the database, the updated worker and date and timestamp are logged in the system. Modifying or deleting existing notes will not be allowed on this screen. Once added, the notes will remain in the case notes. The data elements included in the note screen are Note text, Created by Worker, Date and Timestamp, Attachment link, Status. Status can be modified by the worker from Open to Done.

5.14.3 Separate Financial Notes

RFP 5.14

273. iSupport should also contain separate financial record notes. As the accountant work may be a separate work step or the responsibility of other Central Authority members, it can be extremely useful to have separate financial notes in connection with the monitoring of funds. The functionality could be the same as the one described for the general notes. This is a “Should Have” requirement.

While general notes help in understanding the status of the case, financial notes require more attention and therefore separating financial notes from general notes is needed.

Financial notes might require type of notes such as Collection related, Obligation related, Adjustment related, Payment related etc. The screen will have a Dropdown with valid Financial note types and the notes added could also be forwarded to another worker. All the details will be displayed in the grid.

5.14.4 Comments in different section of the system

RFP 5.14

274. In a future edition of iSupport it might furthermore be useful to allow the inclusion of comments and notes in different sections of the system. This is for the time being a “Won’t Have” requirement.

This requirement is partially met on some of the screens. The Workflow screen has the ability to add comments at each step of the process. On Case and Actor screens, there is provision to add comments. On Address screen, in addition to address lines, there are two text boxes, for the worker to enter in freeform, one for the directions to the address and the other for comments.

5.15 Messages

5.15.1 General Requirements for External Messages

5.15.2 Items displayed in the list of messages

**RFP
5.15**

275. Messages in iSupport can be sent between Central Authorities. They are always case-related i.e., never addressed to a person but always addressed to a case. This is a “Must Have” requirement.

276. When a new message for a case comes in, the caseworker(s) assigned to that case, will see in their task list a new line indicating that there is a new message, with the case number. In the case the new message is displayed as “unread” until it has been opened. This is a “Must Have” requirement.

277. When sending a message back to the other Central Authority, again the message will be sent to the case using the iSupport case number and the person(s) responsible for the case will take note of this message. The sending caseworker does not need to know who exactly is working on the case.

278. Sent and received messages are displayed with the case. This is a “Must Have” requirement. There will be an icon or equivalent indicating which of the messages are incoming and outgoing messages. The list of all messages can be seen at the same time if wanted. The full content of the message will be visible upon clicking on the message. The number of messages is also shown in the messages section. These are a “Should Have” requirements.

279. Messages are part of the case record and cannot be deleted by the caseworker. They will be archived together with the case. This is a “Must Have” requirement.

280. The list of messages will contain the following items (“Must Have”): (see Table 2 Composition of message list)

281. The design will be decided in the programming phase. As concerns the attachment, the simple marking that a message contains an attachment is a “Must Have” requirement. The list could further contain the names of the attached documents (“Could Have”).

282. The list should contain symbols that easily identify a message as a sent or a received message (“Should Have”).

283. By clicking on the case number, the data concerning the case is displayed (“Must Have”).

The messages sent and received between central authorities will contain the details such as the full case number, Actors names, Subject, Message, Name of the CA, User, Date and Timestamp and Attachments link.

The screen will have left pane with statistics on messages sent and received which includes Inbox, unread, Outbox, Sent items etc. Each of these items will have count of messages. The right side of the screen will display one tab containing the list of messages; On double clicking on any message in the list, the message opens up in the second tab.

The message list will have data elements such as full case number, Actors names, Subject, Name of the CA, User, Date and Timestamp and Attachments Indicator. There will be option to filter message list by Case number, Debtor etc. On double clicking a message in the message list, the full message text will display in a new tab. The message list can be ordered by Date Received (default), by Sent state, Subject, Case Number, Debtor Name, and Attachment Indicator etc.

Messages can be sent to another state CA or within the same state, as internal message. In case of external message, the sender and receiver of the message will be CAs of two states involved in the case. The internal message will have the sender same as receiver.

In general, the screen will be similar to MS Outlook except that

- The messages will always have a Case number
- Send button will send only to the states relating to the case number
- Messages cannot be deleted

5.15.3 Internal Messages

RFP 5.15

284. The messaging system could also be used to send internal messages, by choosing the sending Central Authority as the receiving authority. The message will appear twice in the list. Once as sent and once as newly received message. It can be a useful tool to draw the attention of other caseworkers responsible for the case to an urgent matter. Caseworker deadlines can be used for this purpose. All caseworkers responsible for a case will receive a notice of the caseworker deadline in their task list (see further under task list).

285. The possibility to send internal messages to the case is a “Should Have” requirement.

Messages can be sent to another state CA or within the same state, as internal message. In case of external message, the sender and receiver of the message will be CAs of two states involved in the case. The internal message will have the sender same as receiver.

The messages sent and received between central authorities (in this case both sender and the receiver is the same CA) will contain the details such as the full case number, Actors names, Subject, Message, Name of the CA, User, Date and Timestamp and Attachments link.

The screen will have left pane with statistics on messages sent and received which includes Inbox, unread, Outbox, Sent items etc. Each of these items will have count of messages. The right side of the screen will display one tab containing the list of messages; On double clicking on any message in the list, the message opens up in the second tab.

The message list will have data elements such as full case number, Actors names, Subject, Name of the CA, User, Date and Timestamp and Attachments Indicator. There will be option to filter message list by Case number, Debtor etc. On double clicking a message in the message list, the full message text will display in a new tab.

5.15.4 General non-case related messages

**RFP
5.15**

286. It may also be necessary to send general messages that are not related to one specific case but concern general aspects of work from one Central Authority to another, for example, if a Central Authority changes a routine and wants to inform its counterparts. A general message could also be useful to announce iSupport updates and changes.

287. The availability of a general messaging option in iSupport is a “Could Have” requirement.

288. There are different ways in which a general message option could be included. It could be simply included in form of a special kind of message. The message could be sent to and from the system administrator. Another possibility would be to reserve a particular case number, for example, the one with the running number: 000_0001 for general communication. So all general communication messages could be sent to this case number and all caseworkers would have access to that case.

General communications could be handled within the same messaging system by having a generic case number. The message could be sent to a specific state or all states. Restrictions will be placed in security to allow only managers/administrators to send generic message. However when a generic message is received, all caseworkers will have access to view the message.

5.16 Task List**5.16.1 Three types of task list displays****5.16.1.1 Master Task List****RFP
5.16**

289. The task list is a central case management tool assisting in the timely fulfilment and prioritisation of pending tasks. The task list is a 'basket' of the tasks. These tasks can be automatically or manually created tasks (see below under "The tasks").

290. iSupport will provide for three types of task lists to be displayed:

- Master task list
- Caseworker task list
- List of tasks by case

291. This is a "Must Have" requirement.

292. The "master task list" will be accessible to persons with manager access rights and will list all outstanding tasks to be completed by all caseworkers of the Central Authority. The manager will be able to sort the list, for example, by type, due date and by caseworker (see below). The latter can be particularly helpful if a caseworker is on sick leave and a re-allocation of tasks is necessary. The provision of a master task list display and the ability to sort the list as described is a "Must Have" requirement.

293. The person with manager access rights will also be able to edit the column of "caseworker in charge of the task" (see "Composition of the task list display" below). This is a "Must Have" requirement.

294. The function of the "master task list" display must be constructed in a way that it can be disabled by the Central Authority when implementing iSupport. This is a "Should Have" requirement.

Task lists are created either by the worker manually or triggered by the system on completion of certain activities. The managers will have access to master task list and will be able to assign tasks to a caseworker(s). The updated manager's ID and date and timestamp will be logged in the system. The master list will have sorting capability, filter capability to enable the managers to assign/reassign tasks to different workers.

Task could be assigned to a specific worker in which case the task would appear in the caseworker list of only that specific worker. If the task does not have a specific worker assigned, all caseworkers associated with the case will view the task in their task lists. Disabling/enabling the master task list will be achieved by means of a on/off flag from a screen.

5.16.1.2 Caseworker Task List

**RFP
5.16**

295. Each caseworker will have his / her own personal task list. The caseworker task list will be a filtered list that only displays tasks for cases the individual caseworker is associated with. As with the master task list, sorting by any column will be possible. The provision of a caseworker task list display and the ability to sort the list as described is a “Must Have” requirement.

296. Should there be several caseworkers assigned to the same case, the relevant task will appear in all these caseworkers’ lists with no username mentioned under “caseworker in charge of the task” (see “Composition of the task list display” below). A caseworker will be then able to identify him / herself as the one working on the particular task. This could be done in the relevant case task list (see “List of tasks per case” below) or in the caseworker task list. The moment a caseworker is identified as in charge of the task, the task will disappear from the other caseworkers’ task lists. The case task list will display the task now as one that a colleague has taken over, as will the master task list. A caseworker can also assign a task to a colleague caseworker. Furthermore, the task can be reassigned to a different caseworker later, for example, in the case of sick leave. The described functionality of identifying who is in charge of a task and the consequences of this identification for the different task list displays is a “Must Have” requirement. The possibility to reassign tasks to a different user is a “Must Have” requirement.

Task could be assigned to a specific worker in which case the task would appear in the caseworker list of only that specific worker. If the task does not have a specific worker assigned, all caseworkers associated with the case will view the task in their task lists. Just like the master list, caseworker list will have sorting capability, filter capability to enable the caseworkers to work their tasks or reassign tasks to different workers.

When a task relating to a case is not assigned to a specific worker, all caseworkers of the case get the alert, though there is only one record in the database relating to this task. When one of the caseworkers starts working on the case, the task will get assigned to that specific worker and from then on, the alert disappears in other caseworkers’ task lists. The updated worker ID and date and timestamp will be logged in the system. Assigning of case by a worker to different workers is a possibility. However the rules and restrictions relating to reassigning cases and the worker roles that are allowed to do reassignment will be discussed during design phase.

5.16.1.3 List of tasks per case**RFP
5.16**

297. In each case all open case-linked tasks will be displayed. There will also be a way to consult the list of completed tasks. The list of open tasks will contain a column noting the individual caseworker identified as the one working on this task. The list of completed tasks will show besides the name of the person who worked on the task the date when the task has been fulfilled. The provision of a list of open tasks and completed tasks for each case is a “Must Have” requirement.

Task list by case will look similar to worker task list. Sorting and filter capabilities allow worker to work on tasks with higher priority or with overdue deadlines etc. The system will default to open tasks. To view all tasks or completed tasks, the filter needs to be set in the header.

Open tasks are marked “Completed” either by the system when system completes a task or by the worker by ticking on a checkbox. The updated worker ID and date and timestamp will be logged in the system. Once a task is completed, there is no other update allowed on this record. Worker can recreate a similar task and leave it open in case of a mistake.

5.16.2 Composition of the task list display

RFP 5.16

298. The three task list displays (master task list, caseworker task list and case task list) will consist of mainly the same columns, which are:
(see original chart)

299. The items listed will be:

- The iSupport case number followed by the application number (if any),
- The internal case reference number(s) of the relevant CA (provided there is space),
- The surnames of debtor and person(s) for whom maintenance is sought,
- The type of the task (for which an icon will be shown),
- The task subject,
- The task description,
- The target date (which is \leq the Convention or Regulation deadline if any), the target date cannot be changed by the caseworker,
- Caseworker deadline, a date the caseworker can change (the default date displayed is the same as the target date),
- The username of the caseworker who noted he / she will be working on this task (this field will be empty when a new task comes in for a case to which several caseworkers are assigned),
- Priority (to be set by the caseworker).

300. The master task list will in addition contain a column noting the caseworker(s) assigned to the relevant case (not to be confused with the column noting the caseworker in charge of the task). This way, the manager can more easily assign or reassign tasks, if needed, to a specific person.

301. The case task list will also provide for a tick box with which tasks can be marked as completed (see description of the functionality of completing a task below). The case display of tasks will not need to display the iSupport number.

302. The provision of the task list displays in the above-described compositions is a “Must Have” requirement. For the prioritisation, there are different options. The minimum requirement is the ability to highlight a particularly urgent task with a flag or an exclamation mark. A more elaborate option would be to allow the caseworker to use flags of different colours or to allow a prioritisation of up to three priorities etc. A more elaborate way of prioritising tasks is a “Could Have” requirement.

303. In order to give a good overview of the tasks, all items should be displayed in one line. This is a “Should Have” requirement. Should the description of the task be too long, the first line could be shown and when hovering over the full content of the field is shown.

304. The iSupport number will be listed in form of a link, so that the user can directly open the case from the task list. This is a “Must Have” requirement. Furthermore, when the user clicks on a task item iSupport take the user directly to the correct object / screen in the case. The latter is a “Could Have” requirement.

305. It will be possible to sort the list on each column, ascending and descending. This is a “Must Have” requirement.

306. There could be the option to customise the caseworker task list allowing caseworkers to change the order of the columns. This is a “Could Have” requirement.

307. There will be a scroll-function where the number of task list items exceed the list-length. This is a “Should Have” requirement.

308. The displayed content for the different tasks list has to be synchronised. This means, that if a change that is made for example, in one of the caseworker task lists concerning the caseworker deadline, then all the other task lists containing this task must automatically be updated to show that date. This is also true for different caseworker task lists containing the same task (i.e., when the task is listed in the caseworker task lists of the two or more caseworkers assigned to the case). The synchronising of the task lists is a “Must Have” requirement.

The display of tasks will be defaulted to a specific order of data elements listed in the requirement. The order of data elements could be changed by the workers in their task list. The case number will have a link so that the worker could click on the link to go to the appropriate screen and complete the task. Each task will be shown on one line. Hovering on the task description will give full description of the task. If number of rows exceeds list length, scroll-function will be provided. By clicking on column caption, the display order will toggle between ascending and descending order. All task lists will have filter to filter by open tasks or closed tasks.

Each task will have a priority at the time of task creation. The manager will prioritize the task by increasing or decreasing the priority. Since only one record exists in the database when the case is not assigned to a specific worker, the change in priority or change in deadlines will appear on caseworkers' case consistently. In order to show that some task is critical, there will be a flag in addition to priority. Clicking on this flag will display a red exclamation mark to indicate that the task is critical and needs at most attention.


The master list will have a column different from Caseworker task list and case task list. This column displays all assigned caseworkers of each case in the list. This will enable the managers to pick the appropriate worker for assigning/reassigning the case.

It will be good to have iSupport case number in the case task list also. If there is any task that needs to be completed on a case-related screen, by clicking on the case link, it is easy to navigate to the appropriate screen. The link could be provided on a different column, but for consistency,

it is good to have iSupport case number in the list of data elements. An additional column with a checkbox will be provided on worker task list and case task list for the worker to be able to mark a task as "Completed".

5.16.3 Completion of a task

RFP
5.16

309. When a task is completed it will have to be marked as completed. This can be done with a tick box: 

310. If done manually, this will be done in the case itself on the page where the open and completed tasks are listed. It can also be done in the caseworker task list itself although this might create the risk that a caseworker accidentally marks the wrong case. The option to note the task as completed in either the caseworker or the case task lists is a “Must Have” requirement (see for the automatic ticking off of tasks below at paragraph 314). In case of doubt the list of completed tasks can be consulted. There will be a list of completed tasks in each case, as described above. In addition the caseworker can consult the caseworker task list of completed tasks. This list will show all completed tasks that were on the caseworker task list i.e., for all cases the caseworker was assigned to. Both completed task lists will show the most recently completed task first. The provision of these “completed tasks” lists is a “Must Have” requirement.

311. If a caseworker has ticked off a task by mistake, the caseworker cannot “untick” the task i.e., he / she cannot reactivate the task. But the caseworker can copy or retype the task description and create an individual caseworker deadline with the same content i.e., replicating the task. This is a “Could Have” requirement.

312. Certain predefined tasks administered by the system, such as the sending of the acknowledgement of receipt, should be ticked off automatically by the system upon completion. This is a “Must Have” requirement.

Case task list and worker task list will have a filter to display open and completed tasks. The default list is list of open tasks. When a worker completes a task manually, the worker can record the task as completed by checking on checkbox in either case task list or worker task list. No further updates are allowed on a completed task. Even when a worker marks a task as completed by mistake, the worker has to recreate the task.

5.16.4 The tasks

RFP
5.16

313. Tasks are usually case related with the exception of tasks liked to newly received applications for which an iSupport case number has not yet been assigned and with the exception of certain manually set sui generis tasks.

314. A majority of tasks will be automatically activated by the system, triggered by the sending or receiving of messages, documents, Forms or the expiration of system set deadlines. The tasks will appear on the task list on a defined date and remain on the Task List (s) until marked as complete. The tasks may also include simple notifications. Notifications may disappear from the Task List without any action to be taken by the user. A detailed list of the automatic task list items will be provided in advance of the programming. The inclusion of the pre-defined automatic tasks is a "Must Have" requirement.

315. In addition, the users will be able to create individual tasks for themselves or directed to co-workers. These tasks will be combined with a custom-set caseworker deadline (described above) and appear on the task list of those in charge of the task. There will be space for a free-text description of the task. For example, if one in a group of caseworkers assigned to a case has completed his / her work step and wants a colleague to take over, he / she can create a task for the colleague, such as "check population register for debtor's address". The option to create individual tasks for any other caseworker is a "Must Have" requirement.

316. With the described functionality of the caseworker task list above, a group of caseworkers assigned to a case will be able share the work in a way that meets their needs. This can be done with the help of the column indicating who is working on the task. The new task will first appear on the task list of all caseworkers assigned to the case. Under "caseworker in charge" no name will be shown at the outset. After the name of the first caseworker dealing with the task is entered (by him / herself or a colleague) the task will only show on the caseworker task list of that caseworker and no longer on the caseworker task lists of his / her colleagues. In the "case task list" and in the "master task list" the task will now be shown as assigned to that person. When that caseworker is finished with his / her part of work, he / she can enter the username of the next caseworker in line. He / she can also change the caseworker deadline accordingly. The task will now be displayed on the caseworker task list of the next caseworker in line.

The iSupport system triggers certain tasks while worker also can initiate some tasks. Most of the tasks are case-related, while there are a few such as "application received" from non-iSupport state, where the case needs to be created in the requested state. In this instance, there is no case number present.

Worker could assign tasks to other caseworkers or reassign the case assigned currently to them to other workers. A note field will be provided for entering additional notes relating to the task, especially when the entire task is split among multiple caseworkers.

5.17 Coverage of iSupport - EU Maintenance Regulation cases, the 2007 Hague Convention cases & other international maintenance cases

**RFP
5.17**

317. iSupport may provide additional support to give Central Authority and the caseworkers a visual overview of where the casework stands. This could be done, for example, in the form of a gauge.

