

Proposal to



Washington State Office of Financial Management

Accounts Receivable—Feasibility Study

AR Requirements



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1. INTRODUCTION

1.1. Purpose

This document lays the foundation for the Accounts Receivable (AR) Feasibility Study, by stating the requirements for a new Accounts Receivable system to meet the business needs of state agencies and the state as a whole within the enterprise direction of Washington State.

1.2. Background

The OFM Statewide Financial Systems Group (SWFS) operates and maintains an AR System, which is currently used by eight state agencies to track and account for their receivables. AR is a customized server-based Solomon application with a Microsoft SQL Server database that SWFS implemented in 1997-1998. Agency staff access AR through Washington State's intranet portal and Citrix servers. The state intranet portal allows for agency-to-agency services as well as links to various other levels of government. Agencies also upload batches of transactions to AR through files emailed to SWFS support staff or through a web services process. AR has automated processes for sending batches of transactions to the Agency Financial Reporting System (AFRS), which is the state's enterprise accounting system that resides on the state's mainframe computer.

Because the AR is highly customized for each customer (participating agencies), it is difficult to upgrade to newer versions of Solomon and no upgrades have been done for several years. The version of Solomon used for the AR is no longer supported. OFM is conducting a project to upgrade the AR server operating systems to Windows 2000 and Citrix XP. This upgrade, together with new servers, will provide a three to five year window for running the current Solomon AR before the operating systems are no longer supported.

Customers report that Solomon adequately meets their basic AR needs. There are additional features customers would like, but the application has not been enhanced much for the past three years. There are also some potential customers (non-participating agencies) who see limitations to the Solomon AR that have caused them to seek their own solutions or hesitate before signing up with OFM.

SWFS develops and maintains enterprise financial application for state agencies. The vision for a SWFS AR is that it will be the enterprise application of choice for all state agencies that need an accounts receivable system. The current software platform will not be supported beyond three to five years, and there are additional features and enhancements that customers would like to see added to the existing application. SWFS wants to chart a long-term path for AR that leads to a supported environment and an

application that provides basic accounts receivable functionality and is flexible and robust enough to meet agency specific requirements that the current AR does or perhaps does not address.

OFM has engaged Sierra Systems to complete a Feasibility Study addressing the requirements of a new Accounts Receivable system. This document is a statement of the requirements for that Feasibility Study.

1.3. Approach

To document and communicate requirements, Sierra Systems has taken a use case approach. Use cases, shorthand for “cases in which someone will use the system,” divide the work of the system into functional pieces from a system user’s perspective.

To speed and compress the requirements process, the project team studied materials provided by OFM including, but not limited to:

- Baseline AR System Training Manual
- OFM Technical documentation for Customizations, Enhancements, and Object Promotions
- AR Problems & Alternatives, Feasibility and Implementation Notes
- OFM Feasibility Study that resulted in the implementation of the Solomon AR application
- Other notes, reports and emails relating to the system’s current and desired functionality and non-functional requirements

A more detailed list of AR resources is contained in Section 1.4.

These investigative studies were augmented with interviews with OFM staff, especially Art Overman and Trinh Bui, and a demonstration and Q&A session on the Solomon AR system.

With the understanding gained from these sources, Sierra Systems staff drafted a list of use cases for Accounts Receivable. This list was reviewed and revised with participation from the whole project team. Use case details were developed by the project team staff, including Sierra Systems and OFM. Sierra Systems worked with Art Overman and Trinh Bui to clarify the use case requirements and build the AR Glossary. The use case requirements were presented in a workshop to a group of customer and non-customer agencies. The requirements workshop was used to assess the completeness of and validate the AR requirements

Non-functional requirements were developed with information from, and review by, OFM technical staff.



1.4. Sources

Sources for information in this document include:

AR Requirements Workshop, Participant Responses, April 2004—feedback received from participants of the AR Requirements Workshop identifying/clarifying agency AR functional requirements and possible benefits.

AR Requirements Workshop, March 26, 2004—review of high level AR functional requirements by customer and non-customer agencies of the OFM AR application.

OFM Staff feedback on AR Requirements, March 2004—review and edit of high level AR functional and non-functional requirements by OFM project staff.

Baseline AR System Training Manual, updated January 2004—300-page manual covering general information, getting started, user information, customer information, debit document information, credit document information, posting information and reports manual including screen images, field definitions and training exercises.

OFM Demonstration of Solomon AR, January 2004—high level application demonstration by OFM AR Administrator, Trinh Bui.

OFM AR Help Customizations Summary, November 2003—detailed documentation of AR customizations utilized by AR Help Desk.

OFM AR Technical Object Promotions List, November 2003—list of AR customizations and fixes promoted to production during the 2003 Biennium.

OFM AR Technical Enhancements 2001, November 2003—list of requested AR enhancements with description and estimated effort.

Accounts Receivable System Business Requirements, October 2003—one-page list of AR system requirements compiled by OFM staff.

AR Implementation Notes, September 2003—four-page, high level assessment of OFM work efforts to make L&I AR application an AR enterprise application.

AR Feasibility Notes, September 2003—four-page, high level assessment of utilizing L&I's AR system as the OFM enterprise AR system.

Accounts Receivable Problems & Alternatives, June 2003—two-page document prepared by OFM identifying major problems, risk, impact and alternative/mitigating actions for the Solomon AR system.

Schedule of Audit Findings July 1 2002 to June 30 2003—Washington State Auditor's Office Audit Report for OFM.

OFM AR Technical Documentation, 1997—data model and implementation documentation for baseline Solomon AR system.

OFM Baseline AR System Requirements and Design for All RFP Requirements as of 10/22/97—30-page document identifying approved design approaches for meeting requirements through implementation of Solomon AR system.

OFM Accounts Receivable System Feasibility Study, December 1996—58-page, contracted, needs assessment and analysis of possible alternative AR systems for OFM MSA AR system.

