

# TERMS OF REFERENCE

for the development of IT **system 'Financial Control' of SAISE**

# TABLE OF CONTENTS

Introduction .....	4
1. General Information .....	5
1.1. Notions used in the technical specifications .....	5
1.2. References and legal aspects to consider when developing the IT sub-system .....	7
1.3. Main principles of IT system .....	8
1.4. Goal, objectives and tasks of the IT system .....	9
2. IT System Architecture .....	10
3. Involved parties and IT system roles .....	13
3.1. Business roles of IT sub-system .....	13
3.2. Owner of the IT sub-system .....	13
3.3. Holder of the IT sub-system .....	13
3.4. Purchaser of the IT sub-system .....	13
3.5. Users and their role in the IT system .....	14
4. Functional model of IT system .....	18
4.1. Information objects of IT system .....	18
4.2. The functionalities of the IT system .....	24
4.3. Generic flow of drafting and processing financial reports .....	29
4.4. User interface of the IT system .....	31
4.5. Reporting, audit, and statistics mechanism of the IT System .....	32
5. Requirements for the IT sub-system .....	34
5.1. Functional requirements for the IT sub-system .....	34
5.1.1. UC01: Send bank account turnover .....	34
5.1.2. UC02: Draft report for CEC .....	34
5.1.3. UC03: Generate/print documents .....	36
5.1.4. UC04: Receive notifications .....	37
5.1.5. UC05: Verify reports .....	38
5.1.6. UC06: Draft contravention report .....	39
5.1.7. UC07: Import data .....	40
5.1.8. UC08: Generate reports .....	41
5.1.9. UC09: Use Dashboard .....	42
5.1.10. UC10: Approve forms .....	43
5.1.11. UC11: Generate statistics and system reports .....	44
5.1.12. UC12: Manage users, roles and rights .....	44
5.1.13. UC13: Manage flows, forms and templates .....	46
5.1.14. UC14: Manage metadata .....	47
5.1.15. CU15: Other management activities .....	48
5.1.16. UC16: Sync data .....	48
5.1.17. UC17: Process the content of the report .....	49
5.1.18. UC18: Send notifications .....	50
5.1.19. UC19: Log events .....	51
5.2. Non-functional requirements of the IT sub-system .....	51
5.2.1. General and performance-related requirements .....	51
5.2.2. Security and protection requirements .....	53

5.2.3.	<i>Software, hardware and communications requirements</i> .....	53
5.2.4.	<i>Aspects related to information technology and initiatives in the field</i> .....	54
5.2.5.	<i>Documentation requirements of IT system</i> .....	55
5.2.6.	<i>Maintenance requirements of the IT system</i> .....	56
6.	Final product and delivered components.....	57
7.	Implementation phases of the IT system.....	57
8.	Management Arrangement .....	58
9.	Eligibility.....	59
	Annex 1. General report on revenues and expenditures of the candidate during the election campaign..	60
	Annex 2. List of refunded donations due to exceeded thresholds set by the provisions of Electoral Code	62
	Annex 3. List of donations in free goods, objects, works or services during the election campaign .....	63
	Annex 4. Operative report on revenues of a candidate .....	64
	Annex 5. Operative report on expenditures of a candidate .....	65
	Annex 6. Information on cash flow on Electoral Fund account .....	69
	Annex 7. Monthly information on expenditures of the Party from state budget subsidies .....	70
	Annex 8. Report on financial management .....	71
	Annex 9. Summons of the Central Electoral Commission .....	73
	Annex 10. Contravention report.....	74
	Annex 11. Registry of contravention reports drafted by CEC .....	76
	Annex 12. Registry of party membership contributions .....	77
	Annex 13. Registry of donations from natural persons .....	78
	Annex 14. Registry of donations from legal persons .....	79
	Annex 15. Registry of donations as free property, goods and services .....	80

# Introduction

*Law No. 101 of 15.05.2008* describes explicitly the need to develop a component for financial control of candidates standing for elections with the following goals:

- monitor political party financing processes in the Republic of Moldova;
- track the political party financing processes from the National Public Budget;
- control over the use of financial means by the candidates during the election campaign;
- record the loans granted by the state;
- control over use and repayment of loans granted by the state.

Currently, *Law No. 101 of 15.05.2008* has not been implemented yet because the functional and technical requirements to the *SAISE* for financial control of candidates have not been conceptualized; the procedure of receiving and processing reports of political parties or candidates on financing or use financial means and their bank account statements received from banks is done manually. All procedures related to the reception, verification, digitalization, and publication of financial reports sent by candidates are manual, which generates a number of impediments in the operative and proper response of the *CEC* such as:

- all financial reports of candidates and political parties are submitted to *CEC* in traditional hard copy format, and their digitalization and publication requires time;
- the consideration and verification of hard copy financial reports requires time, especially in the case of important political parties where the number of financiers and the complexity of reports is huge;
- it is difficult and sometimes impossible to verify in a timely manner the veracity of all data provided by the candidates standing for elections (identity accuracy of persons declared as financiers, correlation between received financing and incurred expenditures, etc.);
- manual verification of financial reports submitted by candidates standing for elections requires time to be considered and verified, hence, due to an exhaustive control some irregularities could be discovered after the elections.
- to address the mentioned impediments, it is necessary to develop a module that would perform automatic financial verification of candidates, and will allow the transit to a new methodology based on the electronic document processing.

*ISS Financial Control* aims at automating data collection, analysis and at ensuring public access to all reports submitted to *CEC* by the candidates. There is a legislative basis for this (*Law No. 91 of 29.05.2014 on electronic signature and electronic document*); the electronic document has equal legal power as the traditional hard copy document. Because of the initiatives of the *Centre for Electronic Governance*, the electronic signature has become more accessible thanks to mobile signature, something that would encourage significantly the transition to electronic collection of financial reports.

*ISS Financial Control* will provide *CEC*, which collects the reports from candidates and political parties, with a toolkit that would allow universal and standard reporting procedures aiming at reducing the complexity, cost and duration of data processing. Because of the formal format of financial reports of candidates/political parties, the *ISS Financial Control* will be able to run automatized verification procedures of reports submitted to *CEC* based on mathematic rules and logical constraints. This will allow the detection of mathematical and content errors (totals, subtotals, maximum size of donations, correct identities of sponsors, etc.).

# 1. General Information

*ISS Financial Control* represents an IT solution identified as having immediate benefits and impact on the activity of the *Central Electoral Commission*. It is an IT solution directed towards ensuring the IT and information needs of the actors involved in SAISE use. *ISS Financial Control* is a component part of the *State Automated Information System 'Elections'* representing a decoupled module from the programming point of view, but which integrates all IT subsystems (function blocks) of SAISE, from logical point of view.

## 1.1. Notions used in the technical specifications

The acronyms and abbreviations used in this document are provided in Table 1.1.

**Table 1.1. Abbreviations and acronyms used in the document**

No.	Abbreviations/Acronyms	Description
1.	API	Application Programming Interface
2.	CEC	Central Electoral Commission
3.	DB	Data Base
4.	DBMS	Database management system
5.	FB	Function Blok
6.	ICT	Information Technology and Communication
7.	IT	Information Technology
8.	ITS	IT System
9.	ITSS	IT sub-system
10.	KPI	Key performance indicators
11.	LP	Legal person
12.	NP	Natural person
13.	PRP	Registry of Representation Proxies
14.	SAISE	State Automated Information System Elections
15.	SDD	Software design document
16.	SLA	Service Level Agreement
17.	SRS	Software Requirements Specification
18.	SRV	State Registry of Voters
19.	TLS/SSL	TLS Protocol or its predecessor, SSL Protocol are cryptographic protocols that ensure safe communication between 2 nodes of the computer network for such actions as web viewing, e-mail, internet-fax, short messages exchange and other data transfers.
20.	WS	WEB Service

Definitions of the notions frequently used in this document are expressed and explained in Table 1.2.

**Table 1.2. Definitions and notions used in this document**

No.	Abbreviation/Acronym	Description
1.	Credentials	Set of attributes that establish the identity and authenticity of users and systems within information systems.
2.	Data	Elementary pieces of information about persons, subjects, facts, events, phenomena, processes, objects, situations, etc. presented in a format that requires notification, comments, and processing.
3.	Data base	Set of data organized in accordance with the conceptual structure that describes main characteristics and the relation between the entities.
4.	Data integrity	State of data when these maintain their content and are interpreted univocally in cases of random actions. The integrity is considered maintained if data have not been altered or deteriorated (deleted).
5.	Data veracity	Level of correspondence of data, kept in the memory of the computer or in documents, real states of objects in the respective field of the system, reflected by these data.
6.	Information and Communication Technology	Common term that includes all technologies used for information exchange and handling.
7.	Information object	Virtual representation of existing material and non-material entities.
8.	Information System	System of information processing together with the associated organizational resources, such as human and technical resources that provide and distribute information.
9.	Information resource	Set of documentary information in the IT system maintained in accordance with the requirements and legislation in force.
10.	ISS Financial Control	The IT system ISS Financial Control which is the object of development in this document and which purpose is to computerize the function block Financial Control of SAISE developed to ensure efficient monitoring and management mechanisms of financing processes of political parties and candidates in the elections of the Republic of Moldova.
11.	IT sub-system	Component part (with the possibility of functional decoupling) of a complex IT system.
12.	IT system	Set of programmes and equipment that ensures automated processing of data (automated component of the information system).
13.	Logging	Events-related information registration function. In information systems, the logging of events includes details about data and hour, user, action.
14.	Metadata	Manner of assigning semantic value to data stored in the database.
15.	Personal data	Any information referring to a physical person identified or identifiable (subject of personal data). An identifiable person in this sense is the person who can be identified directly or indirectly, especially by referring to an identification number or one or more specific elements, characteristic to its physical, physiological, psychical, economic, cultural or social identity.
16.	Software Design Document	Directing document of the IT system that includes the detailed description of the following visions: data structures and their constraints, IT system architecture that provides all concept sections of the IT system, IT system <b>interface that includes the conceptualization of all components of user's</b> interface of the IT system, IT system functionalities that include detailed description of all scenarios of an IT system implementation.
17.	Software Requirements Specification	Document that contains detailed description of all interaction scenarios between users and information application.

## **1.2. References and legal aspects to consider when developing the IT sub-system**

The design, implementation and exploitation processes of the *ISS Financial Control* should not contravene the relevant normative and legislative acts in force regarding the *CEC* activity and development of IT solutions addressed to public authorities of the Republic of Moldova.

The following normative acts should be mentioned:

1. *The Electoral Code of the Republic of Moldova*, adopted based on Law No. 1381 of 21.11.1997, Official Monitor No. 81 of 08.12.1997.
2. *Law No. 101 on the Concept of the State Automated Information System Elections*, Official Monitor No. 117-119 of 04.07.2008.
3. *Law No. 294 of 21.12.2007 on political parties*, Official Monitor No. 42-44 of 29.02.2008.
4. *Decision of the Central Electoral Commission No. 3352 of 04.05.2015 on the approval of the Regulation on financing election campaigns*, Official Monitor No. 161-165 of 26.06.2015.
5. *Decision of the Central Electoral Commission No. 4401 of 23.12.2015 on the approval of the Regulation on financing political parties' activity*, Official Monitor No. 32-37 of 12.02.2016.
6. *Decision of the Central Electoral Commission No. 137 of 14.02.2006 on the approval of the Regulation on the activity of the Central Electoral Commission* (amended by Decision No. 24 of 05.04.2011), Official Monitor No. 39-42 of 10.03.2006.
7. *Law No. 133 of 08.07.2011 on personal data protection*, Official Monitor No. 171-175 of 14.10.2011.
8. *Government Decision No. 1123 of 14.12.2010 on the approval of the Requirements for ensuring personal data security when processing them in personal data information systems*, Official Monitor No. 254-256 of 24.12.2010.
9. *Government Decision No. 7104 of 20.09.2011 on the approval of the strategic Programme for technological modernization of the governance (e-Transformation)*, Official Monitor No. 156-159 of 23.09.2011.
10. *Government Decision No. 128 of 20.02.2014 on the government shared technological platform (MCloud)*, Official Monitor No. 47-48 of 25.02.2014.
11. *Government Decision No. 656 of 05.09.2012 on the approval of the Programme on the Interoperability Framework*, Official Monitor No. 186-189 of 07.09.2012.
12. *Government Decision No. 1090 of 31.12.2013 on the government electronic service of access authentication and control (MPass)*, Official Monitor No. 4-8 of 10.01.2014.
13. *Government Decision No. 405 of 02.06.2014 on Integrated Government Electronic Service Digital Signature (MSign)*, Official Monitor No. 147-151 of 06.06.2014.
14. *Government Decision No. 708 of 28.08.2014 on electronic governmental service of logging (MLog)*, Official Monitor No. 261-267 of 05.09.2014.
15. *Government Decision No. 700 of 25.08.2014 on open government data*, Official Monitor No. 256-260 of 29.08.2014.
16. *Government Decision No. 701 of 25.08.2014 on the approval of the Methodology for publication of open government data*, Official Monitor No. 256-260 of 29.08.2014.
17. *Law No. 982-XIV of 11.05. 2000 on access to information*, Official Monitor No. 88 art. No. 664 of 28.07.2000.
18. *Law No. 91 of 29.05.2014 on the electronic signature and electronic document*, Official Monitor No. 174-177 of 04.07.2014.
19. *Government Decision No. 945 of 05.09.2005 on centers for certification of public keys*, Official Monitor No. 123-125 of 16.09.2005.
20. *Government Decision No. 320 of 28.03.2006 on the approval of the Regulation on the application of digital signature on electronic documents of public authorities*, Official Monitor No. 51-54 of 31.03.2006.

21. *Law No. 467-XV of 21.11.2003 on computerization and state information resources*, Official Monitor No. 6-12/44 of 01.01.2004.
22. *Order No. 94 of 17.09.2009 of the Ministry of Information Development on the approval of technical regulations (record of electronic public services, provision of electronic public services, ensure the information security when providing electronic public services, determine the development and implementation cost of automated information systems)*, Official Monitor No. 58-60 of 23.04.2010.
23. *Technical Regulation 'Lifecycle processes of the software RT 38370656-002:2006*; Official Monitor No. 95-97/335 of 23/06/2006.
24. Other laws, normative acts, norms in force in the ICT field.

To conceptualize and develop *ISS Financial Control* it is appropriate to implement the principles expressed in the following international guidelines and recommendations:

- *Standard of the Republic of Moldova SM ISO/CEI/IEEE 15288:2015, 'Engineering systems and software. System lifecycle processes'.*
- Michael O. Leavitt, Ben Shneiderman, *Research-Based Web Design & Usability Guidelines*, U.S. Government Printing Office, [http://www.usability.gov/guidelines/guidelines\\_book.pdf](http://www.usability.gov/guidelines/guidelines_book.pdf)
- *Recommendations of World Wide Web Consortium (W3C)* (<http://www.w3c.org>) on the quality of webpages content, possibility to visualize correctly the information using widely applied Internet explorers and the compatibility with different information platforms;
- *W3C Recommendations* (<http://validator.w3.org>) on testing WEB pages. All WEB pages generated by the *ISS Financial Control* will be tested in accordance with these recommendations.

### **1.3. Main principles of IT system**

To achieve the objectives set forth for the IT solution when drafting, developing, and implementing the *ISS Financial Control* the supplier shall take into account the following general principles:

- Principle of legality: implies design and exploitation of the IT system in accordance with the national legislation in force and methodological norms and standards recognized in the field;
- Principle of dividing the architecture by levels: consists in independent design of the *SAISE (ISS Financial Control)* is a component of *SAISE*) in accordance with the interface standards by levels;
- Principle of service oriented architecture (SOA): consists in the distribution of functionality of the application in smaller, distinctive units – named services – that can be distributed in the network and can be used together to create applications to implement the business functions of the IT system.
- Principle of safe data: stipulates data introduction in the system only through authorized and authenticated channels;
- Principle of information security: ensures an adequate level of integrity, selectivity, accessibility and efficiency for data protection from losses, amendments, deterioration and unauthorized access.
- Principle of transparency: implies the design and implementation in accordance with the modular principle, by using transparent standards in the information and communication technology field;
- Principle of expansibility: stipulates the possibility to extend and supplement continuously the IT system with new functions or improvement of the existing ones;
- Principle of priority of first person/unique/single center: implies the existence of a responsible high-level person with sufficient rights to make decisions and coordinate the activities to create and exploit the IT system;
- Principle of scalability: ensures a constant performance of the IT solution for growing volumes of data and access to the IT system;
- Principle of simplicity and user-friendliness: designing and implementing all applications, technical and programme means accessible to the System users based on exclusive visual, logical and intuitive principles, from the conceptual point of view.

The following key principles are necessary to be observed for the IT system architecture:

- Implement a WEB based client-server solution with authorized access to interface and data;
- Ensure adequate security of IT system to protect the information and component sub-systems against their unauthorized use or disclosure of personal data or information with limited accessibility;
- Recognize the information as patrimony and its proper management;
- IT system development and implementation by offering the possibility to reuse it for other processes or to ensure new functionality development perspective (including reuse of already existing SAISE functionalities);
- Minimize the number of different technologies and products that offer same functionality or are similar by purpose (reuse of technologies implemented already by the CEC);
- Ensure high performance speed of service requests by CEC sent to the IT sub-systems (authentication, authorization, logging or notification);
- Ensure the capacity to recover after disasters (ensure physical and logical security) as component part of the implementation plan.

#### **1.4. Goal, objectives and tasks of the IT system**

*ISS Financial Control* seeks to automate the processes of improving, expediting, verification, approval and publication of all financial reports submitted to the *Central Electoral Commission* by the candidates standing for elections. The functional requirements of this IT sub-system meet the provisions of Law No. 101 of 15.05.2008 on the Concept of State Information System Elections (function block Financial Control).

The design and implementation of the *ISS Financial Control* will allow *CEC* to reach the following objectives:

- provide the candidates with an instrument for preparing, automatic control of content accuracy and generate all the financial reports in digital format;
- provide the *Central Electoral Commission* with an IT mechanism that would generalize and update the electronic templates related to electronic reports received by the *Central Electoral Commission* from political players;
- automatize the identity validity verification processes for persons who finance the candidates by crosschecking the financial reports with *RSA* or *SRLE* (verify the correctness of combination name+surname+IDNP, IDNO and eligibility to finance the political actor);
- implement procedures to receive information from banks and quick importation of information on bank account transactions of candidates;
- automatize the verification processes of the conformity of expenditures with financial sources of the candidates;
- operative publication of financial reports submitted by the candidates on the WEB page of the *Central Electoral Commission*;
- decrease the time necessary and labor intensity of the financial data collection and management processes on parties and candidates in the Republic of Moldova;
- reduce the time necessary to draft and apply the *CEC* decisions on financial activity of political parties and candidates standing for elections;
- develop an efficient cooperation mechanism between actors involved in financial reporting procedures;
- ensure the control of data access and maximum security and confidentiality of data collections and of users;
- information analysis, forecasting, and scientific research in the field.

## 2. IT System Architecture

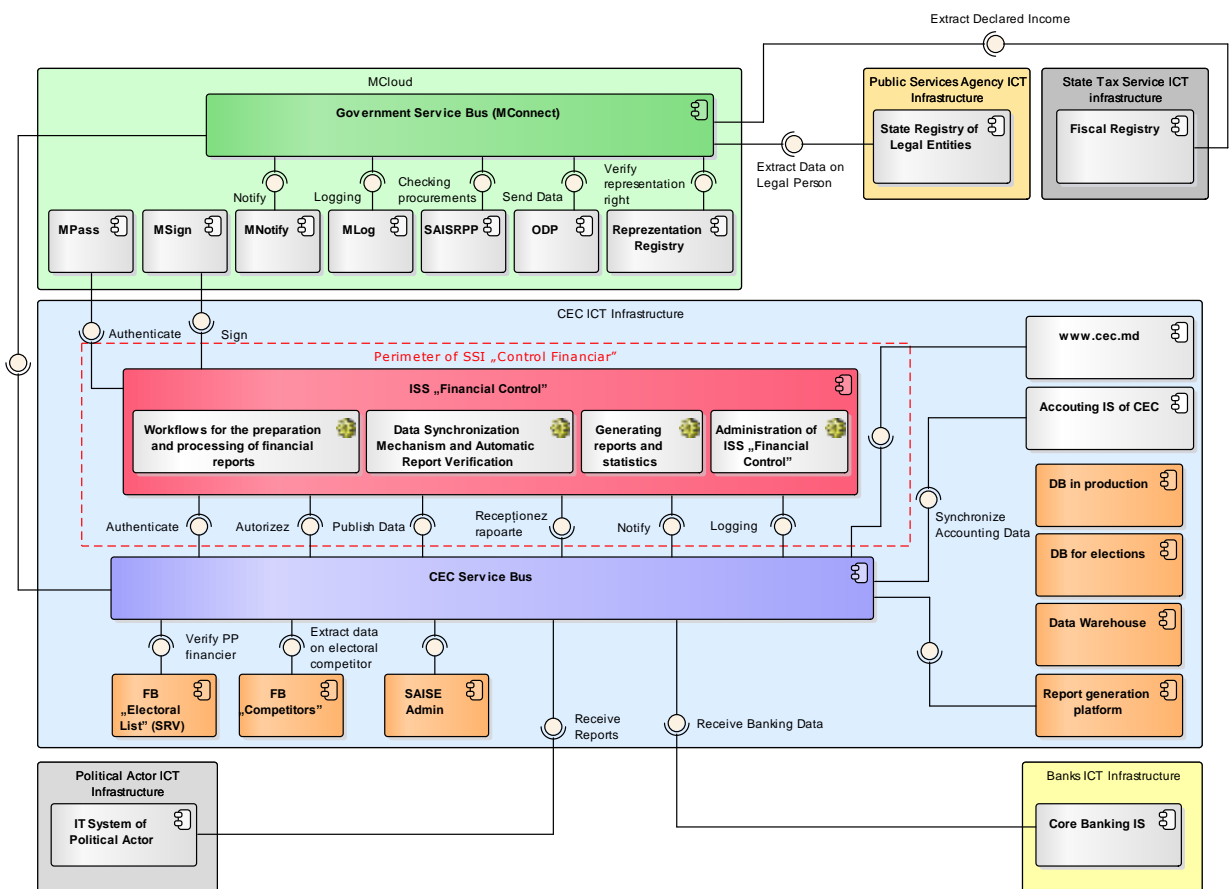
*ISS Financial Control* has to provide a WEB interface, accessible through widely used Internet explorer (*MS Internet Explorer/MS Edge, Mozilla FireFox, Opera, Google Chrome or Safari*). From the functional point of view, a viable and scalable solution has to be developed both in the case of increased number of users-candidates and the increase of the information volume managed by them.

Since *ISS Financial Control* is not an isolated IT solution but will interact with other IT sub-systems of *CEC* or external IT solutions, the application should be developed to provide support for the integration into other IT sub-systems.