318. The dashboard would show if the situation is fine or if attention is needed.

319. Alternatively, for example, a traffic light symbol could show red, orange or green.

320. The provision of a dashboard functionality is a “Could Have” requirement.

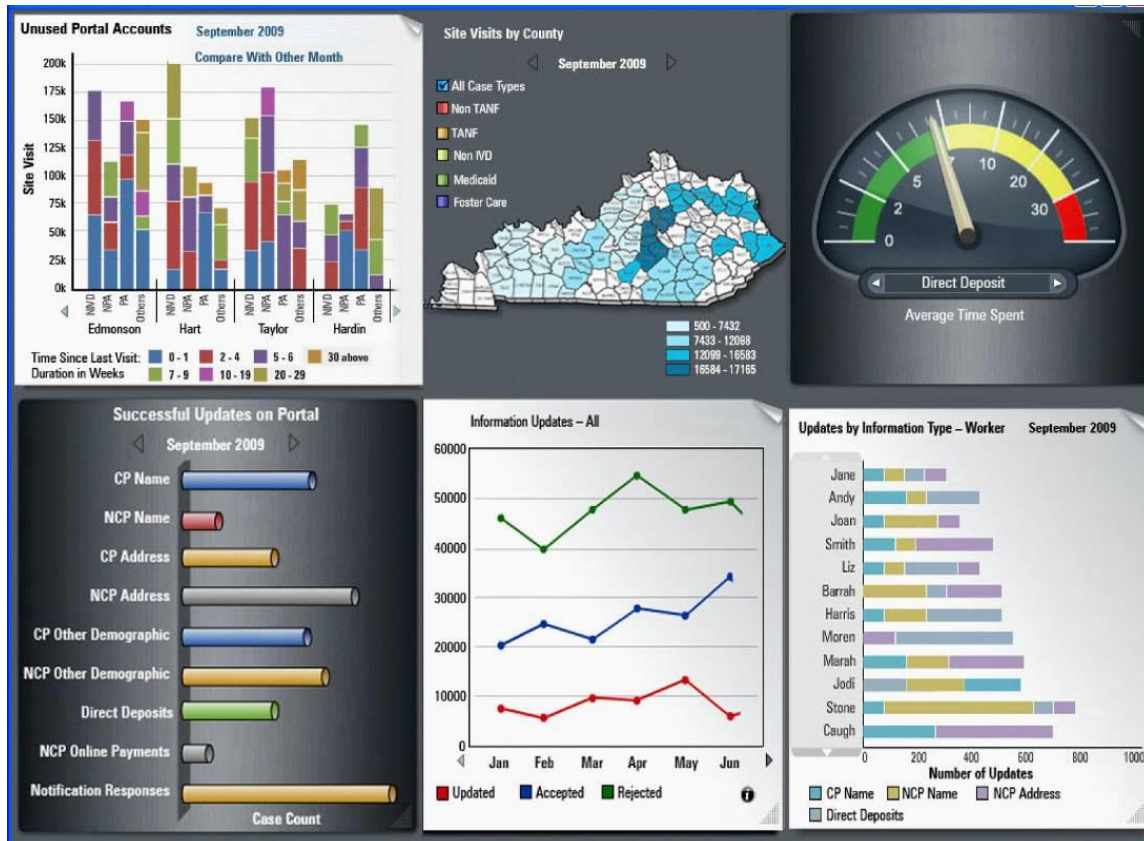
Protech's solutions feature dashboards, which use rich, user-friendly data visualization tools. These dashboards draw worker attention to areas needing their attention. The visualization is simple and features components such as Traffic Lights, Gauges etc.

Users can analyze data using visualization tools which include scorecards and data visualization techniques such as intuitive maps, automotive-style gauges, statistical charts, process illustrations, flow charts, and pictures to illustrate the inter-relationships between disparate data sets and their impact on performance.

Digital dashboards allow managers to monitor the contribution of the various departments in iSupport. Digital dashboards allow managers to capture and report specific data points from each department and gauge exactly how well an organization performs overall. Benefits of using digital dashboards include:

- Visual presentation of performance measures
- Identify and correct negative trends
- Measure efficiencies and inefficiencies
- Generation of detailed reports showing new trends
- Ability to make more informed decisions based on collected business intelligence
- Align strategies and organizational goals
- Save time overrun of multiple reports
- Instant visibility of all systems.

The following screenshot is an example of an interactive dashboard:



5.17.1 Manager Dashboard

RFP 5.17

321. There could be a Manager dashboard showing certain crucial data for the organisation of the Central Authority work, such as
- the amounts of total delay in case work,
 - the amount of outstanding payments versus the received payment, etc.
322. By clicking on an icon or table, the user could view more detailed information.
323. The provision of a manager dashboard functionality is a “Could Have” requirement.

The Manager Dashboard provides an insight into performance measures and reports including:

- Collection Vs Outstanding
- Time spent / Delays in case work
- Financial Activity
- Workflow / Case Activity Overview
- Performance Measures
- Case Creation
- Case Load

- Relief Results (Court Orders)

Managers can drill down from the summary level information to details and also identify performance for individual members of the team. The supervisor view consists of the following frames to analyze.

- Aging Analysis for Cases
- "Speedometer" - to analyze case activity aging
- Inter-State Aging Analysis - to track referrals
- Worker Analysis - Analyze by Caseworker
- Category Analysis - Analyze by Case Attributes / Category

The Manager dashboard enables managers and supervisors to pinpoint areas/ cases / workers needing their attention. An example of a manager dashboard is presented below:



5.17.2 Caseworker Dashboard

**RFP
5.17**

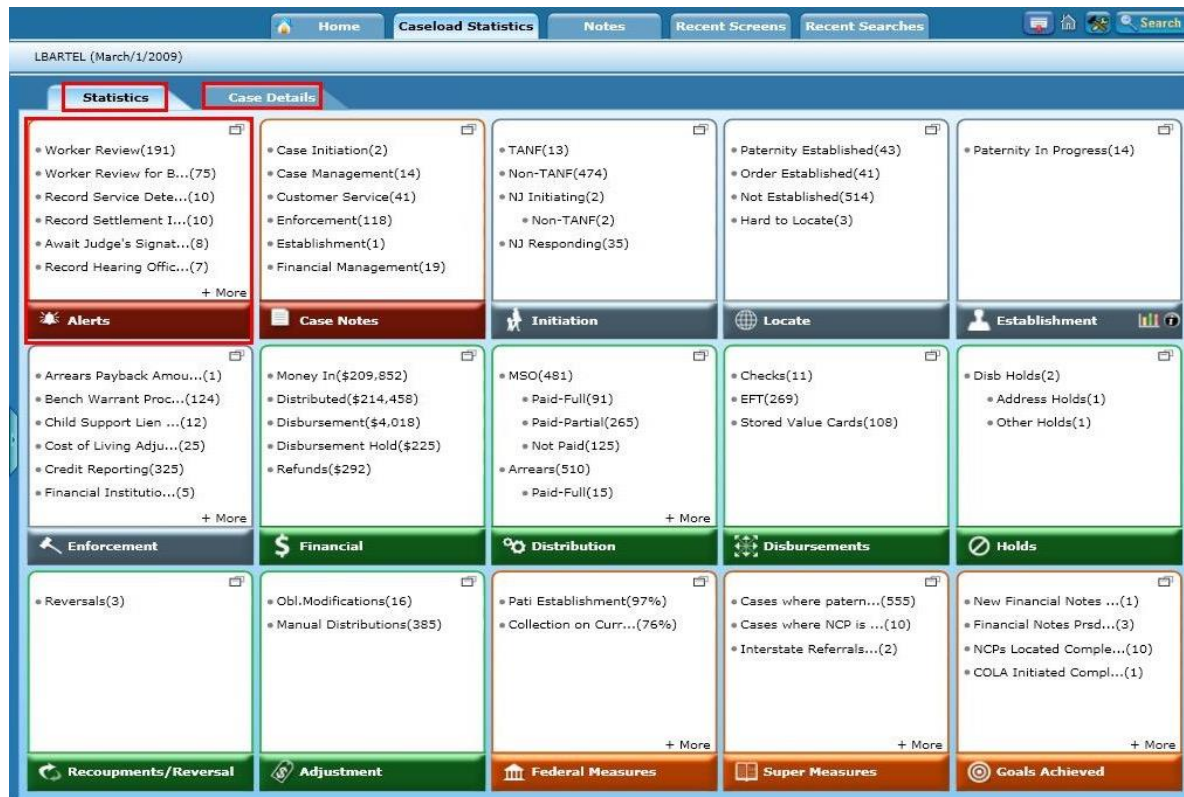
324. The caseworker dashboard is built with the same fields as the manager dashboard, however with totals at the user-level relating to the cases the caseworker is assigned to.

325. The provision of a caseworker dashboard functionality is a “Could Have” requirement.

Protech will work with the iSupport Team to provide a caseworker dashboard which is similar to the manager dashboard with the limitation that it provides the same view for a specific caseworker.

The Protech Team’s solution for its OCSE customers features a “Worker Dashboard” which enables a worker to analyze operations from a set of widgets. As illustrated in the screenshot below, the initial view of the screen displays widgets with activity information on:

- Alerts
- Case Notes
- Initiation
- Locate
- Establishment
- Enforcement
- Financial
- Distribution
- Disbursement
- Adjustment
- Federal Measures
- Super Measures
- Goals Achieved
- Holds
- Recoupment/Reversal



Users can drill down to the underlying screens, which provide more details on the information displayed, view further analysis on a chart, or view the underlying case detail.

These are also dashboards that provide real-time feedback to the production systems in that these portlets lead to screens where users can take significant actions such as executing the next steps for workflows subsequent to a drill-down from these portlets.

Worker alerts can be filtered, sliced/diced, and specific workflows can be zoomed into, allowing the workers the capability to view their workloads from a variety of angles including performance views.

Navigating directly from these to production portlets, executing workflows and navigating back to the reports provides users with the seamless experience that enhances productivity and provides unprecedented views into worker performance and goals achievement analyses.

5.18 Monitor of Funds

RFP 5.18

326. iSupport will provide some functionality to monitor funds on incoming and outgoing cases. iSupport will however, not at this stage provided the support to actually initiate or accept the transfer of funds (a transfer for funds system is not included in iSupport, see below under "5.18 Transfer of funds system"). The provision of functionality to monitor funds is a "Must Have" requirement.

Protech will provide the functionality to monitor funds at the recipient level and case level.

5.18.1 Composition and functionality of the monitor of funds

RFP 5.18

327. The account monitoring screen on each case must include (“Must Have”) the following :

- Amount due (include the due date and the indication of the frequency of payment (monthly, lump sum etc.).
- Amount paid,
- Amounts due and paid with a further breakdown by person for whom maintenance is sought (if necessary for the case),
- Total balance owing to each recipient
- Total balance owing for the case.

328. The amount due must be entered automatically by the system on the frequency indicated.

329. The amount paid will be taken from the data that is manually entered or uploaded from an external source.

330. Calculation of the balances by recipient and by case will be performed by the system.

331. There must also be the capacity to manually enter a due amount, a received amount or an account balance adjustment in order to reconcile the account data or account for other circumstances (such as currency conversion, indexation or interest as discussed below).

332. All of these (paragraphs 328-331) are “Must Have” requirements.

333. A crucial element of the account monitoring screen for international maintenance cases is the ability to display due and received payments in different currencies. The account monitoring screen must be able to show the debt (amount due and balance) in both the currency of the original debt i.e., the currency noted in the decision or court settlement etc. and the currency of the State of the Central Authority where the enforcement is taking place. This is a “Must Have” requirement.

334. It will be possible to choose the currencies from a drop down menu. This drop down menu must also include certain now defunct currencies of EU Member States as

older decisions will still refer to the former currency. The capability of choosing the currency for the amount due, received and balance is a “Must Have”. Performing this calculation from a drop down menu is a “Should Have”.

335. The calculation table must support the calculation of interest on outstanding balances. The adding of interest calculated manually is a “Must Have” requirement. The automatic calculation of interest is a “Could Have” requirement.

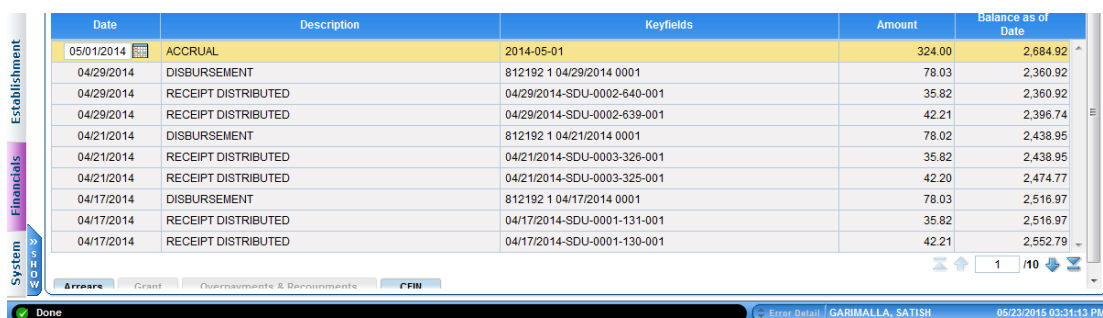
336. The detailed list of items to be displayed in the account monitoring screen will be provided before the start of the programming.

337. The account monitoring screen should be automatically populated with details concerning the due payment, such as the due date, the type of payment, and the amount due, from the details of the decision entered in the decision section of the case. This will ensure integrity in calculation and avoid the caseworker having to enter this information twice. This is a “Must Have” requirement.

338. For audit purposes, payment data that has been entered cannot subsequently be overwritten or deleted (“Must Have”). Where necessary a subsequent adjusting entry can be made.

The account-monitoring screen provides for the obligation details such as the Debt Type (Child support or Spousal support or Medical Support etc.), Periodic amount, Frequency, Effective date, End date, Recipient ID, current arrear balance, Date of last charge, Date of next charge etc. in the header and all individual transactions in the details section. Filter by Recipient will allow the transactions to be displayed only for that recipient of the case. The obligation details entered in Case decision sections will be used to display on this screen. The transaction details include log of transactions with the date of transaction, the description of transaction, the key data relating transaction, the amount of transaction and the balance after the transaction occurred.

An example of transaction details is provided in the screenshot below:



Date	Description	Keyfields	Amount	Balance as of Date
05/01/2014	ACCRUAL	2014-05-01	324.00	2,684.92
04/29/2014	DISBURSEMENT	812192 1 04/29/2014 0001	78.03	2,360.92
04/29/2014	RECEIPT DISTRIBUTED	04/29/2014-SDU-0002-640-001	35.82	2,360.92
04/29/2014	RECEIPT DISTRIBUTED	04/29/2014-SDU-0002-639-001	42.21	2,396.74
04/21/2014	DISBURSEMENT	812192 1 04/21/2014 0001	78.02	2,438.95
04/21/2014	RECEIPT DISTRIBUTED	04/21/2014-SDU-0003-326-001	35.82	2,438.95
04/21/2014	RECEIPT DISTRIBUTED	04/21/2014-SDU-0003-325-001	42.20	2,474.77
04/17/2014	DISBURSEMENT	812192 1 04/17/2014 0001	78.03	2,516.97
04/17/2014	RECEIPT DISTRIBUTED	04/17/2014-SDU-0001-131-001	35.82	2,516.97
04/17/2014	RECEIPT DISTRIBUTED	04/17/2014-SDU-0001-130-001	42.21	2,552.79

Some examples of types of transactions that are applicable to iSupport are:

- Amount charged on due date
- Amount added as interest
- Amount added for indexation
- Amount added as lump sum

- Amount added as fines and costs
- Payment received
- Amount adjusted for currency exchange differences.

Header will also contain the provision to adjust the amount due, amount received, or arrear balance at the recipient level by authorized caseworkers. The reason for adjustment such as interest, indexation, currency conversion differences, user ID of the worker who updated and date and timestamp of transaction will be captured in the system. The data transmission relating to financials from other states through iSupport could result in financial transactions created automatically. Batch process charges the obligated amounts on the due date for all open cases with obligations. All such transactions also appear on the Account-monitoring screen with the worker ID showing as “System”.

The screen will have a pop-up with calculation table to enable worker to calculate interest and adjust the balances. The option to convert balances in different currencies will be provided. This will help workers in reconciling balances between states.

All transactions made are final and the worker will not be allowed to make any modifications or deletions of transactions. If a worker makes an incorrect transaction, the transaction could be corrected by entering another transaction with the same absolute amount to negate the effect of the original transaction.

5.18.2 Setting of currency exchange rates

RFP 5.18

339. In view of the fact that the issue of currency conversion is dealt with differently in every State with time periods between updating the rate varying from 1 month to 1 year, iSupport needs to be flexible in this regard. Therefore, iSupport will offer the administrator the ability to set the exchange rate on a periodic basis aligned with the State's current practice. This means the administrator can, for example, once a month update the currency rates centrally. If this approach is used, as a result, all cases with account monitoring screens that include foreign currencies will now base the currency conversion of sums due or received going forward on this updated exchange rate. The sums that were due prior to the exchange rate change will remain as they are i.e., they will not be updated retroactively. The conversion of the totals to be paid (arrears) will be based on all of the due amounts calculated over time. The functionality to allow the administrator to input currency exchange rates centrally is a “Must Have” requirement.

340. It could be possible in the future to allow for an automatic feed in of currency exchange rates, for example, through the use of an RSS feed or an equivalent feed to get exchange rates from the country's central bank. The provision of a tool for an automatic currency update is, at this stage a “Won't Have” requirement.

Currency conversion is essential for iSupport cases as these cases are processed in two different countries with probably different currencies. To support accounting between the two countries, converting to local currencies is required. A screen is provided for the administrator to update the currency exchange rates for all the countries' currencies. The screen will have the data elements

such as the country Name, country abbreviation, the country currency, the current rate, a column to enter new rate, the last updated worker ID, date and timestamp.

The financial transactions such as charges to the account, payments received in the account, adjustments made to the account etc., are converted using the current currency conversion rate, maintained by the administrator, and displayed on account-monitoring screen. The arrear balances, that exist before the currency exchange rate is updated, will not be recalculated based on the new exchange rate. New exchange rate clearly applies to transactions from that point onwards.

5.18.3 Indexation

RFP 5.18

341. Court orders from France, Belgium, the Netherlands, Sweden, Austria, Estonia, Luxembourg, Norway, Portugal, Romania, Finland, Northern Ireland, Italy, Lithuania, Latvia, and Malta include or may include an indexation of the maintenance. However, the basis for the calculation of indexation differs significantly, sometimes even within one country.

342. iSupport should offer assistance with the calculation of indexation if feasible. If there is a calculation formula that is to be applied, iSupport could offer the option to include this formula in the account monitoring screen so that the result can be calculated by the system. This is a “Should Have” requirement. In the absence of calculation support for indexation, iSupport must offer the manual entry of indexation (“Must Have”).

Account-monitoring screen will provide for adjustments of balances based on reasons such as indexation, Interest calculation, exchange rate differences etc. A screen will be provided to provide indexation formula by country. The screen will allow for entry of multiple indexation formulas for the same country to allow for multiple indexation rules within same country.

On account-monitoring screen, the indexation formulas will be displayed in dropdown for the worker to pick the appropriate formula for calculation of indexation. If there is only one formula, this formula will be used to calculate the indexation of maintenance.

5.18.4 Statement of Arrears

RFP 5.18

343. iSupport will provide the option to create a statement of arrears output using the recommended EU arrears Form for Regulation cases and in an adapted version of this Form for Convention and other intentional maintenance cases. This is a “Must Have” requirement.

Statement of arrears will be derived from the account-monitoring screen containing all transactions relating to a case. Statement of arrears may need transactions for a specific period. The account-monitoring screen will have an option to create statement of arrears based on the specified dates input on the screen. The statement of arrears will follow the format required by the EU regulation and Hague Convention and other international maintenance cases.

5.18.5 Invoices

RFP 5.18

344. iSupport will provide a template for a letter to the debtor, which is a case-specific-invoice, with text including the payment reference the debtor must use when transferring money. The template letter will be one of the pre-set of templates described earlier (see above “3.4.3 Thirty pre-set templates”). The inclusion of the payment reference will facilitate the identification of incoming payments.

345. The function to “Create invoices by batches” is a “Won’t Have”. If a State wishes, it can develop its own run for this, outside the iSupport system.

Template for a letter to debtor, which is case-specific invoice, with text, including payment reference, will be developed. These invoices or billing coupons generally have the case number, payment due dates, amounts due for the period, arrear balance etc. If the individual states use payment processing by high-speed mailroom automation, these invoices/coupons help in posting money a lot faster.

5.19 Transfer of Funds System

RFP 5.19

346. iSupport will, for the time being, not include a transfer of funds module i.e., the transfer of funds functionalities are “Won’t Have” functionalities for the purpose of the Call for Tender.

“Transferring of funds” functionality will be deferred to future development.

5.20 Minimum requirements for managing other international maintenance cases

RFP 5.20

347. As described above (see “3.1.1 Usability of the iSupport case management system for EU Maintenance Regulation, 2007 Convention cases and other international cases”), the case management system component of iSupport will, to the extent possible, also be usable by States for managing other international maintenance cases, which fall outside the scope of the Convention or Regulation.

348. All of the functionalities described in this document for Regulation and Convention cases should apply equally to “other instruments” with the exception of validations of Forms. The default deadlines of the Convention will be equally applicable. This above feature is a “Must Have” requirement.