1.5. Relationships to Other Deliverables

This is the first in a series of documents that will together, comprise a Feasibility Study for an Accounts Receivable system. The requirements in this document will be used to identify and evaluate alternative solutions, high level costs and benefits of the alternatives, and the costs, benefits and implementation needs of the recommended solution.

Future phases of this project will evaluate the degree to which potential AR solutions meet these requirements.



2. OBJECTIVES AND SCOPE

2.1. Objectives

An Accounts Receivable (AR) solution must meet these objectives:

1. Support the accounts receivable business needs of state agencies and the state as a whole within the enterprise direction of Washington State.
2. Provide a modern, maintainable, expandable foundation for accounts receivable functionality.
3. Operate in an environment compatible with OFM's current technical capacity and direction.
4. Meet the functional requirements approved and prioritized by the AR Requirements workshop participating agencies as documented in Section 5.3 of this document.
5. Meet the non-functional requirements documented in Section 6 including external interfaces, availability, performance, quality, maintainability and support, documentation, security, implementation and conversion requirements.
6. Facilitate the sharing of high level information across agencies.

2.2. Constraints

The solution will be constrained by:

1. *Resources to implement*—funding and staff positions for implementing the system are limited.
2. *Agency participation*—completeness and validity of AR requirements will be driven by number of agencies that choose to participate in this study.
3. *Chargeback basis*—as a proprietary agency, OFM's chargeback basis for the new AR system will impact agency use. The chargeback methodology should be rational and appropriate to promote agency participation.
4. *OFM technical direction*—OFM has set its architecture standards and direction. The solution must accommodate and further them.
5. *Washington's statewide technical direction*—OFM's architecture implements statewide architecture standards and direction, which will also constrain the solution.
6. *The AR requirements of Washington State*—the requirements in this document, while high level, were objectively and comprehensively obtained, reviewed and prioritized based on the guidelines set forth in contract OFM #04-37.
7. *AR requirements scope*—the level of detail for the application requirements will be balanced to ensure accurate, thorough information for alternatives analysis while ensuring that the full scope of the assignment can be completed within the allocated schedule and budget.

2.3. Scope

The functional scope of the AR solution is evident in the use cases and requirements in this document. The functionality to be considered within the scope of the solution includes all essential and high priority use cases and requirements. Those use cases and requirements with medium priority will be considered in scope only to the extent that their functionality can be found in the solution alternatives meeting the essential requirements.

2.4. Out of Scope

The requirements for an Accounts Receivable solution from this study *will not* include:

- Detailed requirements for an AR system
- Evaluation of individual potential third party software solutions against the application requirements at a level below that of the study's high level requirements
- Individual interviews with user agencies, other than demonstrations of candidate systems
- Evaluation of more than one candidate current agency system for AR (L&I AR system has been designated for evaluation)
- Applications to send data to or to transform data for the AR system
- Applications to transform data exported from the system
- Functionality for the AR solution will be limited based on the prioritization of AR requirements and may not include:
 - Functionality within use cases that received a LOW priority from the user group, except to the extent that this functionality may be implemented in the chosen solution at no additional expense includes:
 - Allow a user to export customer changes (use case 60)
 - Be able to generate a file of customer changes to send to an external billing system (use case 60)
 - Allow for the configuration of selection criteria for determining customer changes to export (use case 60)
 - The system must log errors and warnings from the export process (use case 60)
 - Support a method to review error messages for an export instance (use case 60)
 - Allow the user to maintain receivables pricing information (use case 36)

- Support configuration of business rules defining which batch transaction fields can be edited by an approver (use case 57)
- Functionality within use cases that received a MEDIUM priority from the user group, except to the extent that this functionality may be implemented in the chosen solution at no additional expense includes:
 - Allow the user to view the aging of customer account balances online (use case 23)
 - Allow the batch reporting request to be scheduled (use case 64)
- Functionality within use cases that received a HIGH priority from the user group, except to the extent that this functionality can be implemented in the chosen solution and is cost beneficial includes:
 - Provide validation of address records based on U.S. postal standards (use case 1)
 - Allow for the suppression of financial line items from printing on the customer documents (use case 4)
 - Allow for inclusion of accounting line items for printing on the customer documents (use case 4)
 - Allow the user to record a miscellaneous receivable document not associated to a specific customer account (use case 6)
 - Allow the user to configure default AFRS coding for non-agency cash receipts (use case 14)
 - Allow the user to record a cash receipt that belongs to another agency (use case 65)
 - Allow the user to print Miscellaneous Non-agency Cash Report (use case 65)
 - Be able to produce a Non-agency Receipt transaction file for transmittal to another agency (use case 65)
 - Allow for purging of historical data (use case 50)
 - Provide system performance reports (use case 50)
 - Allow configuration of business rules for records retention (use case 50)
 - Allow the user to establish logon preferences for the presentation of the system desktop (use case 41)
 - Allow configuration of application session time out settings (use case 41)
 - Allow implementation of application session time out rules by agency (use case 41)

3. SYSTEM INTER-ACTORS OR ACTORS

The people and systems that will interact with a system are called “actors.” A new Accounts Receivable System will have these types of actors:

- *Agency AR Accountant*—agency employees responsible for closing the AR period and running the period end process (reports and reconciliations).
- *Agency System Administrator*—agency employees who set up user permissions and perform other AR administration tasks for their agency.
- *Credit Clerk*—agency employees who perform customer credit reviews and manage customer collections including establishing bad debt and write-offs.
- *Credit Supervisor*—agency employees who review and approve the financial transactions produced by the Credit Clerk and post transactions to AR and/or GL.
- *Customer Service Representative*—agency employees who handle customer inquiries and can perform customer account adjustments.
- *External Systems (Agency Billing and Cash Receipts applications, AFRS Validation and General Ledger, OFM Report Distribution application, Other agency AR systems, and third-party collection agency systems)*—interfaces for the sharing of customer information and AR financial and accounting transactions.
- *Receipts Clerk*—agency employees who record credit memos and cash receipts received by an agency and apply those cash receipts against agency receivables.
- *Receipts Supervisor*—agency employees who review and approve the financial transactions produced by the Receipts Clerk and post transactions to AR and/or GL.
- *Receivable/Billing Clerk*—agency employees who maintain customer records and create receivables by recording invoices and debit memos.
- *Receivable/Billing Supervisor*—agency employees who review and approve the financial transactions produced by the Receivable/Billing Clerk and post transactions to AR and/or GL.
- *System Administrator*—OFM staff who perform agency setup and cross-agency system maintenance for the AR system.