The *ISS Financial Control* is based on a minimum 3 level client-server architecture (that excludes direct interaction of the application with database) based on time appropriate WEB technologies.

To ensure a proper level of information security, the delivered application should achieve secured connections between the client station and the application server to ensure the security of sent information (via VPN channels and TLS/SSL sessions).

The IT solution should be developed based on time appropriate Internet/Intranet technologies. The interaction of all actors and IT sub-system nodes is shown in Figure 2.1.



**Figure 2.1. ISS Financial Control Architecture.**

As it is shown in Figure 2.1, the resource cooperation solution to ensure the functionality of *ISS Financial Control* consists of 6 categories of distinctive nodes:

- **CEC ICT Infrastructure** – ICT infrastructure of the *Central Electoral Commission* which will host the *ISS Financial Control* and which will have installed a number of IT systems that will interact with the *ISS Financial Control*. These technical specifications require the implementation of functionalities stipulated within the indicated perimeter with red dotted line;
- **MCloud** – the ICT infrastructure of the joint government technological platform that forms the governmental cloud (*MCloud*) that hosts a number of IT systems that would interact with *ISS Financial Control* or which services will be consumed by the *ISS Financial Control*. In perspective, all connections to external IT systems will be achieved preponderantly through the interoperability platform

*MConnect*. It should be mentioned the fact that a number of *MCloud* platform services will be provided by *SAISE* (*MPass* as a mechanism of users' authentication via digital or mobile signature, *MSign* to apply digital or mobile signature within function blocks, *MNotify* to integrate the users' notification mechanism, *MLog* to log critical business events).

- Public Services Agency ICT Infrastructure - ICT infrastructure of *Public Services Agency* will host the *State Register of Legal Entities*. *ISS Financial Control* will not interact directly with this IT system. The interaction will be made through the interoperability framework of the Government of the Republic of Moldova - *MConnect*.
- State Tax Service ICT infrastructure – ICT infrastructure of the *State Tax Service* that hosts the *Fiscal Registry* represents an IT system provider of primary information related to *ISS Financial Control* to receive information on revenues of political actors' **financiers** to verify the concordance of the volume **of the political party finance with the real income declared by the party's** financier.
- Banks ICT Infrastructure – ICT infrastructure of the banks where the candidates and political parties have settlement accounts, which turnover should be monitored during the elections. In case of Treasury accounts (financing of parties from the *state budget*), the monitoring will be made during the entire period of financing of the political party.
- Political Actor ICT Infrastructure - ICT infrastructure of political parties or individual candidates that have IT Systems capable of sending to the *ISS Financial Control* reports on funding.
- Client computers – computers that would be used by users (depending on rights and roles) to access the functionalities of the *ISS Financial Control*.

Client computers should be used as client application to access and use of *ISS Financial Control* at least through 2 most popular WEB Browser (compatibility with *MS Edge/MS Internet Explorer* is mandatory). The interface and functionalities delivered to every user in part depends on the level of the user, his/her rights and roles.

Irrespective of the level of access of the users, all the connections of the users to *ISS Financial Control* will be made through safe connections (VPN or TLS/SSL). To implement a number of functionalities, *ISS Financial Control* will consume a number of services provided by the IT systems of *SAISE* via the *CEC* interoperability framework as follows:

1. WS: Authentication provided by *SAISE Admin* to implement the mechanism of universal and centralized authentication of *SAISE* users.
2. WS: Authorization provided by *SAISE Admin* to implement a universal and centralized mechanism **of users'** authorization (provide them with accessible data and functionalities) irrespective of used *SAISE* application).
3. WS: Notification provided by *SAISE Admin* to implement a universal and centralized mechanism of *SAISE users'* notification irrespective of used *SAISE* application.
4. WS: Logging provided by *SAISE Admin* to implement a universal and centralized mechanism of logging the business events generated by the activity of authorized users within used *SAISE* applications.
5. WS: Verify PP financier provided by *SRV* to extract the identification data of physical persons who finance the candidates and political parties.
6. WS: Extract data on electoral competitor provided by the Function Block „Candidates” of *SAISE* to extract data on the registration of political parties and candidates standing for elections.
7. WS: Publish Data provided by the official webpage of the *CEC* (<http://www.cec.md>) to publish public data produced within the business processes of *ISS Financial Control*.

*ISS Financial Control* will interact with a number of external IT systems through the interoperability framework/platform *MConnect*. The following services displayed by external IT systems will be provided:

1. WS: Authenticate that interacts with the *MPass* platform government service used to implement the authentication procedures of external users of *CEC* via electronic or mobile signature;
2. WS: Sign that interacts with the *MSign* platform service used to apply and validate the electronic signature, including mobile signature.

3. WS: Logging that interacts with the *MLog* platform service used to legally log sensible business events of *ISS Financial Control*.
4. WS: Notify that interacts with the *MNotify* platform service used to implement notification processes of external actors of *CEC* that exploit the *ISS Financial Control*.
5. WS: Checking procurements that interacts with *SAISRPP* (*State Automated Information System „Register of Public Procurements“*) to verify the existence of public procurement contracts of legal and natural persons who finance political parties/candidates.
6. WS: Send Data that interacts with *Open Data Portal* (<http://date.gov.md>) to publish the sets of data produced within business processes of *ISS Financial Control*.
7. WS: Verify representation right that interacts with the *Representation Registry* to verify the authorizations of users to carry out certain actions within the *ISS Financial Control* (for instance, to verify the authorization of the person to report and apply electronic signature on reports submitted to the *CEC*).
8. WS: Extract Data on Legal Person that implements the interaction with the *State Registry of Legal Entities* to provide *ISS Financial Control* with registration data of companies that finance the political parties and candidates.
9. WS: Extract Declared Income that implements the interaction with the *State Registry* to provide *ISS Financial Control* with data on income declared by natural persons who finance political parties and candidates. If this service is not available via *MConnect*, it will require a direct interaction with the *Fiscal Registry*.

In its activity, *ISS Financial Control* will provide 2 interfaces of interaction with external IT systems for activity processes of *CEC* or provision of electronic services to guarantee applicants. The following services provided by *ISS Financial Control* are:

1. WS: Synchronize Accounting Data that is provided by *ISS Financial Control* to interact with the *Accounting IT System* of *CEC* to synchronize the payment of funds to political parties from the national public budget.
2. WS: Receive Banking Data provided by *ISS Financial Control* to interact with Banking IT Systems to synchronize the data on bank account transactions of the candidate and political parties.
3. WS: Receive Reports which will interact with IT Systems of political actors to receive automatically the financial reports without having to use **the user' interface of *ISS Financial Control***.

## 3. Involved parties and IT system roles

### 3.1. Business roles of IT sub-system

The following entities are interested or should be involved in developing or exploring the *ISS Financial Control*:

- Central Electoral Commission as a permanent public authority established to implement the electoral policy for good organization of elections. The mission of the Central Electoral Commission is to create optimal conditions for all citizens of the Republic of Moldova to be able to exercise freely the constitutional right to vote and to be elected in free and fair elections. *CEC* is responsible for the administration and exploitation of *SAISE* and respectively of IT sub-system *Financial Control*.
- UNDP-Moldova as institution that finances and monitors the development and implementation activities of the *ISS Financial Control*.
- Political Parties in the Republic of Moldova as registrars of *ISS Financial Control* will submit all financial reports through *ISS Financial Control* for the activity period of political parties in non-election periods and during election campaigns.
- Candidates as registrars of *ISS Financial Control* (these are the candidates who do not represent the political parties) who will generate all financial reports through *ISS Financial Control* during election campaigns.
- Public Services Agency as information provider on the identify of financiers-legal persons of political parties and candidates to the administrators or founders through *State Registry of Legal Entities*.
- e-Government Centre of Moldova as entity authorized to develop and implement the e-transformation policy, *MCloud* solution and interoperability platform *MConnect* used to achieve the interaction between *ISS Financial Control* with external IT systems (*State Registry of Legal Entities* etc.) and joint platform services (*MPass*, *MSign*, *MLog* and *MNotify*).
- State Enterprise „Centre for Special Telecommunications” as an entity that manages the *MCloud* solution that provides platform services implemented within *ISS Financial Control* or which ensures the interaction between *ISS Financial Control* with external IT systems.
- State Tax Service as the owner and holder of the *Fiscal Registry*, which will provide the *ISS Financial Control* with data on declared income of natural persons who finance the political parties and candidates.

### 3.2. Owner of the IT sub-system

The owner of the IT sub-system is the *Central Electoral Commission*. The ownership of the system reflects the administrative aspect regarding the abilities of the *CEC* necessary to continuously manage and develop the IT system.

As the owner of *ISS Financial Control*, the *Central Electoral Commission* will be able to assign to its **employee's** roles and rights of access to the user's interface and data, based on their duties.

### 3.3. Holder of the IT sub-system

The holder of the IT solution is the *Central Electoral Commission* that will provide technical infrastructure information to host the *ISS Financial Control*.

In perspective, the possibility to host some components of *ISS Financial Control* outside the *CEC* data center is not excluded. A solution in this regard would serve the joint government platform *MCloud*. This could be made after proper certification of *MCloud* by Security and Information Service of the Republic of Moldova.

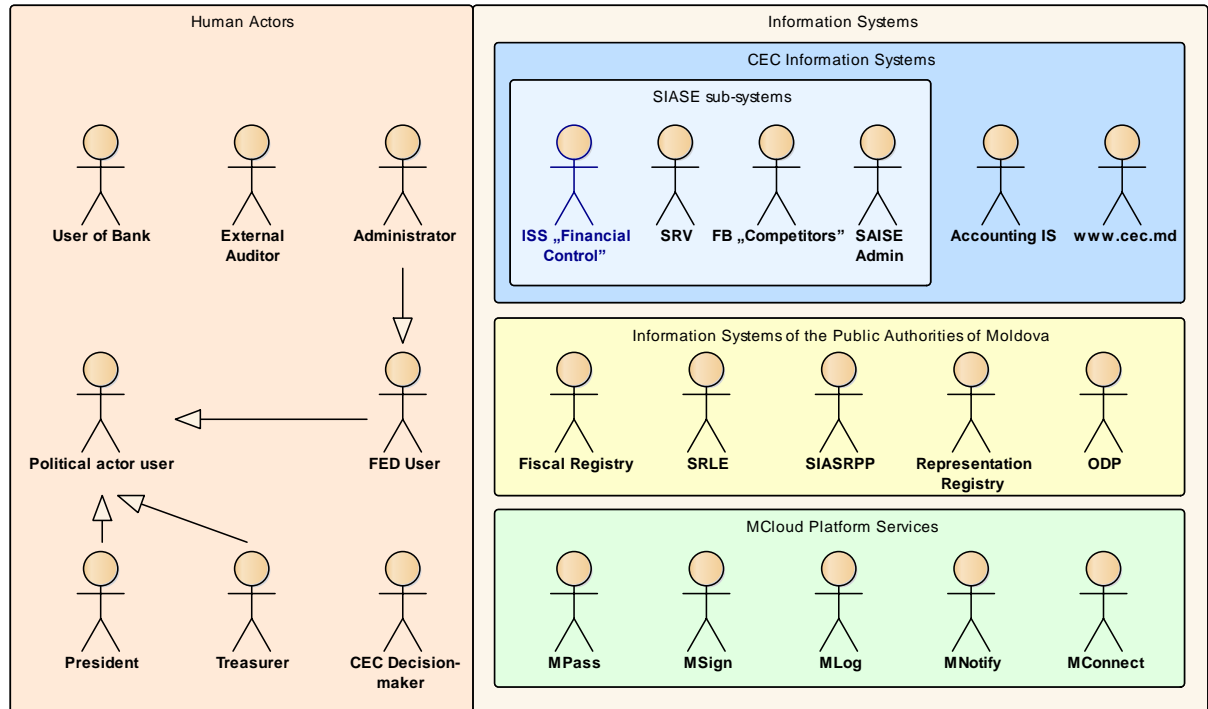
### 3.4. Purchaser of the IT sub-system

The *ISS Financial Control* will be purchased by the EDMITE on behalf of the Central Electoral Commission. Although the direct beneficiary of the IT solution is the *CEC*, the consultants of the *UNDP Improving Quality of Moldovan*

*Democracy through. Parliamentary and Electoral Support Programme* will participate at all development implementation and final acceptance phases of *ISS Financial Control*.

### 3.5. Users and their role in the IT system

Human roles or IT systems that interact with *ISS Financial Control* are shown in Figure 3.1. As it is shown in Figure 3.1, the categories of human actors and 13 IT systems will interact within the application.



**Figure 3.1. Actors of ISS Financial Control.**

1. User of Bank – represent the authorized users of the banks where the political parties or candidates have opened bank accounts and for which the banks send bank statements on transactions to the CEC (for candidates during election campaign, for parties financed from the state budget – monthly statements of treasury account where the money paid from the budget are received). These users will have access to the following functionalities:
  - Submit reports on bank accounts of candidates or political parties (in the form of standard files or by interacting with specialized WEB services of *ISS Financial Control*).
  - Search and view the data on bank account statements of candidates or political parties opened in the bank of the candidate/political party;
  - Extract the reports and statistics related to bank accounts of candidates or political parties opened in the bank of the candidate/political party.
2. External Auditor – is the external auditor who has access to financial data collection and financial management of political parties and candidates in the process of generating the audit reports on their financial management.
  - View data from financial reports on the activity during the election campaign of candidates;
  - View data from financial reports on the activity outside election campaign of political parties;
  - View bank and treasury account statements of candidates, political parties;
  - Extract reports and statistics related to the activity of *ISS Financial Control*.
3. Political actor user – are the authorized users of candidates or political parties (*Manager and Treasurer*) who draft and submit to CEC periodic financial report on income or expenditures related

to their activities or financial reports specific to the election campaign. These users will have access to the following functionalities:

- draft and submit financial reports on non-election period activity;
  - draft and submit financial reports on election campaign-related activity;
  - start verification procedure of errors in the drafted report that has to be submitted to *CEC*;
  - print documents related to submitted reports;
  - receive notifications.
4. FED User – are the authorized users of the Financial and Economic Division of CEC that interacts with *ISS Financial Control* to exercise the official duties. These users will have access to the following functionalities:
- Access to all functionalities available to users with the role of *Political Actor- User*;
  - Use of Dashboard;
  - Begin and monitor the verification of financial reports received from political parties and candidates;
  - Search for and view of financial reports received from political parties and candidates;
  - Extract reports and statistics related to the activities of *ISS Financial Control*;
  - Import the data received from *Political Parties, Candidates and Banks*.
  - Receive notifications.
5. CEC Decision-maker - is an authorized user of the *Central Electoral Commission* with a role to make decisions in monitoring of income and expenditures of political parties and candidates. These users will have access to the following functionalities:
- Use of Dashboard;
  - Receive notifications;
  - Approval/rejection of electronic forms of administrative offences prepared by the *FED Users*;
  - Extract reports and statistics related to *ISS Financial Control activity*.
6. Administrator – human actor authorized to ensure good functionality of the *ISS Financial Control*. If the technological environment where the IT system function includes sufficient skills to carry out administrative works, then their implementation in the system is optional. This category of actors has access to the following functionalities:
- Unconditional use of IT system functionalities, except for modifying the log files;
  - Manage the nomenclature system, classifying list and metadata of *ISS Financial Control*;
  - Manage roles and rights of authorized users of *ISS Financial Control* through IT sub-system mechanism of *SAISE Admin*;
  - Configure the resources, roles, transitions and work flows of *ISS Financial Control* through IT sub-system mechanism of *SAISE Admin*;
  - Starting/suspending the functionality of *ISS Financial Control*;
  - Monitor the functioning process of *ISS Financial Control*;
  - Ensure information security;
  - Database administration;
  - Manage interconnection interfaces with external and internal IT systems.

The implementation of *ISS Financial Control* implies the interaction of the following IT systems:

1. *ISS Financial Control* – IT sub-system of *SAISE* that implements the requirements imposed by the function block Financial Control directed to monitoring the observance of legal framework in the

field of revenues and expenditures of political actors and is the object of development and implementation of this document.

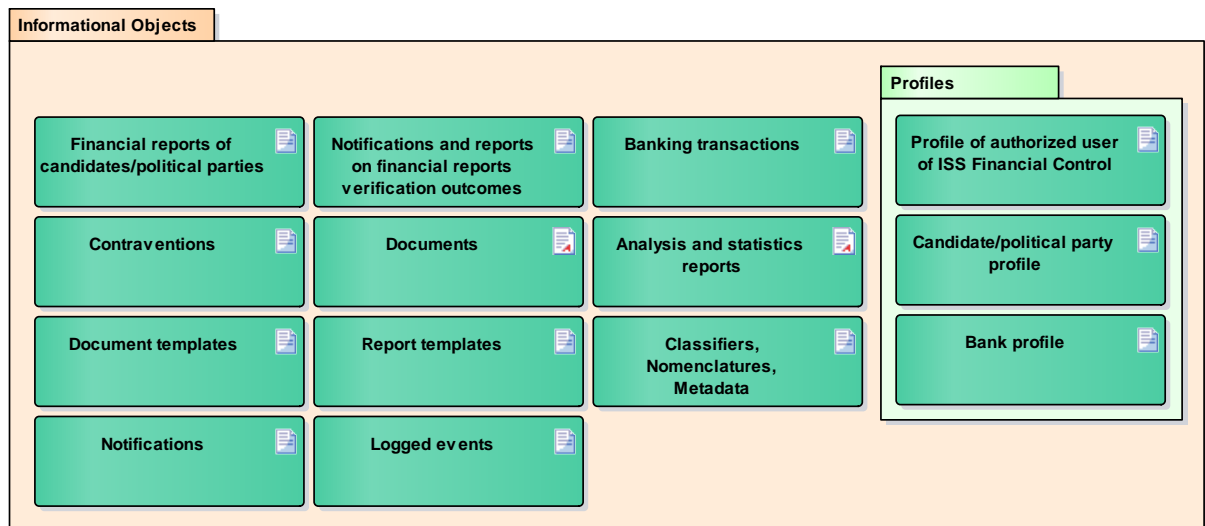
2. Accounting IS – accounting IT system of the CEC that contains all data on financing political parties from the state budget. The interaction between *ISS Financial Control* and *IS Accountant* will allow for the mutual exchange of data relevant to financing of political parties from the State budget.
3. SAISE – State Automated **Information System** ‘Elections’ (*SAISE*) developed in accordance with Law No. 101 of 15.05.2008 that automatizes the electoral processes of the CEC. Since *ISS Financial Control* will carry out a good part of joint metadata of other IT systems of *SAISE* or will request their services, the integration with the following IT sub-systems of the *SAISE* is required:
  - SAISE Admin – that provides interoperability services for *SAISE* directed to authentication, authorization, logging and notification. Also, *SAISE Admin* will configure all resources of *ISS Financial Control*, their statuses and transitions, rules of work flows, etc.
  - **Function Block ‘Candidates’** – that includes functions to register the candidates and trusted persons of the candidates in *SAISE*. *ISS Financial Control* will extract from this IT sub-system all the data related to the profits of candidates and political parties.
  - State Registry of Voters – IT system to keep record of the voters from the Republic of Moldova, intended to collect, store, update and analyze the information about citizens of the Republic of Moldova who turned 18 years and are not legally limited in their civil rights. *ISS Financial Control* will extract from this IT sub-system all the data related to the profits of voters-citizens of the Republic of Moldova to verify the correctness of data in the financial reports and restrictions on funds provided to candidates/political parties by natural persons reflected in the financial reports.
4. [www.cec.md](http://www.cec.md) is the official webpage of the Central *Electoral Commission* that will interact with *ISS Financial Control* to publish the documents and public data produced within its business processes.
5. External IS represents the totality of external IT systems that interact with *ISS Financial Control*. The following categories of external IT systems that will be part of the interaction can be identified:
  - SRLE – *State Registry of Legal Entities that will interact with the ISS Financial Control* through interoperability platform *MConnect* to verify the data contained in financial reports and restrictions regarding the funds provided to candidates/political parties by legal persons mentioned in financial reports.
  - Fiscal Registry – interaction that will allow the extraction of data on declared income of natural persons who financed candidates and political parties to verify the conformity of donations and paid contributions with declared revenues of financiers-natural persons.
  - *SIASRPP – State Automated Information System Registry of Public Procurements* which automatizes all the processes to carry out public procurements and allows the verification of existence of public procurement contracts of financiers-legal persons of political parties/candidates.
  - *Registry of Representation* – verifies the proxies of persons authorized to interact with *ISS Financial Control*. Integration with this information system will permit a perspective verification of the rights of persons who claim to be representatives of candidates and political parties and will assign automatically the role, depending on the existing representation rights at the moment of authentication. Following the development phase of this system by Centre for Electronic Governance, the data integration is not mandatory and will be made only in the case when the IT system is functional.
  - *Open Data Portal* (<http://date.gov.md>) – interaction that will automatically publish data of public interest produced by business processes of the *ISS Financial Control*, according to Government Decision No. 700 of 25.08.2014 and Government Decision No. 701 of 25.08.2014.
  - *MCloud platform services* – integration with joint *MCloud* government platform service to implement the functionalities provided. It foresees the integration with the following services on *MCloud platform*:

- *MConnect* – interoperability platform which achieves the interaction with the IT applications that supply or receive data for financial control and joint government services. The interoperability framework of *MConnect* will be used to implement the interaction with *State Registry of Legal Entities*, *AIS SRPP*, *Fiscal Registry*, etc.
- *MPass* – platform service used to control information system access and to ensure authentication procedures by means of electronic or mobile signature.
- *MSign* – platform service used to apply and validate electronic signature, including mobile signature.
- *MLog* – platform service used to log all critical business events related to IT systems of the AP of the Republic of Moldova;
- *MNotify* – platform service used as notification mechanism for IT systems.

## 4. Functional model of IT system

### 4.1. Information objects of IT system

Analyzing the modeled field (computerization of financial monitoring processes of candidates and political parties), a total of information objects that should be taken into account in developing *ISS Financial Control can be delimited*. Figure 4.1 describes all information objects that would be used as basis in designing and developing the *ISS Financial Control*.



**Figure 4.1. Information Objects of ISS Financial Control.**

As it is shown in Figure 4.1, the it solution consists of 12 categories of information objects, of different complexity, which should be taken into account in designing and implementing *ISS Financial Control*:

1. Financial reports of candidates/political parties.
2. Notifications and reports on financial reports verification outcomes.
3. Banking transactions.
4. Contraventions.
5. Documents.
6. Analysis and statistics reports.
7. Document templates.
8. Report templates.
9. Classifiers, Nomenclatures, Metadata.
10. Notifications.
11. Logged events.
12. Profiles.

Object identification within the IT system is done by using an identification number for each of them.

#### 1. Financial reports of candidates/political parties

It is a complex information object, which provides all relevant data from financial reports submitted to CEC by candidates and political parties. Depending on the concrete category of financial report, the information content varies by **reporting period and report's nature**.