349. The validation requirements that are programmed in iSupport to ensure that Forms under the Regulation or Convention are not finalised unless all of the required fields are completed will be turned OFF for other international cases. The caseworker will need the capability to add or leave blank certain information.

350. The ability to turn off validation features for the Auto Generated Forms is a “Must Have” requirement.

All functionalities, processes and deadlines for international maintenance cases will be same as that of Regulation and convention cases. The forms for international cases will not have any validations for required fields for auto-generated forms. Caseworker will be able to print the form without all required data elements filled.

6 Identification of an application as Regulation / Convention or other international maintenance application

6.1.1 Identification on an application / request level

RFP 6.1

351. Due to the wide case definition chosen for iSupport, the decision as to whether the EU Maintenance Regulation, 2007 Hague Convention or other international or bilateral rules apply will have to be done on an application level and not at the case level. For example, it is possible, that the 2007 Hague Convention comes into force between the requesting and requested State in the middle of the case processing. Hence, a first application might be done accordance with other international or bilateral rules while a new application would be made under the 2007 Hague Convention.

The determination, whether EU Regulation or Hague Convention or international or bilateral rules are followed, is based on each individual application of the case. The system will provide suggestion as to what rule needs to be followed based on set of data elements entered on the application details screen. All the data elements required and the formula in determining the rule will be discussed during design phase for full understanding. Worker could click on a “check” button to view system suggestion. Worker would be able use the rule suggested by the system or override the suggestion and select a different rule. The rule selected by the worker is taken as the final and saved in the system. All processes, task deadlines, forms etc. will be based on this selection.

Worker will have option to select Regulation, Convention or Other Instruments. For a selection of Other Instruments, the system will require the worker to select from a pre-defined set of instruments or enter an instrument that does not exist in the list.

6.1.2 Which instrument applies to the establishment, modification, and recognition and / or enforcement?

RFP 6.1

352. Which instrument applies to the establishment, modification, and recognition and / or enforcement is determined by the caseworker. iSupport will provide the option to choose from three categories: (1) Regulation, (2) Convention and (3) other instruments, as applicable to the establishment, modification, and recognition and / or enforcement. This is a “Must Have” requirement. For the “other instrument” there must be an option to either choose from a list of pre-entered instruments that the Central Authority has identified, or to enter the name of the relevant other instrument in a free text field. This is also a “Must Have” requirement.

353. There are different factors that govern the applicability of the Regulation and the Convention. The territorial, temporal and substantive scope will have to be checked. Questions as to which States are involved and when a decision was made or proceedings begun etc. will influence this decision. For the Convention a number of additional factors are to be taken into consideration, since the Convention allows Contracting States to extend or reduce the scope of the instrument to a certain extent. By default the Convention applies to maintenance obligations arising from a parent–child relationship towards a person under the age of 21 years and to spousal support (the Convention Central Authority co-operation rules can only be used for spousal support applications on the recognition and / or enforcement of a decision on spousal support made in connection with child support). A Contracting State can limit the application of the Convention to children under 18 years. This will bring about a reduced substantive scope in relation between this and any other Contracting State. The possible extension of the substantive scope to children older than 21 years or to other maintenance obligations gives rise to obligations between two Contracting States only to the extent their declarations of extensions are concordant. Furthermore, the Convention allows for reservations concerning the indirect grounds of jurisdiction in Article 20 of the Convention.

354. iSupport must provide fields to note all the above mentioned factors and variables to assist in the determination of applicability of the Regulation and Convention. This is a “Must Have” requirement. In the future, iSupport might provide information on the extension or reduction of Convention scope through a direct link to the Country Profile. The automatic provision of scope information is, for the time being, a “Won’t Have” requirement.

355. If all of the necessary information is entered, iSupport must be able to identify whether a case falls within the scope of the Regulation or the Convention. A system check will be offered if requested by the caseworker. There could be a button labelled “check” that would tell the case worker whether, given the States concerned and the temporal scope applicable, the Convention or Regulation (or neither) would apply. The provision of a system check on demand, as described above, is a “Should Have” requirement. The system check will only check the applicability of the Regulation and Convention and not the applicability of other instruments. In a later release of iSupport, which includes a direct link to the County Profiles a more reliable system check could be possible.

356. Knowing the complexities around the temporal scope of application of the Regulation and the reservations and declarations extending or limiting the Convention scope (information which may not always immediately be updatable in the system), the system check may not necessarily give the correct result. Therefore, should there be a discrepancy between the category identified by the caseworker and the one identified by the system, the caseworker will be expected to double-check that the category he / she has chosen is correct one but the system check will not overrule the caseworker's choice. This is a "Must Have" requirement.

The determination of instrument that applies to establishment, modification, recognition and/ or enforcement is based on a set of rules dependent on lot of data elements. All the data elements required and the formula in determining the rule will be discussed during design phase for full understanding. Worker could click on a "check" button to view system suggestion. Worker would be able to use the rule suggested by the system or override the suggestion and select a different category. The category selected by the worker is taken as the final and saved in the system. All processes, task deadlines, forms etc. will be based on this selection.

Worker will have option to select Regulation, Convention or Other Instruments. For a selection of Other Instruments, the system will require the worker to select from a pre-defined set of instruments or enter an instrument that does not exist in the list.

- 6.1.3 Difference between an application to which the Central Authority co-operation rules of the Regulation or Convention apply and a Regulation or Convention based application
- 6.1.4 Categories of applications and requests

RFP 6.1

357. It is crucial to note that the scope of the EU Maintenance Regulation Central Authority co-operation chapter and thus the rules on handling applications by Central Authorities is wider than the scope of the chapters regulating the establishment, modification and recognition and enforcement of a maintenance claim. The latter apply to the establishment or modification of a decision (court settlement etc.) between EU Member States or respectively, the recognition and / or enforcement of a decision rendered in an EU member State falling within the scope of the Regulation. By contrast, the Central Authority co-operation rules of the Regulation extend also to applications for recognition and enforcement of decisions based on other instruments including the 2007 Hague Convention.

358. Therefore, the following questions will have to be answered in iSupport: (1) Which instrument's Central Authority co-operation rules apply? Should the answer be: the EU Maintenance Regulation, and should the application be one for recognition and / or enforcement then a second question will have to be posed: (2) On which instrument is the application based i.e., which instrument applies to the "substance"? The latter questions will have been answered using the above-described factors (see above "6.1.2

Which instrument applies to the establishment, modification, and recognition and / or enforcement?“).

359. For practical reasons, iSupport will sort applications in accordance with the Central Authority co-operation rules applicable (corresponding to question (1)) and will construct the case management using the following three categories of applications (“Must Have”).

360. iSupport will handle three types of applications and requests for specific measures:

- EU Maintenance Regulation applications and requests,
- 2007 Hague Convention application and requests, and
- Applications made in accordance with other multilateral or bilateral instruments.

All data elements needed to determine the categories of applications and requests will be made as required fields. The content of the screen will dynamically change based on the response to some questions. The logic to derive the category or the design of the screen will be discussed during design sessions.

Protech understands the system needs to handle differently, based on the type of application, i.e., EU Maintenance Regulations Applications and Requests, 2007 Hague convention requests and Applications and bilateral/multilateral instrument based requests.

6.1.4.1 EU Maintenance Regulation applications and requests

RFP 6.1

361. The first category will cover all applications and requests falling under Articles 56 and 53 of the EU Maintenance Regulation. It has to be highlighted that this will also comprise certain 2007 Hague Convention or other instrument based applications, since Article 2 of the Regulation extends the scope of the chapter on Central Authority co-operation to “decision in matters relating to maintenance obligations given in a third State”. This means that as soon as the requesting and requested State are both EU Member States (except Denmark) any applications for recognition and / or enforcement will be dealt with under the Central Authority co-operation rules of the EU Maintenance Regulation even though they may be substantially based on another instrument. In iSupport all these applications will be dealt with as “EU Maintenance Regulation applications”. Of course, if recognition and / or enforcement applications are based on another instrument than the Regulation itself will have a special status inside the group of EU Maintenance Regulation applications.

The rules relating to EU Maintenance Regulation Applications will be implemented.

All data elements needed to determine the categories of applications and requests will be made as required fields. The content of the screen will dynamically change based on the response to

some questions. The logic to derive the category or the design of the screen will be discussed during design sessions.

6.1.4.2 Hague Convention application and requests

RFP 6.1

362. The category of 2007 Hague Convention application and requests will comprise all applications and requests falling under Articles 10 and 7 of the Convention. Should the requesting and requested State be EU Member States (except Denmark), then the applications on recognition and / or enforcement based on the 2007 Hague Convention fall under the category EU Maintenance Regulation applications (see above).

The rules relating to Hague Maintenance Regulation Applications will be implemented.

All data elements needed to determine the categories of applications and requests will be made as required fields. The content of the screen will dynamically change based on the response to some questions. The logic to derive the category or the design of the screen will be discussed during design sessions.

6.1.4.3 Applications and requests made in accordance with other multilateral or bilateral instruments

RFP 6.1

363. The last category of applications concerns applications based on other multilateral or bilateral instruments handled by the Central Authority. Should the requesting and requested State be EU Member States (except Denmark), then the applications on recognition and / or enforcement based on these other instruments fall under the category EU Maintenance Regulation applications (see above).

The rules relating to Applications under multilateral / bilateral instruments through Central Authority will be implemented.

All data elements needed to determine the categories of applications and requests will be made as required fields. The content of the screen will dynamically change based on the response to some questions. The logic to derive the category or the design of the screen will be discussed during design sessions.

6.1.5 Consequences for iSupport

**RFP
6.1**

364. For each of the above-described categories, different rules apply. This will affect in particular:

- the deadlines to be applied (see “5.11 Three types of deadlines for the case management”),
- the Forms to be used (see “3.8 Forms”),
- the documents to be attached to an application (see “7.3 Case documents”),
- the steps to be taken (see “3.3 iSupport providing guidance to the caseworker”; “7 Application procedures - EU Maintenance Regulation and 2007 Hague Convention”) etc.

365. As concerns the first category of applications, the EU Regulation applications, a further distinction will be necessary, since, as explained above, certain applications can be based substantially on instruments other than the Regulation itself. This affects the Forms to be used and documents to be attached as well as the steps to be taken.

366. The system will identify the mandatory required deadlines, Forms and documents for each type of application and request. The system will furthermore provide access to relevant procedural help texts and other additional help texts.

Protech will implement different rules based on the 3 types of Applications including deadline, forms, workflow and documents.

Protech also understands the special distinction required for EU Regulation Applications.

The system will identify the mandatory required deadlines, Forms and documents for each type of application and request. The system will furthermore provide access to relevant procedural help texts and other additional help texts.

All workflows, task deadlines, forms, the required documents to be attached to an application, required data elements for an application to be processed etc. will be table driven for each type of application and request.

When the worker determines the application type and request type, the system initiates appropriate workflow and at each step of the process, the next activity, the forms to be generated, the deadlines to be defined for the tasks will be derived by the system based on the combination of application type and request type.

7 Application procedures - EU Maintenance Regulation and 2007 Hague Convention

7.1 EU Maintenance Regulation applications

7.1.1 Table

7.2 2007 Hague Convention Applications

7.2.1 Procedure

**RFP
7.1**

367. This Chapter gives a brief overview of Regulation and Convention application procedures in the case management of Central Authorities. A detailed list of procedures per application and instrument will be provided in advance of the programming phase.

368. The content of the below tables is to a large extent based on the Hague Conference Practical Handbook for Caseworkers principally drafted by Hannah Roots (NCSEA). The Handbook deals with Convention applications, but the tables on Regulation procedures have been drawn up to parallel to the Convention procedures.

We have reviewed the processes. Protech has implemented similar processes in other child support projects using a table-driven approach that does not require hard-coded process steps. Using this flexible approach, we will work with the iSupport team to implement the procedures in this handbook.


7.3 Case Documents

**RFP
7.3**

369. All case-related documents for incoming and outgoing cases need to be stored as part of the case. This is a “Must Have” requirement. These documents can include:

- Copy of the decision
- Birth certificate
- Adoption certificate
- Marriage certificate and more, see Establishment Form convention; see article 25 of the Convention (Recognition & Enforcement)
- Divorce decision
- Applications
- Status reports
- Acknowledgment of receipt
- Statement of arrears
- Translations
- Other Forms
- E-mail messages
- Incoming mail

370. Documents received for a case by another State via e-CODEX can be attached automatically to the relevant case. The caseworker can also upload documents created outside iSupport manually to a case. The provision of these two options is a “Must Have” requirement.

371. Each document could have a document type icon, such as for example:  for e-mails. This is a “Could Have” requirement. A list of main types of documents will be provided before the start of the programming.

372. The list of documents can be sorted by the date of saving in the system and the date of the document as well as the type, the sender and the author. The option of sorting the documents in accordance with these criteria is a “Should Have” requirement.

373. Documents in the following formats should be supported:

- Word (Microsoft Office) Must Have
- LibreOffice Could Have
- Apache OpenOffice Could Have
- NeoOffice Won't Have
- PDF = Must Have

All case-related documents for incoming and outgoing requests will be associated to the case on the case diary. Documents that are received from other states through e-CODEX will automatically be associated with the case and are displayed on the Case Diary screen. Worker will be able to associate any other electronic document of the four formats listed above to the case on the Case Diary screen. The following screen illustrates how a document could be associated with a case and/or a process step. On this screen, a form can be generated or an existing document can be uploaded and associated with a case.

Author of the document, type of document, sender, date of the document and date of saving in iSupport will be recorded for each of the documents saved in the system. A document list screen will display the documents for a case in a default sort order. The worker will be able to sort in a different order by selecting the field on which to sort. The screenshot given below is an example of document list screen.

An appropriate icon will be given to represent the type of document for easy identification of the document.

7.4 Archiving

RFP 7.4

374. iSupport will provide for the following functionality with regard to the archiving of cases. The moment a case status is set to case “archived” a data transfer will be issued. All the case data except for the minimum case information is transferred to a national database (national solutions). See for details above under “5.6.3 Status “archived”. This is a “Must Have” requirement.

375. Minimum case information is to be kept available in iSupport so that the case can be found in a case search. This minimum information includes:

- The iSupport number,
- The internal reference number(s) for that same case,
- The date the case was created in iSupport,
- The date of archiving,
- Full name of the debtor,
- Date of birth of the debtor,
- The full name of person(s) for whom maintenance was sought,
- These persons’ dates of birth.

376. The keeping available of this minimum information in iSupport for an unlimited period is a “Must Have” requirement.

377. The audit trail data (see “9.1.1 User- and timestamp”) of the case will be archived at the same time. This is a “Must Have” requirement. Address data is archived at the

time of the archiving of the last case that used the address data. This is a “Must Have” requirement.

378. iSupport should provide a way to re-integrate the data from an archived case, should the case have to be re-opened. This is a “Should Have” requirement. iSupport could be developed with a functionality to view the archived data now resting in a different database (“Could Have”). In addition, the Central Authority may install another instance of iSupport with a link to this separate database (“Could Have”). The Central Authority can decide to limit access to this instance to certain persons, such as managers (“Could Have”).

Authorized worker will be allowed to change the case status from “Closed” to “Archival requested”. A separate process is triggered to transfer data relating to this case from local iSupport database to national database and an additional iSupport database that holds only archived cases. Minimal data, as suggested in the requirement, will be maintained on the case and the individual parties of the case on local iSupport database. If any of the actors of this case are associated with any other case in the local iSupport database, such actors’ demographics, address, bank information etc. will not be transferred to National database or iSupport archival database. In such scenarios, only case-related records will be transferred to archival databases. Once the transfer is complete, the case status is changed on local iSupport database from “Archival requested” to “Archived”.

When situation arises to reopen the case, an authorized worker will have the ability to request for reopening the case by changing the case status from “Archived” to “Reopen requested”. A separate process is triggered by this action and transfer the records from the Archival database to the local iSupport database and change the case status to “Reopened”.

8 Statistics

8.1.1 Regulation and Convention statistics

RFP 8.1

379. iSupport must be able to generate the required Regulation and Convention statistical reports. This is a “Must Have” requirement. A list of the reports required for Regulation cases will be available before the start of development. A similar list of required reports is currently being produced for the Convention cases.

Protech will work with the iSupport Team to understand the information required for the Convention cases and Regulation cases and design the necessary reports.

Protech’s solution includes several statistical reports. In particular, as an illustration, our federal reporting system OCSE-157 presents statistical insight into performance. The OCSE-157 form is used to report statistical and financial program information to the federal Office of Child Support. In conjunction with the federal system certification requirements, it is mandatory that the data submitted be accurate, reliable, and complete. Data to calculate individual State incentive measures are taken from the OCSE-157 line items:

- Lines 1 and 2 for the Support Orders measure
- Lines 5 and 6 or 8 and 9 for the Paternity Establishment measure
- Lines 24 and 25 for the Current Support measure
- Lines 28 and 29 for the Arrears measure.

These line items are then subject to a data reliability audit to validate their completeness and reliability. The State must provide an audit trail including the case information used to compile the line items and, subsequently, the calculation of incentive measures. For purposes of incentives and penalties, data must meet a 95 percent standard of reliability. If audit results determine that the State’s data are incomplete or unreliable, the State is not eligible for incentive payments for measures reliant on that data, and the amounts otherwise payable to the State under Title IV-A may be reduced by one (1) to five (5) percent. We will provide similar reports for Regulation and convention statistical reports based on design requirements.

Select Filters

Federal Fiscal Year * Report Type * ☒ New ☐ Revised

O157 - OCSE-157 Federal Report View OCSE 157 Annual Report

DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Office of Child Support Enforcement

Form Approved
OMB No. 0970-0177
Expires: 09/30/11

CHILD SUPPORT ENFORCEMENT ANNUAL DATA REPORT
(This report consists of three pages. Do not report in shaded areas.)

STATE: New Jersey	SUBMISSION: <input checked="" type="checkbox"/> NEW <input type="checkbox"/> REVISED		FISCAL YEAR: 2009	
ITEMS	(a) TOTAL	(b) CURRENT ASSISTANCE	(c) FORMER ASSISTANCE	(d) NEVER ASSISTANCE
SECTION A: CASE INVENTORY*				
1. Cases Open at the End of the Fiscal Year		5,399	20,941	44,012
a. Interstate Cases Initiated in This State Open at the End of the Fiscal Year		674	3,680	3,662
b. Interstate Cases Received From Another State Open at the End of the Fiscal Year		805	28	4,116
c. Medicaid-Only IV-D Cases Open at the End of the Fiscal Year				8
d. State-Tribal IV-D Cases Initiated in This State*		n	n	n

8.1.2 Overall statistics

RFP 8.1

380. It is important for States to be able to obtain a comprehensive overview of all their international cases handled. iSupport should provide for a statistical output of overall casework independent of the instrument used. This is a “Must Have” requirement.

381. It must be possible to export the overall data into an Excel (or equivalent) sheet. This is also a “Must Have” requirement, unless iSupport provides for entirely customisable statistics see below 8.1.4.

Protech shall ensure that the iSupport team requirement for a complete insight into all international cases handled by each State which details the statistical output of overall casework is met. Our reports allow easy export of data into other formats including Excel for additional analysis. Common formats supported includes PDF and Microsoft Word / Excel. Protech has designed reports which provide deep insight into case data – an example of this is the Supervisors’ Performance Evaluation Report (SUPER).

SUPER report is a management tool used to evaluate the performance of individual workers, supervisors, offices, counties, and the State. The report assists in the allocation of workload based on performance and provides various aging report for caseload parameters. It is a monthly report, generated immediately following the end of a month for the previous month. At any given time, the user is able to view the monthly report for a past month. The information contained in the report is for that month only and is not cumulative.