4. ASSUMPTIONS

The following assumptions have been made in compiling these requirements:

- System solutions must recognize OFM’s obligation to the current customers of A/R and ensure their needs continue to be met.
- The requirements will include those functions currently supported by the existing AR system and new functions that existing or potential customers have specifically requested or discussed with OFM.
- The requirements will be validated by OFM staff and existing or potential customer agencies participating in the AR Requirements Workshop. OFM will not seek additional input from non-participating agencies outside of the AR Requirements Workshop.
- The AR Requirements validated by the seven (8) customer agencies (OFM, DFI, DOH, DOP, SC and AOC, WSDA and WSP) and four (4) non-customer agencies (DNR, DSHS, GA, HCA) during the AR Requirements workshop are sufficient for supporting alternatives analysis.
- OFM will seek as “vanilla” an implementation as possible of any commercial-off-the-shelf solution for A/R, to ensure maintainability and lower implementation costs.
- Initial functional scope of a new solution will be tailored towards existing capabilities – i.e., the initial implementation of a new solution will not include substantial functional enhancements.
- Responsibility for Washington State general ledger coding validation will remain within AFRS. Appropriately formatted financial transactions will be sent from the new AR system to AFRS for validation.
- AFRS and other external state agency systems sending information to the new AR system will send data that utilizes standard protocols and AR defined formats.

5. FUNCTIONAL REQUIREMENTS

5.1. Requirements in the Context of Use Cases

Since requirements can only be validated by the people who will use the system, it is useful to develop them in the context of how people will use the system—the cases in which they will use it, or “use cases.”

The following requirements were developed in the context of 29 use cases. The use cases and requirements are listed in the same functional sequence. The requirement numbers are given to identify the originating use case.

5.2. Priorities and Evaluation

User representatives assigned each requirement a priority—essential, high, medium, or low. While almost all requirements here are essential, it is possible that no solution will meet all essential requirements in a direct and automated way. The recommended solution will be the one that is closest to meeting all essential requirements in a cost beneficial way. In a separate Business Case document, we have documented the different ways compliance will be evaluated.

5.3. Use Cases

Use Case #	Use Case Name	Description
39	Maintain Agency	Set up a new agency to use the system.
1	Maintain Customer	Maintenance (add, edit) of the non-financial customer information—identification (name, id), address, notes, terms, relationships, defaults.
2	Import Customer	Record customer information transmitted from other billing systems used by state agencies.
60	Export Customer	Transmit customer information to other (external) billing systems used by state agencies.
59	Inquire / View Customer	Access customer information by various search criteria.

Use Case #	Use Case Name	Description
36	Configure Receivables	Establish logical groupings and business rules for receivables to support business and financial processing.
5	Maintain Recurring Invoices	Maintain a template to auto generate customer invoices. Facilitates repetitive billing of customers.
4	Record AR Customer Receivable	Create an AR financial transaction (invoice or debit memo) that produces or increases a customer receivable.
6	Record Miscellaneous Receivable (Non-customer)	Create an AR financial transaction that produces a receivable that is not tracked to a specific customer account.
14	Maintain Cash Processing	Establish the rules around the recording of cash receipts.
15	Record AR Customer Cash Receipt / Credit Memo	Record and apply a cash receipt/credit memo to an original AR document for a customer account (reduce the balance the customer owes).
61	Record Non-AR Customer Cash Receipt	Record and apply a cash receipt/credit memo to a customer account but not to an original AR document (reduce the balance the customer owes).
16	Record Miscellaneous Cash Receipt (Non-Customer)	Record non-customer specific cash receipts.
65	Record Miscellaneous Cash Receipt (non-agency)	Record cash receipts for a separate state agency.
54	Record Chargeback and Return	Record charge backs (re-bill for customer underpayment) and returns (returned bank item—NSF, closed account).
56	Import Financial Transactions	Interface with external systems to receive AR financial transactions including invoice/debit memos, cash receipts/credit memos and collection activity
3	Transfer Financial Transactions	Within the AR system, transfer misapplied cash receipts or move other AR financial transactions recorded to the wrong customer account.
32	Record Customer Refund Request	Create a refund request for a customer account that has an overpayment or credit balance and send the information to an external system for the issuance of a check.
62	Transaction Batch Processing	Validate the AFRS coding distribution for AR financial transactions that are grouped into batches and create posting files to send to the AFRS General Ledger.

Functional
Requirements

Use Case #	Use Case Name	Description
57	Review & Approve Financial Transaction Batch	Review and approve AR financial transaction batches for posting to AR and to GL.
12	Cancel Financial Transactions	Cancel Invoice/Debit Memo, Receipt/Credit Memo, Chargeback and Return, Write-Off, Refund Request within <i>OPEN AR PERIODS</i> .
58	Inquire / View Financial Transaction	Search for financial transactions in the AR system using various selection criteria.
23	Perform Credit Review and Aging	Maintain and apply the credit review process to age customer receivables, apply finance/interest/penalty charges, generate notifications and assign to collections.
50	Close the Period	Perform end of period processing for the AR system to produce monthly balances, statistics, period reports and reconciliations.
40	Maintain System Security	Maintain user access to the system and its functions and data.
41	Maintain System User Screens	Maintain the behavior (data entry, business rules) of primary GUI's for the AR system.
63	Configure Audit Logging	Maintain tracking of user changes to data in the AR system.
64	Configure Reporting	Maintain ability for users to generate reports from within the AR system.
43	Maintain System (Standard) Reports	Maintain operational reports (minimum set of reports) required of the AR system.