For now, the following categories of financial reports are identified, which electronic templates should be implemented within *ISS Financial Control*:

- List of refunded donations that exceeded the ceilings set forth in accordance with the provisions of the Electoral Code (Annex 2);
- List of donations of goods, objects, works or services during the election period (Annex 3);
- Operative report on revenues of the candidate (Annex 4);
- Operative report on expenditures of the candidate (Annex 5);
- Monthly information on expenditures of the Party from the state budget subsidies (Annex 7);
- Report on financial management (Annex 8);
- Registry of party membership contributions (Annex 12);
- Registry of donations from natural persons (Annex 13);
- Registry of donations from legal persons (Annex 14);
- Registry of donations in the form of free property, goods and services (Annex 15).

Data categories included in financial reports are provided in documents under annexes 2, 3, 4, 5, 7 8, 12, 13, 14 and 15. Detailed information may be found in:

- Decision of Central Electoral Commission No. 3352 of 04.05.2015 on the approval of the Regulation on financing election campaigns,
- Decision of Central Electoral Commission No. 4401 of 23.12.2015 on the approval of the Regulation on political parties financing, Official Monitor No. 32-37 of 12.02.2016.

Financial reports will be received by CEC preponderantly electronically by using the electronic signature infrastructure. However, it is not excluded that at the initial phase, these could be received in traditional hard copy format. In this case, these should be digitalized and inserted in *ISS Financial Control*. Irrespective of their format (electronic or hard copy), all will be part of the same workflow.

Financial reports of the candidates will have attached the XML scheme to make possible their automatized filling in.

## 2. Notifications and reports on the outcome of financial reports verification

Represents the totality of documents automatically generated by *ISS Financial Control* or generated by the *FED Users* using the functionalities of *ISS Financial Control* that contain the outcome of the financial report verification of the candidate/political party (for instance, discovered errors of *IDNP/IDNO*, *exceeding the admissible volume of financing to a party*, *financiers without the right to finance*, etc.).

All documents will be enclosed to the financial report and could be viewed through user interface of *ISS Financial Control*.

Information content of this information object will be documented and clarified during the business analysis phase (develop technical project of the *ISS Financial Control*).

## 3. Banking transactions

It is a complex information object that provides all information related to the bank statements on the accounts of the candidates generated and submitted by the bank. The banks' reports will be submitted electronically (either through pre-established CSV, XLS, DBF or XML formats or interacting through dedicated services).

A bank transaction contains the following data categories:

- Identification of the candidate/political party;
- Transaction type (debit or credit);
- Date of transaction;
- Transaction time;
- Source and purpose of payments;
- Depositor/beneficiary;
- Amount of transaction.

Data on party financing transactions will be collected automatically from the Accounting IT system of *Central Electoral Commission*.

#### 4. Contraventions

It is a complex information object that provides all relevant data on contraventions discovered in the activity of the candidates/political parties.

Data categories that are used to register contraventions are reflected in the following documents enclosed to the technical specifications:

- Summons of Central Electoral Commission (Annex 9);
- Contravention report (Annex 10).

#### 5. Documents

A complex information object that includes all acts enclosed electronically, generated within business processes of financial reporting and monitoring of financial activity of the candidates and political parties.

Any information object of Document type consists of a minimum set of data intended for its identification and registration:

- Document identifier;
- Type of document according to nomenclature;
- Name of authorities/persons issuers;
- Identifier of issuer (IDNP/IDNO, if it is known);
- Registration number of the document;
- Registration date of the document;
- Execution/validity term;
- Subject of document;
- Status of document;
- Content (text/scanned image) of document.

#### 3. Analysis and statistical reports

A complex information object that includes all predefined reports (physically incorporated) or statistics and KPI indicator generated ad-hoc by the *ISS Financial Control* intended for all levels of authorized users to publish, manage, and monitor the activities of all those involved in the use and management of the IT System.

The following report categories implemented in *e-Expertise* can be defined:

- *Operative reports:*
  - General report on revenues and expenditures during the election campaign of the candidate (Annex 1), which is generated automatically based on the content of reports in Annexes 4 and 5;
  - Report on candidates who did not report within the legal deadline that contain general KPIs on collected revenues and incurred expenditures;
  - Report on candidates who submitted reports within the legal deadline that contain general KPIs on collected revenues and incurred expenditures;
  - Report on candidates which found out irregularities between reported and real situation;
  - Registry of contravention reports drafted by CEC (Annex 11);
  - Report on outcomes of automated verification of the contents of electronic reporting forms filled in by candidates/political parties and submitted to CEC;
  - Report on political parties that did not submit reports within legal deadline with general KPIs on collected revenues and incurred expenditures;
  - Report on political parties that submitted reports within the legal deadline with general KPIs on collected revenues and incurred expenditures.

- Report on political parties that discovered deficiencies in the content of electronic reports submitted to CEC.
- Other relevant reports.
- *Documents generated based on predefined templates:*
  - List of donations refunded as a result of exceeding the ceiling set in accordance with the provisions of the Electoral Code (Annex 2);
  - List of donations of goods, objects, works or services during the election period (Annex 3);
  - Operative report on revenues earned by the candidate (Annex 4);
  - Operative report on expenditures incurred by the candidate (Annex 5);
  - Information on cash flow in Electoral Fund account (Annex 6).
  - Monthly information on expenditures of the Party from the state budget subsidies (Annex 7);
  - Report on financial management (Annex 8);
  - Summons of the Central Electoral Commission (Annex 9);
  - Contravention reports (Annex 10);
  - Registry of party membership contributions (Annex 12);
  - Registry of donations from natural persons (Annex 13);
  - Registry of donations from legal persons (Annex 14);
  - Registry of donations in the form of free property, goods, services, or provided under more advantageous conditions than commercial value, payment for goods or services used by the Party (Annex 15).
- *Statistics and KPI indicators of ISS Financial Control (aggregated values extracted from the information contents of the database ISS Financial Control);*
- *System reports:*
  - List of users of IT system according to their roles;
  - Statistics on using *ISS Financial Control* by authorized users.

Taking into account their nature, the reports will be accessible from the interface with restricted access for authorized authenticated users. Public reports will be accessed on the official WEB page of the *Central Electoral Commission*. Information object is described by the following categories of attributes:

- Identifier;
- Report title, KPI;
- Reference period;
- Summary of report, KPI.

## 7. Document templates

Complex information object intended to keep standard formats, preset for documents to be used in financial reporting by the candidates/political parties and monitoring of their financial activities. Based on predefined templates, all documents drafted by UC13 will be generated and printed.

Information object *Document Template* is described by the following categories of attributes:

- Template identifier;
- Template name;
- Version;
- Statute;
- Document layout parameters;
- **Parameters to insert the document's content.**

## 8. Report templates

Complex information object intended to extract, process and display data contained in the *ISS Financial Control*. Contains all rules of friendly extraction from *ISS Financial Control*, data processing and display. Information object *Report Template* is described by the following categories of attributes:

- Template identifier (number assigned automatically by *ISS Financial Control*);
- Template name;
- Version;
- Statute;
- Document layout parameters;
- **Parameters to insert the report's content.**

#### 9. Classifiers, Nomenclatures, Metadata

Category of complex information objects that consists of a totality of classifying lists, nomenclatures and metadata used within *ISS Financial Control*. These contain the following categories of data:

- Classifying lists/external nomenclatures (as a rule, national: CUATM, CAEM rev. 2, CFOJ, CFP etc.);
- Classifying lists/ nomenclatures of *SAISE*;
- Classifying lists/internal nomenclatures of *ISS Financial Control*;
- Configuration variable of *ISS Financial Control* (access ways, global variations etc.);
- Access configuration to external WEB services;
- Other categories of metadata.

#### 10. Notifications

A category of complex information objects used to notify with or without the confirmation of authorized users of *ISS Financial Control*. Notification has the following specific attributes:

- Notification ID (number assigned automatically by *ISS Financial Control*).
- Business event related to notification;
- Access reference of business event (financial report, summons, minutes, etc.) that generated the notification (if necessary);
- *Timestamp* for sending the notification;
- Strategy to extend the notification (Email or internal messaging, information application *SAISE*)
- Subject of notification;
- Content of notification;
- Sender of notification;
- Recipient of notification;
- Other relevant data.

The following notification categories that should be implemented within *ISS Financial Control* can be identified:

- Notification on financial report results;
- Notification on need to involve the authorized user in work flows;
- Notification on accepting/signing the decisions and documents generated by *ISS Financial Control*;
- Notification on accepting/rejecting financial report;
- Notification on handing in summons regarding the contravention of candidate/political party;
- Notification on exceeding the deadline admissible for the authorized user to involve in workflow;
- Notification on submitting financial reports;
- Notification on delayed submission of financial reports;

- Other system notifications.

Notifications will be drafted in accordance with the template set for each category of notification, so their diversity and content would be modified with its need.

## 11. Logged events

Complex information object intended for the IT audit and implementation of information security policy. Any data access or amendment: design, amendment, deletion, status change, etc. should be registered in a special log showing the timestamp, event, and user that carried out the action. If the amendments will not involve physical suppress of data for each registration, it is possible to view the user who made the last amendment.

Logging events will consist of the following data:

- ID of logged event;
- ID of user who generated the event;
- Category of logged business event;
- **Moment of event's logging;**
- Structure of IT application (module) that generated the business event;
- Registration affected by business event;
- Actions of user.

## 12. Profiles

Complex information object consisting of all data related to actors and entities that interact with *ISS Financial Control* or are the object of financial reporting. There are three categories of profiles:

### 12.1. Profile of authorized user of *ISS Financial Control*

An information object that contains all data related to authorized users of *ISS Financial Control* with the right to access the user interface (authorized authenticated users *within CEC* or authorized authenticated users within *Banks, Candidates and Political parties*). Along this line, this information object will contain the following categories of information:

- **User's identification data;**
- **User's authentication data;**
- Contact details (postal address, telephone, Email, etc.);
- Preferences to configure the administration interface;
- Roles maintained in *ISS Financial Control*;
- Access rights to data managed by *ISS Financial Control*.

### 12.2. Candidate/political party profile

A complex information object that contains a totality of data related to financial reporting subjects. Depending on its nature (political party or independent candidate) the data registered in the *ISS Financial Control* differs). In the case of an independent candidate, the following categories of data will be collected and managed (data is going to be extracted automatically preponderantly from *RSA*):

- **Person's ID (IDNP);**
- Data about the identity document of the person;
- Date of birth;
- Gender;
- Name;
- Surname;
- Patronymic;
- Home address;

- Residence address;
- Telephone;
- Email;
- Remarks.

In the case of a political party, the following categories of data will be collected and managed (data will be extracted from function block Candidates and Registry of Representation Proxies):

- ID of political party;
- Tax code/IDNO;
- Registration information with the Ministry of Justice;
- Full name;
- Short name;
- Legal address;
- Data on manager (will be filled in according to data on independent candidate);
- Data on Treasurer (will be filled in according to data on independent candidate);
- Contact data (Email, telephone, Fax, WEB page);
- Bank accounts data;
- Remarks;
- History of amendments.

### 2.3. Bank profile

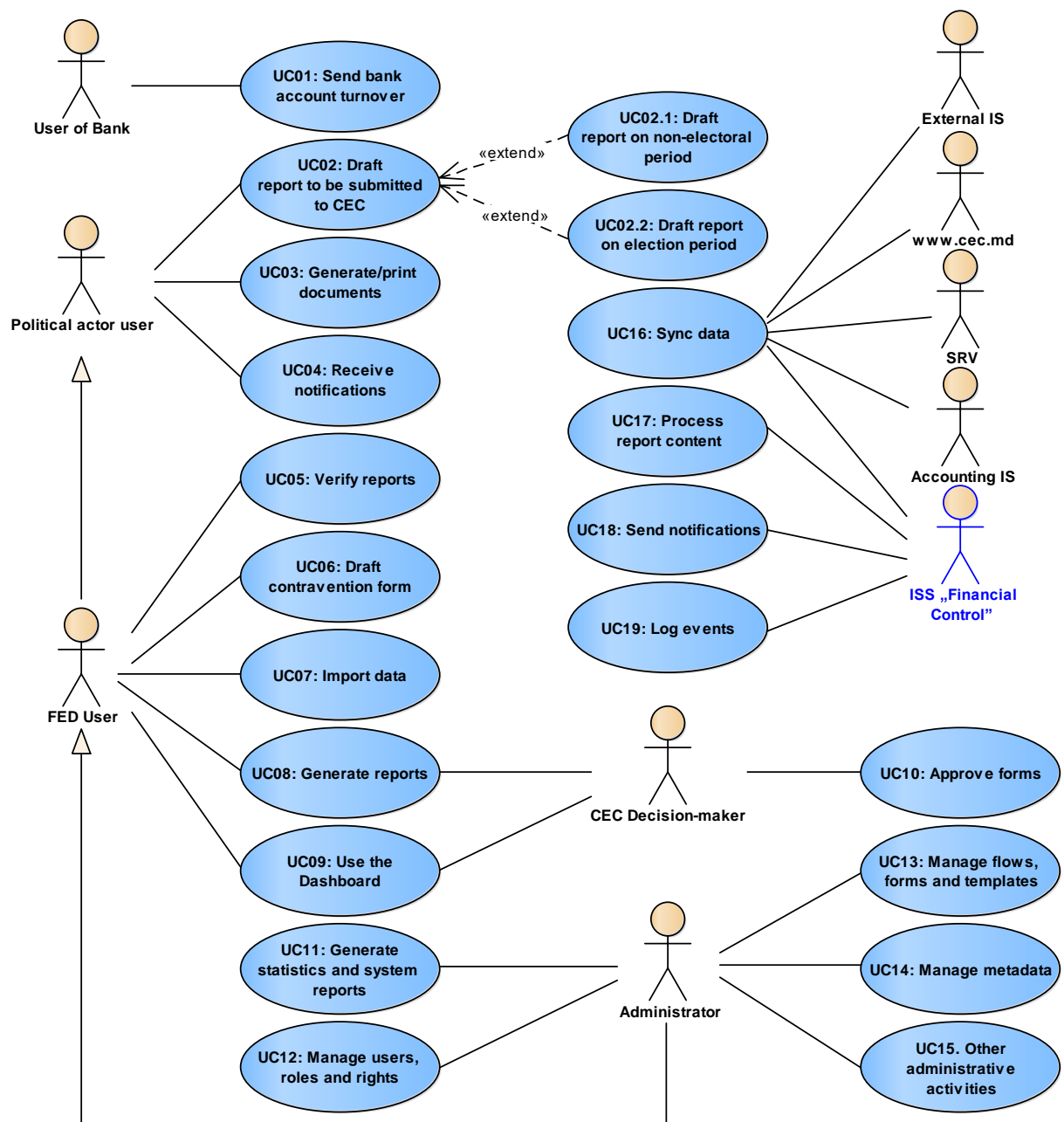
A complex information object that contains a totality of data on banks that interact with the *ISS Financial Control*. The information object contains the following identification attributes:

- Bank ID;
- Tax code/IDNO, VAT code;
- Full name;
- Short name;
- Legal address;
- Banking details;
- Contact details (Email, telephone, fax);
- **Data on the bank's management;**
- **Contact person's details;**
- Organizational-legal form;
- Type of property;
- Details about the representatives and branches (including registration data, contact persons, manager, etc.);
- Remarks.

## 4.2. The functionalities of the IT system

The functionalities delivered by the *ISS Financial Control* to actors who have access to this IT system are shown in the use case diagram in Figure 4.2.

In accordance with the scheme described in Figure 4.2, the actors of IT sub-system have access to 19 use cases that provide the following functionalities.



**Figure 4.2. Functionalities of IT system**

UC01: Send bank account turnover

Complex use case that will provide the banks with an electronic form necessary to document the transactions on the account of the candidate/political party. As a rule, this use case will be implemented through a specialized electronic form, external standard file intended for import or interaction of bank's IT system with *ISS Financial Control*.

UC02: Draft report to be submitted to CEC

Complex use case that will supply all electronic forms necessary for financial reporting of candidates and political parties to *Central Electoral Commission*. *ISS Financial Control* will deliver a set of electronic forms necessary for financial reporting with the implementation of electronic signature infrastructure. Due to the specifics of national legislation, this use case will be implemented through the following use cases:

- UC02.1: Draft report on non-electoral period. Represents a functionality through which the political parties will draft and send all periodical financial reports to *CEC*. These reports are described in Annexes 7, 8, 11, 12, 13, 14 and 15.

- UC02.2: Draft report on election period. Represents a functionality through which the candidates will draft and send all financial reports on specific elections campaign to the *CEC*. These reports are presented in Annexes 2, 3, 4 and 5.

#### UC03: Generate/print documents

Functionality available to users that have the role of *User Political Actor*, *FED User* or *Administrator* through which the documents related to monitoring and analysis of financial activity of candidates and political parties can be printed.

As a rule, such documents will be generated based on the information content of *ISS Financial Control* (using templates shown in Annexes 1-15) or will result from the totality of all electronic forms of business events of *ISS Financial Control* generated and approved by authorized users.

#### UC04: Receive notifications

A use case through which the authorized users of *CEC* of *ISS Financial Control*, candidates, political parties and banks will receive the notifications sent by the IT system by email or on the personal dashboard.

*ISS Financial Control* will ensure automatic generation and email of notifications to actors involved in the *ISS Financial Control* activity. The authorized user will use an individual configuration functionality of the preferences to receive the notifications.

#### UC05: Verify reports

Use case that provides the totality of verification functionalities of the content of reports submitted to *Central Electoral Commission* by candidates and political parties. This is a manual verification carried out by the *FED user* who also uses the result of automated verification of the report carried by *ISS Financial Control* via UC17.

As a result of verifications, *FED User* will tick the report acceptance or rejection button and will apply the electronic signature on his/her decision. A report may be rejected as many times as necessary (unless all deficiencies are removed) and returned to the candidate/political party for updates.

#### UC06: Draft contravention form

Complex use case that will provide all electronic forms necessary to document all contraventions of the candidates/political parties and relevant decisions made by *Central Electoral Commission*. *ISS Financial Control* will provide a mechanism to generate all reports/documents within discovery/documentation of contraventions by implementing the infrastructure of electronic signature and will automatically submit the electronic decision documents of the *CEC* by applying the electronic signatures of relevant candidates/political parties.

#### UC07: Import data

Use case that provides all manual functionalities intended for updating the *ISS Financial Control* (data import into *ISS Financial Control*) through a standard XML, DBF, CSV or Excel template.

This use case will be applied in the case of data suppliers that do not have IT systems for online synchronization or when the online sync is impossible (*example: import of account statement of the candidate, import of financial report submitted by the candidate/political party etc.*).

#### UC08: Generate reports

It is a functionality accessible to *FED User*, *CEC Decision-maker* and *Administrator*, which generates pre-established and ad-hoc reports on the information contents of the IT system. These reports are useful to analyze the processes, information basis of the system and financial activity of the candidates and political parties, allowing for an efficient analysis of the financing processes of the candidates/political parties and providing relevant data necessary to ensure the observance of the legal framework and assistance in decision making process.

#### UC09: Use the Dashboard

It is a functionality through which the authorized user of *ISS Financial Control* will be notified and will be able to visualize and access rapidly all relevant business events related to his/her interaction with the IT system and service attributions (system notifications, events of work flows, etc.).

Also, using the dashboard mechanism, the authorized user will have direct access to relevant functionalities of business notification events (direct accessing of the financial report of the political party/candidate, direct approval of electronic forms received for examination and approval, etc.).

The main user interface page of *ISS Financial Control* will serve as Dashboard, which will include all elements and notifications related to the user.

#### UC10: Approve forms

A use case available to users with decision-making role within the *ISS Financial Control* (*CEC Decision-maker*) through which they can approve or reject the draft electronic form of users with the role of *FED User* and submitted for approval to users with decision-making role (*CEC Decision-maker*).

*ISS Financial Control* will ensure an approval mechanism for specific electronic forms and documents generated hereto (for instance, *Summons of the Central Electoral Commission*). It consists in setting the status of approved and apply the electronic signature of the *CEC Decision-maker*.

#### UC11: Generate statistics and system reports

It is a use case that provides all functionalities accessible to the users of *Administrator* level. This generate administrative pre-established and ad-hoc reports on exploitation events of *ISS Financial Control*. These reports are useful to analyze the processes carried out, information system, performance of activity of authorized users, allowing for the anticipation of the information security issues.

These functionalities will be provided mostly by the IT sub-system *SAISE Admin*. *ISS Financial Control* should be able to receive all data generated by the logging mechanism of *SAISE Admin*.

#### UC12: Manage users, roles and rights

Describes the functionalities of the *Administrator* used to administrate the profiles and roles of actors authorized by the IT system, including managers, external actors who examine and insert data for which the authentication is made through user name + password + IP address, digital or mobile signature, LDAP; external IT systems, etc.

Also, this use case will provide all necessary functionalities to define the access rights of users to interface component and to determine the particular behavior **of user's interface components in interacting with** authorized users.

These functionalities will be provided by IT sub-system *SAISE Admin*. *ISS Financial Control* should be able to take over all rules and resource configurations and their transitions, users, accessible business roles and events, etc. through *SAISE Admin*.

#### UC13: Manage flows, forms and templates

Represents a use case intended for administrators of IT sub-system and describes all available functionalities to update the work flows, electronic templates and document templates used by each type of incoming and outgoing document (configuration of header, footer, static and dynamic content, layout, graphics, etc.).

A document template will contain inserted beacons, which will make possible its population with information extracted from the database.

These functionalities will be provided by IT sub-system *SAISE Admin*. *ISS Financial Control* should be able to take over all rules and configurations of workflows, electronic forms and document templates specified through *SAISE Admin*.

#### UC14: Manage metadata

Use case that delivers all functionalities intended for the *Administrator*, which help him/her to administrate all nomenclatures, classifying lists and configurations that form the metadata system of *ISS Financial Control*.

#### UC15. Other administrative activities

A use case intended for *Administrators* that describes all accessible functionalities intended to manage and audit the *ISS Financial Control*: maintain a list and integrity of credentials of users with access to administration space, extraction of reports from system registries to analyze and discover eventual logical and physical issues of *ISS Financial Control* etc.

To great extent, these functionalities will be provided by the IT sub-system *SAISE Admin*. *The Administrator* will reuse it to administrate *ISS Financial Control*. These facilities will be used to configure and assign roles to all categories of users involved in the administration and functioning of IT system, define the access parameters to interface, services, files and database content.

The administrative use case of *ISS Financial Control* will implement all functionalities to ensure the viability and integrity of IT sub-system.

#### UC16: Sync data

Use case which is used by *ISS Financial Control* to launch upon request or automatically with certain periodicity the synchronization procedures of data submitted by political parties/candidates in financial reports addressed to *CEC* with relevant data stored in external or existing IT systems within *CEC*'s IT infrastructure.