This report can be used by workers to monitor and/or initiate activities. It gives a complete overview of case activity and non-activity for all cases in the system for the selected month. The data in the Supervisor's Performance Report is categorized by Case Type and a Total of the individual categories. The data is displayed as a Case Count for each section along with a percentage. It identifies overall totals, and data is grouped by the following criteria:

- Case Initiation
- Interstate Cases
- Locate
- Establishment
- Case Management
- Enforcement
- Case Closure and
- Review and Adjustment

SUPER security has been implemented to replicate the security including supervisor and worker hierarchy. It has been implemented at the supervisor/worker level as well as for designated confidential cases. Navigation from SUPER report to system screens are governed by the security protocol. SUPER report screenshot is provided to give an idea of the report contents below:

Supervisor's Uniform Performance Evaluation Report

Data As of: Feb 2007

Super Report

User: SASGUEST@172.16.100.174

Date: 09/17/2007 06:06:15 PM

Period

Month Feb Year 2007

Report Level

01607 (April Vachani)

01670 (Aqeela Bhatti)

011B2 (Ashley Livengood)

01148 (Cassandra Poole)

01602 (Catrina Wilson)

011B8 (Christine Czaja)

01686 (Dawn Salaam)

01139 (Drexelle Price)

011A8 (Eric Johnson)

01186 (Eric Johnson)

01124 (Erika Urrea)

01613 (Fran Wyckoff)

01133 (Frank Brown)

01671 (Gail Taylor)

01199 (Grace Ulisse)

01145 (Hedda Petrov)

01603 (James Waters)

01173 (Jaykrishna Amin)

01183 (Joann Thompson)

01146 (Joseph Rogers)

01177 (Joyce Mohr)

01684 (Karen Johnson)

01187 (Katherine Sheera)

01685 (Kellie Anderson)

01680 (Ketsy Alicea)

01127 (Kristin Bowen)

01605 (Laura Cruz)

01137 (Laurie Vedral)

01184 (Linda Hall)

Paternity to be Established

0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0

Support to be Established

0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0

Paternity & Support to be

Established

1 100.00 0 0 0 0 0 0 0 0.00 1 100.00 2 100.00 0 0 0 0 0 0

Order Established Totals

0 0 0 0 0 0 0 0 0 0.00 0 0 0 0 0 0 0 0 0 0

Child Support Obligation

0 0 0 0 0 0 0 0 0 0.00 0 0 0 0 0 0 0 0 0 0

Medical Support Obligation

0 0 0 0 0 0 0 0 0 0.00 0 0 0 0 0 0 0 0 0 0

Spousal Support Obligation Only

1 100.00 0 0 0 0 0 0 0 0.00 1 100.00 2 100.00 0 0 0 0 0 0

Not Obligated

0 0 0 0 0 0 0 0 0 0.00 0 0 0 0 0 0 0 0 0 0

Arrears

0 0 0 0 0 0 0 0 0 0.00 0 0 0 0 0 0 0 0 0 0

CASE INITIATION

Case Initiation Activity

Cases created within 20 days

0 0 0 0 0 0 0 0 0 0.00 0 0 0 0 0 0 0 0 0 0

Case Initiation Non-Activity

Pending Referrals

Total Pending Referrals for the

Current Month

0 0 0 0 0 0 0 0 0 0.00 0 0 0 0 0 0 0 0 0 0

Referrals with no Action taken

0 0 0 0 0 0 0 0 0 0.00 0 0 0 0 0 0 0 0 0 0

Referral with Action taken

0 0 0 0 0 0 0 0 0 0.00 0 0 0 0 0 0 0 0 0 0

INTERSTATE CASES

Interstate Initiating Cases

Cases referred to Responding

State's ICR within 20 calendar days

of verifying NCP location in other

state

0 0 0 0 0 0 0 0 0 0.00 0 0 0 0 0 0 0 0 0 0

Interstate Responding Cases

Interstate Referrals Received

0 0 0 0 0 0 0 0 0 0.00 0 0 0 0 0 0 0 0 0 0

Cases created in 10 business days

of receipt of referral

0 0 0 0 0 0 0 0 0 0.00 0 0 0 0 0 0 0 0 0 0

Cases referred for locate services

within 10 business days of receipt of

referral

0 0 0 0 0 0 0 0 0 0.00 0 0 0 0 0 0 0 0 0 0

New Information received on Case

New information sent to the

responding state within 10

business days from the date of

receipt

0 0 0 0 0 0 0 0 0 0.00 0 0 0 0 0 0 0 0 0 0

8.1.3 Customised statistics

**RFP
8.1**

382. A helpful additional functionality would be the capability of producing customised statistics in iSupport. The user / manager could identify a number of items for which statistics would be created. This is a “Could Have” requirement.

While Protech’s reports provide for an array of Filter options which will allow users to customize these outputs, we will need to discuss with the iSupport team the expected customization features.

Our statistical analysis solutions provide the ability for users to create customized reports. For instance, the user could create a report for requesting state cases, which have not met certain criteria. Upon receiving this report the user could add additional constraints such as those, which have not made the necessary payments for the past 3 months. Using a flexible report builder, our solutions provide the CA with the ability to create customized report formats.

8.1.4 Report generator bought by the CA

**RFP
8.1**

383. A Central Authority may also utilise their own report generator to create their customised reports and statistics based on an export of the iSupport database. The CA can use the general plug in for the export, see “17.4 Plug in”.

384. The creation of an external report generator is a “Won’t Have” requirement.

Protech understands and acknowledges this requirement relating to plugins. External Report generator will not be implemented at the moment.

9 Security

9.1 Local Security

9.1.1 User – and Timestamp

**RFP
9.1**

385. Each modified object / field is recorded with a user- and timestamp. The record will show which screen (object / field) has been changed, the new field value, the previous field value, username of the person who changed the data, and when the data (date and time) was changed (see also above “3.5 Logging of changes and viewing access & accessibility of audit trail”).

386. The user- and timestamp for changes contains: (See Table 3)

387. Based on object or data collection (e.g., ‘case’ and ‘actors’ data including ‘payment data’) recording changes is a “Must Have” requirement.

388. To avoid performance and storage issues it is not planned to include a record of changes at the field level of modified fields. The only exception is banking and address information, here a field level logging is a “Must Have” requirement (see also above).

389. The user- and timestamp for views contains: (See Table 4)

390. For the recording of “views” it is sufficient to record who (i.e., username) viewed a case and when but not exactly which information was viewed in the case (see also above “3.5 Logging of changes and viewing access & accessibility of audit trail”).

391. During the pilot phase, information about the size of audit logs and performance will be evaluated.

Protech’s data models use temporal data modelling techniques that provide a detailed audit log for each modified object/field. This includes the user and timestamp, and the sequence of the modification in an atomic workflow process update. Protech will restrict temporal modelling to the areas required by the iSupport team. Our Solution provides for a detailed audit log on user views as required. Protech will analyse the performance impact of temporal modelling as required by the iSupport team.

9.1.2 Access and functional rights

RFP 9.1

392. When installing iSupport, at least one administrator must be defined. See the description of profiles of access rights above “3.6 Access rights”.

Our solution provides comprehensive security architecture for users, roles and access rights, that include fine-grained view, update and create rights for objects accessible by users. This includes the Administrator role among other roles.

9.1.3 Deletion of users

RFP 9.1

393. It is not possible to delete users because this would affect the history associated to this user. E.g., if users are deleted, cases would not show the proper caseworker name, and statistics and the history views will be affected. However the CA can disable access by a user. iSupport must be constructed in a way that users cannot be deleted (“Must Have”).

394. If a caseworker no longer needs access to iSupport, all cases associated to the caseworker can be reallocated to another caseworker.

Based on our temporal data modelling techniques, all our deletes and updates are logical only, not physical. Thus, users cannot be deleted in our system. We provide the ability for temporary assignment and permanent re-assignment of cases to other caseworkers.

9.1.4 Log-in functionality

RFP 9.1

- 395. The user information contains ("Must Have"): (See Table 5)
- 396. On the login screen, name and password are mandatory. Password requirements must meet or exceed ISO standards or equivalent. This is a "Must Have" requirement. Development tenderers must specify the standard(s) they are using in the Requirement list.
- 397. A user-based procedure will be provided in case a user forgets his or her password. This is a "Should Have" requirement.
- 398. States may have additional login requirements (biometrics, token). Implementation of any additional requirements will be the responsibility of each State. If the system is capable of working with these requirements, this is a "Won't Have" requirement.
- 399. Single sign on (by using LDAP, Active Directory) is a "Won't Have" requirement.
- 400. A functionality with security pre-set questions set up by the user and which are the basis of providing a new password automatically, is a "Should Have" requirement.

Our Login Process includes User ID and Password fields as mandatory fields when the user attempts to log into the system. The last login date and time will be displayed. Same worker could be in more than one role. A worker Roles screen will be provided to display the worker roles and the effective date and end date for each of the roles.

The password requirements meet ISO standards and require alphanumeric, capitalization and special characters. Users are also required to change passwords after a specific number of days, which is determined at random, for security purposes.

Our solution has a 'Forgot password' link that sends an e-mail with a link to an approved email address. Upon clicking the link, the user is directed to a site where the password is reset.

Protech will work with States to design and approve any additional login requirements outside the scope of the current project, as required.

Security questions and answers will be implemented as part of our solution.

9.1.5 Delete data

**RFP
9.1**

401. No user may delete any record (message, information) manually in the iSupport system.
402. However it is possible for the system administrator to delete data in the database.
403. There is always at least one administrator of a database.

Due to our temporal data modelling and solution implementation practices, our solution does not allow users to delete any record manually in the system. Our solution allows for administrators to apply audited scripts to delete records in the database. Our solution allows for one or more administrators of a database.

9.2 Security scan and privacy impact assessment

**RFP
9.2**

Security scans of the system will be undertaken during the development phase (i.e., programming stage), in order to meet the requirements of any privacy or security impact assessment that need to be conducted in a State before the system is implemented.

Our solutions have passed security scans based on tools such as IBM's Watchfire in each of our implementations. Such scans are essential for effective security impact assessments and we will work with the iSupport team to address these assessments.

9.3 Data Protection

**RFP
9.3**

404. Mandatory Forms and recommended Forms have been adopted under the 2009 Regulation and the 2007 Convention. Specific provisions with regard to data protection conditions are set-out in the 2009 Regulation. The type of data that might be exchanged between Central Authorities, the conditions of use and the duration of data storage by national authorities are set out in Article 61 and Article 62 of the Regulation. A greater protection is provided under the 2007 Convention in the event of domestic violence issues. See also "10.2.3 Data that is not exchanged" for more information.

405. More specific data protection requirements are described at the related deliverables in this document.

We have reviewed these data protection requirements under related deliverables and will implement these in our solution.

9.3.1 Data Protection of the communication with the database and the application

**RFP
9.3**

406. Data protection of the communication with the database and the application must meet OWASP standards or equivalent ("Must Have").

In our response to 9.2, we inform that our solution has been tested in multiple locations for security and privacy assessments. These assessments, based on IBM's watchfire, include OWASP standards. We additionally perform logical and physical security assessments since automated scanners do not address all security requirements, such as insecure storage of data and passwords, resource protection against unauthorized access, unnecessary network services, out-of-date software, default accounts and passwords.

10 Communications

10.1 Interface ('Connections')

10.1.1 Type of interfaces

RFP 10.1

407. These are the different types of interfaces:

1. Interface (import and export) with other iSupport databases. This includes data, PDFs (Forms) and functional messages. This interface is included of the project. For the communication, e-CODEX is used. See also "10.3 e-CODEX".
2. Interfaces with national registers and databases such as an interface with an existing case management system or importing data concerning payments or a report generator provided by the CA. The iSupport project provides a default plug in for these interfaces. The interfaces themselves are not part of the iSupport project. See also "17.4 Plug in" type A.
3. Import interface for the Forms: Regulation Annexes I, II, III or IV or Part B of Annex VI or Annex VI as well as the Convention Form "Abstract of a decision". (See explanation above under "3.7.2 External access of authorities category A or B"). A specific plug in for this, is a "Should Have" See also chapter type B.

Protech uses strict principles of architectural layering and loosely couple components to build interfaces with other iSupport databases such as forms and functional messages. We use such components to ensure that the exchange of data between iSupport databases is implemented in a standards-based manner.

Additionally, Protech has extensive experience developing interfaces with external systems which includes both Real Time and Batch interfaces.

The ideal interface from a child support perspective exchanges data in a real-time and synchronous manner. Technology limitations of the external systems may change this requirement to be asynchronous updates or batch updates. Differences in the functionality and purpose of the various systems require that business rules be defined to determine the data received from the donor system that can be updated directly to the case record and the data which requires worker review. The development of a metadata repository for the interfacing systems facilitates the task.

Using the principles of Architectural Layering and Enterprise Application Integration, Protech Team proposes the construction of a common, evolving framework for sharing data, procedures, and workflows across disparate systems. Using the concepts of service-oriented architectures and standards-based messaging and data exchange protocols such as XML, Protech Team's approach results in a cohesive and robust approach to EAI.

The Protech Team is uniquely experienced in building and implementing EAI-based architectures covering the full spectrum of child support services (Case Initiation, Locate, Paternity Establishment, Order Establishment, Enforcement, Court Calendar Scheduling) for child support systems.

A partial list of our accomplishments follows:

- a) Workflow-based integration between NJKiDS (New Jersey's CSES) and FACTS (New Jersey's Court Systems owned by the Administrative Office of the Courts), for Case Initiation, Paternity Establishment, Order Establishment, Enforcement and Financials.
- b) Exposing child support information as XML Web services to authorized, external customer- service vendors in compliance with security regulations
- c) Accessing external XML Web services (from Genetic Test Laboratories, such as Orchid/Labcorp) and integrating them with CSES (New Jersey's NJKiDS)
- d) Real-time interface with Lexis-Nexis for the Locate Portal, a unique feature of the Protech Team's systems.
- e) Real-time interface with eight state agencies, FCR (Federal Case Registry) and three providers for the Locate Portal through a variety of technologies
 - a. Food Stamps – Screen Scraping CICS
 - b. DHS – Screen Scraping CICS
 - c. DMV – Accessing Web services hosted at DIS and created by DIS
 - d. DofHealth – Web service hosted at DHS that accesses the DOH databases; Protech Team developed this Web service
 - e. DWS – Web service hosted at DIS and created by DIS
 - f. Foster Care(IV-E) - Web service hosted at DHS and created by DHS
 - g. State Tax – Simple query of IMS DB on the mainframe using I-WAY adapter
 - h. Accurant and People at Work: Web service from Accurant, this service provides business, phones, address, contacts, employer and other details
 - i. Experian Credit Report – HTTP requests using custom XML provided by Experian
 - j. FCRL – Simple query on ARCSIS (Arkansas child support system) tables that are loaded by FCR batch process
- f) Real-time transactional bridge for financial and case data exchange: Maine's Financial System in Oracle with Legacy IBM Mainframe CICS/COBOL/VSAM (Maine)
- g) Real-time transactional bridge for financial and case data exchange: Massachusetts' Financial System with Legacy Unisys Mainframe (COBOL, IMS-clone, COMETS)
- h) Real-time access of State tax systems for SSN/Address/Arrear lookups from the Locate Portal (Arkansas)
- i) Real-time access of DMV license and photo images of CPs/NCPs through the Arkansas Locate Portal
- j) Real-time access of USPS systems for Address Normalization (New Jersey and Arkansas)
- k) Over a hundred external interfaces with thirty agencies and providers in New Jersey's NJKiDS
- l) Over seventy five batch interfaces with external systems in Arkansas' ARCSIS

The integration feature between the core case management and the Court system in Protech's other projects addresses the following typical use-case scenarios involving an interface between the two systems:

- Search for party
- Retrieve list of cases involving a party
- Update Association of Docket on court system to core OCSE system
- Enter and Correct Dispositions
- Inquire Court Calendar
- Schedule and Maintain Proceedings
- Add/Modify Party
- Add/Modify Relief

- Consolidate Parties on core OCSE system
- Consolidate Parties on Court System
- Add or Edit Attorney
- Associate /Disassociate Attorney to Party
- Add or Edit an Order
- Add or Edit Counter Claim
- Add or Edit Motion or Cross Motion
- Manage Warrants
- Add or Modify Miscellaneous Documents
- Maintain Family Relationship
- Disassociate Party from Case
- Disassociate/ Associate Party to a Document
- Manage Notices
- Add Case Comments
- Add/Modify Aliases in core OCSE system
- Create Case in Court System

Protech will utilize its experience in integrating multiple external systems and Court systems in particular to ensure the e-CODEX interface is developed and managed.

10.2 Interface with the other iSupport databases – Type of interface 1

RFP 10.2

408. The interface with the other iSupport databases includes (“Must Have”):
- Forms: PDF Forms attached to a case are part of the exchange of data. If a Form is in error state, the Form is a draft version and the user cannot send the document. All Forms for the Regulation are signed so the PDF version is required in addition to the data itself.
 - Data: the data to be exchanged will be provided prior to programming.
 - Messages: messages attached to a case and marked as external are exchanged

Our solution will support the exchange of PDF forms, embedded data and other messages related to a case. Using our experience in building such interfaces for large government agencies, we will build data exchange mechanisms for iSupport in an effective manner.

10.2.1 Exchange of data

RFP 10.2

409. The exchange of data depends on the type of request / application and on the step in the process. Data is transmitted upon decision of the caseworker (for example, the caseworker finalises and application with all necessary documents attached and authorises the sending). The ability to transmit information at the instigation of the caseworker is also a “Must Have”.
410. Exchanges are shown in the history of the case (“Must Have”). Content of each object (to show in the history): t.b.d. in the programming phase.
411. All data will be PCI certified (security standards council) or in an equivalent standard (“Must Have”).
412. Additional information concerning paragraphs 411-414 will be provided before the programming.

The functionality described in this requirement is a core feature of our solutions: the real-time exchange of information between collaborating systems, along with necessary online documents and signatures. We have implemented this for the State of New Jersey to implement communication between Caseworkers and Court Systems. We have also implemented CSENet, a nationwide system for exchanging Child Support information between states.

Our solutions provide a detailed case history (or Case Log) that displays a time stamped record of all interactions related to a case, such as messages sent and received, actions taken by iSupport on the case, actions taken by caseworkers on the case and changes to case conditions. We will work with the iSupport team in the programming phase to build a case history that addresses the requirements of iSupport.

We understand that, unlike CSENET, iSupport requirement is for real-time communication, and we will use our experience in this area to implement the real-time exchange functionality in iSupport. Protech ensures that its processes for data security are PCI-compliant (PCI DSS 3.1), as part of our enterprise security design. Protech acknowledges that additional information will be gathered during design sessions.

10.2.2 Auto-population and validation of data by receiving iSupport system

RFP 10.2

413. iSupport must be capable of auto-populating the database in the receiving iSupport system with data received through the secure communication system (e-Codex) ("Must Have"). However, the auto-population must not be committed to the case unless the caseworker has provided approval for the action ("Must Have").

414. iSupport must also provide the ability for a caseworker to disallow the auto-population concerning all of the data sent by the sending iSupport caseworker (for example, where the case is a duplicate of one already received and existing in the iSupport system in the receiving State) ("Must Have"). iSupport will also offer the ability for a caseworker to prevent some of the data that has been received from another State from overwriting data in the receiving State's iSupport system, for example, where the receiving State determines that the incoming address or payment data is incorrect. ("Must Have ") but otherwise wishes to accept the remaining data.

415. The user in the receiving Central Authority must be able to view the transmitted updating data to make a decision whether to accept or not to accept the overwriting of the data already in iSupport ("Must Have"). iSupport should provide end-user-friendly environment / screen where the iSupport user can view the data that would change and either accept or not accept the system update ("Should Have").

416. If the change is not accepted (wholly or partially), the system of the receiving Central Authority must still keep the transmitted information in an easily accessible place for future consultations ("Must Have").

417. Where the data is rejected iSupport will prompt the caseworker in the receiving Central Authority to inform the sending Central Authority of this fact ("Should Have").

418. iSupport must provide the same field validations for the acceptance of incoming data as are implemented on the sending side, for example, required fields must contain data or an indication that data was not available in the sending State.

419. A list of validations and required system actions will be provided before the programming commences.

420. The data replaced by the updated data can be reviewed using the History functionality (see for the accessibility of the audit trail and the particularities of the history of address and banking information above "3.5.2 Accessibility of audit trail").