5.3.1. Maintain Agency

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	39	MAINTAIN AGENCY	Set up a new agency to use the system
Essential	39.1	Allow a user to set up an agency to use the AR system—specify agency information.	Remittance address, standard forms, batch numbering, document numbering.
Essential	39.2	Support the use of AFRS coding elements for AR accounting.	Ability to set up GL chart of accounts including master index and program index.
Essential	39.3	Allow for configuration of system transaction codes utilizing AFRS transaction codes.	Map default receipt transaction codes for invoice/debit memos.
Essential	39.4	Support configuration of default AFRS selection criteria.	Criteria—biennium, document type, customer class.
Essential	39.5	Allow for the configuration of receivable processing.	Receivable business rules, attributes, text for reporting.
Essential	39.6	Allow for the configuration of cash processing.	Entry of cash, application of cash, deposit of cash—rules.
Essential	39.7	Allow for the configuration of credit management.	Aging, credit rules, finance charges, text for reporting.
Essential	39.8	Allow for the configuration of tax processing.	Tax rate table.
Essential	39.9	Support the organizational structure of an agency.	Ability to set up responsibility centers, cost centers, profit centers for reporting customer and financial activity.

5.3.2. Maintain Customer

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	1	MAINTAIN CUSTOMER	Maintenance (add, edit) of the non-financial Customer information: Identification (name, id), address, Notes, Terms, Relationships, Defaults
1-Essential	1.1	Allow a user to record or update customer.	
1-Essential	1.2	Not allow duplicate customer records in the system.	Must define business rules around what is customer and what is account.
1-Essential	1.3	Allow for manual or automated assignment of unique customer identifier.	
1-Essential	1.4	Allow for customer accounts to be open (active) or closed (inactive).	
1-Essential	1.5	Allow the user to record customer defaults and parameters.	Customer class, interest processing, print options.
1-Essential	1.6	Allow a user to maintain billing information (billing terms, cycle, fees) for a customer and customer class.	
1-Essential	1.7	Allow a user to maintain sales tax processing information for customer.	
1-Essential	1.8	Allow recording of user definable fields for a customer record.	
1-Essential	1.9	Allow a user to add a note to a customer account record.	Note fields need to be long text fields—minimum length is 40 chars.
1-Essential	1.10	Allow a user to add an email address for a customer.	
1-Essential	1.11	Allow a user to add a physical address for a customer.	
1-Essential	1.12	Allow for standard and non-standard addresses.	
2-High	1.13	Provide validation of address records based on US Postal standards.	

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
1-Essential	1.14	Allow for multiple address records to be associated with a single customer account record.	
1-Essential	1.15	Allow for multiple customer records to be associated to a single parent customer account record.	
1-Essential	1.16	Allow for the display/view of customer addresses from the customer account screen(s).	
1-Essential	1.17	Allow for the display/view of customer account notes from the customer account screen(s).	
1-Essential	1.18	Allow for the display/view of customer transaction history from the customer account screen(s).	
1-Essential	1.19	Allow a user to print the Customer Account report from the customer account screen(s).	
1-Essential	1.20	Allow a user to print the Customer Notes report from the customer account screen(s).	
1-Essential	1.21	Allow a user to print the Customer Transaction History report from the customer account screen(s).	
1-Essential	1.22	Allow customer records to be associated into multiple levels (parent, child, grandchild) to reflect organizational structure.	

5.3.3. Import Customer

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	2	IMPORT CUSTOMER (ADD/UPDATE)	Accept customer configuration and non-financial information from other billing systems used by state Agencies
1-Essential	2.1	Allow interface to be able to record or update customer.	
1-Essential	2.2	Be able to accept customer changes (adds, updates) from external billing systems.	
1-Essential	2.3	Be able to enforce the business rules from the customer screen(s) to all imported customer records.	
1-Essential	2.4	Be able to reject "bad" transactions in an import file while allowing rest of "good" transactions to pass import process.	
1-Essential	2.5	The system must log errors and warnings from the import process.	
1-Essential	2.6	Support a method to review error messages for an import instance.	
1-Essential	2.7	The system must log file statistics (number of records, date).	
1-Essential	2.8	Support a method to review log statistics.	
1-Essential	2.9	System must accommodate messaging to and from external systems.	



5.3.4. Export Customer Changes

Priority	Ref #	USE CASE NAME Requirement—"The System MUST..."	Description/Example
	60	EXPORT CUSTOMER CHANGES	Transmit customer information to other (external) billing systems used by state Agencies.
4-Low	60.1	Allow a user to export customer changes.	
4-Low	60.2	Be able to generate a file of customer changes (adds, updates) to send to external billing systems.	
4-Low	60.3	Allow for the configuration of selection criteria for determining customer changes to export.	
4-Low	60.4	The system must log errors and warnings from the export process.	
4-Low	60.5	Support a method to review error messages for an export instance.	
4-Low	60.6	The system must log file statistics (number of records, date).	
4-Low	60.7	Support a method to review log statistics.	
4-Low	60.8	System must accommodate messaging to and from external systems.	

5.3.5. Inquire/View Customer

Priority	USE CASE NAME		Description/Example
	Ref #	Requirement—"The System MUST..."	
	59	INQUIRE / VIEW CUSTOMER	Find Customer information by various search criteria.
1-Essential	59.1	Allow inquiry (search and view) of customers.	
1-Essential	59.2	Support multiple views of Customer records—Non-Financial (Customer Header), Financial (Customer Balance/Transactions).	
1-Essential	59.3	Allow minimum inquiry selection criteria to include agency, division, customer name, customer class, customer ID.	
1-Essential	59.4	Allow for the configuration of business rules for the customer inquiry screen(s).	
1-Essential	59.5	Allow configured business rules to be applied to the inquiry screen(s).	
1-Essential	59.6	Allow for the display of error messages on the inquiry screen(s) due to application of business rules.	
1-Essential	59.7	Allow user to enter values for selection criteria.	
1-Essential	59.8	Allow the use of wild card searches.	
1-Essential	59.9	The system must allow inquiry result set to be viewed in a scrollable display.	
1-Essential	59.10	Allow the user to drill down on selected customer in return set.	
1-Essential	59.11	Allow the user to navigate to related views (customer, transaction history) from the Inquiry screen(s).	