Along the same line, the following categories of synchronizations with external IT systems to validate the data contained in financial reports submitted to *CEC* by political parties/candidates are planned:

- SRV (State Registry of Voters) to verify the correctness of data on financiers-natural persons and their eligibility to finance political parties/candidates;
- SRLE (State Registry of Legal Entities) to verify the data on financiers-legal persons of political parties/candidates and their eligibility to finance political parties/candidates;
- Fiscal Registry to verify the conformity between the volume of finances of political parties/candidates with physically declared income of natural persons;
- Registry of Representation to extract data necessary to assign roles and rights owned by external users that interact with *ISS Financial Control*;
- Accounting IT System of CEC to mutually exchange relevant data on financing political parties/candidates.
- IY system of the Bank to take over the data on the accounts of the political party/candidate;
- Automated Information System „State Registry of Public Procurement” to take over the data on the existence of contract relations of legal persons who finance the candidates and public authorities of the Republic of Moldova;
- Open Data Portal (<http://date.gov.md>) to publish data of public interest produced during the business processes of *ISS Financial Control* in accordance with the Government Decision No. 700 of 25.08.2014 and Government Decision No. 701 of 25.08.2014.
- Official Webpage of the CEC to publish public data produced by business processes implemented by *ISS Financial Control*.

All data synchronization processes with third IT systems will be logged including through the government logging service *MLog*.

#### UC17: Process report content

Use case that delivers all functionalities of processing the records contained in the financial reports of political parties/candidates. It verifies if the reports are drafted correctly. *ISS Financial Control* will provide the following types of automated verifications:

- Verification of full provision of mandatory data in financial reports;
- Verification if all fields in the financial reports are filled with correct types of data;
- Verification for data filled in the fields of financial reports to correspond to the admissible values configured in the metadata system of *ISS Financial Control*;
- Verification of the existence of natural person mentioned in the financial report in the *RSA* and his/her right to finance the political party/candidate.
- Verification of the conformity of volume of finance of natural person with his/her real income;
- Verify whether the natural person pays membership contribution to more than one political parties simultaneously;
- Verify for the annual volume of political party/candidate financing by a natural person to not exceed the maximum volume accepted by the legislation in force;
- Verification of the existence of legal person reflected in the financial report addressed to *SRLE* and its right to finance a political party/candidate;
- Verification for the annual volume of political party/candidate financing by a legal entity to not exceed the maximum volume accepted by the legislation in force;

- Verify whether data of financial reports are in conformity with the bank accounts of political parties/candidates;
- other relevant verifications.

Based on these verifications, *ISS Financial Control* will generate a report for *CEC*, which will help it to make a decision to accept/reject the financial report or initiate contravention proceedings in case of serious violation of the legislation in force.

#### UC18: Send notifications

Use case, which will notify the authorized users of *ISS Financial Control* (internal messaging or Email) on business events that might affect them.

The users will receive notifications through personal dashboard and email. *ISS Financial Control* will ensure the functionality of direct access to details of business event (financial report, electronic form, etc.) directly from notification.

To implement the notification mechanism, the notification platform service of the interoperability framework of the *CEC* provided by *SAISE Admin* should be reused.

External users (who are not employees of *CEC*), *ISS Financial Control* will be notified via the government notification service *MNotify*.

#### UC19: Log events

Use case for logging of the business events generated by functional components of *ISS Financial Control*. Any event generated within business processes implemented by *ISS Financial Control* will be logged and saved in corresponding tables of the database.

The logging will use the logging platform service of *CEC* interpretability framework provided by *SAISE Admin*. *ISS Financial Control* will apply business event logging strategy in the configuration functions of its resources in *SAISE Admin*.

For critical business processes, *ISS Financial Control* will implement logging procedures through the government service *MLog*.

### 4.3. Generic flow of drafting and processing financial reports

In accordance with Figure 4.3 the Treasurer of the candidate/political party is authenticated and authorized in *ISS Financial Control* and selects the option to draft a new financial report (the category of the financial report that is needed is selected from the list of options presented by the system). As a result, *ISS Financial Control* displays the electronic template of the relevant financial report automatically filled in with data about the entity, reporting period, data of drafting, etc.

Once the electronic template of the financial report is opened, the *Treasurer* fills in the content of the report. It should be mentioned that *ISS Financial Control* will give more alternatives for filling in the report, such as:

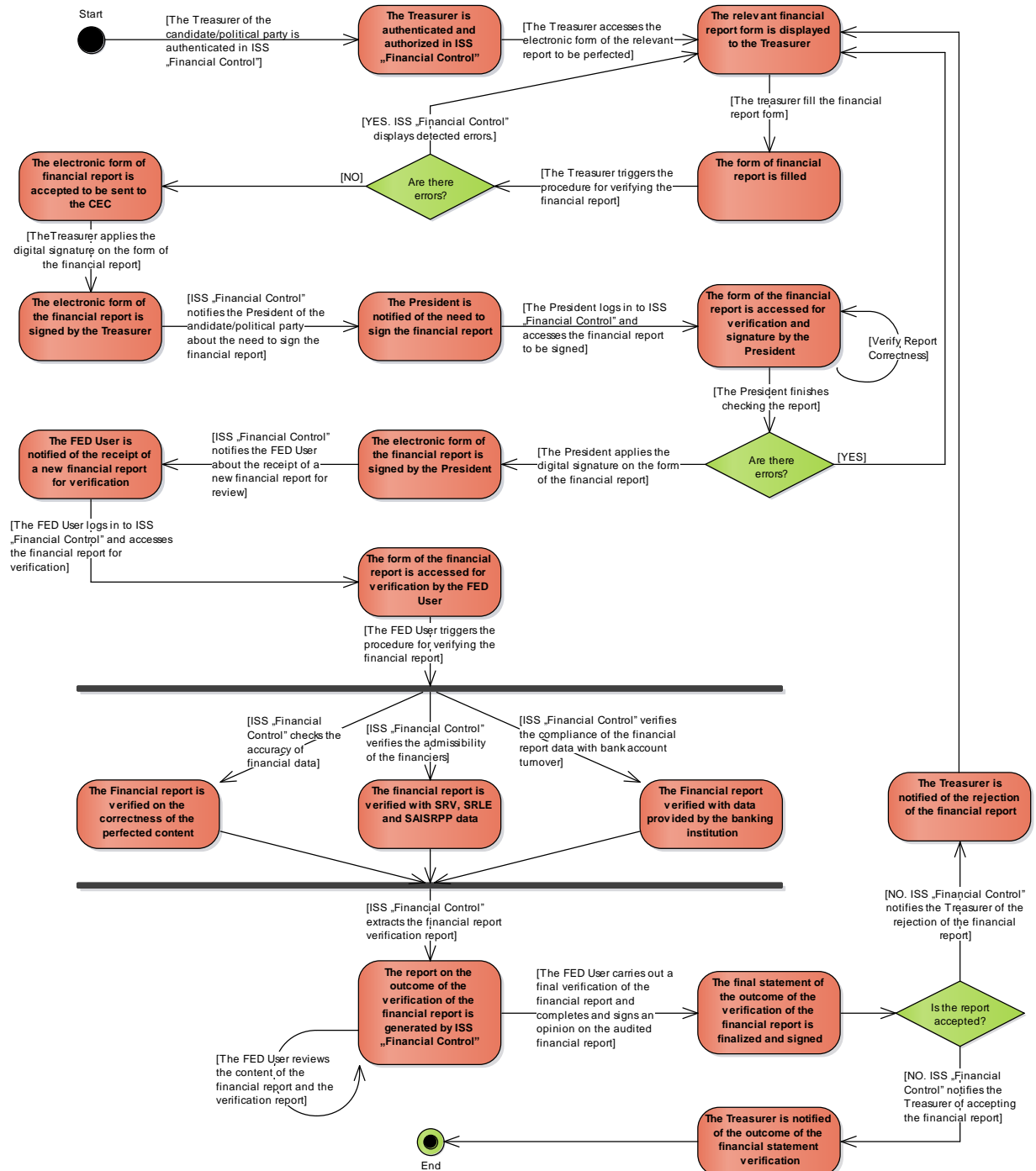
- manual introduction of all report's sections;
- full report based on a standard XML file extracted from the IT system exploited by *Treasurer* (when the candidate/political party has an IT system for party finance management that can export the financial report in XML format accepted by *ISS Financial Control*;
- partial filling in of sections in the financial report based on CSV, XLS or DBF lists with pre-established structure (that contains lists of contributions, financiers, expenditures, etc.).

Once the report is filled in, the *Treasurer* starts the validation procedure of its content. Primary validation consists in verifying the correctness of the report: filled fields of the report with relevant content (numbers, characters, calendar, etc.), filling in mandatory fields, and compliance of data inserted in report with admissible values (admissible code structure IDNP/IDNO, values of numeric data within pre-established intervals etc.), verify the correctness of totals and subtotals.

*Treasurer* will be able to sign digitally and submit the financial report only after the content was successfully validated. If this is the case, then *Treasurer* will apply the electronic signature on the drafted financial report. Consequently, *ISS Financial Control* notifies the *President* of the candidate/political party regarding the need to sign the financial report drafted by the *Treasurer*.

The President of the candidate/political party authenticates itself and authorizes the *ISS Financial Control* and accesses the form of the financial report that has to be signed and submitted to *CEC*. The President verifies the content of the report and if there are any errors, will send the report to the *Treasurer* to redo it (correct content and repeated signing by *Treasurer*). If no errors are discovered, the *President* applies the digital signature, which means that the report is submitted for examination by the *CEC*.

As a result, *ISS Financial Control* notifies the *FED User* about the receipt of new financial report for examination, and the candidate/political party (*Treasurer* and *President*) about the fact that the financial report was received for verification.



**Figure 4.3. Generic flow intended to process financial reports submitted by candidates standing for elections**

After receiving the notification, the political *FED User* will authenticate and authorize itself in *ISS Financial Control*, will find the report in the database of the *ISS Financial Control* and will start the examination and verification

procedures of the financial report. The verification procedure of the financial report will be carried out automatically and will consist of different technological phases, such as:

- Verify the financiers of the candidates standing for elections. Consists in verification of data on financiers declared by the candidate/political party (contributors and financiers) with the data contained in the *State Registry of Voters, State Registry of Legal Companies and State Automated Information System Public Procurements*. This procedure will verify the eligibility of the financier of the candidate included in the financial report (financier exists in *RSA* or *SRLE*, financier has the right to finance political parties, etc.).
- Verify the correctness of financial data included in the report. Consists in verification of the volume of finances declared for each financier (total annual volume of financing should not exceed the established legal threshold), annual total income of the candidate/political party should not exceed the maximum admissible ceiling established by the legislation in force, correct calculation of subtotals and totals, etc. This processing will be made based on *ISS Financial Control* metadata specific to admissible parameters of financing of a candidate.
- Verify the compliance of the expenditures and finances declared by the candidate with data provided by the bank. It consists in crosschecking the data from the financial report of the candidate/political party with the information contained in all reports received from the bank for the entire reporting period. Based on the configuration of the metadata system, the *ISS Financial Control* will verify if the financial report meets the admissible limits between these 2 categories of data.

Once it processes the financial report of the candidate/political party, the *ISS Financial Control* will generate a report (summary) of the results of the verification of the content of financial report submitting it for visualization and analysis to the *FED User*.

*FED User* will examine the report on verification submitted by *ISS Financial Control*, will examine manually the report and will generate a notice on the results of verification of financial report of the candidate/political party which will be signed electronically and saved in the system. After the completion of the verification process of the financial report, *ISS „Financial Control* will notify the *Treasurer* and *President* of the candidate/political party about the results of verification of financial report submitted to *CEC*.

If the report is not accepted by *CEC* (too many errors and deviations are discovered in the content), the report is returned to the candidate/political party for rectification. It will be redone, and saved in the history of amendments (it is necessary to implement a history mechanism to view all versions of the same report verified by *CEC*).

Reports accepted by *CEC* cannot be amended and edited by any category of users of *ISS Financial Control* and will be used to generate reports and publish them (without submitting personal data).

#### **4.4. User interface of the IT system**

*ISS Financial Control* will provide a user interface in Romanian language that is ergonomic, intuitive, and accessible to all types of users through optimized WEB explorer of 1360x768 resolution. The system should have a nice, agreeable, balanced and distinctive graphic design, responsive to all used devices (desktop computer, notebook, tablet, smartphone).

When the user interface is designed, the good practices of the *CEC* implemented in applications should be taken into account: *RSA*, **function block 'Voting'**, etc. **To be** user-friendlier, the IT solution will have an online contextual help system (version in Romanian language is compulsory), for each user interface.

The users of the IT sub-system will have minimum 4 key access levels to the user interface (sets of rights and roles, as well as the optimal number of groups of access will be configured by the IT system Administrator through the mechanisms provided by *SAISE Admin*):

- Access level for the Bank – level for relevant employees of the bank where the political parties or candidates hold accounts. They can use this interface to submit bank reports to the *CEC* in relevant periods of time. This type of users will be authenticated as user name + password, electronic or mobile signature.
- Access level for the political party/candidate – level for political actors who receive financing from the national public budget (political parties) or participate in election campaigns (independent candidates) who will use the facilities provided by *ISS Financial Control* to design and submit financial

reports to CEC. This type of users will be authenticated as user name + password, electronic or mobile signature. This level of access has 2 roles: *Manager* and *Treasurer*.

- Access level for FED Users – level for employees of Financial and Economic Division of CEC who will use the facilities provided by the user interface of *ISS Financial Control* to exercise their duties (reception, verification, and validation of financial reports, interaction with political actors regarding political party financing issues and observance of legal framework in the financial activity field, etc.). This type of user will be authenticated as user name + password or Active Directory.
- Access level for Administrator – highest access level of the user to IT system resources. He/she will authorize his/her access as user name + password or Active Directory. Because of its administrative role of IT solution, this level will ensure access to all functionalities of the user interface and contents of the database delivered by the user interface.

Procedures of searching for information and records will involve simple (specification of number of searches) or higher complexity search which involve a more exact filtering of information (QBE forms). Irrespective of the nature of searched information, the user will use the same information interrogation and recovery method for every compartment of the IT product.

Additionally, to search method based on QBE principle, which will provide the possibility to define visually sophisticated interrogations, the interface should provide the possibility to refine the search results by ensuring the possibility of filtering the data in the list of search results.

The user interface of IT system should ensure the filtering of records that correspond to the search criteria submitted to users depending on their rights of access.

Indexed sizes (values of classification lists, nomenclatures) should be filtered by choosing values from pre-established lists. For numerical fields or calendar data there should be the possibility to filter by exact values of search characteristics (*example: 01.01.2016 – all records with this date*) or by logical criteria (*Example: <31.12.2015 – all records before 31.12.2015, >01.01.2014 – all records after 01 January 2014*).

Also, there is a need for the possibility to filter the results by mask (*for instance, filtering by IDNP*) according to model: 098121224\* - all sequences that start with „098121224“, \*ARU – all sequences that end with „ARU“ or \*AGRO\* - all sequences that have the characters „AGRO“.

The content of any table with results or electronic form, depending on the nature of information, should be exported in any of the following formats CSV, RTF and PDF.

#### **4.5. Reporting, audit, and statistics mechanism of the IT System**

*ISS Financial Control* will have implemented functionalities of common audit/logging. This should be configured to log technical and business events. The IT system will provide a mechanism for generating pre-established and ad-hoc reports capable to ensure a pertinent analysis or evaluation of monitoring processes of financial activity of candidates and political parties.

*ISS Financial Control* should provide an OLAP mechanism intended for dynamic and varied generation of ad-hoc reports, which would allow the configuration of data analysis cubes including the configuration of data aggregation method (average, mean, maximum, minimal, element quantification, etc.).

The reporting system of *ISS Financial Control* will generate 4 categories of reports:

- Documents generated based on pre-established template – a template should be designed for each type to include the relevant information of the document (*example: financial report submitted during elections, transactions in bank account of political actor, financial report submitted outside the electoral period, etc.*);
- Performance indicators – represent a set of KPI indicators used to appreciate the performance of monitoring and processing of financial reports of political actors (revenue, expenditure, membership contribution, number of financiers of political **parties'** appreciation indicator, etc.);
- Monitoring reports – is a category of reports intended for users with decision-making role to appreciate the ways of interaction of authorized users with *ISS Financial Control*. This category of reports will organize and display the content of log files used to analyze and anticipate the vulnerabilities of the IT system;

- Performance reports – is a category of static reports (usually physically implemented in the IT system content) directed to audit and analyze the information content of *ISS Financial Control*. The developer will integrate at least 25 categories of such reports; the layouts of these reports will be provided at the moment of business analysis.

Particularities of reporting are described in a number of sections of this document, such as:

- section 4.1 (**information object 'Analysis and statistics reports'**);
- section 5.1.3 (functional requirements for use case *UC03: Print documents*);
- section 5.1.8 (functional requirements for use case *UC08: Generate reports*);
- section 5.1.11 (functional requirements for the use case *UC11: Generate statistics and system reports*);
- section 5.1.13 (functional requirements for the use case *UC13: Manage flows, forms and templates*);
- other sections of this document.

## 5. Requirements for the IT sub-system

### 5.1. Functional requirements for the IT sub-system

#### 5.1.1. UC01: Send bank account turnover

Functional requirements of the component that introduces the bank account transactions of the candidate/political party are described in Table 5.1.

**Table 5.1. Functional requirements for use case UC01**

Identifier	Mandatory	Description of functional requirements
FR 01.01	M	<i>ISS Financial Control</i> will provide the financial institutions with a functionality intended to send data on bank account transactions of the candidates/political parties.
FR 01.02	M	Report on account transactions of the candidate/political party is submitted in a form that contains all data categories described in Annex 6.
FR 01.03	M	Financial institution will submit data on account transactions of the candidate/political party through a special electronic template (using <i>ISS Financial Control</i> means), a standard file (in XML, CSV, XLS or DBF format) submitted by email or other means to the CEC or interacting directly with <i>ISS Financial Control</i> through specialized WEB services.
FR 01.04	M	The transaction statements in the bank accounts of the candidates/political parties submitted through external files (in XML, CSV, XLS, DBF format) will be inserted through use case UC07.
FR 01.05	M	Prior to introducing the data on the bank account transaction of the candidate/political party, the <i>ISS Financial Control</i> will verify and validate the correctness of the Bank's report.
FR 01.06	M	Reports on account transactions of candidates/political parties will be submitted during election campaign. For treasury accounts used to finance political parties, the reports on treasury account transactions will be submitted monthly.
FR 01.07	M	<i>ISS Financial Control</i> will notify the bank, if the submission of the report on account transaction of the candidate/political party is delayed.
FR 01.08	M	<i>ISS Financial Control</i> will log all events of receipt and processing of reports on account transactions of the candidates/political parties.

#### 5.1.2. UC02: Draft report for CEC

The functional requirements for drafting electronic report form of candidates/political parties to CEC are described in Table 5.2.

**Table 5.2. Functional requirements for use case UC02**

Identifier	Mandatory	Description of functional requirements
FR 02.01	M	<i>ISS Financial Control</i> will provide electronic financial report form for candidates/political parties during and outside the election campaigns.
FR 02.02	D	The statuses and transitions of electronic financial reports of candidates/political parties submitted to CEC are configured by means of the use case UC13.
FR 02.03	M	The content of all electronic forms filled in during the financial reporting of candidates/political parties will be exported in an editable document, in

Identifier	Mandatory	Description of functional requirements
		accordance with the models described in Annexes 2, 3, 4, 5, 6, 7, 8, 11, 12, 13, 14 and 15, configured via UC13 and populated with data from the form.
FR 02.04	M	<i>ISS Financial Control</i> will ensure the access to financial report templates depending on the roles and rights assigned to authorized users.
FR 02.05	M	Filling in the electronic financial report template of the candidate/political party is possible only through exclusively visual mechanisms.
FR 02.06	M	The forms will constrain the content to limit mechanical errors.
FR 02.07	M	The sections of the electronic financial report form of a candidate/political party may be filled in with narrative, numbers or values of nomenclatures or classifying lists of <i>ISS Financial Control</i> .
FR 02.08	M	<i>ISS Financial Control</i> will provide the functionality of automated data insertion in the electronic financial report form of a candidate/political party using external pre-established standard files (CSV, XLS or DBF). This will be useful when inserting massive data, such as contributions, donations, etc.
FR 02.09	M	The content of the electronic financial report template of the candidate/political party will be imported through pre-set XML file.
FR 02.10	M	<i>ISS Financial Control</i> will enclose external documents to the report (enclosed scanned copies of documents in PDF format).
FR 02.11	M	<i>ISS Financial Control</i> will provide a mechanism to verify electronic financial report of a candidate/political party (compulsoriness of data content, correctness of inserted data, integrity of inserted data, correct combination of Name+Surname+IDNP, eligibility of using NP as financiers (alive persons, person found in RSA and age of the person $\geq 18$ years), eligibility to use LP as financier (existence of LP in SRLE and corresponding CFP codes,) etc.).
FR 02.12	M	The validation procedure will display a verification report by indicating all <b>issues with the report's content</b> .
FR 02.13	M	Only one electronic financial report form of the candidate/political party that passed successfully the verification procedure can be submitted for verification to <i>FED User</i> .
FR 02.14	M	<i>ISS Financial Control</i> will provide functionalities to apply the digital signature of <i>Manager</i> and <i>Treasurer</i> of the candidate/political party on the electronic form of the financial report.
FR 02.15	M	The form of financial report can be submitted to CEC only after being signed by the <i>Manager and Treasurer</i> .
FR 02.16	M	The platform service <i>MSign</i> will be used as a mechanism to apply the digital signature.
FR 02.17	M	<i>ISS Financial Control</i> will notify automatically the <i>FED User</i> about the receipt of an electronic financial report of a candidate/political party that has to be verified and accepted (the form will be verified and accepted through UC05).
FR 02.18	M	An electronic financial report form of a candidate/political party may be edited repeatedly, if it is rejected by the <i>FED User</i> .
FR 02.19	M	Once the electronic financial report of a candidate/political party is verified and approved/rejected, the <i>ISS Financial Control</i> will notify all actors in the process.
FR 02.20	M	<i>ISS Financial Control</i> will log all business events related to editing and processing of financial report forms of a candidate/political party.
FR 02.1.01	M	<i>ISS Financial Control</i> will provide all electronic financial report forms of a political party between election periods.