421. Additional information concerning paragraphs 415-423 will be provided before the programming.

Protech's design for handling data received through a secure communication system consists of four parts:

- basic validation, such as duplication and invalid data
- notification to appropriate caseworkers of the receipt of data,
- displaying the data in an easy-to-read user interface, and lastly to
- allow the caseworker to follow an approval process for updating the data into the database.

We will use the processes and procedures for this design as a baseline for implementing this requirement, in cooperation with the iSupport team's requirements.

Please refer to the screenshot below for a sample of the user interface that a caseworker would have access to, for incoming data. We propose to use this as a baseline while designing the iSupport interface. The tabs in the lower half of this illustration contain necessary information that arrives with the message and is easily accessible by a caseworker, from the case diary.

Date	Out of State IV-D Agency Name	Out of State IV-D Agency Case ID	Description	Status	Mode	Action
10/07/2014	42 - PENNSYLVANIA		REQUEST SUPPORT ORDER ESTAE PN - PENDING	C - CSENET		Print UIFSA Form

Case Info	NCP Info	NCP Location Info	Participant Info	Order Info	Collection Info	Misc Info	Attachment
Case Type	Case Status	Case Type	State With CEJ				
Responding File Number			Initiating File Number				
Contact Last Name	Contact First Name	Contact Middle Name	Contact Suffix				
Contact Address		Payment Route Code	Payment Bank Account Number				
City		Payment FIPS	Payment Address				
State			City				
ZIP							
Fax							

Additionally when the data is updated into the database, we ensure that prior data is not overwritten, but shown on a history-based interface.

Information received by a Central Authority from another State will always be available for review in tables that are supplemental to the main database. Such information will be viewable on a convenient user interface, for review at any time. Upon rejection of a transaction by the Receiving state, a message to the sending CA is automatically created and sent either upon caseworker approval, or sent automatically, depending on the configuration for the CA.

The same validations for the acceptance of incoming data are present for the sender and the receiver CA. Protech acknowledges that validations and required system actions will be discussed during the design phase. Protech acknowledges that more details will be received during design phase for all these requirements.

10.2.3 Data that is not exchanged

RFP 10.2

422. Case Notes are not exchanged with other States.

423. Task list items are not exchanged with other States. However, there are default task list rules such as 'Show a task list item on the task list where a new Case is created' or 'New data is imported'. These can be triggered in the requested State when certain data or documents are received.

424. The "status of the case" (see "5.5 Status of a case") is not exchanged.

Protech acknowledges the requirements in this section 10.2.3 and will implement it as required based on discussions during the design phase.

10.3 e-Codex

RFP 10.3

425. e-CODEX, e-Justice Communication via Online Data Exchange, enables secure cross-border electronic communication and enables secure and reliable cross-border data transportation and routing of documents. All communication between iSupport systems takes place using e-CODEX.

Tender lot 1: See separate chapters with requirements for the developer.

Tender lot 1: See separate chapters with requirements for the developer.

10.3.1 e-Delivery platform and e-CODEX gateway

RFP 10.3

426. The e-CODEX Gateway, also called Domibus Gateway, of the sending State establishes the connection, wraps all the data into an SX container and sends it. Then, the Gateway of the other State, receives, extracts and rechecks the data.

427. The setup of a dedicated e-CODEX network is not part of the Development-Call for Tender.

428. A complete e-CODEX starter kit including documentation such as an installation guide is available for pilot States. The starter kit is also available for tenderers. See the HCCH website http://www.hcch.net/index_en.php?act=text.display&tid=192 in chapter Key-documents.

429. e-CODEX partners will help the pilot States during the project with questions regarding their e-CODEX set up.

Protech has reviewed the available documentation for e-CODEX, and is ready to work with the iSupport team to integrate e-CODEX functionality with iSupport. Protech understands that the setup of a dedicated e-CODEX network is not part of the Development-Call for Tender.

Protech has downloaded this kit and reviewed the contents. Protech understands that e-CODEX partners will help the pilot States during the project with questions regarding their e-CODEX set up.

10.3.2 e-CODEX Connector

RFP 10.3

430. The e-CODEX Connector, also called Domibus Connector Framework, is responsible for all semantic mapping from and to iSupport and ensures the ability of the national system to communicate with the e-CODEX Gateway. The Connector will add a "Trust OK" token and provides interoperability.

Protech will work with the iSupport team to build iSupport to integrate with the e-CODEX gateway through the e-CODEX connector.

10.3.2.1 Developer

RFP 10.3

431. The developer takes care of the mapping of the iSupport database, which should correspond with the local e-CODEX database ("Must Have").

Protech will ensure that the mapping of the iSupport database will match with the local e-CODEX database.

10.3.3 e-CODEX Database

**RFP
10.3**

432. The messages are sent from and received in a database. This database is a separate database apart from the iSupport database. MySQL and Oracle can be used.

433. Sending and receiving data is real-time: As soon as a (technical) message is ready to send, by placing it in the e-CODEX database, the message is sent immediately. e-CODEX does not provide an environment to stop or start e-CODEX communication nor view log-files of e-CODEX jobs. The States use the environment of their operating system for this.

Protech understands that the iSupport database is distinct from the database that is used to send and receive messages. We will ensure that the messages in the e-CODEX database are received and processed in the iSupport database.

Protech will build iSupport to keep logs of the messages sent through the iSupport database. By reading the acknowledgements received through e-CODEX, iSupport will record the status of the messages delivered or received through e-CODEX.

10.3.3.1 Developer**RFP
10.3**

434. iSupport moves the data from the e-CODEX database into the iSupport database, including meta data like the 'evidence' of the signature of the CA which sent the data ("Must Have").

435. e-CODEX has the principle that the database will not save the messages longer than needed. As soon as a message is sent or received, the message data is removed from the e-CODEX database by iSupport. ("Must Have")

Our Solution will provide message-authentication, sender-authentication and consumer-authentication keys along with every message send from e-CODEX.

We will implement the requirement in iSupport to remove the data from e-CODEX database once the message is sent/ received and provide an audit trail within iSupport.

10.3.4 Developer – Encrypted Files

**RFP
10.3**

436. All data and documents sent by e-CODEX are encrypted. e-CODEX may provide a new version which will handle the encrypting and decrypting before the last time-box of the development phase. However, Development tenderers should include encryption and decryption in iSupport. The developer should use a generally used, open encryption method. (“Must Have”)

Our solution provides SHA-1 based encryption of messages and an Oauth-based key exchange process, independent of the encryption capabilities of e-CODEX.

10.3.5 Developer – e-CODEX Service Provider

**RFP
10.3**

437. In the e-CODEX figure 6, the Service Provider is an iSupport system installed in a State. The Developer will build an interface between the iSupport data and the e-CODEX data.

438. To prepare messages, which will be sent by e-CODEX and to handle received messages, data should be presented in a structured scheme in XML. The developer will together with ITTIG (see 10.3.2 e-CODEX Connector), define the details of the data format. All, which is exchanges, is based on Forms of the Regulation, PDF's and (functional) messages.

Protech has implemented similar interfaces in multiple states in the USA, using the CSENET exchange mechanism. We will use similar techniques to build interfaces between e-CODEX and the iSupport system for States.

Protech has built extensive messaging capabilities to transfer complex data sets dealing with case, participant, order, financial obligations, recovery and maintenance data for support obligations. Using these message formats as baselines, we will build a structured schema in XML in consultation with the iSupport team.

Please refer to our response to this requirement in Lot-2, where we provide a detailed response to this requirement.

10.3.6 Circle of Trust

RFP 10.3 439. The HCCH team is responsible for the authentication of the CA as the participating States must sign the circle of trust, which is a legal document.

Protech will provide the ability to record the authenticity of the CA within iSupport. This information will be entered by an authorized party.

10.3.7 Example of data exchanged between the CAs

XSD schema:

```
<?xml version="1.0" encoding="UTF-8"?>
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema">
  <xs:element name="person">
    <xs:complexType>
      <xs:sequence>
        <xs:element name="typeperson" type="xs:string"/>
        <xs:element name="name" type="xs:string"/>
        <xs:element name="dateofbirth" type="xs:date"/>
      </xs:sequence>
    </xs:complexType>
  </xs:element>
</xs:schema>
```

Data to exchange:

```
<?xml version="1.0" encoding="UTF-8"?>
<person xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
  xsi:noNamespaceSchemaLocation="person.xsd">
  <typeperson>Debtor</typeperson>
  <name>Jens Rasmussen</name>
  <dateofbirth>1987-02-15</dateofbirth>
</person>
```

Please refer to our response to 438. We have built complete, structured XML formats for data exchange with CSENet, the child support data exchange mechanism in the USA, which exceed 700 data elements spread over several related, hierarchical XML files. We have also exchanged data with service providers such as Lexis-Nexis and Experian to exchange structured XML data. We bring this knowledge to the iSupport project.

10.3.8 Website e-CODEX

RFP 10.3 440. More information about e-CODEX is available on their website:
<http://www.e-codex.eu/home.html>

Protech has reviewed this website for relevant information about the architecture and connectors.

10.4 Interfaces with national databases / registers – Type of interface 2

RFP 10.4 441. iSupport will provide a default plug-in for import of data. States can use this default plug-in and build an interface from their system / database or from the public registers.

442. It could be used, for example, to create an interface with an internal Central Authority database or with public registers assisting in the location of a person or obtaining revenue and tax information (availability of such registers and whether the laws allow the Central Authority the relevant access will differ from State to State).

443. An interface could also be used to import case data from a national electronic case management system into iSupport.

444. The provision of the plug-in for interfaces and the production of relevant mapping documents to allow for the interface connection is described in other paragraphs.

445. The creation of the interfaces themselves will be in the responsibility of each State and are for the purpose of this Deliverables Document considered a “Won’t Have” requirement.

Our solution for iSupport will feature a default plug-in for data exchange with other entities. Having built multiple plugins that cover every manner of data required to be sent or received for large Child Support implementations, we are very aware of the complexities of such an undertaking and we provide our baseline plug-ins to build from and reduce the risk of failure. These include plugins for location data, employment, revenue, tax, assets, license information and insurance data among others.

While our plugins will be available for use, they can be used based on whether the local laws permit the usage of the data that is required for the plug-in. Protech understands that the requirement 445 will not be in the current phase of the project.

10.5 External Access

**RFP
10.5**

446. States are responsible for an External access environment in which iSupport will be operated. States can make this service available for third parties like Judges, enforcement officers or government agents so that these groups can access iSupport. States are responsible for ensuring they accept only secured connections such as SSL or VPN. Allowing access and allocating access profiles is the responsibility of the Central Authority.

Our solutions have been used by third parties such as Central Authorities, Courts, External Users and other parties in a secure manner and customized for their use. We bring this experience and background to ensure that iSupport works securely with third parties.

10.6 Web-services

**RFP
10.6**

447. The usage of (SOAP) web-services and SOA for the architecture is encouraged. ("Should Have")

Our solutions are based on service-based architectures and include several SOAP-based web services for external access such as customer service portals, payments, receiving applications, scheduling appointments and getting status updates. We will bring this experience to bear in building iSupport.

11 Look & Feel

11.1 User interface

**RFP
11.1**

448. The user interface software can be a product developed by the developer, or can be a commonly used web browser.

449. In case of a web browser, iSupport should run on the latest two versions of the three most commonly used web-browsers:

- Internet Explorer 11 and higher: "Must Have"
- Internet Explorer 10: "Could Have"
- Mozilla Firefox 25 and higher: "Could Have"
- Google Chrome 42: "Must Have"
- Google Chrome 30 and higher: "Could Have"

450. Screen design must follow generally accepted usability design principles ("Must Have").

451. iSupport has a consistently implemented theme ("Should Have").

452. The iSupport system may allow multitasking by minimising several cases at once and / or by using double screens.

453. Data can be viewed by more than one user at the same time, however changed data should be shown to the other user (s) immediately or a message should appear on the screen with e.g., ' this record has been changed by another user' ("Could Have").

The following response is for requirements 448 and 449.

Protech has reviewed the requirement for web-browsers and is in agreement with the web-browsers requested in the requirement. The Protech Team has experience in designing and implementing large-scale, secure Web-based applications. Protech understands iSupport Team's preference is for the entire system architecture to provide a secure, thin client, browser-based solution. Our approach includes support for standard browsers and thin client providing high performing user experience.

iSupport will be accessible through standard Web browsers as required by the iSupport requirements from desktop or laptop computers. The user interface will be delivered as HTML that will be rendered in the users' Web browser. The use of open standards for the user interface implementation allows the Protech Team to take full advantage of the features available in browser-based systems, to build an intuitive, easy-to-use application that supports the end-user in fulfilling their business tasks. The solution does not rely on any deployment/installation on the client machines.

The Protech Team brings a wealth of experience in designing and implementing large-scale, secure Web-based applications. We use Java, AJAX, JSP, JavaScript, HTML, DOM, and CSS (Cascading style sheets) code to generate the presentation layer. The application's client-side presentation layer comprises of JavaScript, HTML, images, and AJAX-based requests and responses. The client-side JavaScript mainly performs XML/JSON (JavaScript Object Notation) asynchronous (AJAX) calls to the server to render query results on the page without refreshing the client browser page over HTTPS protocol. Performance at the presentation layer (client) is achieved by enabling client-side caching of static content for the webpage data such as images, JavaScript, and style sheets.

The server-side presentation layer (client) receives AJAX calls from the client for further processing in accordance with the MVC pattern. It serves as the view component obtaining data from the model and presenting it to the user. The view represents the output of the application. The presentation layer decouples presentation constructs from underlying business logic allowing efficient management of requirements and resources specific to presentation requirements and business requirements.

A key differentiator of our client-side presentation layer is the use of a strong, open, tested JavaScript framework combined with extensive use of optimized style sheets (CSS), a library of application components customized for child support applications, facilitating the rapid development of high-quality presentation layer code.

Additionally, the Protech Team provides a tuned cross-browser factory component that abstracts the application from underlying browser issues, offering a single API, used on any W3C standard compliant browser. The use of standards mentioned ensures that resultant pages are cross-browser compatible eliminating the need for plugins/applets.

The confidentiality requirements for iSupport require that no confidential information will be persisted on any of the client workstations. Our user- interface architecture strategy is based on JSP. For iSupport, the usage of cookies and stubs is minimized. Wherever we need to use cookies, it ensures that it contains only meaningless strings of characters (a token) and no information content is retained within them. iSupport is a Web-based thin-client application accessed by the users through a standard Web browser. Alternatives to cookies such as URL-rewrites and SSL ID tracking are used. If cookies are used for session/state management, it ensures that they contain only a meaningless string of characters and no information content is present in them.

The advantages of the Protech Team's approach include:

- Support for standard Web browsers including Google Chrome, Microsoft Internet Explorer and Mozilla Firefox, facilitating browser independence as required by iSupport
- Server side deployment with no client installation, which facilitates maintainability and rapid deployment
- Thin-client side code providing a light, high performance end-user experience while accessing the portal

The following paragraphs address requirements for requirements 450 and 451.

Our systems follow generally accepted usability design principle and include the ability for disabled user access. Protech follows consistent and standard usability design principles. The section below provides an overview of some of the principles Protech implements in design of its Screens.

Our team adapts the concept of rich user interfaces for child support applications and builds workflow processors based on these, as explained in the sections on workflow processing within this response. Current Web technology also provides the ability to integrate collaborative notes with each functional screen that corresponds to a case.

A common theme of our solution is the integration of functions, using sliding panes to display data that is usually viewed in the Forms UI as separate screens or pop-ups. This capability allows the user to better manage the complexity of these screens and the retention of context while navigating through the system.

We also propose a system where collaboration is not an afterthought, but is integrated in every user interface. A sliding pane on the interface provides the following facilities:

- E-learning and contextual help
- Collaborative case notes and attachments
- Personalized menu options
- Personal schedules (ticklers/correspondences)
- Create caseworker appointments with case participants, attorneys, and other stakeholders
- Screen history feature that details access

- Screenshots and notes that can be e-mailed and/or faxed to other caseworkers, agencies, and stakeholders
- Generate notices directly from the screen through a pop-up menu
- Screen- and process-specific reports

Information about the signed-on user, the terminal used, environment, date, and time are unobtrusively distributed and visible on each screen.

Terminal information consisting of workstation ID, location, signed-on user, and date/time appears on the footer of each screen, as shown in Figure xi-1. Using clearly separated visual elements, the system provides other screen-related information, such as error messages and action messages, without overlaying or obstructing these fields.

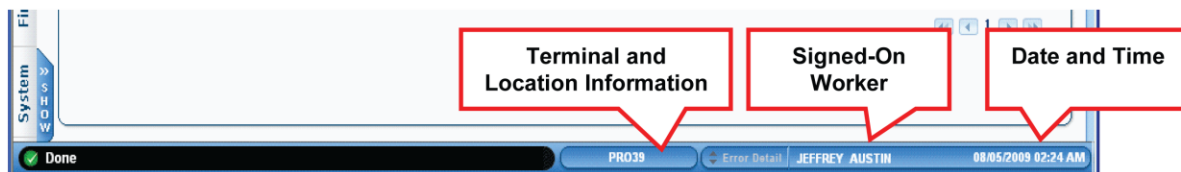


Figure xi-1. Standard Screen Footer

Screen footers provide terminal information without distracting the worker

The Team recognizes the need for a standard case header to identify information on case-specific screens. The ability to view key information and to navigate easily to expanded views of this information is equally important. Our solution features an expanding Case Summary panel on each screen that directly displays most of the key case information summarized from other case areas.

Our proposed solution implements a standard case header. The objective is to minimize user navigation away from a screen just to access commonly needed case information. The initial view of the Case Summary Bar is docked to ensure that the screen area is available to the active screen function in use by the user. The screenshot below displays docked and undocked views of the Case Summary Bar.

Case Summary Bar in docked view

Select Filters
Case ID * CS70417392A Warrant Status ALL Bench Warrant Active for ALL Find

Case Summary

BWLT - Bench Warrant List View Warrants by Case View All Hide All

CP 70417392 SALVAGGIO KEVIN Case Type NNN - NEVER ASSISTANCE Office 001 - CENTRAL-PROE Confidential N - NO
NCP 72369848 ARNETTE NAKESHIA M Case Status O - OPEN Interstate I - INITIATING Family Violence N - NO
Docket FD-03-001214-03 IV-A / IV-E Case ID

Undocked view of Case Summary Bar

Select Filters

Case Summary

Case Details
Cross-Referenced Cases
NCP Information
CP Information
Obligation Summary
Case Enforcement Status
Financial Summary

The Case Summary bar above can be undocked / expanded to view common categories of case information. These categories can be further expanded to view details. By undocking the case summary bar, the user can expand a category and view full case information, as displayed below.

Case Summary

Case Details

Case Details	Order Details	Court Information
Case ID	Date of Complaint 10/04/2006	Court Name
IV-A/IV-E Case ID	Order Effective Date 07/23/2008	Court Location
Docket No.	Order Action	Judge Name
Re Vs	Child Support 64.00 WEEKLY	Scheduled Hearing:
Current Status O - OPEN	Spousal Support	Hearing Type
Worker	Arrears 35.00 WEEKLY	Last Court Appearance Date
CP	Medical Support	Judge/C SHO/Mediator Name
NCP	Controlling Order	Appeared
Dependants	CEJ Status U - UNKNOWN	
	Direct Pay N - NO	
	Guideline Deviation	

In the Complete Case Information screenshot above, expanding a category of information provides full case data for that category. In this example, the case details pane shows court order details.

NCP Name	NCP SSN	NCP DOB	Office	Case ID	Docket	Case Status	CP Name	ACES
	***-**-3951					C - CLOSED		N - NO
NCP DCN 22514287		CP DOB 03/29/1969			CP SSN ***-**-4158		CP DCN	
Case Type NNA - NEVER ASSISTANCE ARREARS-ONLY		County 014-MORRIS COUNTY						

In the screenshot above, an illustration of the masked SSN proposed is visible.