5.3.6. Configure Receivables

Priority	Ref #	USE CASE NAME Requirement—"The System MUST..."	Description/Example
	36	CONFIGURE RECEIVABLES	Establish logical groupings and business rules for Receivables to support business and financial processing
1-Essential	36.1	Allow a user to define a receivable.	Name, Description, Type, classification, effective date, status.
1-Essential	36.2	Allow the user to define receivables for major services or products.	Receivable Types—Commercial Vehicle Penalty, Fire Training Classes.
1-Essential	36.3	Allow the user to define receivables for agency organizational structures.	Receivable Types—Division of Banks, Division of Consumer Services, District.
1-Essential	36.4	Support configuration of all agency receivables.	
1-Essential	36.5	Do not allow duplicate receivables to be set up.	
1-Essential	36.6	Allow receivable to be open (active) or closed (inactive).	
1-Essential	36.7	Allow maintenance of receivable billing and collection text for reporting.	Invoice Text, Collection Notice Text.
4-Low	36.8	Allow the user to maintain receivables pricing information.	Service/Product Unit of measure, Unit Price.
1-Essential	36.9	Allow the user to maintain receivables default AFRS coding.	Criteria—Biennium, Document Type, Customer Class.
1-Essential	36.10	Allow multiple lines of AFRS default coding per receivable.	
1-Essential	36.11	Support receivable price allocation across default AFRS distributions.	Designated percentages, sum must be 100%.
1-Essential	36.12	Allow configuration of Interest Charge processing.	
1-Essential	36.13	Allow configuration of sales tax processing business rules at receivables level.	

5.3.7. Maintain Recurring Invoices

Priority	Ref #	USE CASE NAME Requirement—"The System MUST..."	Description/Example
	5	MAINTAIN RECURRING INVOICES	Maintain a template to auto generate customer invoices Facilitates repetitive billing of customers.
1-Essential	5.1	Allow the user to maintain recurring invoices.	Can be used for multiple customers—requires standard pricing.
1-Essential	5.2	Allow the user to maintain customer recurring invoice.	Used for single customer—facilitates non-standard pricing.
.1-Essential	5.3	Allow a user to generate regular customer invoice from recurring invoice template.	
1-Essential	5.4	Allow the user to designate the cycle/frequency/duration for use of the invoice template.	
1-Essential	5.5	Support the ability to do a global update to a value for a particular field for all templates in a batch.	

5.3.8. Record AR Customer Receivable (Invoice/Debit Memo)

Priority	Ref #	USE CASE NAME Requirement—"The System MUST..."	Description/Example
	4	RECORD AR CUSTOMER RECEIVABLE	Create an AR financial transaction (invoice or debit memo) that produces or increases a customer receivable.
1-Essential	4.1	Allow a user to record an invoice (document).	
1-Essential	4.2	Allow a user to record a debit memo (document).	
1-Essential	4.3	Not allow duplicate customer invoice/debit memo records to be entered and saved.	
1-Essential	4.4	Allow positive receivable adjustments (debit memos) to be associated to an original receivable document (invoice).	
1-Essential	4.5	Allow the user to add a new customer account "on the fly" from the Invoice Customer screen(s).	



Priority	Ref #	USE CASE NAME Requirement—"The System MUST..."	Description/Example
1-Essential	4.6		Allow override of customer "bill to" address for invoice to be any valid address for that customer.
1-Essential	4.7		Allow a user to add notes to a document, both posted and un-posted documents.
1-Essential	4.8		Allow a user to add billing message text to a document.
1-Essential	4.9		Allow for multiple financial line items (services/products) to be entered on an invoice/debit memo.
1-Essential	4.10		Allow for a financial line item to be associated to multiple invoice accounting line items (AFRS General Ledger distributions).
1-Essential	4.11		Allow the copying of a financial line item to create an additional financial line item (services/products)
1-Essential	4.12		Allow the copying of an accounting line item (AFRS GL distribution) to create an additional accounting line item.
1-Essential	4.13		Allow the defaulting of AFRS coding elements for the accounting line item based on Receivable type.
1-Essential	4.14		Allow the user to modify the default AFRS coding on an accounting line item.
2-High	4.15		Allow for the suppression of financial line items from printing on the customer documents.
2-High	4.16		Allow for inclusion of accounting line items (AFRS general ledger distributions) for printing on the customer documents.
1-Essential	4.17		Allow a user to print a customer invoice/debit memo.
1-Essential	4.18		Allow customer receivable documents of similar types to be grouped into batches for processing.

5.3.9. Records Miscellaneous Receivable (Non-customer)

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	6	RECORD MISCELLANEOUS RECEIVABLE (NON-CUSTOMER)	Create an AR financial transaction that produces a receivable that is not tracked to a specific customer account.
2-High	6.1	Allow a user to record a miscellaneous receivable document (not associated to a specific customer account).	
1-Essential	6.2	Require a user to enter the AFRS coding distribution for a miscellaneous receivable (no defaults).	
1-Essential	6.3	Not allow duplicate miscellaneous receivable documents to be entered and saved.	
1-Essential	6.4	Allow a user to add notes to a document.	
1-Essential	6.5	Allow a user to add billing message text to a document.	
1-Essential	6.6	Allow for multiple financial line items (services/products) to be entered on a miscellaneous receivable document.	
1-Essential	6.7	Allow multiple AFRS coding distributions (accounting line items) per miscellaneous receivable financial line item.	
1-Essential	6.8	Allow the copying of a financial line item to create an additional financial line item (services/products).	
1-Essential	6.9	Allow the copying of an accounting line item (AFRS GL distribution) to create an additional accounting line item.	
1-Essential	6.10	Allow a user to print the Miscellaneous Receivables report.	
1-Essential	6.11	Allow multiple miscellaneous receivable documents to be associated into a single batch for processing.	