Identifier	Mandatory	Description of functional requirements
FR 02.1.02	M	The following categories of financial report templates of political parties will be drafted and submitted to <i>CEC</i> between election periods: <ul style="list-style-type: none"> <li>■ Monthly information on expenditure of the Party from the subventions received from state budget (Annex 7);</li> <li>■ Report on financial management (Annex 8);</li> <li>■ Registry of party membership contributions (Annex 12);</li> <li>■ Registry of donations received from natural persons (Annex 13);</li> <li>■ Registry of donations received from legal persons (Annex 14);</li> <li>■ Registry of donations received as free property, goods, and services or in more advantageous conditions than the commercial value, payment for certain goods and services used by the Party (Annex 15).</li> </ul>
FR 02.1.03	M	<i>ISS Financial Control</i> contains a configuration mechanism of the frequency of financial reports submitted by a political party between election periods and will notify the political parties about the need to submit the report or inform about the delayed submission of the financial report.
FR 02.2.01	M	<i>ISS Financial Control</i> will provide all electronic financial report forms used by a candidate during election campaign.
FR 02.2.02	M	The following categories of financial report forms of candidates, drafted and submitted to <i>CEC</i> during election campaign are: <ul style="list-style-type: none"> <li>■ General report on revenues and expenditure during the election campaign of the candidate (Annex 1);</li> <li>■ List of donations refunded as a result of exceeded threshold established in accordance with the Electoral Code (Annex 2);</li> <li>■ List of donations in goods, objects, works or services during the election campaign (Annex 3);</li> <li>■ Operative report on revenues of a candidate (Annex 4);</li> <li>■ Operative report on expenditures of a candidate (Annex 5).</li> </ul>
FR 02.2.03	M	<i>ISS Financial Control</i> will provide the frequency of financial reports submitted by a political party during election campaign and will notify the political parties about the need to submit the report or informed about the delayed submission of financial report.

### 5.1.3. UC03: Generate/print documents

Functional requirements of the component that generates template documents form the *ISS Financial Control* database are described in Table 1.3.

**Table 1.6. Functional requirements for the use case UC06**

Identifier	Mandatory	Description of functional requirements
FR 03.01	M	<i>ISS Financial Control</i> will provide the authorized actors ( <i>Political User, Manager or Treasurer, FED User, CEC Decision-maker and Administrator</i> ) with a mechanism to generate documents with data extracted from <i>ISS Financial Control</i> database.
FR 03.02	M	The IT system will extract documents based on reports inserted in the system, and will generate documents based on pre-established templates from database (according to Annexes 1-11).
FR 03.03	M	The generated document templates will include: <ul style="list-style-type: none"> <li>■ financial report of the candidate submitted during the election campaign (weekly or generally);</li> </ul>

Identifier	Mandatory	Description of functional requirements
		<ul style="list-style-type: none"> <li>■ periodic financial report of the political party submitted between election periods;</li> <li>■ the <i>ISS Financial Control</i> report on automated verification of financial report received by CEC;</li> <li>■ list of donations refunded as a result of exceeded threshold established by the Electoral Code;</li> <li>■ list of donations in goods, objects, works or services during election campaign;</li> <li>■ information on cash flows in the account 'electoral fund';</li> <li>■ monthly information on expenditures of the Party from subventions received from the state budget;</li> <li>■ summons of the Central Electoral Commission;</li> <li>■ contravention report;</li> <li>■ registry of contravention reports drafted by the CEC</li> <li>■ notifications sent by <i>ISS Financial Control</i>;</li> <li>■ other relevant documents.</li> </ul>
FR 03.04	M	The IT system will generate documents based on the content of electronic templates generated by automated processes of <i>ISS Financial Control</i> .
FR 03.05	M	The printed document will be generated based on configuration templates through UC13.
FR 03.06	M	<i>ISS Financial Control</i> will ensure the access to generated and printed documents depending on the roles and rights assigned to each user.
FR 03.07	M	<i>ISS Financial Control</i> will log all document generation and printing events.

#### 5.1.4. UC04: Receive notifications

Functional requirements to receive notifications sent to authorized users by *ISS Financial Control* are described in Table 5.4.

**Table 5.4. Functional requirements for the use case UC04**

Identifier	Mandatory	Description of functional requirements
FR 04.01	M	<i>ISS Financial Control</i> will automatically notify any authorized user about the registration of a business event that involves the action of a user or that amends managed, monitored or referred to processes.
FR 04.02	M	The authorized users will receive notifications by email mentioned in their <i>ISS Financial Control</i> profile.
FR 04.03	M	<b>A copy of the notification will be displayed on the user's dashboard.</b>
FR 04.04	M	The authorized user will use the functionality to configure the preferences of receiving the notifications by email.
FR 04.05	M	<p><i>ISS Financial Control</i> will send all notifications intended to candidates and political parties about their interaction with CEC with regard to issues of financial control of their activities:</p> <ul style="list-style-type: none"> <li>■ Notification to download the financial report;</li> <li>■ Notification on missed deadline to submit financial report;</li> <li>■ Notification about the results of financial report verification submitted to CEC;</li> <li>■ Notification on acceptance of financial report submitted to CEC;</li> </ul>

Identifier	Mandatory	Description of functional requirements
		<ul style="list-style-type: none"> <li>■ Notification on report rejection and subsequent amendment and resubmission;</li> <li>■ Notification on irregularities discovered by <i>CEC</i> and summons delivered to candidate/political party;</li> <li>■ other relevant notifications.</li> </ul>
FR 04.06	M	<i>ISS Financial Control</i> will send notifications to authorized users of <i>CEC</i> : <ul style="list-style-type: none"> <li>■ notification on receipt of new reports for verification;</li> <li>■ notification on including in the workflows;</li> <li>■ notification on delays (missed deadline for report verification, application of decision, etc.);</li> <li>■ notification on issues and risks discovered in reports processed by automated mechanism of <i>ISS Financial Control</i>;</li> <li>■ other relevant notifications.</li> </ul>
FR 04.07	M	<i>ISS Financial Control</i> will send notifications to the banks: <ul style="list-style-type: none"> <li>■ to send the candidate's account transactions;</li> <li>■ informing about delayed submission of candidate's account transactions;</li> <li>■ receiving candidate's account transactions report.</li> </ul>
FR 04.08	M	The notifications sent by email may have attached files ( <i>for instance, summons, contravention report, etc.</i> ).

### 5.1.5. UC05: Verify reports

Functional requirements to verify the contents of reports submitted to CEC by the candidates and political parties are described in Table 5.5.

**Table 5.5. Functional requirements for the use case UC05**

Identifier	Mandatory	Description of functional requirements
FR 05.01	M	<i>ISS Financial Control</i> will provide the <i>FED Users</i> with a functionality to verify the report submitted to CEC by the candidates and political parties.
FR 05.02	M	<i>FED User</i> will be able to access the report from the personal Dashboard to verify it ( <b>from user's favorite</b> or notifications on receipt of new reports for examination and verification).
FR 05.03	M	All reports verified and examined by <i>FED User</i> will go through compulsory processing of contents by <i>ISS Financial Control</i> (use case UC17).
FR 05.04	M	<i>FED User</i> will be able to manually begin the report content processing procedure (UC17) as many times as necessary.
FR 05.05	M	When the financial report submitted by the candidate or political party is verified, the <i>FED User</i> can access directly the report on verified financial report generated by UC17.
FR 05.06	M	Verification of report consists in the analysis of content, of the verification <b>report, ticking the box 'accepted/rejected', drafting a notification and</b> application of electronic signature of the <i>FED User</i> on its stamp.
FR 05.07	M	The platform service <i>MSign</i> will be used as a mechanism to apply electronic signatures.
FR 05.08	M	A rejected report will be returned to the candidate/political party to eliminate discovered issues.

Identifier	Mandatory	Description of functional requirements
FR 05.09	M	The contents of the report cannot be modified by the candidate/ political party, while it is being verified by CEC. It can be edited only if it is returned by CEC.
FR 05.10	M	<i>FED User</i> cannot modify the contents of the report he/she is verifying.
FR 05.11	M	<i>ISS Financial Control</i> will notify the candidate/political party about the results of report's verification.
FR 05.11	M	<i>ISS Financial Control</i> will log all verification events of the contents of financial reports.

#### 5.1.6. UC06: Draft contravention report

Functional requirements to draft electronic templates to document contraventions of candidates or political parties are described in Table 5.6.

**Table 5.6. Functional requirements for the use case UC06**

Identifier	Mandatory	Description of functional requirements
FR 06.01	M	<i>ISS Financial Control</i> will provide electronic form to record the contraventions of the candidates and political parties.
FR 06.02	M	Electronic templates to record the contraventions of candidates/political parties will generate a contravention report (Annex 10) and Summons of the Central Electoral Commission (Annex 9).
FR 06.03	D	Status and transition of electronic forms to document contraventions of candidates/political parties, as well as related decisions of CEC, are configured by the use case UC13.
FR 06.04	M	Any electronic template to record the contraventions of the candidates/political parties will be associated to a document form that will be configured by UC13 and filled in from the data contained in the template.
FR 06.05	M	The electronic template to register the administrative contraventions of a candidate/political party may be requested from the profile of the candidate/political party (by automatically pre-filling its data) or user interface to draft these forms.
FR 06.06	M	<i>ISS Financial Control</i> will ensure the access to the functionality of recording the contraventions of the candidate/political party depending on roles and rights assigned to authorized users.
FR 06.07	M	Electronic form to record the contravention of the candidate/political party will be drafted through exclusively visual mechanism.
FR 06.08	M	The forms will constrain and restrict the content to limit mechanical errors.
FR 06.09	M	The sections of electronic forms to register the contraventions of the candidate/political party may be filled in with narrative text, numbers, files or values of nomenclatures or classifying lists of the <i>ISS Financial Control</i> .
FR 06.10	M	<i>ISS Financial Control</i> will generate electronic forms to record the contraventions in editable and printable files.
FR 06.11	M	<i>ISS Financial Control</i> will permit the attachment of external documents to the form (attachment of scanned PDF copies).
FR 06.12	M	<i>ISS Financial Control</i> will provide a mechanism to verify the correctness of electronic forms to record the contraventions (compulsory data, correct inserted data, integrity of introduced data, etc.).

Identifier	Mandatory	Description of functional requirements
FR 06.13	M	Only one electronic form to register the contraventions of the candidate/political party, which was successfully verified can be submitted for approval to the <i>CEC Decision-maker</i> .
FR 06.14	M	<i>ISS Financial Control</i> will provide a functionality to apply the digital signature of the <i>CEC Decision-maker</i> on the electronic contravention decision template.
FR 06.15	M	The <i>MSign</i> platform will be used to apply the digital signature.
FR 06.15	M	<i>ISS Financial Control</i> will notify automatically the <i>CEC Decision-maker</i> about the examination and approval of a new contravention decision form (the form has to be approved through UC10).
FR 06.16	M	The electronic contravention record form can be edited repeatedly, if it is rejected by the <i>CEC Decision-maker</i> .
FR 06.17	M	Once the electronic form of the decision on contravention of the candidate/political party is signed and approved, the <i>ISS Financial Control</i> will notify all actors involved and the candidate/political party about all digitally signed documents by email ( <i>example: Annex 9 and Annex 10</i> ).
FR 06.18	M	The IT sub-system will log all business editing and processing events of electronic templates to record the contraventions of the candidates/political parties.

#### 5.1.7. UC07: Import data

Functional requirements to import data from template are described in Table 5.7.

**Table 5.4. Functional requirements for the use case UC07**

Identifier	Mandatory	Description of functional requirements
FR 07.01	M	<i>ISS Financial Control</i> will provide a data import mechanism from the template files in the XML, DBF, CSV or Excel format.
FR 07.02	M	<p><i>ISS Financial Control</i> will import the following categories of XML, DBF, CSV or Excel files:</p> <ul style="list-style-type: none"> <li>■ template file with data on the account transactions of the candidate or political party;</li> <li>■ template file with data on payments made by the CEC to political party extracted from IS Accounting of CEC;</li> <li>■ financial report of political party or candidate sent to CEC during the election campaign;</li> <li>■ financial report of political party sent to CEC outside election campaign.</li> </ul>
FR 07.03	M	When importing new data, the <i>ISS Financial Control</i> will trigger automatically the procedure to verify the imported data ( <i>example: verify the correctness of natural and legal persons data, verify the eligibility of finance of the candidate/political party etc.</i> ):
FR 07.04	M	<i>ISS Financial Control</i> will indicate more files simultaneously for import when there are data with relations 1:M between them or parallel import of more files.
FR 07.05	M	<i>ISS Financial Control</i> will display and save in an external file all errors registered at the import of data from XML, DBF, CSV or Excel files (especially errors of constraints and dependency between data).
FR 07.06	M	Each import action and data update will be logged.

### 5.1.8. UC08. Generate reports

Functional requirements of the extraction mechanism of report in processing IT system data and submitting them in a more convenient form to users or to assist the decision-making process are described in Table 5.8.

**Table 5.8. Functional requirements for the use case UC08**

Identifier	Mandatory	Description of functional requirements
FR 08.01	M	<i>ISS Financial Control</i> should be able to provide a number of management, statistics, and ad-hoc reports, so the administrative roles could monitor the activity and status of the system.
FR 08.02	M	The reporting mechanism will contain an OLAP solution intended to configure generated dynamic and ad-hoc reports.
FR 08.03	M	<i>ISS Financial Control</i> should provide administrative roles with standard number of configurable reports and should be authorized to produce ad-hoc reports, when necessary.
FR 08.04	M	<p><i>ISS Financial Control</i> will provide a set of reports to process or extract data on CEC interaction with candidates during the election campaign:</p> <ul style="list-style-type: none"> <li>■ List of refunded donations as a result of exceeded thresholds established in accordance with the Electoral Code (Annex 2);</li> <li>■ List of donations of goods, objects, works or services during election campaign (Annex 3);</li> <li>■ Operative report on revenues of the candidate (Annex 4);</li> <li>■ Operative report on expenditures of the candidate (Annex 5);</li> <li>■ Information of cash flows in the account Electoral Fund (Annex 6).</li> <li>■ General report on revenues and expenditures during the election campaign of the candidate (Annex 1), which is automatically generated based on the reports of Annexes 4 and 5;</li> <li>■ Report on candidates who failed to submit the reports within the deadline stipulated by legislation and that contain general KPIs on collected revenues and covered expenditures;</li> <li>■ Report on candidates who submitted the reports within the legal deadline containing general KPIs on revenues and expenditures;</li> <li>■ Report on irregularities between submitted and real situation.</li> </ul>
FR 08.05	M	<p><i>ISS Financial Control</i> will provide a set of reports to process or extract data on CEC interaction with political parties outside election campaign:</p> <ul style="list-style-type: none"> <li>■ Monthly information on expenditures of the Party financed from the state budget subventions (Annex 7);</li> <li>■ Report on financial management (Annex 8);</li> <li>■ Summons of Central Electoral Commission (Annex 9);</li> <li>■ Contravention report (Annex 10);</li> <li>■ Registry of contravention reports drafted by CEC (Annex 11);</li> <li>■ Registry of party member contributions (Annex 12);</li> <li>■ Registry of donations from natural persons (Annex 13);</li> <li>■ Registry of donations from legal persons (Annex 14);</li> </ul>

Identifier	Mandatory	Description of functional requirements
		<ul style="list-style-type: none"> <li>■ Registry of donations in the form of free property, goods, services, and services (Annex 15);</li> <li>■ Report on automated verification of electronic reports drafted by candidates/political parties and submitted to CEC;</li> <li>■ Report on political parties that missed the deadline for report submission stipulated by legislation and that contain general KPIs on collected revenues and covered expenditures;</li> <li>■ Report on political parties that submitted the reports within the deadline stipulated by legislation and that contain general KPIs on collected revenues and covered expenditures;</li> <li>■ Report on irregularities registered in electronic report of political parties submitted to CEC.</li> </ul>
FR 08.06	M	The system will have a mechanism to define the set of reports and data available for each category of user, depending on roles and rights assigned.
FR 08.07	M	A user that views the report in the system should be able to export it into an external editable file.
FR 08.08	M	Implicitly, the reports can be extracted in PDF format.
FR 08.09	M	The developer will implement a total of 30 categories of reports requested by the beneficiary (including mentioned in FR 08.04 – FR 08.05).

#### 5.1.9. UC09: Use Dashboard

The functional requirements for the Dashboard of authenticated and authorized users of *ISS Financial Control* are described in Table 5.9.

**Table 5.9. Functional requirements for the use case UC09**

Identifier	Mandatory	Description of functional requirements
FR 09.01	M	<i>ISS Financial Control</i> will provide the authorized users with a Dashboard, which can be used to notify them about important business events and rapid access to their details.
FR 09.02	M	<p>The following categories of business events can be displayed in the Dashboard:</p> <ul style="list-style-type: none"> <li>■ system notifications;</li> <li>■ notification to involve the user in the work flows of the <i>ISS Financial Control</i> (including delay alerts);</li> <li>■ notification on templates or documents pending the approval of decision-makers (including delay alerts);</li> <li>■ notification on verification of received financial report submitted to CEC;</li> <li>■ notification on acceptance/rejections of templates submitted to CEC;</li> <li>■ other relevant events.</li> </ul>
FR 09.03	M	<b>The user's Dashboard in the <i>ISS Financial Control</i></b> will display only the business events relevant for the roles and data available to the user.
FR 09.04	M	<b>The user's Dashboard with the <i>Administrator</i> role</b> will display all business events related to <i>ISS Financial Control</i> functionality (totality of notifications

Identifier	Mandatory	Description of functional requirements
		displayed on the dashboard of all users of <i>ISS Financial Control</i> and the notifications dedicated exclusively to the <i>Administrator</i> ).
FR 09.05	M	The Dashboard will group the business events by displaying them as indicators with aggregated values (for instance, <i>unread system notifications - 20; working reports - 4; sent reports - 5; etc.</i> ) which will contain a hypertext reference to access the details.
FR 09.06	M	<i>ISS Financial Control</i> will display detailed records of the Dashboard in windows or specialized areas <b>on the main page of user's interface</b> , which will have a hypertext reference to access the details.
FR 09.07	M	When accessing the hypertext reference related to aggregated value or detailed registration of Dashboard, the <i>ISS Financial Control</i> will ensure the access to the detailed information related to those or requested functionality (for instance: <i>content of financial report, direct approval/rejection of forms sent for examination and approval, etc.</i> ).
FR 09.08	M	The Dashboard of the <i>ISS Financial Control</i> will contain a specialized area (favorite) where the user will place the references to the content information worked on. These can be: <ul style="list-style-type: none"> <li>■ political parties/candidates;</li> <li>■ generated electronic templates (drafted reports);</li> <li>■ examined electronic templates (ongoing examination of reports)</li> </ul>
FR 09.09	M	<i>ISS Financial Control</i> will provide each user with an individual configuration functionality of the aspect and content of the Dashboard.

#### 5.1.10. UC10: Approve forms

Functional requirements for decision-making role of the *CEC* when approving or rejecting electronic templates generated through *ISS Financial Control* are described in Table 5.10.

**Table 5.10. Functional requirements for the use case UC10**

Identifier	Mandatory	Description of functional requirements
FR 10.01	M	<i>ISS Financial Control</i> will provide the authorized actors ( <i>CEC Decision-maker</i> ) with a mechanism to approve or reject the electronic forms that need to be filled in by the authorized users of <i>CEC</i> .
FR 10.02	M	The approval or rejection consists in filling in a note, ticking the status ( <i>Approved or Rejected</i> ), its confirmation and application of digital signature of the user who approved/rejected the form ( <i>CEC Decision-maker</i> ).
FR 10.03	M	<i>ISS Financial Control</i> will implement the <i>MSign</i> platform to apply the digital signature to approved/rejected electronic template.
FR 10.04	M	If the electronic form is approved, the <i>ISS Financial Control</i> will notify all interested actors.
FR 10.05	M	If the electronic form is rejected, the work flow will return automatically to the previous phase (it will return the template to the user who submitted it for approval) and will notify all relevant actors.
FR 10.06	M	When a form is submitted for approval, it can be modified only by the decision-maker who has to approve it by applying repeatedly his/her electronic signature.
FR 10.07	M	<i>ISS Financial Control</i> will log all events for approval/rejection of electronic forms.

### 5.1.11. UC11: Generate statistics and system reports

Functional requirements to extract reports for information audit of *ISS Financial Control* are described in Table 5.11.

**Table 5.11. Functional requirements for the use case UC11**

Identifier	Mandatory	Description of functional requirements
FR 11.01	M	The system should provide a number of management, statistical and ad-hoc reports so the administrative roles could monitor the activity and system status.
FR 11.02	M	The reports managed through UC11 are intended to the information audit functions and will not include reports related to business activities on the financial control of political parties and candidates.
FR 11.03	M	This reporting is necessary for the entire system, including: <ul style="list-style-type: none"><li>■ Nomenclatures and classifying lists;</li><li>■ Database entries;</li><li>■ <b>User's activity</b>;</li><li>■ Access and security permissions.</li></ul>
FR 11.04	M	Reports will be generated based on the following logging events: <ul style="list-style-type: none"><li>■ Successful authentication of users;</li><li>■ Unsuccessful authentication of users;</li><li>■ Expedited notifications;</li><li>■ Actions on data (accessing, adding, amendment, suppression).</li></ul>
FR 11.05	M	System will permit aggregate extraction of reports or their detailing per concrete user political party/candidate, <i>CEC</i> subdivision or groups of users.
FR 11.06	M	A user who views the report in the system should be able to export it into an external editable file.
FR 11.07	M	The developer will implement up to 10 pre-established reports of information audit requested by <i>CEC</i> . The audit reports that can be generated by the system do not have to be implemented in the user interface of <i>ISS Financial Control</i> .
FR 11.08	M	The mechanisms provided by <i>SAISE Admin</i> will be used to extract system reports and statistics relevant to UC11.

### 5.1.12. UC12: Manage users, roles and rights

Functional requirements to manage the users and configure the access to user interface and content of database of *ISS Financial Control* are described in Table 5.12.

**Table 5.12. Functional requirements for the use case UC12**

Identifier	Mandatory	Description of functional requirements
FR 12.01	M	<i>ISS Financial Control</i> will reuse the mechanism for defining and managing the users, their roles and rights provided by <i>SAISE Admin</i> .
FR 12.02	M	Authentication of users will be made through the facilities provided by <i>SAISE Admin</i> and <i>MPass</i> using one of the following strategies: user name+password, IP address, electronic signature, mobile signature or <i>LDAP</i> .
FR 12.03	M	<i>ISS Financial Control</i> will take into account the <b>user's authentication</b> preference (electronic signature, mobile signature, user name+password, IP address or combinations of these).
FR 12.04	M	<b>Users'</b> authorization will be made through facilities provided by <i>SAISE Admin</i> .