A key requirement for improved productivity in Web applications is a consistent, standardized user interface in which users are able to easily find common elements by either their position or presentation in terms of font, color, etc.

Our solution presents a standard look and feel across all screens of the proposed application, as follows:

1. **Top Title Bar.** The top title bar displays the application title and an identifier for the environment to which the user is presently signed in. This can be used to differentiate between production systems and testing/development systems.
2. **Menu Bar.** There are two menu bars that appear on each screen. The left menu bar is a docked and grouped navigation list and provides access to all screens within the application. The top menu bar is context sensitive and provides links to screen actions. Screen actions are specific functions performed from each screen. These correspond to “Use Cases” that a user performs on that specific screen. A pull-out help section provides more details on these screen actions.
3. **Screen and Action Title Bar.** The title bar contains the abbreviated name of the screen followed by the full name. The abbreviated name also displays to assist users in navigating using the screen shortcut. The current screen action displays on the title bar.
4. **Toolbar.** The toolbar contains commonly used functions such as Add, Delete, Save, Clear, and Exit. The toolbar is visually intuitive with large icons and descriptions.
5. **Screen Shortcut.** The screen shortcut is the field identifier in which the user enters the screen name for easier navigation. Users familiar with the system use this shortcut to quickly switch between screens without the inconvenience of navigating layers of menu options. Navigation is easily accessible using a keyboard shortcut such as ALT+S for screen names or ALT+A for screen actions.
6. **Screen Colors.** Screen colors are a palette of section-508 compliant user-selectable color themes.
7. **Main Content/Form Elements.** Using accessibility keys, the 508 features of prompts and hidden prompts are implemented. Field level help is provided on tool-tips and the status bar. Every date field has a calendar-based entry facility.
8. **Data Header.** The header frame features an expand capability allowing the user to view key information in a larger area. This ensures important information is displayed prominently without compromising easy access to details.
9. **Data Details.** The accordion grids reduce the constraint of space in providing details to ensure clear, consistent labeling of columns and lists. Codes, in general, do not display.
10. **Status Message Bar.** A status bar provides information on successful updates, error messages, and progress messages.
11. **Fonts.** Section 508 compatibility and state-standard adherence are features of the fonts used for the application.

12. **Screen Filter.** Our solution features distinct filter areas, or sections of the screen, when the user specifies key values to retrieve data. There is a separation of interface layers between the filter and data areas.
13. **Screen Help.** Unique to our solution, an online Help Center is available for every user interface. The Help Center works as a screen-specific comprehensive transaction facilitator and history center containing common functions and enabling collaboration. By selecting an option in the Help Center, users have direct access to past training sessions in this interface area, a calendar for future training sessions, archives of best practices related to the process, and a field-by-field help facility.

Tabs and Scrolling

The solution uses tabs and scrolling to organize and present information. As a rule, we minimize the use of horizontal scrolling. In addition, our solution uses several UI paradigms to organize and reduce the clutter in presenting voluminous information. These are outlined in sections below.

Vertical Scroll Bar

A vertical scroll bar appears when the amount of information returned exceeds a pre-determined threshold e.g. 10 rows or 20 rows of information. It also appears when grids are expanded to show additional content. Vertical scrolling (as shown in the below screenshot) makes search more accessible

The screenshot displays the 'BATR - Batch Receipt Posting' window. At the top, there are input fields for 'Deposit Source' (DCR - DIRECT PAY CRE), 'Receipt Date' (03/17/2009), 'Control Trans Count' (1), 'Actual Trans Count' (1), 'Control Amount' (16,024.28), 'Actual Amount' (16,024.28), 'Control Posting Count' (1), and 'Actual Posting Count' (1). Below these is a 'Batch Status' field (R - RECONCILED) and a 'Worker' field. The main area is a table with columns: Receipt, Receipt Source, Receipt Date, Amount, Payor Name, Receipt Status, and UDC. The first row is highlighted in yellow and contains the following data: 03/17/2009-1, CD - DIRECT PAYME, 03/17/2009, 16,024.28, I - IDENTIFIED. Below the table, there are several fields: Case ID/DCN, FIPS, Acct Type, Reference, Cost Recovery Fee Amount (0.00), Joint Name, Receipt Seq (001001), TANF Ind, and Worker. A vertical scroll bar is visible on the right side of the table, indicating that there is more data than can be displayed on the screen.

Pagination

Often, the data returned is voluminous which can cause performance issues in some systems, such as delays in loading the screen. Our solution overcomes this challenge. As displayed below in Figure xi-7, we parcel the resulting information into meaningful categories of information and use pagination to distribute the data over multiple pages. Users click on backward and forward buttons or directly navigate to specified page numbers. Pagination (as shown in the screenshot below) helps to organize large volumes of search results.

03/17/2009	SDU	9147	R - RECONCILED	03/17/2009	1	1	200.00	1	1	200.00		Y - YES
03/17/2009	SDU	9146	R - RECONCILED	03/17/2009	1	1	200.00	1	1	200.00		Y - YES
03/17/2009	SDU	9145	R - RECONCILED	03/17/2009	1	1	200.00	1	1	200.00		Y - YES
03/17/2009	SDU	9144	R - RECONCILED	03/17/2009	1	1	200.00	1	1	200.00		Y - YES
03/17/2009	SDU	9143	R - RECONCILED	03/17/2009	1	1	200.00	1	1	200.00		Y - YES

1 2 3 4 5 6 7 8 9 10

This innovative approach keeps the screen uncluttered while improving user experience and without delaying the page readiness.

Accordion Grids

Accordion grids are expandable grids that split information into two levels. High level, summary information is presented on a row of the grid so users can easily scan through a large set of data. Clicking on a selected row expands the grid to reveal additional data, as shown in the figure below.

The screenshot displays the 'URCT - Unidentified Receipts' interface. At the top, there's a header bar with 'View All Unidentified Receipts'. Below it is a table with columns: Receipt, Reference, Remit Type, Deposit Source, Receipt Source, Receipt Date, Receipt Amount, Status, and Name On Item. The table lists several receipts, with the one for 03/16/2009-SDU-0002-210-001 highlighted in yellow. Below the table, the selected receipt is expanded, showing detailed information. This includes the Worker (AVAZQUEZ), Notes (136662433, HESTER, TER 136662433), DCN, SSN (000-00-0000), and an 'Archived' status. The expanded view also shows 'Name and Address' fields (Name: HESTE) and 'Bank Details' (Routing No: 04300009, Acct No: 04300009). At the bottom, there are 'Identified Data' fields for Name, Address, and EIN.

This capability allows users to load information “on-demand” which leads to both performance improvements and uncluttered screens. It also avoids a horizontal scroll which slows user productivity.

Record Scrolling

Our proposed solution incorporates record scrolling to effectively manage and quickly access data and to help facilitate the screen transitions during the case entry process. For example, workers often need to compare screen information between various updates made at different times. The figure below displays how navigation buttons are used to scroll through archived information to determine changes to the Name field. Navigation buttons on the top right enable users to scroll through changes to the identification data made by various users/ batch jobs

The screenshot displays two overlapping windows from a case management system. The top window, titled '03/16/2009-SDU-000', shows a case for 'BATCH' with a status of 'Archived'. The bottom window, titled '03/16/2009-SDU-0002-619-001', shows a case for 'BABATUNJOS 059766711' with a status of 'Active'. Both windows contain fields for Worker, Notes, Receipt Source, Name and Address, Bank Details, and Identified Data. Red boxes highlight the 'Archived' and 'Active' status buttons in the top and bottom windows, respectively.

Another example is the management of voluminous data captured during the case create process. As previously discussed under Pagination, our solution parcels information into smaller components and presents them in multiple pages. To avoid visiting multiple pages to update data, we propose using multiple tabs and wizard-like interfaces to effectively guide users through the complex transitions involved.

Multiple Tabs

Use of tabs breaks the voluminous information into separate screen areas. Each tab is distinct e.g. CP, NCP, Dependent, and Case Information as shown below.

The screenshot shows three overlapping windows of the 'CCRT - Case Create' interface. The top window is titled 'Create Case on NJKIDS' and shows tabs for CP, NCP, Dependent, and Case. The bottom two windows are also titled 'Create Case on NJKIDS' and show the same tabs. The bottom window is the most detailed, showing fields for Application ID, CP Last Name, First Name, MI, Suffix, Case Status, Case Status Date, Case Title, Client Litigant Relationship, Confidential, Cooperation Date, Med Enf Only, and a table for DCN, Name, Case Relationship, Dependent Relationship, Member Status, and Family Violence.

Recent browser improvements enable users to keep more than one screen open at the same time. By allowing users to work multiple screens simultaneously, this feature significantly improves worker productivity. Our solution implements multi-tabbed browsing (as shown below)

to ensure users can simultaneously work on multiple screens and switch easily between and among them, as illustrated in the figure below.



Tabs are color coded and grouped to facilitate easy identification. For instance, all collection screens are placed next to each other and have the same color. In the illustration above, Release Held receipts and Refund Receipts are collection screens placed next to each other and color-coded to appear distinct from Address History, which is a Participant Information screen.

Protech has implemented automatic refresh of data using Ajax, Socket.io enabling real-time bidirectional event-based communication. Such capability is based on the browser type, version and capability and the backend architecture. We will work with the iSupport team to implement such architecture after preliminary design sessions with the iSupport team.

11.2 User defined looks

RFP 11.2

454. The user can create their own 'look and feel' by picking the objects on the screen which are used the most and which objects must be opened when the user starts iSupport after login. With these individual customised screens the user is able to display the data on the screen on the way he / she likes. This is a "Could Have" requirement.

Our portal solution is based on a mature platform that provides a variety of capabilities including user personalization. User attributes such as department, functional area, or role can be used to configure personalization options for the portal. These attributes are also used for fine-grained permissions and personalization within Portlets.

The Portal has several configuration options to facilitate brand enforcement through the use of cascading style sheets. Out-of-the-box layouts are available as well as the ability to create custom portal page layouts and themes across the portal personalized by user role. Our solution features a user's homepage, which can be customized to display:

- Worklists, including incoming pending referrals and pending actions
- Alerts, including alerts requiring caseworker action and information alerts
- Upcoming appointments

Our solution features a portlet library from which a user can select and customize their landing/home page. Users can use features such as favorites to create a personalized homepage.

Protech will work with the iSupport Team to determine the personalization features which will be offered as part of the iSupport solution and implement these user preference settings.

11.3 Accessibility

**RFP
11.3**

455. Braille, for blind users, is not part of this project. If needed it may be part of a next release. This is a “Won’t Have” requirement.

456. Accessibility for colour-blind users, will be kept in mind when developing the screens. (“Could Have”).

457. For deaf users: Sounds will not be used in the iSupport system, or, if sounds are used, the system will also be useable without the sounds.

The Protech Team brings comprehensive User Experience (UE) engineering expertise to the development of the presentation layer. Our information presentation architects and designers work with industry-standard guidelines and checklists for UE design, accessibility and usability. We have in the past used tools such as IBM’s Rational AppScan to verify and implement ADA compliance in Child Support systems.

We also ensure that ITD’s Web Accessibility Standards and IT Accessibility standards are met for the application. We use wireframe design techniques and other state-of-the-art design processes to improve and optimize usability. Our UE team has considerable documented experience in implementing usability and accessibility for multiple groups of users with different information and accessibility needs.

We understand that iSupport’s compliance with specifications regarding online accessibility is a key requirement. Our solution is compliant with ITD accessibility standards and ensures interoperability with the AT/IT environment list. It uses Adobe technology for the generation of documents and the creation of notices with interactive form fields. We also test with industry standards accessibility testing tools to verify compliance with the accessibility standards.

Protech has worked with a variety of Assistive Technologies – the table below summarizes our past experience:

Type	Assistive Technology	Our Solution’s compatibility with the AT
Braille Translation and Embossing	Duxbury Braille Translator	Our solutions use Adobe technology for the generation of documents and the creation of notices with interactive form fields. By following the Adobe accessibility guidelines, using Adobe Acrobat (Min Ver. 9), we ensure that documents generated from the system are compatible with Braille Printing software such as the Duxbury Braille Translator within Adobe Reader v9.

Type	Assistive Technology	Our Solution's compatibility with the AT
Screen Reader	JAWS for Windows	Our solutions are tested for readability with JAWS and are specifically built with such readability as part of the architectural vision. The use and certification of our solution through the use of IBM's Policy tester also ensures compliance to section 508.
Screen Reader	Window-Eyes	Compatible with Microsoft and Adobe products, Window-eyes can be used to view the Web pages of our solution, and to access Adobe interactive forms for data entry and modification on the interactive forms of our solution.
Screen Magnification	Zoom Text	Zoom Text is compatible with the Adobe documents produced from our solution, and is also compatible with the screens and Web pages from our solution.
Screen Magnification	Magic	Since our solution produces accessible PDF documents, Magic can read our documents readily, and is also compatible with the screens and Web pages from our solution.
Voice Recognition	Dragon NaturallySpeaking Professional	When Dragon is running, users can navigate by voice, instead of mouse or keyboard, with simple commands such as "Press", "TAB", "SHIFT TAB", and other simple words to navigate to fields and enter data. We have partnered with Speech ax USA to integrate this assistive technology with our solutions.

Protech understands that Braille for blind users is not a part of this phase of the current project. However, Protech has experience and capability in providing the services requested in the requirement 455.

11.4 Help to users / iSupport-manual

**RFP
11.4**

458. In addition to the documents of guidance described above under “3.3.3 Availability of guidance documents” the following items should be provided 2.:
- Hyperlink to the Service Provider with the contact data of the Service Desk (“Must Have”)
 - A user handbook (“Could Have”).

A key differentiator of the Protech Team’s solution, developed as part of previous child support enforcement system development efforts, is the online Help Center which is available from every screen and works as a comprehensive transaction facilitator and history center, containing common functions and enabling collaboration and updateable documentation.

Our online Help Center is available on every screen to provide dynamic, context-sensitive help functionality. User documentation can be found online through the help function and users may generate their own copies of selected documentation by using the print function. The policy manual is also available online and includes a table of contents and index for rapid information retrieval.

We understand that it is critical for iSupport users to have reference tools such as policy and procedure guides at their immediate disposal for reference and search purposes.

The repository can easily manage iSupport Team’s policy and procedure guides and provide sophisticated version control of these documents. The platform allows iSupport Team to store these materials in their native formats, including Microsoft Word and Excel.

As part of the program, the Protech Team establishes the necessary links within the online help facility to access regulations, policy and procedure guides. These materials will be available to end users in read-only mode. Authorized users may update the policy and procedure guides within the repository.

The Protech Team has developed an online Help Center for other child support enforcement customers. An online Help Center includes the ability to access policy manuals and training materials from every screen. The actual policy manuals are stored within the repository. When accessed from within iSupport, the policy manual is retrieved from the repository and is displayed to the user in a separate window in its native format.

Our online help tool also provides context-sensitive help functionality. As shown in the previous figures, user documentation is available online through the help function. Additionally, users may generate their own copies of selected documentation by using the print function. The policy manual is available online and includes a table of contents and index for searching.

In addition to online help, Protech provides a hyperlink for users to view contact details of service desk.

11.5 Production environment

- RFP 11.5** 459. Assistance with the set-up of the production environment during the pilot phase is the responsibility of the service provider (“Must Have”).

Protech has built and implemented large productions environments, clustered app server farms and database servers, SAN and other production-grade equipment. We commit to assist with the set-up of the production environment during the pilot phase.

11.6 Auto-complete and auto-filter

- RFP 11.6** 460. In key fields, the user types the first letter(s) and iSupport helps by showing a list of values starting with these first letter(s). For example, for countries, the user starts typing “ca” and the list will reduce to “Canada” and “Cameroon”. “Could Have”

Protech’s solution features use of libraries which support Auto-Complete, Auto-Filter in its search / select components from anywhere on the User interface.

11.7 System performance

- RFP 11.7** 461. iSupport must be capable of completing system tasks in a reasonable period of time, taking into account the requirements for prompt processing of cases and entry of payments. The implemented iSupport system must provide response times for key tasks that do not exceed 1 second of elapsed time including the time needed to show all data on the screen. Response times for all other tasks must meet reasonable commercially accepted standards for network, hardware, operating system and database for system response times (“Must Have”). Key tasks include the following: opening of a case, acknowledging receipt, receipt of a case through iSupport, case and actor look-up (search), entering of payment data, updating case account balances, or entering, updating or saving case or actor personal data.

The Protech Team uses the latest hardware and software components to achieve the fastest possible response times. We will provide performance enhancement measures that will include Web caching, efficient use of AJAX/JSON to bring only the required data to render the page, tuning of application queries, and proper indexing of database tables. Load testing will be used to test the performance under various loads. Also, examination of log files and a system-monitoring

tool will be used to check the efficiency of various components of the application. These measures will provide performance improvements in the client, application, and DB layers. For example, rendering of the static content from the chosen application page is measured locally to satisfy iSupport Team's response time requirements.

During system integration testing and as part of performance testing, we monitor these metrics continually and log defects (tagged as performance defects) to ensure a timely resolution of these defects. In addition to using tools, we also have experience using test cases focused on response times. These tests are executed by our testers to measure the response times of online pages and batches. A failure of the test follows the standard defect management process. While tools are useful in monitoring, it is important to test the strength of the system for real-life scenarios where different caseworkers could have different case loads.

We work collaboratively with iSupport Team to define and establish SLAs for performance. The design of the iSupport system takes into account iSupport Team's key business processes. We track the transactions and the interaction between each of the architectural layers and use a centralized holistic view of the system performance. To achieve best performance and business activity excellence, it is important to identify issues early in the system life cycle. Protech's project approach addresses these requirements.

Protech understands the requirement of sub second response time – as the iSupport Team points out this will be subject to standards for network, hardware, operating system and database tiers. Protech will work to ensure that performance SLAs are defined with the iSupport Team for specific transactions and these are met.

12 Service Provider

RFP 12

462. The SP (Service Provider) takes care of the maintenance of the iSupport system. During the development phase, the service provider starts to gain information about iSupport and advises about the architecture and functionality of the iSupport system in order to improve the maintenance of the iSupport system.

463. The tasks within the transition process are described in Annex 7 'Transition from project to maintenance'.

464. The tasks for the Service provider during the maintenance are described in Annex 6 'General description of the iSupport Services', see also paragraph 47.

Please refer to our response in Lot-2 for these requirements.

13 Test Environment

13.1 Test environment for development

RFP 13.1

465. The Developer will provide the test environment during the development phase. The developer will establish this environment, which is accessible for the project team members situated in different locations. This is a "Must Have" requirement.

Protech's development team will establish a development-testing environment, which is accessible to all members of the development team. The Protech Team establishes a unit/development test environment that is separate from other test environments and is configured to support verification of all required system functionality. In addition to establishing the environment for optimal support of unit testing, the Protech Team implements and maintains all automated tools necessary for developers to execute accurate and reliable test cases.

Development testing focus is on path/statement/branch coverage, control flow, subroutine testing, and memory management. It includes the following:

- Verify the system code is reliable, stable, and meets the requirements established within the detailed design artifacts
- Verify the correct operation of an individual program
- Confirm the program structure is correct
- Confirm paths and conditions coverage
- Verify the expected internal program functions per requirements
- Validate exception condition logging and error handling

The types and degrees of unit testing varies among interactive and batch programs, as well as among modified and newly created programs. This includes component integration testing to verify proper interfacing between components/classes and within functional areas.

In conducting a unit test, developers follow the procedures and standards documented in the unit test plan for that unit. Each statement is executed and each logic path is traversed. Statements and paths are tested for all possible sets of input data. The unit is tested against a unit test checklist. Analysts must demonstrate that each planned condition has been tested, processed correctly, and produced the correct result(s). If a program fails the unit test, it undergoes problem identification analysis to determine the cause of the failure. Corrections are made at the appropriate level in the development environment or, if applicable, in the documentation. The corrected modules undergo unit testing again to ensure that the revised code does not inadvertently introduce additional errors.

The conclusion of the unit testing marks the completion of several key work products, some of which are contractual deliverables subject to iSupport Team approval. Others may not be iSupport Team approved but are critical to achieving high-quality results.