5.3.10. Maintain Cash Processing

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	14	MAINTAIN CASH PROCESSING	Establish the rules around the recording of cash receipts
1-Essential	14.1	Support AR (customer) and non-AR cash processing.	
1-Essential	14.2	Support multiple customer cash application methods.	
1-Essential	14.3	Allow open item cash application.	
1-Essential	14.4	Allow balance forward cash application.	
1-Essential	14.5	Support configuration of customer cash application methods at document (invoice/debit memo) level.	
1-Essential	14.6	Support configuration of customer cash application methods at line item level.	
1-Essential	14.7	Allow for application of cash receipt automatically (undirected) based on business rule configuration.	
1-Essential	14.8	Allow for application of cash receipt manually (directed).	Apply to selected invoice(s).
1-Essential	14.9	Allow for the review of cash receipt batches (AR customer, non-AR customer, miscellaneous).	
1-Essential	14.10	Allow for the recording of unassigned cash.	Unassigned cash is a receipt that has not been assigned to a customer.
1-Essential	14.11	Allow for the recording of unapplied customer cash (overpayment, deposit).	Unapplied cash is assigned to a customer but is not applied or partially applied to an open item.
1-Essential	14.12	Allow configuration of business rules on application of unapplied cash.	
1-Essential	14.13	Allow user to configure default AFRS coding for unapplied customer cash.	
1-Essential	14.14	Allow user to configure default AFRS coding for non-AR customer cash.	
1-Essential	14.15	Support application of unapplied cash across customers, invoices, and receivables.	
2-High	14.16	Allow user to configure default AFRS coding for non-agency cash receipts.	
1-Essential	14.17	Allow user to configure default AFRS coding for miscellaneous cash receipts (non-customer).	
1-Essential	14.18	Provide integration to 3 rd party eBanking application – credit/debit card	

5.3.11. Record AR Customer Cash Receipt/Credit Memo

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	15	RECORD AR CUSTOMER CASH RECEIPT / CREDIT MEMO	Record and Apply a cash receipt/credit memo to an original AR document for a customer account (reduce the balance the customer owes)
1-Essential	15.1	Allow a user to create an AR customer cash receipt/credit memo.	
1-Essential	15.2	Require an AR customer cash receipt/credit memo to be associated to an original receivable document (invoice).	
1-Essential	15.3	Not allow duplicate customer cash receipt/credit memo to be entered and saved.	
1-Essential	15.4	Allow a user to add notes to cash receipt/credit memo document.	
1-Essential	15.5	Allow a user to modify the AFRS GL distribution defaulted from the associated original document.	
1-Essential	15.6	Allow a user to print a Cash Receipt/Credit Memo from the Cash Receipt screen(s).	
1-Essential	15.7	Allow multiple receipts to be associated into a single batch for processing.	
1-Essential	15.8	Allow a customer cash receipt to be applied to AR (Invoice) and non-AR.	



5.3.12. Record Non-AR Customer Cash Receipt

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	61	RECORD NON-AR CUSTOMER CASH RECEIPT	Record and Apply a cash receipt/credit memo to a customer account but not to an original AR document (reduce the balance the customer owes)
1-Essential	61.1	Allow a user to create a non-AR customer cash receipt/credit memo.	
1-Essential	61.2	Not allow duplicate non-AR customer cash receipt documents to be entered and saved.	
1-Essential	61.3	Allow a non-AR customer cash receipt to be closed without being applied to open items.	
1-Essential	61.4	Allow a user to add notes to the non-AR customer cash receipt document.	
1-Essential	61.5	Allow user to modify default AFRS GL distribution.	
1-Essential	61.6	Allow for multiple financial line items (services/products) to be entered on a non-AR customer cash receipt document.	
1-Essential	61.7	Allow multiple AFRS coding distributions (accounting line items) per cash receipt financial line item.	
1-Essential	61.8	Allow the copying of a financial line item to create an additional financial line item (services/products).	
1-Essential	61.9	Allow the copying of an accounting line item (AFRS GL distribution) to create an additional accounting line item.	
1-Essential	61.10	Allow user to print Customer Cash Receipt report.	
1-Essential	61.11	Allow multiple non-AR cash receipt documents to be associated into a single batch for processing.	

5.3.13. Record Miscellaneous Cash Receipt (Non-customer)

		USE CASE NAME	
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	16	RECORD MISCELLANEOUS CASH RECEIPT (NON-CUSTOMER)	Record non-customer specific cash receipts
1-Essential	16.1	Allow a user to record miscellaneous cash receipt document.	
1-Essential	16.2	Not allow duplicate miscellaneous cash receipt documents to be entered and saved.	
1-Essential	16.3	Allow a user to add notes to the miscellaneous cash receipt document	
1-Essential	16.4	Allow user to modify default AFRS GL distribution.	
1-Essential	16.5	Allow for multiple financial line items (services/products) to be entered on a miscellaneous cash receipt document.	
1-Essential	16.6	Allow multiple AFRS coding distributions (accounting line items) per miscellaneous cash receipt financial line item.	
1-Essential	16.7	Allow the copying of a financial line item to create an additional financial line item (services/products).	
1-Essential	16.8	Allow the copying of an accounting line item (AFRS GL distribution) to create an additional accounting line item.	
1-Essential	16.9	Allow user to print Miscellaneous Cash Receipt report.	
1-Essential	16.10	Allow multiple miscellaneous receipt documents to be associated into a single batch for processing.	

5.3.14. Record Miscellaneous Case Receipt (Non-agency)

		USE CASE NAME	
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	65	RECORD MISCELLANEOUS CASH RECEIPT (NON-AGENCY)	
2-High	65.1	Allow a user to record a cash receipt that belongs to another agency.	
2-High	65.2	Allow user to print Miscellaneous Non-Agency Cash Report.	
2-High	65.3	Be able to produce a Non-Agency Receipt transaction file for transmittal to another agency.	