Identifier	Mandatory	Description of functional requirements
FR 12.05	M	<i>ISS Financial Control</i> will include a category of users created by the developer, whose credentials are submitted at delivery for super administrator.
FR 12.06	M	<i>ISS Financial Control</i> will block/unblock the user's access.
FR 12.07	M	<p>The following categories of data can be managed within the users' profiles:</p> <ul style="list-style-type: none"> <li>■ User name;</li> <li>■ User surname;</li> <li>■ Contact Email address;</li> <li>■ Contact telephone number;</li> <li>■ Access login;</li> <li>■ Access password;</li> <li>■ Authentication strategy (user+password, electronic signature/mobile signature, LDAP etc.);</li> <li>■ Active/inactive account;</li> <li>■ Validity period of access;</li> <li>■ User's roles;</li> <li>■ Other relative data.</li> </ul>
FR 12.08	M	<i>ISS Financial Control</i> will take into account the configurations of the users in <i>SAISE Admin</i> regarding the access rights to data depending on the categories or types of electronic templates or generated and accessed data.
FR 12.09	M	<b>A user's account can be physically suppressed only</b> when there are no logged events produced or data introduced by the suppressed user.
FR 12.10	M	<i>ISS Financial Control</i> will take into account the configurations of the users in <i>SAISE Admin</i> to ensure the access to the user interface and information content of IT system for each user in part or group of users.
FR 12.11	M	The IT system will allow the configuration of an unlimited number of roles through the facilities provided by <i>SAISE Admin</i> .
FR 12.12	M	A role is defined through generic name, brief description and status of active/inactive. Inactive roles cannot be displayed when configuring the <b>access rights to application resources or users' rights</b> .
FR 12.13	M	Once introduced, activated and configured in <i>SAISE Admin</i> , the <i>ISS Financial Control</i> will take into account all configurations in interacting with authorized users.
FR 12.14	M	A role cannot be suppressed, if it is attached to at least one user or component of the user interface of <i>ISS Financial Control</i> .
FR 12.15	M	<p><i>ISS Financial Control</i> will reuse the mechanism of registering the components of user interface (resources) provided by <i>SAISE Admin</i> to define user access rights to user interface.</p> <p>A component is any modular entity of the application (template, menu, menu option, field, etc.), which level of details is enough to configure the access rights, workflow transactions and accessions accessible to users.</p>
FR 12.16	M	Any component of user interface of <i>ISS Financial Control</i> will contain data on generic name, brief description, actions available to users (business events that can be generated), and roles with access to user interface or action.
FR 12.17	M	Any component of user interface <i>ISS Financial Control</i> registered in <i>SAISE Admin</i> will contain data on statuses of inserted data managed by the component, transitions to cover the statutes of the component (configuration of work flows).
FR 12.18	M	<i>ISS Financial Control</i> will be able to define through <i>SAISE Admin</i> the action-related permissions (business events) available to the users with access to

Identifier	Mandatory	Description of functional requirements
		<p>components of user interface. The following categories of actions available to a user will be configured:</p> <ul style="list-style-type: none"> <li>■ view records;</li> <li>■ add records;</li> <li>■ amend records;</li> <li>■ suppress records;</li> <li>■ other relevant actions.</li> </ul>
FR 12.19	M	The IT system will permit the configuration of logging strategy for business events generated by each component of the user interface (use of logging mechanism <i>SAISE Admin</i> , <i>MLog</i> or both simultaneously).

### 5.1.13. UC13: Manage flows, forms and templates

Functional requirements for workflow configuration, electronic templates to insert data and document templates that are populated with data and are generated by *ISS Financial Control* are described in Table 5.13.

**Table 5.13. Functional requirements for the use case UC13**

Identifier	Mandatory	Description of functional requirements
FR 13.01	M	<i>ISS Financial Control</i> will use the resource management mechanism provided by <i>SAISE Admin</i> to configure workflows and to define the rules for their processing for all scenarios related to drafting and processing of electronic financial report templates of political parties/candidates.
FR 13.02	M	Work flows will be defined by specifying the status of the electronic template and processing phases (evolution or transition phases of the work flows) carried out by the users with specific roles).
FR 13.03	M	A work flow will be implemented as a set of activities for an electronic template generated by the business processes, which take place sequentially.
FR 13.04	M	Number of steps to be included in a flow should be limited so the IT solution can be adapted to the amendments of work methodology and documents processed during the financial audit of the political parties/candidates.
FR 13.05	M	A work flow should be associated to a coordinator (supervisor). The coordinator should be able to receive warning messages (notifications) generated by the respective flow. The user who begins to process a template in a workflow should be able to specify the supervisor of the flow.
FR 13.06	M	<i>ISS Financial Control</i> will provide a mechanism to configure the electronic forms necessary to generate documents related to financial audit of the activity of the political parties/candidates (their statuses and transitions) and their versioning.
FR 13.07	M	<i>ISS Financial Control</i> will provide a configuration mechanism for document templates (and reports) related to general acts based on drafted electronic templates (the templates will have a well-defined structure that will permit the modification of the aspects and contents of extracted document).
FR 13.08	M	<p>The developer will configure and implement electronic forms and templates to generate all document specific to financial control during election campaign:</p> <ul style="list-style-type: none"> <li>■ General report on revenues and expenditures during the election campaign (Annex 1);</li> <li>■ List of refunded donations as a result of exceeding the thresholds established in accordance with the Electoral Code (Annex 2);</li> </ul>

Identifier	Mandatory	Description of functional requirements
		<ul style="list-style-type: none"> <li>■ List of donations of goods, objects, works or services during electoral period (Annex 3);</li> <li>■ Operative report on revenues of the candidate (Annex 4);</li> <li>■ Operative report on expenditures of the candidate (Annex 5);</li> <li>■ Information of cash flows in the account Electoral Fund (Annex 6).</li> </ul>
FR 13.09	M	<p>The developer will configure and implement electronic forms and will generate all documents necessary for financial audit between election periods:</p> <ul style="list-style-type: none"> <li>■ Monthly information on expenditures of the Party from the state budget subventions (Annex 7);</li> <li>■ Report on financial management (Annex 8);</li> <li>■ Summons of Central Electoral Commission (Annex 9);</li> <li>■ Contravention report (Annex 10);</li> <li>■ Registry of contravention reports drafted by CEC (Annex 11);</li> <li>■ Registry of party member contributions (Annex 12);</li> <li>■ Registry of donations from natural persons (Annex 13);</li> <li>■ Registry of donations from legal persons (Annex 14);</li> <li>■ Registry of donations in the form of free property, goods, services, and services (Annex 15).</li> </ul>

#### 5.1.14. UC14. Manage metadata

Functional requirements to manage the metadata of the *ISS Financial Control* are described in Table 5.14.

**Table 5.14. Functional requirements for the use case UC14**

Identifier	Mandatory	Description of functional requirements
FR 14.01	M	<i>ISS Financial Control</i> will provide a mechanism for the management of nomenclatures, classifying lists that contain metadata to configure the system and to manage the business processes of the financial audit.
FR 14.02	M	The classifying lists managed by the <i>National Bureau of Statistics (CAEM Rev.2, CUATM, CFOJ, CFP, etc.)</i> will be integrally taken over, and if necessary, other official classifying lists managed by the <i>CPAs and LPAs</i> of the Republic of Moldova.
FR 14.03	M	The rights to make amendments will be limited for official classifying lists. The amendments will be made for this category of classifying lists only when these are operated by the responsible LPAs.
FR 14.04	M	The IT solution will provide a mechanism to define and dynamically manage the internal metadata and nomenclatures.
FR 14.05	M	<i>ISS Financial Control</i> will not allow the suppression of any category of metadata, if it is used at least in one database record.
FR 14.06	M	<p><i>ISS Financial Control</i> will be able to reuse the metadata system managed by <i>SAISE Admin</i> that includes:</p> <ul style="list-style-type: none"> <li>■ System configuration of <i>ISS Financial Control</i>;</li> <li>■ Parameters and constants necessary for <i>ISS Financial Control</i> functionality;</li> <li>■ Configuration of external services accessed by <i>ISS Financial Control</i>;</li> </ul>

Identifier	Mandatory	Description of functional requirements
		<ul style="list-style-type: none"> <li>■ Nomenclatures and official classifying lists of the Republic of Moldova (<i>CUATM, CFP, CFOJ, CAEM</i> etc.);</li> <li>■ Nomenclatures and classifying lists of the <i>Function Block 'Candidates'</i>;</li> <li>■ Nomenclatures and classifying lists of the <i>RSA</i>;</li> <li>■ Other categories of global metadata reused by SAISE applications.</li> </ul>

#### 5.1.15. CU15: Other management activities

The functional requirements regarding management activities of the *ISS Financial Control* are described in Table 5.15.

**Table 5.15. Functional requirements for the use case UC15**

Identifier	Mandatory	Description of functional requirements
FR 15.01	M	The system should allow the administrative roles to takeover, display and reconfigure the functioning parameters of <i>ISS Financial Control</i> and the totality of system settings.
FR 15.02	M	The system should allow dynamic administration of all nomenclatures and classifying lists and other entities related to metadata system.
FR 15.03	M	<i>ISS Financial Control</i> will allow the <i>Administrator</i> to configure the access to WEB services provided by external IT systems that interact with <i>ISS Financial Control</i> .
FR 15.04	M	<i>The Administrator</i> will manage preponderantly <i>the ISS Financial Control</i> through the mechanisms provided by <i>SAISE Admin</i> .
FR 15.05	M	<i>Administrator</i> will access and analyze system logs of <i>ISS Financial Control</i> , including through mechanisms provided by <i>SAISE Admin</i> .
FR 15.06	M	<i>Administrator</i> will monitor the functionality of <i>ISS Financial Control</i> , including thought mechanisms supplied by <i>SAISE Admin</i> .
FR 15.07	M	<i>Administrator</i> will be able to generate backup copies of <i>ISS Financial Control</i> and re-establish the functionality of the system based on these copies.
FR 15.08	M	The IT system will provide the <i>Administrator of the ISS Financial Control</i> with all functionalities necessary for good functioning of IT solution.

#### 5.1.16. UC16: Sync data

Functional requirements of data synchronization procedure of *ISS Financial Control* with the data of external IT solutions are described in Table 5.16.

**Table 5.16. Functional requirements for the use case UC16**

Identifier	Mandatory	Description of functional requirements
FR 16.01	M	<i>ISS Financial Control</i> will consume and expose interaction services with external systems of the LPAs and state institutions of the Republic of Moldova, such as IT systems of <i>CEC</i> .
FR 16.02	D	<i>ISS Financial Control</i> will carry out synchronization actions with the <i>Registry of Representation</i> to verify the proxies of the users at the moment of authentication in the system and automatic assignment of rights and roles.

Identifier	Mandatory	Description of functional requirements
FR 16.03	M	<i>ISS Financial Control</i> will be synchronized with <i>RSA</i> to verify and extract registration data of physical persons reflected as financiers of political parties/candidates in the financial reports submitted to <i>CEC</i> .
FR 16.04	M	<i>ISS Financial Control</i> will be synchronized with <i>SRLE</i> to verify and extract the registration data of legal persons reflected as financiers of the political parties/candidates in the financial reports submitted to <i>CEC</i> .
FR 16.05	M	<i>ISS Financial Control</i> will be synchronized with IT systems of banks to extract data on account transactions of the political parties/candidates.
FR 16.06	M	<i>ISS Financial Control</i> will be synchronized with the <i>CEC Accounting IS</i> for mutual exchange of data on financing provided to parties from the national public budget and reports on revenues and expenditures.
FR 16.07	M	<i>ISS Financial Control</i> will be synchronized with IT systems of political actors to take over the automation of financial reports generated through IT system facilities of the political actors.
FR 16.08	M	<i>ISS Financial Control</i> will be synchronized with <i>Fiscal Registry</i> to verify the declared revenues of natural persons – financiers of the political parties/candidates.
FR 16.09	M	<i>ISS Financial Control</i> will be synchronized with <i>AIS SRPP</i> to verify whether the natural persons-financiers of candidates and political parties have procurement contracts with public authorities of the Republic of Moldova.
FR 16.10	M	<i>ISS Financial Control</i> will be synchronized with <i>Open Data Portal</i> ( <a href="http://date.gov.md">http://date.gov.md</a> ) to automatically publish public data produced within business processes of <i>ISS Financial Control</i> in accordance with the provisions of Government Decision No. 700 of 25.08.2014 and Government Decision No. 701 of 25.08.2014.
FR 16.11	M	<i>ISS Financial Control</i> will be synchronized with the official WEB page of the <i>CEC</i> to provide public information processed within business financial control processes.
FR 16.12	M	All synchronization events and especially, access of personal data through procedures described by functional requirements FR 21.02 - FR 21.06 must be logged.

#### 5.1.17. UC17: Process the content of the report

Functional requirements to verify the correctness and veracity of financial reports submitted by political parties or candidates to *CEC* are described in Table 5.17.

**Table 5.17. Functional requirements for the use case UC17**

Identifier	Mandatory	Description of functional requirements
FR 17.01	M	<i>ISS Financial Control</i> will provide a mechanism to verify the correctness of the content of financial reports submitted to <i>CEC</i> by political parties/candidates (obligation to fill in the fields, correct type of data inserted in the fields, correct value of inserted data in the admissible value field, correct sub-totals and totals, etc.).
FR 17.02	M	<i>ISS Financial Control</i> will verify the eligibility of natural persons mentioned in the report to finance the politic party/candidate (citizen of the Republic of Moldova, alive person, and existence of the person in the <i>RSA</i> etc.) and to compare them with the <i>RSA data</i> .

Identifier	Mandatory	Description of functional requirements
FR 17.03	M	<i>ISS Financial Control</i> will verify the eligibility of legal person mentioned in the report to finance the political party/candidate by verifying the data contained in <i>SRLE</i> and <i>AIS SRPP</i> .
FR 17.04	M	<i>ISS Financial Control</i> will compare the date of financial reports submitted by political parties/candidates with the data synced with banks and IT Accounting System of <i>CEC</i> (account transactions, payments made to political parties by <i>CEC</i> etc.) and if any big discrepancies are discovered, will notify the authorized users of <i>CEC</i> .
FR 17.05	M	<i>ISS Financial Control</i> will verify if the total annual volume of funds provided to political parties/candidates by natural or legal persons exceeded maximum legal value.
FR 17.06	M	<i>ISS Financial Control</i> will verify if a natural person paid membership contributions to more than one party in the reporting period.
FR 17.07	M	<i>ISS Financial Control</i> will verify in the <i>Fiscal Registry</i> if the declared revenues of natural persons – financiers of political parties/candidates exceeded the legal volume of funds and will notify the relevant users of <i>CEC</i> about any discrepancies.
FR 17.08	M	<i>ISS Financial Control</i> will verify if the annual global volume of revenues of a political party/candidate exceeded the maximum volume admitted by the national legislation.
FR 17.09	M	<i>ISS Financial Control</i> will carry out risk analysis based on the content of the report submitted by the candidate/political party, in accordance with the methodology provided by <i>CEC</i> .
FR 17.10	M	<i>ISS Financial Control</i> will generate an outcome report on the verification of the financial report that will reflect explicitly the totality of deficiencies, non-conformities and risks discovered.
FR 17.11	M	<i>ISS Financial Control</i> will log all events of automated verification of financial content of reports and the result of these verifications.

#### 5.1.18. UC18: Send notifications

Functional requirements to notify the users of *ISS Financial Control* are described in Table 5.18.

**Table 5.18. Functional requirements for the use case UC18**

Identifier	Mandatory	Description of functional requirements
FR 18.01	M	The notification of users of <i>ISS Financial Control</i> will be made through the WEB platform service of the interoperability framework of the <i>CEC</i> provided by <i>SAISE Admin</i> .
FR 18.02	M	As a user (configuration data of his/her profile), the notification WEB service will apply one of three notification strategies: <ul style="list-style-type: none"> <li>■ e-mail notification;</li> <li>■ notification on <b>user's</b> Dashboard;</li> <li>■ both categories.</li> </ul>
FR 18.03	M	Based on the configuration of resources of <i>ISS Financial Control</i> in <i>SAISE Admin</i> , the notification WEB service will send a notification about a transaction within the IT resource to all relevant users.
FR 18.04	M	Notification will contain a reference to accessed resource/relevant template, generated by the <b>business events</b> (valid for stored notifications in <b>user's</b> dashboard).

Identifier	Mandatory	Description of functional requirements
FR 18.05	D	<i>ISS Financial Control</i> will notify the <i>Administrator</i> about any issues that affect the performance and availability of IT system.
FR 18.06	D	<i>ISS Financial Control</i> will notify alternatively the users through <i>MNotify</i> government platform.

### 5.1.19. UC19: Log events

Functional requirements to log business events during the exploitation of *ISS Financial Control* are described in Table 5.19.

**Table 5.19. Functional requirements for the use case UC19**

Identifier	Mandatory	Description of functional requirements
FR 19.01	M	Logging business events produced during the exploitation of <i>ISS Financial Control</i> will be carried out through WEB platform service of the interoperability framework of <i>CEC</i> provided by <i>SAISE Admin</i> .
FR 19.02	M	The following categories of events will be logged: <ul style="list-style-type: none"> <li>■ User authentication;</li> <li>■ User disconnection;</li> <li>■ Adding/amending/suppressing/accessing the record;</li> <li>■ Specific business events of <i>ISS Financial Control</i> (approval/rejection of contravention templates, sent notifications to submit financial reports, access to personal data etc.);</li> <li>■ generate/access report;</li> <li>■ interrogations on database;</li> <li>■ other specific business events.</li> </ul>
FR 19.03	M	Logged event will save the following data categories (depending on the nature of logged event): <ul style="list-style-type: none"> <li>■ <i>ISS Financial Control</i> in <i>SAISE Admin</i> Identification number;</li> <li>■ User ID who generated the event;</li> <li>■ Category of logged event;</li> <li>■ Timestamp of logging the event;</li> <li>■ <i>ISS Financial Control</i> resource that generated the business event;</li> <li>■ Record affected by the business;</li> <li>■ Action of the user.</li> </ul>
FR 19.04	M	<i>ISS Financial Control</i> will log exhaustively all produced business events.
FR 19.05	M	<i>ISS Financial Control</i> will log alternatively, in parallel, through <i>MLog</i> , critical business events for which a logging strategy was configured in the IT sub-system resources.

## 5.2. Non-functional requirements of the IT sub-system

### 5.2.1. General and performance-related requirements

General system and performance-related requirements are defined by the policies and strategies adopted in the Republic of Moldova. It is important to mention that these acts are based on good practices in the industry and include many organizational and technical measures. General system requirements of the *ISS Financial Control* are described in Table 5.20.

**Table 5.20. General system requirements for ISS Financial Control**

Identifier	Mandatory	Description of requirements
TGEN 001	M	All user interfaces and the content of the database will be in Romanian language with Romanian diacritics.
TGEN 002	M	The elements of user interface must meet Level A requirements of <i>Web Content Accessibility Guidelines (WCAG) 2.0</i> .
TGEN 003	M	User interface has to be optimized at 1360x768 resolution by avoiding the appearance of scroll bars for the user interfaces presented by the information solution.
TGEN 004	M	<i>ISS Financial Control</i> will have the possibility to adapt the user interface (will deliver a responsive interface) depending on its used device ( <i>notebook, netbook, calculator desktop, smartphone, tablet, etc.</i> )
TGEN 005	M	<i>ISS Financial Control</i> will ensure the compatibility with <i>W3C XForms standard</i> .
TGEN 006	M	IT sub-system will be optimized in the minimum data transfer between the client and server computer, focusing on avoiding, as much as possible, useless requests, implementation of AJAX with JSON, minimum requests of server resources necessary for the authentication, authorization and logging procedures.
TGEN 007	M	<i>ISS Financial Control</i> will be based on at least 3 level service-based architecture (with distinctive level for data) (SOA).
TGEN 008	M	Potential variable information of <i>ISS Financial Control</i> (parameters, methods to store data, connection to external services, etc.) will be configured and will not require the recompilation of solution or direct intervention into the database.
TGEN 009	M	The IT system will use open standards for formatting and communication protocols.
TGEN 010	M	Services provided to the public by the <i>ISS Financial Control</i> will be technologically neutral (operation system, Internet explorer, etc.).

Specific performance requirements for *ISS Financial Control* are described in Table 5.21.

**Table 5.21. Performance requirements for the IT system**

Identifier	Mandatory	Description of performance requirements
PERF 001	M	Average response time of the server shall not exceed 3 seconds at the nominal load of the system.
PERF 002	M	The system has to be able to carry out authentication/authorization actions of more than 200 users in 10 minutes.
PERF 003	M	The system will allow competitive activation of at least 150 users and simultaneous service of at least 100 requests.
PERF 004	M	Prior to delivery of information solution, all performance tests of <i>ISS Financial Control</i> should be carried out.
PERF 005	M	Performance testing will include at least two components: <i>system load testing and stress testing</i> .

### 5.2.2. Security and protection requirements

The system has to meet technical requirements of IT systems imposed by the Standard of the Republic of Moldova SM ISO/CEI 27002:2014 – Information technology - Security techniques - Code of practice for information security controls.

The IT solution will observe all security and protection requirements described in Table 5.22.

**Table 5.22. Security and protection requirements for ISS Financial Control**

Identifier	Mandatory	Description of security and protection requirements
SR 001	M	The IT system guaranteed full storage and the integrity of content of <i>ISS Financial Control</i> database.
SR 002	M	Access to functions provided to unauthorized users has to be verified by protective means against the overload of one or several network nodes.
SR 003	M	All fields in the forms filled in by users should be validated compulsorily by type of client and by server.
SR 004	M	The system should be secured against <i>OWASP Top 10 vulnerabilities</i> .
SR 005	M	The system will ensure data confidentiality when sent-received through communication channels.
SR 006	M	Access to IT system should be controlled.
SR 007	M	Access to functions provided to internal users should be done by authenticated them using login+password, <i>Active Directory</i> or digital or mobile signature.
SR 008	M	The actions of the users are registered in electronic logs.
SR 009	M	The system should signal periodically about its functional status.

### 5.2.3. Software, hardware and communications requirements

Table 5.23 describe all software, hardware and communication technology requirements of *ISS Financial Control*.

**Table 5.23. Software, hardware and communications requirements of ISS Financial Control**

Identifier	Mandatory	Description of software, hardware and communications requirements
SHC 001	M	The IT solution will be developed based on the following platform constraints: <ul style="list-style-type: none"><li>■ Windows Server 2012 R2;</li><li>■ IIS 8;</li><li>■ .NET 4.5,</li><li>■ MS SQL Server 2008 Enterprise R2.</li></ul>
SHC 002	M	The system should be installed on dedicated servers and virtual machines.
SHC 003	M	It is necessary to prove the virtual capacity by providing the beneficiary with an image of downloadable system that becomes functional with minimum configurations on one of the existing virtual solution on the market.
SHC 004	M	System may be accessed through communications channels at minimum 128kbps.
SHC 005	M	The IT system development will include the technologies used to develop existing <i>SAISE</i> and <i>RSA components</i> .
SHC 006	M	System should be virtualized at software-hardware level.