13.2 Sandbox test environment

RFP 13.2

466. The Developer will provide the Sandbox environment during the project. In the sandbox environment, the developer, project team, Working group participants and pilot States can perform unstructured tests ('play-ground'). This is a "Should Have" requirement.

Protech maintains a separate environment for training and testing purposes. This testing /training environment includes a "sandbox" where individuals can practice their skills or test the application with random data. Pre-work may also be assigned to individuals such as exercises that participants can use to practice or recall the functionality and prepare for deployment. Protech will discuss with iSupport Team about the need for resetting this environment periodically to clean up the data in this environment.

13.3 Test environment for Acceptance (UAT1)

RFP 13.3

467. The Developer will provide the acceptance environment during the project. "Must Have". This environment is accessible by the developer, project team, Working group participants and pilot States

¹ UAT = User Acceptance Test

The Protech Team establishes an acceptance test environment that is separate and distinct from other test environments. We configure the environment to support the verification of all required system functionality. The Protech Team provides SMEs, senior systems analysts, and other technical staff necessary to coordinate activities to provide support to iSupport Team staff and to analyze test results. We also provide business analysts and technical staff to analyze and correct any defects found.

The acceptance test environment allows users to perform tests to confirm the iSupport system works properly. The acceptance test environment allows users to update the user testing database and reset it to its original values for continued testing and re-testing. The system date within this environment is under user control and can be easily manipulated to allow testing of future events.

The test environments, including test data and deliverables, are managed using the configuration management process. During each level of testing, a stable environment reduces the number of defects introduced by a changing and ad hoc environment configuration. The environment is base lined with controlled data and source code migrations into the environment. When defects are found in a stable environment, developers can conclude that the defects are due to application problems rather than environmental concerns.

- Unit testing takes place in the development environment and is not be subject to the same level of environment control as the other testing environments.
- System testing takes place in a more controlled environment, with a formal approval and migration process to move code into the User Acceptance environment.
- User acceptance testing is done when the application is fully developed. Various levels of testing; unit, integration and system, are already completed before user acceptance testing is done. As various levels of testing have been completed, most of the technical bugs have already been fixed before UAT.

The Protech Team uses build to promote application changes from one environment to the next. The Protech Team deploys the same core functions (and surrounding functions, to the extent where accessory functions affect the function/performance/security of the core) in the test environment that is deployed in production.

The result produced by testing in UAT is taken as a baseline; it is able to extrapolate the result to any given variable within reasonable values (in order to help us project the load results beyond deployment of reasonable test capabilities) and is functionally identical to the full Production system.

The Protech Team promotes the same level of security controls through the environments.

13.4 e-CODEX

13.4.1 Connection with e-CODEX test environment in Italy

**RFP
13.4**

468. ITTIG will provide an e-CODEX test environment in Italy.
469. The Developer will provide the connection between the e-CODEX test environment and the test environments of the developer ("Must Have").

Connectivity to e-CODEX environment will be configurable through an administration page or XML file. The environment to be used can be configured here. Protech will ensure the Test environments point to the e-CODEX test environment in Italy.

13.4.2 Local test environment**RFP
13.4**

470. Each State must have a local production environment and a local test environment for e-CODEX.

Protech will ensure each State's test environment points to the appropriate local e-CODEX test environment. As mentioned in response to 13.4.1, the settings can be updated via an administrative page or XML file.

13.5 Maintenance**13.5.1 DTAP****RFP
13.5**

471. The Service provider sets up and maintains the test environment for maintenance. The Service provider implements a DTAP environment for changes after the initial rollout of iSupport. The acronym DTAP is short for Development, Testing, Acceptance and Production. The Service Provider creates a separate environment for each, so there are 4 environments. The program is developed in a Development environment. This development environment might have no testing capabilities. Once the developer is ready, the product is copied to a Test environment, to verify it works as expected. This test environment is standardized and in close alignment with the target environment. Integration tests can be done in this environment as well. If the test is successful, the product is copied to an Acceptance test environment.
472. During the Acceptance test, the release can be tested by the HCCH, if needed in this environment to verify whether it meets the expectations. If HCCH accepts the product, it is deployed to the Production environment, making it available to all users of the system.

473. In case the software is open source and States are able to change their local configuration, the Service Provider should ensure that the test environment supports this.

Protech understands that separate environments will be needed for Development, Testing, Acceptance and Production during the maintenance phase as well. The code in these environments will be managed by the configuration management system using source version control. The movement between these environments will be controlled and based on an authorization procedure which evaluates test results and sign-offs.

Protech Team ensures that development, test, acceptance and production environments are consistent with each other as well as within themselves

An overview, from our past projects, of the Configuration Management Activities in each of the environments along with information on who is responsible for the activity is tabulated below:

Activity	Description	Environment	Responsibility
iSupport System Problem logs and issues	Enter issue into Configuration Management tool	N/A	Test Team
Review, Update, and Assign	Review queued problems Determine technical solution Determine development schedule Assign appropriately Update request within CM tool	N/A	Project Management
Requirements and Design Specifications	Gather business technical requirements. Develop the requirements and the solution to fulfill the requirements (if not already included in Problem Description)	Development	Functional Design Manager
Technical Review and Walkthrough	Review the proposed solution with the Technical Team to determine if the solution fits the technical architecture.	N/A	Functional Design Manager and Technical Design Manager

Activity	Description	Environment	Responsibility
Management Review	Review the solution and determine development schedule (for new functionality).	N/A	Development Manager
Build, Unit, and Unit Integration Test	Build the solution Component test the solution Assembly test the solution	Development	Development Manager
Migration to Test and Quality Assurance	Migrate the code associated with approved changes to test environment	Test	CM Coordinator / Technical Manager
System Test	Review the completed solution Verify that requirements have been met	Test	Testing Manager
Migration to Acceptance Testing	Migrate the code associated with approved changes to production simulation environment	Acceptance	CM Coordinator / Technical Manager
System Integration Test	Review the completed solution Verify that requirements have been met	Test	Testing Manager
System Test	iSupport Team Review of the completed solution iSupport Team Verification that requirements have been met	Test	Testing Manager
Management Review	Review the solution Obtain final sign-off	Test	Development Manager
Migration to Production	Migrate code associated with approved changes to production environment	Production	CM Repository Coordinator
Confirm Successful Migration into Production	Review changes in production environment	Production	Development Manager

Protech will work with iSupport Team to implement a configuration management plan, which addresses the iSupport Team's requirements for maintenance.

14 Pilot

RFP 14

474. The Pilot is part of the project. States who join the pilot, also join the development phase by viewing demos and testing in the 'sandbox' test environment and sharing their test-issues.

475. All States who want to join iSupport from the project budget, need to join the pilot. Pilot States have to be available to join demos during the development and perform tests during the development. Using this approach, the pilot period itself can be short.

Protech understands that all states who sign up for iSupport will join and be available for the pilot. Protech will initialize the sandbox environment and make it available to the states for testing. All issues recorded by the States will be reviewed and resolved in consultation with the iSupport Team.

15 Technical

15.1 Usage of iSupport

RFP 15.1

476. There are two possible ways to use iSupport (“Must Have”).
477. The State decides which option they prefer.

Protech understands that each State will decide between two options – i.e. Case Management System AND Communication OR Communication Only and our implementation will support both options.

15.1.1 Case management system + communication

15.1.2 Communication only

RFP 15.1

478. In this option, the State uses the complete system: the case management system for the end-user plus the communication between States.
479. In this scenario, the State use the communication between States only. The State builds an interface between their local system and the iSupport plug-in.

Protech understands this requirement and commits to building iSupport to satisfy both requirements 478 and 479. We will work with the States to build an interface from their local systems as required.

15.2 Cloud / local

RFP 15.2

480. Neither the Application nor the data will be stored in the cloud, for Security reasons.
481. Each State / Local organisation will install a local iSupport system on their own system, together with their own local database.

Protech understands and acknowledges requirements 480 and 481.

15.3 Programming language, operating system and database system

**RFP
15.3**

482. The development and operation of the system must be completed using a programming language, an operating system and a database system which are commonly used (“Must Have”), and can be easily maintained by the Service Provider (“Should Have”). The use of Java or .Net as a programming language is preferred, but development using other programming languages will be considered.

483. All prices quoted in the Tender should indicate the programming language that will be used. Where appropriate, if development can be offered in more than one programming language, the tender should include prices for development for each programming language, operating system and database system where the price differs.

Our recommended programming language, operating system and database system for iSupport is presented in the following table. We provide details on all layers of the system architecture, and recommendations for additional software.

Architectural Layer	Software	Comments
User Interface	JavaScript, jQuery and other open-source JavaScript-based libraries as required.	Our software can be extended to other frameworks that support jQuery.
Web Server	Apache	
Application Server	Java JEE, on the following servers, depending on the preference of the iSupport team. Apache TomEE (must have) WebLogic (wont have)	
Message Queuing Server	iSupport will upload messages into an eCodex database which will reside within a State's environment	
Database	Depending on the preference of the iSupport team, our solution can be built on MySQL (could have) Oracle (must have)	If the iSupport team prefers Oracle, then a complete Oracle stack works well at the application and web layers.

Protech will provide quotes for transitioning data from Oracle into MySQL databases.

15.4 Java

**RFP
15.4**

484. Use of Java is permitted. The usage of Java is limited to the server side, so no objects on the client side. iSupport must be able to run on the latest Java version, the previous one and two earlier versions. If Java is used, the priority for the versions is “Could Have”.

Protech commits to using Java only on the server side, using the latest version of Java along with two previous versions.

15.5 Data Model Overview

**RFP
15.5**

485. The application should be based on this data model (“Must Have”). See for further requirements “17.5 Data model”. (See Figure 3, 4, 5)

Protech’s current solutions substantially meet these data modelling requirements and we bring this knowledge and experience in building an appropriate data model for Child Support. For instance, our solution relates a Case entity to multiple actor entities, and additionally timestamps the involvement of these actor entities with the Case entity.

Using a role attribute, our solution provides additional dimensions to the Case-Actor relationships. This can be used for the Person-type entity in the requirements. Multiple application requests could result in a single case entity or multiple case entities. The tasks entity is linked to a case, an actor, one or more users and one or more templates in our solution.

A case can have multiple payments of different types and these payments can be applied to maintenance obligations based on specific business rules for the CA.

Since our solutions have specifically been built for this domain, we bring a wealth of temporal data models to iSupport, to keep a complete audit trail of all changes to the table data.

15.5.1 Note to the data-model concerning the relationship with Actors

**RFP
15.5**

486. A case has always one debtor. The debtor is a role and can be any person that exists in the Actor module.

487. An application or request may have one or more Actors.

In our model, a case always has one debtor, who is also an actor, and that the application request that relates to a case may have many actors.

15.6 Mobile devices

RFP 15.6 488. iSupport can run on mobile devices in a later release. This requirement is a “Won’t Have”.

Protech understands and acknowledges this requirement – mobile device support is not planned for this release.

15.7 Character Set

RFP 15.7 489. Character set ISO/IEC 8859-15 or equal is mandatory (“Must Have”).

We use ISO/IEC 8859-15 in our applications and we will ensure that this is the character set we use for iSupport.

16 Technical Screens

16.1.1 Authorisation

RFP 16.1 490. This screen is available for administrators.

491. Here the administrator is able to add and change the roles which govern access and function rights for users.

492. Users can be added. Users can be disabled.

Response to requirements 490, 491 and 492. Our solution provides an authorization screen for administrators. Using this, fine-grained control of user functions and roles can be achieved:

- Manage Roles
- Manage Access rights for roles
- Manage workflow access for roles
- Manage User Information

- Add/Disable Users
- Assign / un-assign users to roles
- View history of changes to roles and user permissions

16.1.2 Help Screen

**RFP
16.1**

493. This screen / environment is available for administrators.
494. This can be another screen / environment than the help screen which is visible for the 'normal' user.
495. The administrator is able to add extra links to documents and hyperlinks (would have). 3.
496. Default the help screen contains these elements ("Must Have"):
- Links to open PDF documents
 - o Open the Handbook Regulation (PDF)
 - o Open the Handbook Convention (PDF)
 - Hyperlinks
 - o Hyperlink to the SP with the contact data of the Service Desk
 - o Hyperlink to the HCCH website – iSupport chapter
 - o Idem to the Convention chapter
 - Help texts - changeable by the admin.

Our solution features a help administration screen where an administrator can readily modify the contents of a particular help screen. On this screen, the administrator can add hyperlinks, links to PDF documents, and update the help text without accessing special software.

Please refer to the Knowledge-centre documentation in our response to Lot-2 for more detail on the hyperlinking of help documents to user interface elements and screens.

16.1.3 User Menu

**RFP
16.1**

497. This screen is available for all users of iSupport.
- Language UI: Change the default language of the user (English or French)
 - Log out
 - Change password
 - Show last access date and time

The login mechanism is a requirement for all our systems, including language selection and last access date and time. We will implement this mechanism for iSupport.

17 Technical Deliverables

**RFP
17**

498. All deliverables are to be developed using the Agile / Scrum project methodology. An alternative may be Prince 2 ("Must Have").

Our SDLC(Software Development Life Cycle) processes are marked by a series of contractual deliverables for design, development, testing and delivery, where each deliverable is a milestone that is a result of multiple scrum iterations.

This approach addresses the requirement for contractual clarity in terms of traditional deliverables while providing flexibility to the project teams for an agile project approach.

At the start of the project, Protech will work with the iSupport team to identify the sprints and deliverables for the project. Our sprints will be approximately 2 weeks in length, and include user testing processes. Our cross-functional teams participate in the bi-weekly, standing 30-minute meetings with bulleted agendas and rapid review readiness reports.

At the end of each sprint we provide the team with an updated design document, testable software, implementation procedures, integration test scripts and project plan updates.

We provide a dedicated project manager and project coordinators as part of our Project Management Office (PMO) to provide project governance and status reports to the iSupport team on a weekly basis. The PMO will track the progress of the project and manage the risks and issues of the project using best practices from PMBOK.

17.1 Sizing Document

**RFP
17.1**

499. Objective: Inform States what is needed concerning their environment, resources and any other possible requirements for the database so they are able to calculate the amount of expected data storage, costs of the database and the required maintenance resources on their side. ("Must Have")

Composition: text (description), calculation model for sizing

References: Data model

Sources: Developer / supplier of the application.

Quality-criteria: level of IT-technician, English language, in digital format.

We follow a structured sizing process while implementing iSupport for a specific CA.

- Assess the current caseload and types of cases.
- Assess the number of users and their system usage profile, based on their business functions
- Document generation requirements, tasks management and business process requirements

- Use the information gathered to map to the iSupport data model and estimate the row count and key counts for critical entities in the model
- Use Database sizing techniques, RAID/SAN requirements, failover/backup/recovery requirements to assess the database size and layouts.
- Use Application server sizing techniques based on the access profiles, user counts, network limitations, traffic packet size, to assess the Application server requirements.

Having followed this structured process for each of our States, we understand the risks involved and the correct procedures to perform such assessments. We provide detailed documentation, at the IT-Technician level in digital formats as required.

17.2 Security document (application, data and documents)

RFP 17.2

500. Objective:

- 1 To ensure States that the iSupport system contains the best security;
- 2 Inform the State with security notes about the use of the application including the browser;
- 3 Inform States about the encryption of data and documents (if applicable).

501. Composition:

- Ad 1 Description of the security of iSupport;
 - Ad 2 Security notes about the use of the browser;
 - Ad 3 Technical description of the encryption of data and documents which are sent by e-CODEX to other states. eCodex will provide the encryption mechanism.
- All are text documents.

References: Data model

Sources: Supplier of the application, e-CODEX, database supplier, browser supplier

502. Quality-criteria:

- Ad 1: all levels.
 - Ad 2: level of IT-technician.
 - Ad 3: level of IT-technician.
- Very high accuracy, English language, in digital format.

503. All three quality criteria are a "Must Have".

We provide a complete security solution and document this effectively for review by States. Being a browser-based system, we will provide detailed instructions on browser security level requirements for iSupport and processes for ensuring that security standards are met. Data encryption (e-Codex will provide message encryption) and authorization techniques will be fully documented for all levels of users and support staff.

We assume that the security implementation for iSupport for various CAs depend on the security infrastructure available and desired by each CA. Thus we ensure that iSupport is capable of customization, to interface with production-grade security infrastructures such as IBM's Tivoli, for instance. We also ensure that application security is fully met and security standards followed

while developing and implementing iSupport. But we do not present any specific security vendor solution, pending discussion with the iSupport team.

Our security solution provides a secure, automated, and policy-based user management to address key business issues such as controlled user access and security of sensitive information. Our security layer provides identity and access management that allows for quick, efficient setup of new accounts and passwords for employees and customers, including the ability for users to reset and synchronize their own passwords. It will also allow iSupport to improve visibility into security management operations, quickly producing reports for auditors with predefined reports and audit events.

Protech proposes to implement security layer requirements as specified in the following table.

Module	Activities
DEFINE (ANALYSIS)	• Documentation of the iSupport application architecture
	Analysis of
	• Existing role definitions and access policies
	• Authentication requirements for internal and external users
	• Authorization and fine-grained access control requirements
	• Session management requirements
	• Password policies and user naming convention requirements
	• SSO requirements (if applicable)
	• Auditing and reporting requirements
	• Message level security requirements
	• Portal/Web services/iSupport applications for integration with security policies
	• Data privacy and encryption requirements
	• Cross domain single sign on requirement (if applicable)
	• User acceptance test case generation
	• Requirement and UAT document review and signoff
	• Analyze availability and performance needs
	• Documentation of security architecture
DESIGN	• Integration with Service Oriented Architecture
	• Authentication model (UserID/password based)
	• Authorization and fine-grained access control mechanism
	• Single sign on model for iSupport applications
	• Application integration methodology with security architecture
	• Administration GUI wireframes

Module	Activities
	<ul style="list-style-type: none"> • change password and reset password GUI
	<ul style="list-style-type: none"> • Definition of logging and reporting policies
	<ul style="list-style-type: none"> • Deployment design of the Web/application server agents or plug-ins
	<ul style="list-style-type: none"> • High level design for multi-factor authentication and reports generation
	<ul style="list-style-type: none"> • User migration high-level design and migration methodology
	<ul style="list-style-type: none"> • Provisioning components
	<ul style="list-style-type: none"> •
	<ul style="list-style-type: none"> • Access control and authentication component
	<ul style="list-style-type: none"> •
	<ul style="list-style-type: none"> • Auditing log retention and archival policies
	<ul style="list-style-type: none"> • Low-level design of reports
	<ul style="list-style-type: none"> •
	<ul style="list-style-type: none"> •
	<ul style="list-style-type: none"> • Roles and access policy definition
	<ul style="list-style-type: none"> • SSL configuration and encryption design
	<ul style="list-style-type: none"> • Graphical user interface Design (GUI, Wireframes, mockups, etc.)
	<ul style="list-style-type: none"> • Design Web services security
	<ul style="list-style-type: none"> • User migration low-level design
	<ul style="list-style-type: none"> • Documentation
	<ul style="list-style-type: none"> • Build unit/integration/regression/system test plan
	<ul style="list-style-type: none"> • Unit test case generation
	<ul style="list-style-type: none"> • Integration test case generation
	<ul style="list-style-type: none"> • System test case generation
	<ul style="list-style-type: none"> • Build unit/integration/system/regression test scripts
	<ul style="list-style-type: none"> • High-level design and Test Plan review and sign off
DEVELOPMENT	<ul style="list-style-type: none"> • Create repository
	<ul style="list-style-type: none"> • Directory server schema build

Module	Activities
	•
	• Implementation of provisioning and de-provisioning capabilities
	• Implementation of delegation administration and maintenance of password system
	• Implementation of multi factor authentication
	• Administration GUI customization and forms customization
	• Generation of reports
	• SSO configuration for Web/application servers agents or plug-ins
	• Implementation of message-level security such as WS-Security, XML encryption, XML Signature, WS-Trust, WS-Secure Conversation and WS-Security Policy, and SAML
	• User migration utility and process definition
	• Implementation of self-registration and self-service password reset activities
	• Role and policy creation script/document
	• Build and deployment script generation
	• Unit testing
DEPLOY	• Verification of prerequisite software and hardware
	• Deployment of directory server schema
	• Deployment of Web or application server agents or plug-ins in all environments
	• Deployment of custom components
	• Configuration of custom roles, security policies, session parameters, etc.
	• Scripts for rollout and QA rollout
	• Install script, installation guide
	• User manual, administration manual
	• Troubleshooting guide
	• System/functional testing
	• Regression testing
	• Integration testing
	• UAT preparation
	• UAT testing

The Protech Team will ensure the system provides encryption as specified in NIST SP 800-53, Rev. 2. To meet the appropriate federal and IRS requirements, the system will provide encryption capabilities validated to FIPS 140-2.