5.3.15. Record Chargeback and Return

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	54	RECORD CHARGEBACK AND RETURNS	Record charge backs (re-bill for customer underpayment) and returns (returned bank item - NSF, closed account)
1-Essential	54.1	Allow a user to record a chargeback or return.	
1-Essential	54.2	Allow for the configuration of business rules to be applied to the Chargeback and Return screen(s).	
1-Essential	54.3	Allow multiple chargeback and return documents to be associated into a single batch for processing.	
1-Essential	54.4	Allow a chargeback or return to be associated to original receipt(s) document.	
1-Essential	54.5	Allow a user to modify the default AFRS GL distribution.	
1-Essential	54.6	Allow a user to add billing message text to a document.	
1-Essential	54.7	Allow a user to add notes to a document.	

5.3.16. Import Financial Transactions

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	56	IMPORT FINANCIAL TRANSACTIONS	Interface with external systems to receive AR financial transactions including invoice/debit memos, cash receipts/credit memos, and collection activity.
1-Essential	56.1	Be able to accept AR financial transactions or AR financial with related accounting transactions from external systems.	
1-Essential	56.2	Allow for import of invoice/debit memo transaction file from external billing systems.	
2-High	56.3	Allow for import of miscellaneous receivable transaction file from external system.	
1-Essential	56.4	Allow for import of receipt/credit memo transaction file from external cashiering systems.	
1-Essential	56.5	Allow for import of miscellaneous receipts transaction file from external system.	
1-Essential	56.6	Allow for import of collection activity transaction file from 3rd party collectors.	
1-Essential	56.7	Allow for import of refund issuance transaction file from external accounts payable system.	
1-Essential	56.8	Be able to enforce the business rules from the appropriate financial transaction screen(s) to all imported financial transaction records.	
1-Essential	56.9	Be able to reject "bad" transactions in an import file while allowing rest of "good" transactions to pass import process.	
1-Essential	56.10	The system must log errors and warnings from the import process.	
1-Essential	56.11	Support a method to review error messages for an import instance.	
1-Essential	56.12	System must accommodate messaging to and from external systems.	
1-Essential	56.13	Support multiple forms of payment—check, debit card, credit card.	

5.3.17. Transfer Financial Transactions

Priority	Ref #	USE CASE NAME Requirement—"The System MUST..."	Description/Example
	3	TRANSFER FINANCIAL TRANSACTIONS	Within the AR system, transfer misapplied cash receipts or move other AR financial transactions recorded to the wrong customer account.
1-Essential	3.1	Allow a user to configure business rules for transferring AR financial transactions.	
1-Essential	3.2	Allow a user to transfer posted AR financial transactions.	
1-Essential	3.3	Not allow a user to transfer an un-posted AR financial transaction.	
1-Essential	3.4	Allow a user to transfer misapplied cash receipts/credit memos.	
1-Essential	3.5	Allow a user to transfer invoices/debit memos between customer accounts.	
1-Essential	3.6	Support tracing of transfer activity by user.	
1-Essential	3.7	Allow a user to record AFRS coding for "Transfer To" transaction.	

5.3.18. Record Customer Refund Request

		USE CASE NAME	
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	32	RECORD CUSTOMER REFUND REQUEST	Create a refund request for a customer account that has an overpayment or credit balance and send the information to an external system for the issuance of a check.
1-Essential	32.1	Allow user to record a customer refund request.	
1-Essential	32.2	Allow for the configuration of business rules to be applied to the Refund Request screen(s).	
1-Essential	32.3	Allow multiple refund documents to be associated into a single batch for processing.	
1-Essential	32.4	Allow for the generation of a refund request file to be sent to an external accounts payable application.	
1-Essential	32.5	Allow a user to modify the default AFRS GL distribution.	
1-Essential	32.6	Allow a user to add notes to a document.	



5.3.19. Transaction Batch Processing

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	62	TRANSACTION BATCH PROCESSING	Validate the AFRS coding distribution for AR financial transactions that are grouped into batches and create posting files to send to the AFRS General Ledger.
1-Essential	62.1	Allow a user to process (validate) a batch of AR documents.	
1-Essential	62.2	Allow a user to update un-posted documents.	
1-Essential	62.3	Not allow a user to update posted documents.	
1-Essential	62.4	Allow for validation of document accounting line items (AFRS coding elements) against AFRS tables.	
1-Essential	62.5	Allow for the display of error messages from AFRS validation on user screen(s).	
1-Essential	62.6	Not allow a batch to be closed and sent for review and approval until it passes AFRS edit validation.	
1-Essential	62.7	Allow a user to add notes to a batch.	
1-Essential	62.8	Allow a user to print the Batch Validation Edit report.	
1-Essential	62.9	Allow the generation of customer statements from the processing of a financial transaction batch.	

5.3.20. Review and Approve Financial Transaction Batch

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	57	REVIEW & APPROVE FINANCIAL TRANSACTION BATCH	Review and approve AR financial transaction batches for posting to AR and to GL
1-Essential	57.1	System must allow establishing business rules for posting of all document types.	
1-Essential	57.2	Provide the ability to produce a financial transaction file for transmittal to AFRS GL.	
1-Essential	57.3	Provide the ability to produce a refund request file for transmittal to an external AR system.	
1-Essential	57.4	Allow review and approval of closed AR transaction batches.	
1-Essential	57.5	Enforce business rules on approver edits to transaction batch.	
1-Essential	57.6	Allow the reviewer/approver to reject an AR transaction batch.	
1-Essential	57.7	Allow a reviewer/approver to add notes to an AR transaction batch.	
1-Essential	57.8	Allow a reviewer/approver to post an AR transaction batch and update customer account balances.	
1-Essential	57.9	Allow an AR transaction batch to bypass/not be posted to AFRS GL.	
1-Essential	57.10	Allow notification of the transaction entry person when a batch has been rejected.	
1-Essential	57.11	Allow notification of the reviewer/approver when a batch has been closed.	
1-Essential	57.12	System must freeze all transaction activity for batches after posting (excluding recording of batch notes).	
4-Low	57.13	Support configuration of business rules defining which batch transaction fields can be edited by an approver.	