Identifier	Mandatory	Description of software, hardware and communications requirements
SHC 007	M	System will be tolerant to errors by providing support for clustering and fail over for the entire platform and its components.
SHC 008	M	It is necessary that the parts of the service exposed to the public are technological neutral.
SHC 009	M	Verification will be done through a set of (modern) platforms and by waiting for performance parameters to be similar or better than the reference configuration.
SHC 010	M	Generic programme product recommended for operation and interaction with <i>ISS Financial Control</i> represents WEB explorer.
SHC 011	M	The system will be compatible with at least 2 most recent versions of the next Web explorers: <i>MS Internet Explorer/MS Edge, Mozilla Firefox, Google Chrome, Safari and Opera</i> .
SHC 012	M	The compatibility with WEB explorer <i>MS Internet Explorer/MS Edge</i> is mandatory.
SHC 013	D	<i>ISS Financial Control</i> will insert a Heart-beat service that will communicate <b>periodically the normal state of system's functionality</b> .
SHC 014	M	The system will include configurable means of technical logging.
SHC 015	M	The system should be able to produce at least the following technical logging levels: <i>info, warning, critic, error</i> .
SHC 016	M	The developer will list the means that could be used for technical failure of the system.
SHC 017	M	The developer will prepare means that facilitate the administrative functions of the system: <ul style="list-style-type: none"> <li>■ Status of system components;</li> <li>■ Stop system components;</li> <li>■ Restart system components;</li> <li>■ Create a backup copy of database;</li> <li>■ Restore the data form the backup,</li> <li>■ Refresh the operational memory of the system.</li> </ul>
SHC 018	M	The system will operate in TCP/IP and especially, HTTPS networks.
SHC 019	M	The developer will suggest other network and utility services necessary for system functionality.

#### 5.2.4. Aspects related to information technology and initiatives in the field

The requirements related to information technologies used and initiatives in the field in force in the Republic of Moldova are described in Table 5.24.

**Table 5.24. Requirements related to IT aspects and initiatives in the field**

Identifier	Mandatory	Description of accepted initiative
INI 001.	M	<i>ISS Financial Control</i> will use the <i>MPass</i> service as authentication service intended to authenticate through electronic or mobile signature and authentication service of the interoperability framework of <i>CEC</i> delivered by <i>SAISE Admin</i> .
INI 002.	M	<i>ISS Financial Control</i> will use the interoperability framework of <i>CEC</i> delivered by <i>SAISE Admin</i> as an authorization mechanism.

Identifier	Mandatory	Description of accepted initiative
INI 003.	M	<i>ISS Financial Control</i> will use the <i>MSign</i> platform as application and validation of digital signature.
INI 004.	M	<i>ISS Financial Control</i> will use the interoperability platform <i>MConnect</i> as an interaction mechanism of the IT systems of other authorities of the Republic of Moldova.
INI 005.	M	<i>ISS Financial Control</i> will use the <i>MLog</i> as logging mechanism of business events and logging service of the interoperability framework of <i>CEC</i> delivered by <i>SAISE Admin</i> .
INI 006.	M	<i>ISS Financial Control</i> will use <i>MNotify</i> service as external notification mechanism and the notification service of the interoperability framework of <i>CEC</i> delivered by <i>SAISE Admin</i> .
INI 007.	D	<i>ISS Financial Control</i> will verify the authorizations of persons who authenticate themselves in the <i>Registry of Representations Proxies</i> .
INI 008.	M	<i>ISS Financial Control</i> will use the <i>Open Data Portal</i> as mechanism for publishing public data.

### 5.2.5. Documentation requirements of IT system

The information solution will be accompanied by a set of IT system documentation that includes the sections included in Table 5.25.

**Table 5.25. Documentation requirements of ISS Financial Control**

Identifier	Mandatory	Description of documentation requirements of ISS Financial Control
DOC 001	M	The developer will prepare and publish interactive guidelines included in user interface of <i>ISS Financial Control</i> .
DOC 002	M	The developer will prepare and deliver the technical draft of IT system (SRS+SDD).
DOC 003	M	<b>The developer will prepare and deliver the User' Manual in Romanian language.</b>
DOC 004	M	The developer will prepare <b>and deliver the Administrator's Manual in Romanian language.</b>
DOC 005	M	The developer will prepare test scenarios of the ISS Financial Control intended for pre- and final acceptance.
DOC 006	M	The developer will prepare and deliver System Installation and Configuration Guide (that will include coding instructions, application installation, hardware and software requirements, platform description and configuration, and disaster recovery procedures).
DOC 007	M	The developer will prepare and deliver system architecture documentation by describing the models in UML language that would include a detailed level of architecture in more sections (including logical and physical model of data).
DOC 008	M	The developer will prepare and deliver the documentation on APIs used to be integrated with other IT systems.
DOC 009	M	The developer will deliver all electronic means necessary to describe and validate the interfaces in WSDL language.
DOC 010	M	The developer will deliver the source code for the applications and component developed within the project.

### 5.2.6. Maintenance requirements of the IT system

The developer will ensure post-delivery technical support and warranty regarding the sections included in Table 5.26.

**Table 5.26. Warranty and technical support requirements for ISS Financial Control**

Identifier	Mandatory	Description of warrantee and technical support requirements
GMS 001	M	The developer will provide warranty and technical support for 12 months after the acceptance of IT system.
GMS 002	M	The warrantee and technical support will meet the national standard <i>SM ISO/CEI 14764:2015 - Software Engineering - Software Life Cycle Processes - Maintenance</i> .
GMS 003	M	The beneficiary will be able to signal technical issues that are discovered through ticketing, Email or instant messaging.
GMS 004	M	The developer will ensure documentation support of technical issues and their traceability for the Beneficiary.
GMS 005	M	The response to and elimination timeline of technical issues reported should not exceed 8 working hours from their signaling.
GMS 006	M	In case of major issues, the resolving time should not exceed 72 hours.
GMS 007	M	The developer will prove the capacity to ensure post-delivery technical support in accordance with GMS 001-GMS 006 requirements.
GMS 008	M	When signing the final acceptance documents, the developer of the <i>ISS Financial Control</i> will conclude a SLA agreement with CEC which will specify in details the mechanism of warrantee provision, technical support and maintenance of <i>ISS Financial Control</i> for a 12-month period.

## 6. Final product and delivered components

The final product (ISS Financial Control) will include software deliverables and system documentation, as well knowledge transfer to system owner and administrator. The *ISS Financial Control* deliverables are described in Table 6.1.

**Table 6.1. Deliverables of ISS Financial Control**

Identifier	Mandatory	Brief description of the artifact
DELIV 001	M	Complete source code of solution necessary to compile the programme delivered.
DELIV 002	M	Final product packed for easy installation in the technological environment delivered.
DELIV 003	M	Technical project (SRS+SDD).
DELIV 004	M	Document on configuration and system development (deployment).
DELIV 005	M	<b>User's Manual.</b>
DELIV 006	M	<b>Administrator's Manual</b> (including the contingency plan).
DELIV 007	M	Training documentation (for training of CEC staff in using IT system).
DELIV 008	M	Pre-acceptance and final acceptance test scenarios.
DELIV 009	M	Technical specifications for published and consumed interfaces.
DELIV 010	M	SLA agreement of post-implementation warrantee, maintenance and technical support.
DELIV 011	M	All deliverables will be copied electronically (CD-R or DVD+-R).

Additionally to deliverables of *ISS Financial Control*, all services related to knowledge transfer as indicated in Table 6.2. will be provided.

**Table 6.2. Knowledge transfer services related to deliverables**

Identifier	Mandatory	Short description of deliverables
DELIV 012	M	Training of users and administrators (2 system users as <i>Administrators</i> , 6 system users as <i>FED User</i> and 90 Political Users).
DELIV 013	M	Assistance in pilot testing of the system.
DELIV 014	M	Assistance in testing and accepting the system.
DELIV 015	M	Assistance in putting the system into production.
DELIV 016	M	Solving the problems identified during testing and acceptance.
DELIV 017	M	Post-implementation technical support to eliminate errors and (after launching the system) for 12 month period including corrective, adapting and preventing maintenance, in accordance with SM ISO/CEI 14764:2015.

## 7. Implementation phases of the IT system

Designing, developing, testing and implementation of *ISS Financial Control* should be carried out in accordance with the following schedule:

1. Development phase of IT system – will be divided into phases coordinated with the CEC, as follows:

- a. The Developer will read the Terms of References, scope of work and based on the approval of direct Beneficiary (CEC) will propose a development vision for the IT system based on a technical project consisting of 2 documents: SRS and SDD (1 month);
- b. The Developer will write the programme code and will integrate the developed modules into a prototype version of IT system (first demo presentation with all required functionalities in accordance with the terms of reference and technical specifications), which will be improved prior to final acceptance of the IT sub-system. This phase should not exceed 5 months;
- c. The developer will lab test the system (internal testing) and will prepare the accompanying **document flow (system's functionalities should be corrected and** adjusted to the comments made at the previous sub-phase, the set of technical documentation will be submitted, etc.). This phase will last 2 weeks. The testing will include mandatorily the following phases:
  - o The system is tested under *stress and load* to verify the level of conformity with CEC's expectations;
  - o Based on *load and stress testing* results, the Developer, if necessary, will introduce all requested adjustments and amendment preparing an improved version of the information product.
  - o The improved version of the system will be tested again for *stress and load* to verify the level of conformity with CEC's expectations. **If necessary, direct improvements** will be made until all issues are eliminated.
2. System implementation phase will start once the report on acceptance by the beneficiary of the IT system is approved in the testing version and the delivery and acceptance act for experimental exploitation is signed. The implementation phase will last maximum 2 months.
3. Training phase will start at the same time with the implementation of the IT system and will include the training of 2 users as *Administrators*, 6 users as *FED Users* and 90 *Political Users*.
4. The commissioning of the system will start with signing the act on acceptance of the IT system and beginning of its application.
5. Maintenance phase of the ISS Financial Control is the period when System Developer assumes the obligation toward the owner to assist him/her in maintaining the capacity of the IT system to provide services, as well as amending the IT product, by keeping its integrity. This phase can last in accordance with contract agreements. In the case of *ISS Financial Control*, we consider that an initial period of 12 months will be sufficient.

## 8. Management Arrangement

The contractor will work under the guidance of Department of Information Technology and Management of Electoral Lists, Central Electoral Commission of the RM and in close cooperation with UNDP EDMITE Project for both substantive and administrative aspects of the assignment and under the direct supervision of the Electoral Specialist, EDMITE Project, Senior Project Officer and UNDP IT consultants.

All deliverables shall be coordinated with the Beneficiary and accepted by UNDP EDMITE Project Electoral Specialist and Project Manager if these meet the requirements of the Terms of Reference.

### *Language*

All discussions with the beneficiaries of the project will be conducted in Romanian. All the relevant documentation, information solution interface and training and technical support will be conducted in Romanian. All staff involved in the project that will interact directly with the beneficiary must perfectly speak Romanian.

Taking into account the existing technological restrictions, the activities 1-5 may be implemented gradually over the following calendar period:

- Activity 1. IT System development stage 6.5 months (March – September 2018)
- Activity 2. System Implementation Stage 1.5 month (September – November 2018)
- Activity 3. Training stage 0.5 month (November 2018)
- Activity 4. Commissioning of the System (December 2018)

- Activity 5. SAISE Admin warranty period (December 2018 – December 2019).

## 9. Eligibility

Successful bidder must meet the following minimum qualification requirements for the company:

- Minimum 5 years of working experience in developing IT systems;
- Minimum 2 IT projects of similar complexity implemented and their brief description;
- Certification in ISO 27001;
- Company must have permanent branches/consortium with a local company (Consortium agreement)/local subcontractor (Collaboration Agreement) in the Republic of Moldova (in case the bidder is a foreign company)

Failure to comply with the above-mentioned minimum requirements may constitute a reason for disqualification

Criteria for the evaluation of the corporate competencies:

- The experience in the development of IT applications for electoral processes would be an advantage.

The bidder shall submit the technical bid with clear CVs (based on the template indicated in the present RfP) of the project staff and the qualifications of each staff proposed. Explicitly persons holding the following key positions shall be presented:

- 1 Project Manager/ Team Leader, in case the bidder is a foreign company, this specialist must be local;
- 1 Senior Developer/ Business Analyst
- 1 Developer;
- 1 Tester;

The UNDP Moldova is committed to workforce diversity. Women, persons with disabilities, Roma and other ethnic or religious minorities, persons living with HIV, as well as refugees and other non-citizens legally entitled to work in the Republic of Moldova, are particularly encouraged to apply.

Annex 1. General report on revenues and expenditures of the candidate during the election campaign

Anexa nr. 3  
la Hotărârea nr. 3352 din 4 mai 2015

la data de \_\_\_\_\_

Raportul privind veniturile și cheltuielile din campania electorală

Compartiment I. Date generale.

Concurent electoral \_\_\_\_\_  
Data înregistrării ca concurent electoral \_\_\_\_\_  
Date bancare ale contului "Fond electoral": \_\_\_\_\_  
Data deschiderii \_\_\_\_\_  
cont bancar nr. \_\_\_\_\_  
valuta \_\_\_\_\_  
denumirea băncii \_\_\_\_\_  
codul băncii \_\_\_\_\_

L.Ș. CEC

Compartiment II. Rulajul mijloacelor bănești

Nr.crt.	Articol	Perioada de raportare				Total
		data Sept. 1 - 2	data Sept. 3 - 4	data Sept. 5 - 6	data Sept. 7 - 8	
1	Soldul mijloacelor bănești la începutul perioadei	0,00	0,00	0,00	0,00	0,00
2	Venituri în campania electorală - total (2.1+2.2+2.3), inclusiv:	0,00	0,00	0,00	0,00	0,00
2.1	Mijloace bănești primite din donațiile persoanelor fizice	0,00	0,00	0,00	0,00	0,00
2.2	Mijloace bănești primite din donațiile persoanelor juridice	0,00	0,00	0,00	0,00	0,00
2.3	Alte mijloace bănești primite	0,00	0,00	0,00	0,00	0,00
3	Cheltuieli în campania electorală - total (3.1+3.2+3.3+3.4+3.5+3.6+3.7+3.8+3.9), inclusiv pentru:	0,00	0,00	0,00	0,00	0,00
3.1	Costul intrunirilor și evenimentelor electorale - total (3.1.1+...+3.1.8), inclusiv:	0,00	0,00	0,00	0,00	0,00
3.1.1	chirie, inclusiv cheltuielile aferente (energie electrică, salubritate)	0,00	0,00	0,00	0,00	0,00
3.1.2	scenă	0,00	0,00	0,00	0,00	0,00
3.1.3	prestații scenice (inclusiv onorariile)	0,00	0,00	0,00	0,00	0,00
3.1.4	sonorizare	0,00	0,00	0,00	0,00	0,00
3.1.5	standuri, afișe etc.	0,00	0,00	0,00	0,00	0,00
3.1.6	cheltuieli de protocol	0,00	0,00	0,00	0,00	0,00
3.1.7	securitate	0,00	0,00	0,00	0,00	0,00
3.1.8	reflectarea evenimentului în mass-media	0,00	0,00	0,00	0,00	0,00
3.2	Cheltuieli de publicitate - total (3.2.1+...+3.2.6), inclusiv:	0,00	0,00	0,00	0,00	0,00
3.2.1	televiziune	0,00	0,00	0,00	0,00	0,00
3.2.2	radio	0,00	0,00	0,00	0,00	0,00
3.2.3	mijloace de informare electronice	0,00	0,00	0,00	0,00	0,00
3.2.4	presa scrisă	0,00	0,00	0,00	0,00	0,00
3.2.5	panouri	0,00	0,00	0,00	0,00	0,00
3.2.6	alte platforme stradale sau mobile	0,00	0,00	0,00	0,00	0,00



## Annex 2. List of refunded donations due to exceeded thresholds set by the provisions of Electoral Code

Lista donațiilor rambursate ca urmare a depășirii plafoanelor stabile în conformitate cu prevederile Codului electoral

Nr.crt.	Numele, prenumele persoanelor deponente	Cod fiscal	Suma, lei
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
Total:			0,00

Conducătorul \_\_\_\_\_  
numele, prenumele

\_\_\_\_\_ semnatura

L.S.

Trezorierul \_\_\_\_\_  
numele, prenumele

\_\_\_\_\_ semnatura

## Annex 3. List of donations in free goods, objects, works or services during the election campaign

Lista donațiilor în mărfuri, obiecte, lucrări sau servicii pe perioada electorală

Nr. ord.	Denumirea și specificarea mărfurilor, obiectelor, lucrărilor sau serviciilor	Perioada	Valoarea bunului donat	Nr. și data contractului de comodat

Conducătorul \_\_\_\_\_  
numele, prenumele

\_\_\_\_\_  
semnatura

L.S.

Trezorierul \_\_\_\_\_  
numele, prenumele

\_\_\_\_\_  
semnatura

Annex 4. Operative report on revenues of a candidate

Compartiment III. Venituri.

Pct. 2. Venituri în campania electorală										Săptămîna	data	
2.1 Mijloace bănești primite din donațiile persoanelor fizice												
Nr. crt.	Data	Numele, prenumele deponentului	Cod fiscal / IDNP	Anul nașterii	Domiciliul	Locul de muncă	Sursele de finanțare	Suma (lei)				
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												
Total 2.1											0,00	
2.2 Mijloace bănești primite din donațiile persoanelor juridice												
Nr. crt.	Data	Denumirea deponentului	Cod fiscal / IDNP	Adresa juridică	Numele, prenumele conducătorului	Sursele de finanțare	Suma (lei)					
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												
Total 2.2											0,00	
2.3 Alte mijloace bănești primite												
Nr. crt.	Data	Denumirea deponentului	Cod fiscal	Cont bancar	Adresa juridică	Numele, prenumele conducătorului	Sursa mijloacelor bănești	Suma (lei)				
1												
2												
3												
4												
5												
Total 2.3											0,00	

Conducătorul \_\_\_\_\_ numele, prenumele \_\_\_\_\_ semnatura \_\_\_\_\_

Trezorierul \_\_\_\_\_ numele, prenumele \_\_\_\_\_ semnatura \_\_\_\_\_

L.S.

## Annex 5. Operative report on expenditures of a candidate

## Compartment IV. Cheltuieți.

**Pct. 3. Cheltuieli în perioada electorală**

Pct. 3. Cheltuieli în perioada electorală _____ săptămîna _____ data _____							
Rîndul	Destinația plății	Data	Beneficiar	Cod fiscal	Nr. și data ordinului de plată	Nr. și data documentul justificativ (facturii fiscale, contractului )	Suma
Cheltuieli în campania electorală							
3.1	Costul întrunirilor și evenimentelor electorale - total (3.1.1+...+3.1.8), inclusiv:					TOTAL 3.1	0,00
3.1.1	chirie, inclusiv cheltuielile aferente (energie electrică, salubritate)					TOTAL 3.1.1:	0,00
3.1.2	scenă					TOTAL 3.1.2:	0,00
3.1.3	prestații scenice (inclusiv onorariile)					TOTAL 3.1.3:	0,00
3.1.4	sonorizare					TOTAL 3.1.4:	0,00
3.1.5	standuri, afișe etc.					TOTAL 3.1.5:	0,00
3.1.6	cheltuieli de protocol					TOTAL 3.1.6:	0,00
3.1.7	securitate					TOTAL 3.1.7:	0,00
3.1.8	reflectarea evenimentului în mass-media					TOTAL 3.1.8:	0,00
3.2	Cheltuieli de publicitate - total (3.2.1+...+3.2.6), inclusiv:					TOTAL 3.2	0,00
3.2.1	televiziune					TOTAL 3.2.1:	0,00





3.9.6	remunerarea personalului din stafful electoral local (teritorial)								TOTAL 3.9.6:	0,00
3.9.7	remunerarea consultanților media/strategie								TOTAL 3.9.7:	0,00

Conducătorul

numele, prenumele

LS.

semnatura

Trezorierul

numele, prenumele

semnatura

# Annex 6. Information on cash flow on Electoral Fund account

Anexa nr. 4

Banca:

la hotărîrea nr. 3352 din 04 mai 2015

Adresa:

Cod bancar:

Informație privind fluxul mijloacelor bănești  
în contul "Fond electoral"  
de la data \_\_\_\_\_ la data \_\_\_\_\_

Concurent electoral \_\_\_\_\_  
Date bancare ale contului "Fond electoral":  
data deschiderii contului \_\_\_\_\_  
cont bancar nr. \_\_\_\_\_  
valuta \_\_\_\_\_  
denumirea băncii \_\_\_\_\_  
codul băncii \_\_\_\_\_

Data	Ora tranzacției	Sursa mijloacelor banesti intrate/destinatia platilor efectuate	Deponent / beneficiar *	Mijloace bănești intrate	Mijloace bănești ieșite
Total rulaje					
Sold final					

LȘ \_\_\_\_\_  
(semnătura)

# Annex 7. Monthly information on expenditures of the Party from state budget subsidies

Anexa nr. 7  
la Regulamentul privind finanțarea activității partidelor politice,  
aprobat prin hotărârea Comisiei Electorale Centrale  
nr. 4401 din 23 decembrie 2015

(Denumirea integrală a partidului)

(Codul fiscal)

Contul:

(Contul destinat subvențiilor de la Bugetul de Stat)

Banca:

(Denumirea băncii comerciale, BIC)

## Informație lunară privind cheltuielile Partidului din subvențiile de la bugetul de stat

Nr. d/o	Indicatori	Suma (lei)
1	Soldul la data de _____	
2	Subvenții de la bugetul de stat în perioada _____	
3	Plăți pentru următoarele destinații, total: _____	
	Cheltuieli pentru întreținerea sediilor	
	Cheltuieli de personal	
	Cheltuieli pentru presă și materiale promoționale	
	Cheltuieli de deplasare în țară și în străinătate	
	Cheltuieli pentru telecomunicații	
	Cheltuieli pentru primirea delegațiilor din străinătate	
	Plata cotizațiilor de membru în organizațiile internaționale din care partidul face parte	
	Investiții în bunuri mobile și imobile necesare activității partidului	
	Cheltuieli de birotică, comision bancar	
	Cheltuieli de audit (extern/obligatoriu)	
	Cheltuieli pentru organizarea de întruniri, manifestații publice, seminare și alte cursuri de instruire pentru membrii de partid, desfășurate pe teritoriul țării	
15	Soldul la data de _____	

Conducătorul

(numele, prenumele)

(semnătura)

Trezorierul

(numele, prenumele)

(semnătura)

L.Ș

# Annex 8. Report on financial management

Anexa nr. 8  
la Regulamentul privind finanțarea activității partidelor politice,  
aprobat prin hotărârea Comisiei Electorale Centrale  
nr. 4401 din 23 decembrie 2015

## Raportul privind gestiunea financiară

### I. Compartiment

(denumirea integrală a partidului)	
(denumirea prescurtată a partidului)	
Adresa sediului central _____	
Codul fiscal _____	
Telefon, fax, e-mail _____	
Conducătorul _____	
Trezorier	(numele, prenumele) _____ (semnătura) _____
Perioada de raportare	(numele, prenumele) _____ (semnătura) _____
Membri de partid	_____ (numărul)
Personal încadrat	_____ (numărul)
Filiale	_____ (numărul)
Organizații internaționale din care partidul face parte	_____ (numărul)
Sedii proprii	_____ (numărul)
Sedii luate în locațiune	_____ (numărul)

### II. Compartiment

(Lei)

Nr. d/o	Denumirea indicatorilor	Executat		
		Total	inclusiv:	
			de la bugetul de stat	din alte surse
1	2	3	4	5
I.	Soldul mijloacelor bănești la începutul perioadei de gestiune			
II.	Sursele de finanțare, total			
1.	Subvenții de la bugetul de stat			x
2.	Donații, în bani, total:		x	
	din partea membrilor de partid		x	
	din partea altor persoane fizice		x	
	din partea persoanelor juridice		x	
3.	Donații sub alte forme, total:		x	
	sub formă de proprietăți		x	
	bunuri		x	
	servicii gratuite sau în condiții mai avantajoase decât valoarea comercială		x	
	achitarea unor bunuri sau servicii utilizate de partid		x	
4.	Cotizații de membru de partid		x	
5.	Venituri obținute de către partid în urma activităților economice desfășurate, total:		x	
	din activitatea editorială		x	
	din activitatea legată nemijlocit de administrarea proprietății sale		x	
	din alte activități economice ce rezultă direct din scopul prevăzut în statut		x	
	Alte venituri		x	
III.	Plăți pentru următoarele destinații, total:			
1.	Cheltuieli pentru întreținerea sediilor			
2.	Cheltuieli de personal			

1	2	3	4	5
3.	Cheltuieli pentru presă și materiale promoționale			
4.	Cheltuieli de deplasare în țară și în străinătate			
5.	Cheltuieli pentru telecomunicații			
6.	Cheltuieli pentru primirea delegațiilor din străinătate			
7.	Plata cotizațiilor de membru în organizațiile internaționale din care partidul face parte			
8.	Investiții în bunuri mobile și imobile necesare activității partidului			
9.	Cheltuieli de birotică, comision bancar			
10.	Cheltuieli de audit (extern/obligatoriu)			
11.	Cheltuieli pentru organizarea de întruniri, manifestații publice, seminare și alte cursuri de instruire pentru membrii de partid, desfășurate pe teritoriul țării			
12.	Alte cheltuieli, total:		X	
a)			X	
b)			X	
c)			X	
d)			X	
13.	Cheltuieli în campania electorală			
IV.	Soldul mijloacelor bănești la sfârșitul perioadei de gestiune			

Conducătorul

Lș

Trezorierul

(numele, prenumele)

(semnătura)

(numele, prenumele)

(semnătura)

## Annex 9. Summons of the Central Electoral Commission

Anexa nr. 9

la Regulamentul privind finanțarea activității partidelor politice,  
aprobat prin hotărârea Comisiei Electorale Centrale  
nr. 4401 din 23 decembrie 2015

MODEL

**Comisia Electorală Centrală**  
**mun. Chișinău, str. V. Alecsandri, 119**

### CITAȚIA

emisă la data de \_\_\_\_\_

**Denumirea partidului politic citat:** \_\_\_\_\_ cu sediul la  
adresa \_\_\_\_\_, vă  
înștiințăm că la data de \_\_\_\_\_, ora \_\_\_\_\_, pe str. V. Alecsandri, 119, mun. Chișinău, va fi încheiat  
în privința partidului procesul-verbal cu privire la contravenția prevăzută la art. \_\_\_\_ alin. (\_\_\_\_) din  
Codul contravențional al Republicii Moldova nr. 218-XVI din 24.10.2008. Prezența reprezentantului  
legal este obligatorie, în caz contrar procesul-verbal va fi încheiat în lipsa acestuia.