We will develop iSupport in such a way as to minimize the vector of attack with SQL injections by utilizing parameterized queries and stored procedures. We recommend the deployment of Web application firewalls to significantly mitigate the risk of loss of or damage to data. Web application firewalls act as a proxy and will inspect Web traffic to ensure that requests coming to the Web servers are valid and do not compromise security of the system and data. They ensure that a malicious user attempting to simulate error conditions will not be able to expose information about the Web server, application server, or the database server, which will prevent the compromise of system security.

Additionally, since Web application firewalls intercept outbound data, it can be configured to ensure that sensitive data is masked or blocked to protect against data leakage. In the unlikely event of a denial-of-service attack where a Website can be flooded with requests, causing application failure, it will be possible to configure Web application firewalls to slow the rate at which requests reach Web servers. Authentication and authorization mechanisms can be built into Web application firewalls, therefore creating an added layer of security for users accessing the system.

We will design and build the system to ensure that the appropriate warning banners, headers, and/or footers are prominently displayed on all screens and reports. These banners will be generated based on a data sensitive, rules-driven security process. The use of these banners, headers, and footers will ensure that the system adheres to HCCH and other applicable standards. To provide maximum flexibility, the system will allow the security warning banners, headers and footers to be readily customizable by iSupport staff.

17.3 iSupport Database

RFP
17.3

504. The State can choose to install a database (“Should Have”) or use a schemer (“Must Have”) to create a database.
505. The developer must provide both.
506. Objective: all States will configure and fill the database initially before using the system. It contains e.g., help text and general settings / parameters.
507. Composition: the job / script itself and an instruction how to use it, requirements.
References: Data model
Sources: Supplier of the application, suppliers of database.
Quality-criteria: level of IT-technician, English language, description in digital format.

As specified in our response to requirement 483, we offer Oracle as the database for iSupport. We will provide a 'schemer' and provide the ability to use the schemer or to directly install the database.

A detailed document explaining the step-by-step process, settings, parameters and technical requirements for installing the database or using a schemer for this purpose, will be provided to a State.

17.4 Plug in

RFP 17.4

508. XML interface description (conversion)

509. Objective:

510. A) General plug in: With the plug in, the States are able to build their own interfaces between this iSupport plug in and a current case management system or external data suppliers like a social security office or a bank. The plug will address both input and output. "Must Have"

511. B) Application plug in: Let the States be able to build their own interfaces between iSupport and a DIS system to easily import request / application Forms. At the import of these Forms, an error list is shown on screen, or in a summary at the end of the Form document as a log report of the failed import transaction. "Must Have"

Composition: preferable web-service(s); description.

References: Data model.

Sources: Developer of the application.

Quality-criteria: level of IT-technician, English language, description in digital format.

Protech has built such plug-ins for its various implementation, to interface with the Case Management Systems of the Departments of Human Services, as well as plugins for exchanging data between Child Support systems and external data suppliers. We will implement such general-plugins for iSupport's requirements.

Our systems feature secure web-services to receive and send data from Child Support systems for receiving requests and application forms. We will provide the interface for such Application-plugins for iSupport's requirements.

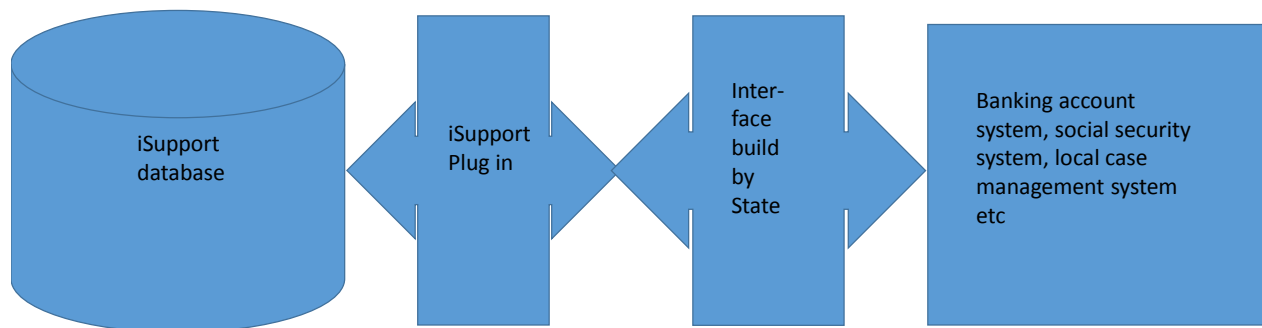


Figure 1 Plug in, general, type A

17.5 Data Model

RFP 17.5

512. The developer should build the Data model based on the overview as described in paragraph 489.

513. Objective: Inform States about the structure of the data.

514. If applicable, States might use this document to create interfaces to get connected with other systems or to setup reports in their BI (Business Intelligence) system.

Composition: Data model, data dictionary. If applicable DSD (Data Structure Diagram), ERD (Entity Relationship Diagram). Remarks of the data model.

References: -

Sources: In this document, a basis data model is provided. The Developer will create the final database model and deliver it in a document.

Quality-criteria: level of IT-technician, English language.

“Must Have”

Our solutions maintain well-structured, relational data models for all data stores. We provide metadata format and XML files, relational database, data warehouses, and online analytical processing (OLAP) decision support tools.

A relational data model is a physical and technical realization of the abstract business data model. The data model is used to manage and understand a business process and defines data required for a business process. Data models support business activities and information systems by providing the definition and format of data.

Our database design approach takes into account the principles of Common Data Architecture

and Logical Data Models. We will work with the iSupport team in the detailed planning and execution of the design. Every structure and substructure will be traceable to requirements and will be documented in the requirements traceability matrix. The design and development of the database will be based on established standards and principles. We use versioning software to track, document, and communicate changes across all environments.

The various data models built will be documented and reviewed comprehensively to ensure they meet standards and business objectives. As part of the database development, a database implementation plan is built that addresses all database implementation requirements and the necessary data migration requirements. Existing standards will be used in the development of the models.

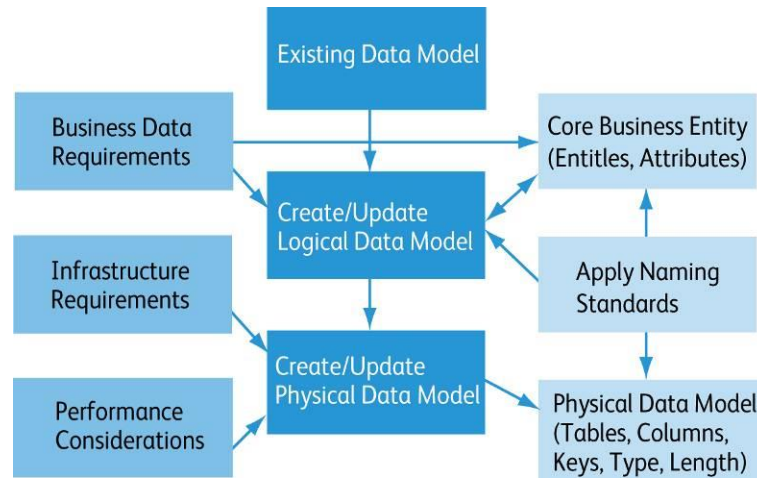
A data model defines the structure and meaning of data. Data models are used to manage and understand a business process and to represent the logical and physical design of an information system. Developing an information system such as iSupport is a significant engineering activity that requires both graphical and textual representations to clearly define what must be physically built. The graphical and textual representations for the data requirements of an information system are captured in a data model—these models are developed using a systematic disciplined approach.

The data model is the most critical aspect of system design and function. Data models should reflect real world objects and their relationships to ensure durability. A data model documents:

- Data objects
- Information necessary to describe each object
- Associations among objects

The three types of data models that are important and useful in defining standards-based business data requirements are:

- **Core Business Entities (CBE).** Models provide standard data definitions that are used in logical data models.
- **Logical Data Models (LDM).** Describes the business in terms of the information of interest to the enterprise expressed through entities, attributes, and relationships. They are independent of any application, technical platform, or specific database management system.
- **Physical Data Model (PDM).** Is derived from the LDM and is a physical and technical realization of the abstract business data model. It is a design for an actual database using a specific database tool set. Knowledge about the chosen implementation technology is required and comprehended in the design. Different database selections may lead to different physical data models even though the same logical model is used. Their relationship is illustrated below.



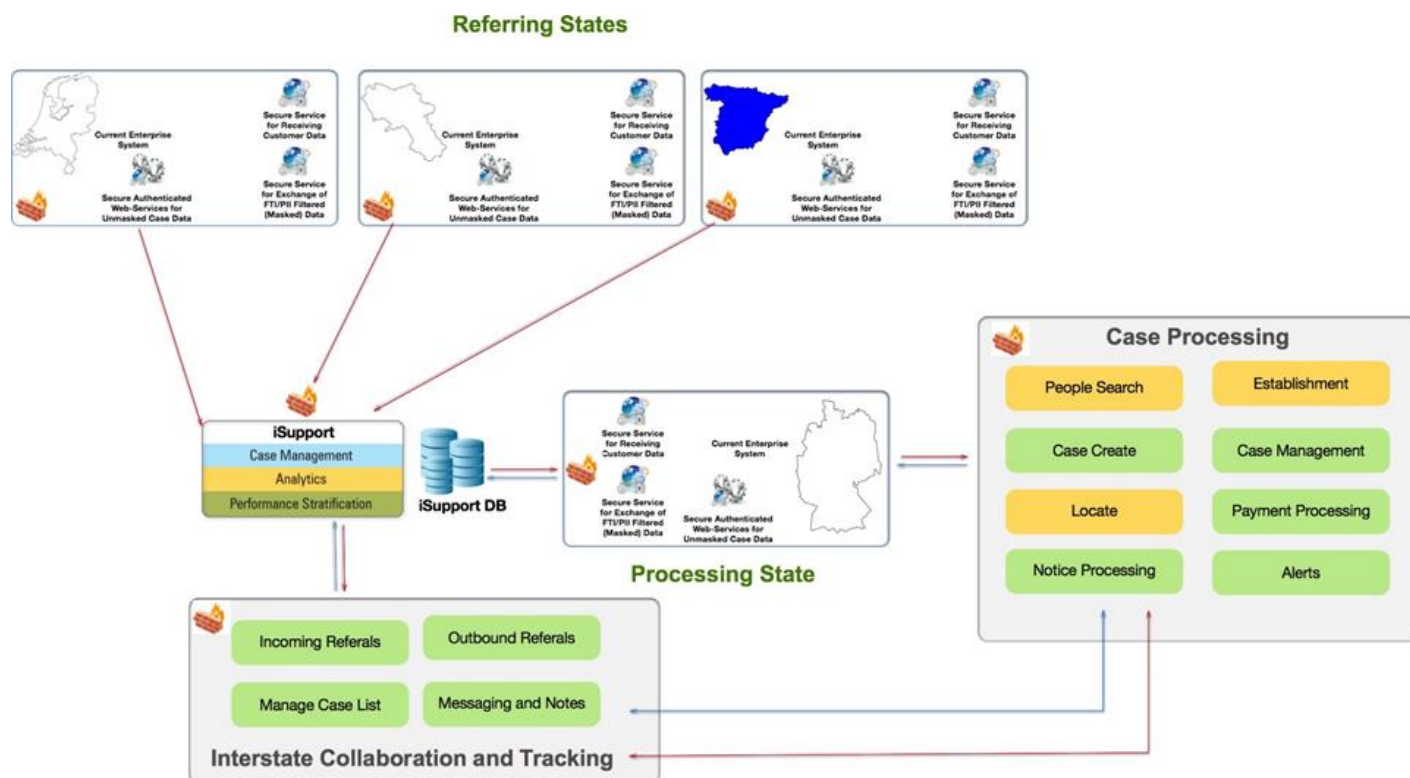
098.MACSES 2

Our Top-down Approach coupled with child support enforcement system experience creates a well-structured relational data model that meets database performance expectations.

17.6 Application/software

RFP 17.6

515. Objective: States can use the case management system and communicate with other States
Composition: Software and others what is needed to use the system. Applications are accompanied with instructions for the installation of iSupport
References: -
Sources: Developer
Quality-criteria: See all Call for Tender documents.



The figure above is an illustration of Protech's Case Management System providing the ICT/Bridge platform that facilitates the secure exchange of information across State borders.

Our solution features a structured communication module for long-term exchange of secure information between central authorities based on the principles exemplified in the e-Codex deliverables document. Such information can originate from numerous legal and case management workflows such as establishing an order, establishing paternity, enforcing the collection of debt and locating a parent among other workflows.

The figure above provides the flow of our solution architecture, outlined below:

1. iSupport is installed as the primary Case Management System in the initiating State.
2. User generates an enforcement petition to another state on iSupport. If the Initiating State already has a current system, the message is sent from the current system to the State's iSupport system when the User generates the enforcement petition on the State's current system.
3. iSupport generates encrypted messages in a structured format to be sent to the Responding state.
4. iSupport generates message-specific authentication keys to be sent along with the message.
5. Responding State opens the incoming message on its iSupport implementation.
6. Responding State's iSupport sends the message-specific key along with the state-specific key to the sending state's server. Upon validation, a new key is sent from the sending state to unlock the message for the receiving state.

7. 3-6 happen without user intervention.
8. Responding State uses 3-4 for sending a message to the Initiating State.

Using ebMS to codify and exchange structured datastreams, we ensure that iSupport is compatible with the architecture and technologies approved by the iSupport authorities. A comprehensive forms generation component will be used to generate and maintain multilingual forms, which are accessible and auditable from a comprehensive case diary (Case Log). An attachments tracking module will monitor and provide alerts on the accepted timeframes for data exchange and resolution of case proceedings, ensuring that citizens get effective access to justice.

By using a common set of workflows and electronic notices, our system ensures consistent processes across the EU and at the global level. Our workflows are table-driven and can be modified without programming to adjust the workflows to match business processes.

The iSupport team's vision for the iSupport solution has at its core, the ability to orchestrate services through managed rules and business processes. Our solution architecture addresses this vision, based on implementation of Service Oriented and Event Driven Architectures that allow a high degree of flexibility and robust governance of services, rules and processes, facilitating agile adaptation to changing requirements, lowering maintenance costs, and adhering to enterprise architecture standards. The following sections present our solution architecture based on the requirements of the tender and illustrate the implementation of our architecture through core business use cases.

Key aspects of our solution architecture include the extensive use of layering, orchestration of services, and event-driven processing.

Effective use of layering is fundamental to the success of n-tier architectures, on which our solution is based. Separation of components that support user interfaces, Web interactions, application components and database management allows the effective management of these layers and facilitates systematic communication between them. In the section on software viewpoint, we provide details on the use of layering across the architecture, and core aspects of the communication between these layers.

Service orchestration is the basis for systematic interaction between iSupport services, human action and business rules. Process workflows are built by the Protech Team based on iSupport requirements and converted to table-driven processes which are used to execute the workflows.

Event-driven processing provides iSupport with the intelligence to react to systemic events and inputs from external sources. When a case is eligible for closure, or when a response is overdue, or when there is excessive delay in the processing of a workflow step, our solution generates events that address these events based on configurable business rules.

Having implemented an award-winning J2EE Child Support system in New Jersey the Protech Team understands that the successful, long-term management of technology integration in large enterprise environments is critically dependent on the acquisition and implementation of systems

based on open software standards and specifications.

JEE-based technology stacks have substantially met this requirement for openness and the community has created standards at every layer of the architecture, guaranteeing a high degree of portability across vendor implementations. For instance, JEE applications can be ported between Oracle, Sun, and IBM-based stacks in a manageable manner. In carefully implemented JEE solutions, a high level of independence between the software and the underlying hardware allow large enterprises to migrate to other hardware platforms with reasonable effort.

Thus, our proposed n-tier architecture, based on open standards, provides a robust infrastructure for implementing the high-volume, highly scalable iSupport application. Oracle will enable the implementation of highly optimized data structures and a database that provides industrial strength reliability and scalability.

The following points summarize the key architecturally significant requirements for the iSupport Program. These requirements influenced the shape of our proposed architecture.

- Ease of integration of applications, application services and data to enable inter-agency collaboration and sharing.
- Enhanced ease-of-use functionality of iSupport in the presentation layer.
- Service-Oriented Architecture (SOA), and Event-Driven Architecture (EDA) also enhance the ease of use. The isolation of the workflow layer from the presentation, business, and data layers is key to usability and provides the iSupport system with the ability to interface with external workflows (not just data) from other agencies including Courts, and other agencies.
- The use of HTML for the user interface implementation allows the Protech Team to take full advantage of the features available in browser-based systems, to build an intuitive, easy-to-use application that supports the end-user in fulfilling their business tasks. The use of HTML allows the implementation of a common desktop and common look and feel across the application. These features, commonplace on the Internet today, will greatly minimize the initial and ongoing investment in end-user training. In addition, the intuitive online help will also provide user aids showing the user how to use the system to complete the business tasks.
- Increased level of application interoperability within the iSupport infrastructure, with other states and municipalities, and with governments establish technical capabilities that will create an efficient interface and integration with external systems.
- Better responsiveness to changing business needs and rapidly evolving information technologies, and faster deployment of new applications.

Our solution for iSupport, using an n-tier, JEE-based approach and framework, will also support the systems staff's ability to respond to changing program requirements and changing mandates. The JEE layered approach to the system architecture allows for isolating the functional implementation to specific modules. Our experience in completely isolating workflow logic for Child Support systems is a huge technological advantage and differentiator that the Protech Team brings to the iSupport Solution. Using this approach changes to workflow, and alert processing can be easily reconfigured, providing the iSupport team with the ability to enhance

the system to meet changing requirements.

We propose a Web-based application, which uses thin client architecture. The Protech Team's layered approach to architecture and extensive analysis of data access architectures of large enterprise systems has enabled the development of a common data access layer that resides on the application server and handles all the data access and update requirements, without requiring IDs and passwords for each user.

A primary aspect of our solution is the implementation of well-defined, loosely-coupled services across the architecture. Such an implementation accomplishes the objective of avoiding vendor "lock-in", and allows the integration of external services in a standards- based SOA implementation. We realize and emphasize that the promise of independence is very much dependent on the ability of the services to "work as a team" and avoid insidious lock-ins, especially with several COTS products. Our solution maintains strict compliance with commonly established standards, so that such situations are precluded to the maximum extent.

The Protech Team proposes the use of Apache / TomCat EE to implement a layered architecture.

18 Exclusions – Out of Scope

RFP 18

516. iSupport provides software for a case management system and secured communication, (a schemer for) a database, and documentation. iSupport does not provide hardware or infrastructure.

517. The project provides for the exchange of data between iSupport databases, not between iSupport and other databases. For communication with other databases than iSupport, the State must build their own interface, using the default plug-in which is provided within the iSupport project.

518. These functionalities are not included in the project:

- Spanish language or other languages in the user interface (English and French are included in the project).
- Linking the electronic version of the Country profile with the electronic case management system in order to automatically generate functional requirements specific to States.

<http://hcch.cloudapp.net/smartlets/sfjsp?interviewID=hcchcp2012>

519. Not included in this project : access by the applicant.

Protech understands that requirements under section 18 are not in the scope of current project.