**Președintele/vicepreședintele**  
**Comisiei Electorale Centrale** \_\_\_\_\_

Confirmarea recepționării citației

data \_\_\_\_\_ 20 \_\_\_\_

ora \_\_\_\_\_

Numele/prenumele persoanei care a recepționat citația \_\_\_\_\_

Semnătura persoanei care a recepționat citația \_\_\_\_\_

## Annex 10. Contravention report

Anexa nr. 10  
la Regulamentul privind finanțarea activității partidelor politice,  
aprobat prin hotărârea Comisiei Electorale Centrale  
nr. 4401 din 23 decembrie 2015

MODEL

Numărul de înregistrare al procesului-verbal

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

### PROCES-VERBAL CU PRIVIRE LA CONTRAVENȚIE

Data întocmirii: „\_\_\_” \_\_\_\_\_ 20\_\_ ora \_\_\_\_\_ în localitatea Chișinău

**Agent constatat:** \_\_\_\_\_ (numele, prenumele) președinte/vicepreședinte

denumirea autorității pe care o reprezintă: Comisia Electorală Centrală, adresa juridică: str. Vasile Alecsandri, 119, mun. Chișinău

#### S-a constatat:

În conformitate cu prevederile art. 423<sup>7</sup> al Codului contravențional al Republicii Moldova și în baza hotărârii Comisiei Electorale Centrale nr. \_\_\_ din „\_\_\_” \_\_\_\_\_ 20\_\_ „Privind \_\_\_\_\_”, Comisia a constatat că Partidul politic/organizația social-politică:

\_\_\_\_\_ cu sediul \_\_\_\_\_,

IDNO 

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

 înregistrat de Ministerul Justiției la data de „\_\_\_”

\_\_\_\_\_, reprezentat de dl/dna \_\_\_\_\_ în calitate de reprezentant/trezorier, a \_\_\_\_\_

Prin faptele descrise mai sus, s-au încălcat prevederile art. \_\_\_\_\_ din \_\_\_\_\_ și ale pct. \_\_\_\_\_ din Regulamentul privind finanțarea activității partidelor politice, aprobat prin hotărârea CEC nr. 4401 din 23 decembrie 2015, ce constituie contravenție, prevăzută de art. 48<sup>1</sup> alin. (1) din Codul contravențional.

Conform Codului contravențional, încălcarea art. 48<sup>1</sup> alin. (1) se sancționează cu amendă de la 100 pînă la 150 de unități convenționale.

Obiecțiile și probele prezentate de partid (dacă există) \_\_\_\_\_

La procesul-verbal se anexează:

1. \_\_\_\_\_
2. \_\_\_\_\_

Prezentul proces-verbal și materialele anexate vor fi transmise judecătoriei \_\_\_\_\_ pentru examinarea cazului și tragerea la răspundere contravențională a partidului.

În termen de 15 zile de la data înștiințării despre încheierea procesului-verbal cu privire la contravenție, partidul politic poate să-l conteste la judecătoria Centru mun. Chișinău.

Procesul-verbal a fost întocmit în \_\_\_\_\_ (prezența/absența reprezentantului/ trezorierului partidului în a cărei privință a fost întocmit procesul-verbal / refuzul de a semna procesul-verbal)

Președintele/vicepreședintele Comisiei Electorale Centrale \_\_\_\_\_

L.Ș.

Subsemnatul (a), \_\_\_\_\_ reprezentant/trezorier al \_\_\_\_\_ am luat cunoștință de procesul-verbal, cunosc drepturile și obligațiile prevăzute de art. 378, 384 și 448 ale Codului contravențional, specificate pe verso, o copie de pe procesul-verbal am primit: \_\_\_\_\_ (semnătura).

## **Verso**

În atenția partidului în a cărei privință s-a întocmit procesul-verbal conform prevederilor Codului contravențional (Legea nr. 218-XVI din 24 octombrie 2008, în vigoare din 31 mai 2009)

### **Articolul 378. Dreptul la apărare**

(1) În procesul contravențional, autoritatea competentă să soluționeze cauza contravențională este obligată să asigure părților și altor participanți la proces deplina exercitare a drepturilor procesuale în condițiile prezentului cod.

(2) Pe parcursul procesului contravențional, părțile au dreptul să fie asistate de un apărător (avocat).

(3) În momentul pomirii procesului contravențional, autoritatea competentă să soluționeze cauza contravențională este obligată să aducă la cunoștință persoanei pasibile de răspundere contravențională dreptul ei de a fi asistată de un apărător.

(4) În cel mult 3 ore din momentul reținerii, persoanei care este pasibilă de sancțiunea arestului contravențional și nu are apărător ales i se desemnează, în modul stabilit, un avocat care acordă asistență juridică garantată de stat.

### **Articolul 384. Persoana în a cărei privință a fost pornit proces contravențional**

(1) Persoana în a cărei privință a fost pornit proces contravențional și căreia, prin hotărâre definitivă, i s-a stabilit o sancțiune contravențională sau a cărei răspundere contravențională sau executare a sancțiunii contravenționale aplicate este înlăturată prin hotărâre definitivă se numește contravenient.

(2) Persoana în a cărei privință a fost pornit proces contravențional are dreptul:

- a) la apărare;
- b) să cunoască fapta imputată;
- c) să fie asigurată, în cel mult 3 ore de la reținere, cu un avocat care acordă asistență juridică garantată de stat dacă este pasibilă de sancțiunea arestului contravențional;
- d) să anunțe, în cazul reținerii, prin autoritatea competentă să soluționeze cauza contravențională, două persoane, la alegerea sa, despre faptul și locul reținerii;
- e) să primească informație scrisă și explicarea drepturilor sale expuse în prezentul articol, inclusiv a dreptului de a tăcea și de a nu mărturisi împotriva sa, împotriva rudelor sale apropiate, a soțului/soției, logodnicului/logodnicei, precum și de a nu-și recunoaște vinovăția;
- f) să fie audiată în prezența apărătorului dacă acceptă sau cere să fie audiată;
- g) să aibă întrevăderi cu apărătorul în condiții confidențiale, fără limitarea numărului și duratei întrevăderilor;
- h) să ia cunoștință de materialele din dosar și să i se elibereze, la cerere, în cel mult 24 de ore, copii de pe procesul-verbal;
- i) să prezinte probe;
- j) să formuleze cereri;
- k) să conteste decizia asupra cauzei;
- l) să recunoască total sau parțial vinovăția în comiterea faptei ce i se impută;
- m) să ceară recuzarea reprezentantului autorității competente să soluționeze cauza contravențională, expertului, interpretului, traducătorului, grefierului;
- n) să solicite audierea martorilor;
- o) să facă obiecții împotriva acțiunilor agentului constator și să ceară consemnarea obiecțiilor sale în procesul-verbal;
- p) să ia cunoștință de procesul-verbal încheiat de agentul constator, să facă obiecții asupra corectitudinii lui, să ceară completarea lui cu circumstanțele care, în opinia sa, trebuie să fie consemnate;
- q) să se împace cu victima în condițiile prevăzute de prezentul cod;
- r) să fie informat de agentul constator despre toate hotărârile ce se referă la drepturile și interesele sale, să primească, la cerere, copii de pe aceste hotărâri;
- s) să atace, în modul stabilit de lege, acțiunile și deciziile autorității competente să soluționeze cauza contravențională, inclusiv hotărârea judecătorească;
- t) să retragă orice plângere depusă personal sau de apărător în interesele sale;
- u) să ceară și să primească repararea prejudiciului cauzat de acțiunile nelegitime ale autorității competente să soluționeze cauza contravențională.

(3) Realizarea de către persoana în a cărei privință a fost pornit proces contravențional a drepturilor sale ori renunțarea la realizarea acestor drepturi nu poate fi interpretată în detrimentul persoanei și nu poate avea consecințe nefavorabile pentru ea.

(4) Persoana în a cărei privință a fost pornit proces contravențional este obligată:

- a) să se prezinte la citirea autorității competente să soluționeze cauza contravențională;
  - b) să accepte, la cererea autorității competente să soluționeze cauza contravențională, examinarea și percheziția sa corporală;
  - c) să accepte necondiționat, la cererea autorității competente să soluționeze cauza contravențională, testarea alcoolscopică, examenul medical, dactiloscopia, prelevarea de sânge și de secreții ale corpului pentru analiză;
  - d) să fie supusă expertizei judiciare, la cererea agentului constator competent sau a instanței;
  - e) să se supună dispozițiilor legale ale agentului constator și ale președintelui ședinței de judecată;
  - f) să respecte ordinea în ședința de judecată și să nu părăsească sala de ședințe fără învoirea dată de președintele ședinței.
- (5) Persoana în a cărei privință a fost pornit proces contravențional are și alte drepturi și obligații prevăzute de prezentul cod.
- (6) În conformitate cu prevederile prezentului cod, drepturile minorului se realizează și de reprezentantul lui legal. Procesului contravențional se aplică în mod corespunzător prevederile Codului de procedură penală cu privire la drepturile și obligațiile reprezentantului legal al minorului.

### **Articolul 448. Contestația împotriva procesului-verbal cu privire la contravenție**

(1) În decursul a 15 zile de la data aducerii la cunoștință a faptului încheierii procesului-verbal cu privire la contravenție, contravenientul, victima sau reprezentantul acestora, procurorul sunt în drept să-l contesteze în instanța de judecată în a cărei rază teritorială activează autoritatea din care face parte agentul constator.

(2) Contestația împotriva procesului-verbal cu privire la contravenție se depune la autoritatea din care face parte agentul constator. În cel mult 3 zile de la data depunerii contestației, agentul constator expediază în instanță contestația și dosarul cauzei contravenționale.

(3) Contestația suspendă executarea sancțiunii contravenționale aplicată prin proces-verbal.

(4) Persoana care face contestație împotriva deciziei de aplicare a sancțiunii contravenționale nu plătește taxă de stat.

(5) Contestația împotriva hotărârii cu privire la contravenție poate fi depusă în decursul a 15 zile de la data pronunțării hotărârii sau de la data aducerii ei la cunoștință, după caz. În cazul omiterii acestui termen din motive întemeiate, persoana față de care a fost pronunțată hotărârea poate fi repusă în termen, la cerere, de către autoritatea (persoana cu funcție de răspundere) împuternicită să examineze contestația.

Am luat cunoștință \_\_\_\_\_

(numele, prenumele)

(semnătura)

Annex 11. Registry of contravention reports drafted by CEC

Anexa nr. 11  
la Regulamentul privind finanțarea activității partidelor politice,  
aprobat prin hotărârea Comisiei Electorale Centrale  
nr. 4401 din 23 decembrie 2015  
MODEL

Registrul de evidență a proceselor-verbale privind constatarea contravențiilor  
întocmite de Comisia Electorală Centrală

Nr. d/ o	Data întocmirii procesului- verbal	Numărul procesului- verbal	Partidul politic	Articolul în baza cărui a fost întocmit procesul - verbal/ sanctiunea propusă instanței	Data transmiterii procesului - verbal instanței de judecată	Instanța de judecată care a examinat procesul - verbal și hotărârea adoptată	Amenda stabilită de instanța de judecată	Notă privind executarea
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								

Anexa nr. 1  
la Regulamentul privind finanțarea activității partidelor politice,  
aprobat prin hotărârea Comisiei Electorale Centrale  
nr. 4401 din 23 decembrie 2015

(Codul fiscal)

(Denumirea integrală a partidului)

## Registrul cotizațiilor de membru de partid în perioada \_

[illegible]

### Conducătorul

\$7

Trezorierul

(humide, pré-arrêté)	(semitraccia)
----------------------	---------------

(number, prevariate)	(semblance)
1	1
2	2
3	3
4	4
5	5
6	6
7	7
8	8
9	9
10	10
11	11
12	12
13	13
14	14
15	15
16	16
17	17
18	18
19	19
20	20
21	21
22	22
23	23
24	24
25	25
26	26
27	27
28	28
29	29
30	30
31	31
32	32
33	33
34	34
35	35
36	36
37	37
38	38
39	39
40	40
41	41
42	42
43	43
44	44
45	45
46	46
47	47
48	48
49	49
50	50
51	51
52	52
53	53
54	54
55	55
56	56
57	57
58	58
59	59
60	60
61	61
62	62
63	63
64	64
65	65
66	66
67	67
68	68
69	69
70	70
71	71
72	72
73	73
74	74
75	75
76	76
77	77
78	78
79	79
80	80
81	81
82	82
83	83
84	84
85	85
86	86
87	87
88	88
89	89
90	90
91	91
92	92
93	93
94	94
95	95
96	96
97	97
98	98
99	99
100	100

Anexa nr. 3  
la Regulamentul privind finanțarea activității partidelor politice,  
aprobat prin hotărârea Comisiei Electorale Centrale  
nr. 4401 din 23 decembrie 2015

(Codul fiscal)

[illegible]

(Yamalo, peninsular)	(territorial)
1	1
2	2
3	3
4	4
5	5
6	6
7	7
8	8
9	9
10	10
11	11
12	12
13	13
14	14
15	15
16	16
17	17
18	18
19	19
20	20
21	21
22	22
23	23
24	24
25	25
26	26
27	27
28	28
29	29
30	30
31	31
32	32
33	33
34	34
35	35
36	36
37	37
38	38
39	39
40	40
41	41
42	42
43	43
44	44
45	45
46	46
47	47
48	48
49	49
50	50
51	51
52	52
53	53
54	54
55	55
56	56
57	57
58	58
59	59
60	60
61	61
62	62
63	63
64	64
65	65
66	66
67	67
68	68
69	69
70	70
71	71
72	72
73	73
74	74
75	75
76	76
77	77
78	78
79	79
80	80
81	81
82	82
83	83
84	84
85	85
86	86
87	87
88	88
89	89
90	90
91	91
92	92
93	93
94	94
95	95
96	96
97	97
98	98
99	99
100	100

Variable	Mean	Standard deviation	Minimum	Maximum
Age	34.5	10.5	20	55
Gender	0.5	0.5	0	1
Marital status	0.5	0.5	0	1
Education	12.5	1.5	10	15
Income	15.5	5.5	10	25
Health	0.5	0.5	0	1
Religion	0.5	0.5	0	1
Occupation	0.5	0.5	0	1
Political party	0.5	0.5	0	1
Home ownership	0.5	0.5	0	1
Auto ownership	0.5	0.5	0	1
Life insurance	0.5	0.5	0	1
Health insurance	0.5	0.5	0	1
Retirement savings	0.5	0.5	0	1
Charitable giving	0.5	0.5	0	1
Volunteering	0.5	0.5	0	1
Political participation	0.5	0.5	0	1
Community involvement	0.5	0.5	0	1
Environmental concern	0.5	0.5	0	1
Trust in government	0.5	0.5	0	1
Trust in media	0.5	0.5	0	1
Trust in neighbors	0.5	0.5	0	1
Trust in police	0.5	0.5	0	1
Trust in courts	0.5	0.5	0	1
Trust in religious leaders	0.5	0.5	0	1
Trust in business leaders	0.5	0.5	0	1
Trust in celebrities	0.5	0.5	0	1
Trust in social media	0.5	0.5	0	1
Trust in technology	0.5	0.5	0	1
Trust in science	0.5	0.5	0	1
Trust in education	0.5	0.5	0	1
Trust in healthcare	0.5	0.5	0	1
Trust in law enforcement	0.5	0.5	0	1
Trust in judiciary	0.5	0.5	0	1
Trust in religious institutions	0.5	0.5	0	1
Trust in business institutions	0.5	0.5	0	1
Trust in media institutions	0.5	0.5	0	1
Trust in technology institutions	0.5	0.5	0	1
Trust in science institutions	0.5	0.5	0	1
Trust in education institutions	0.5	0.5	0	1
Trust in healthcare institutions	0.5	0.5	0	1
Trust in law enforcement institutions	0.5	0.5	0	1
Trust in judiciary institutions	0.5	0.5	0	1
Trust in religious institutions	0.5	0.5	0	1
Trust in business institutions	0.5	0.5	0	1
Trust in media institutions	0.5	0.5	0	1
Trust in technology institutions	0.5	0.5	0	1
Trust in science institutions	0.5	0.5	0	1
Trust in education institutions	0.5	0.5	0	1
Trust in healthcare institutions	0.5	0.5	0	1
Trust in law enforcement institutions	0.5	0.5	0	1
Trust in judiciary institutions	0.5	0.5	0	1
Trust in religious institutions	0.5	0.5	0	1
Trust in business institutions	0.5	0.5	0	1
Trust in media institutions	0.5	0.5	0	1
Trust in technology institutions	0.5	0.5	0	1
Trust in science institutions	0.5	0.5	0	1
Trust in education institutions	0.5	0.5	0	1
Trust in healthcare institutions	0.5	0.5	0	1
Trust in law enforcement institutions	0.5	0.5	0	1
Trust in judiciary institutions	0.5	0.5	0	1
Trust in religious institutions	0.5	0.5	0	1
Trust in business institutions	0.5	0.5	0	1
Trust in media institutions	0.5	0.5	0	1
Trust in technology institutions	0.5	0.5	0	1
Trust in science institutions	0.5	0.5	0	1
Trust in education institutions	0.5	0.5	0	1
Trust in healthcare institutions	0.5	0.5	0	1
Trust in law enforcement institutions	0.5	0.5	0	1
Trust in judiciary institutions	0.5	0.5	0	1
Trust in religious institutions	0.5	0.5	0	1
Trust in business institutions	0.5	0.5	0	1
Trust in media institutions	0.5	0.5	0	1
Trust in technology institutions	0.5	0.5	0	1
Trust in science institutions	0.5	0.5	0	1
Trust in education institutions	0.5	0.5	0	1
Trust in healthcare institutions	0.5	0.5	0	1
Trust in law enforcement institutions	0.5	0.5	0	1
Trust in judiciary institutions	0.5	0.5	0	1
Trust in religious institutions	0.5	0.5	0	1
Trust in business institutions	0.5	0.5	0	1
Trust in media institutions	0.5	0.5	0	1
Trust in technology institutions	0.5	0.5	0	1

## Annex 14. Registry of donations from legal persons

Anexa nr. 2  
la Regulamentul privind finanțarea activității partidelor politice,  
aprobat prin hotărârea Comisiei Electorale Centrale  
nr. 4401 din 23 decembrie 2015

(Denumirea integrală a partidului)

(Codul fiscal)

## Registrul donațiilor de la persoane juridice

[illegible]

Conducătorul

57

Trezorierul

[naumele, prenumele]

(Seemilata)

# Annex 15. Registry of donations as free property, goods and services

Anexa nr. 6  
la Regulamentul privind finanțarea activității partidelor politice,  
aprobat prin hotărârea Comisiei Electorale Centrale  
nr. 4401 din 23 decembrie 2015

(Denumirea integrală a partidului) \_\_\_\_\_ (Codul fiscal) \_\_\_\_\_  
**Registrul donațiilor sub formă de proprietăți, bunuri, servicii gratuite sau în condiții mai avantajoase decât valoarea comercială, achitarea unor bunuri sau servicii utilizate de partid**

Nr. d/o	Denumirea donației	Număr / cantitate	Preț comercial (de piață) per unitate	Valoarea totală	Nr. și data contractului de donație/actul de recepționare	Numele, prenumele a persoanei fizice / denumirea persoanei juridice	IDNP/IDNO
1.	sub formă de proprietăți						
	a)						
	b)						
	c)						
Total							
2.	bunuri						
	a)						
	b)						
	c)						
Total							
3.	servicii gratuite sau în condiții mai avantajoase decât valoarea comercială						
	a)						
	b)						
	c)						
Total							
4.	achitarea unor bunuri sau servicii utilizate de partid						
	a)						
	b)						
	c)						
Total							

Conducătorul \_\_\_\_\_  
L.S. \_\_\_\_\_  
Trezorierul \_\_\_\_\_  
(Numele, prenumele)