5.3.21. Cancel Financial Transaction

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	12	CANCEL FINANCIAL TRANSACTION	Cancel Invoice/Debit Memo, Receipt/Credit Memo, Chargeback and Return, Write-Off, Refund Request within OPEN AR PERIODS
1-Essential	12.1	Allow the cancellation of a posted financial transaction.	
1-Essential	12.2	The system must create reversing financial and accounting transactions for a cancellation.	
1-Essential	12.3	The system must use the AFRS coding elements from the original transaction on the reversal transactions.	
1-Essential	12.4	Allow for validation of document AFRS coding elements against AFRS tables.	
1-Essential	12.5	Allow a user to record the reason for the cancellation.	



5.3.22. Inquire/View Financial Transaction

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	58	INQUIRE / VIEW FINANCIAL TRANSACTION	Search for financial transactions in the AR system using various selection criteria
1-Essential	58.1	Allow inquiry (search and view) of financial transactions.	
1-Essential	58.2	Support multiple views of Financial transaction data—transaction, document, batch.	
1-Essential	58.3	Allow inquiry selection criteria for financial transactions to include agency, fiscal monthly/biennium, AR type, batch, document.	
1-Essential	58.4	Allow user to enter values for selection criteria.	
1-Essential	58.5	Allow the use of wild card searches.	
1-Essential	58.6	System must edit search criteria and display error message when criteria is invalid.	
1-Essential	58.7	The system must allow inquiry result set to be viewed in a scrollable display.	
1-Essential	58.8	Allow the user to drill down on Financial Transactions in return set.	
1-Essential	58.9	Allow the user to navigate to related objects (customer, batch, document) from the Inquiry screen(s).	

5.3.23. Perform Credit Review and Aging

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	23	PERFORM CREDIT REVIEW AND AGING	Maintain and apply the credit review process to age customer receivables, apply finance/interest/penalty charges, generate notifications, and assign to collections.
1-Essential	23.1	Allow the aging of customer account receivables using industry standard age categories.	
1-Essential	23.2	Allow the assessment of finance charges based on the configuration of credit rules.	
3-Medium	23.3	Allow a user to view the aging of customer account balances online.	
1-Essential	23.4	Allow the configuration of late payment and statement text.	
1-Essential	23.5	Allow user to print past due notices (Dunning Letters).	
1-Essential	23.6	Allow use of Dunning Letters specific to aging category.	
1-Essential	23.7	Allow report selection criteria that includes AR type, customer ID, minimum balance, fiscal month and biennium, aging category.	
1-Essential	23.8	Support the selection of report format based on agency, organization, AR type, receivable class.	
1-Essential	23.9	Allow customer account balances to be assigned to collections.	
1-Essential	23.10	Allow transmission of customer account information to third party collection agencies.	
1-Essential	23.11	Allow customer account balances to be written-off.	
1-Essential	23.12	Allow for the recording of third party collection activity.	

5.3.24. Close the Period

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	50	CLOSE THE PERIOD	Maintain and apply the credit review process to age customer receivables, apply finance/interest/penalty charges, generate notifications, and assign to collections.
1-Essential	50.1	Allow for restriction of access to the Close the Period screen(s).	
1-Essential	50.2	The system must allow for closing the day and reporting daily totals.	
1-Essential	50.3	Allow for closing of the AR period (fiscal month) to update record statuses and customer period statistics.	
1-Essential	50.4	The system must provide system to system (AR-GL) reconciliation reports.	
1-Essential	50.5	Allow for closing the Biennium.	
1-Essential	50.6	Allow for archiving historical data.	
2-High	50.7	Allow for purging of historical data.	
2-High	50.8	Provide system performance reports.	
2-High	50.8	Allow configuration of business rules for records retention.	



5.3.25. Maintain System Security

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	40	MAINTAIN SYSTEM SECURITY	Maintain user access to the system and its functions and data.
1-Essential	40.1	Allow for establishment of security groups.	
1-Essential	40.2	Allow assigning users to security groups.	
1-Essential	40.3	Allow establishing access rights by security group.	
1-Essential	40.4	Support role based access to system objects (screens, menus, reports).	
1-Essential	40.5	The solution should support role based access (security) to data.	
1-Essential	40.6	Support "Single Sign-On" authentication.	
1-Essential	40.7	Allow establishing user Ids limiting access by agency.	
1-Essential	40.8	Allow establishing user Ids for system administrator with access to all agencies.	
1-Essential	40.9	Allow establishing user Ids for agency administrator with access to a single agency.	

5.3.26. Maintain System User Screens

Priority	Ref #	USE CASE NAME	
		Requirement—"The System MUST..."	Description/Example
	41	MAINTAIN SYSTEM USER SCREENS(S)	Maintain the behavior (data entry, business rules) of primary GUI's for the AR system
1-Essential	41.1	Allow for the configuration of user definable fields for primary screen(s).	
1-Essential	41.2	Allow functions (auto populate, copy) that reduce manual data entry on primary screen(s).	
1-Essential	41.3	Allow for the configuration of business rules for primary screen(s).	
1-Essential	41.4	Allow configured business rules to be applied to primary screen(s).	
1-Essential	41.5	Allow for the display of error messages on the primary screen(s) forms due to application of business rules.	
1-Essential	41.6	Allow for configuration of required vs. optional data elements on primary screen(s).	
2-High	41.7	Allow the user to establish logon preferences for the presentation of the system desktop.	
2-High	41.8	Allow configuration of application session time out settings.	
2-High	41.9	Allow implementation of application session time out rules by agency.	

5.3.27. Configure Audit Logging

Priority	Ref #	USE CASE NAME	
		Requirement—"The System MUST..."	Description/Example
	63	CONFIGURE AUDIT LOGGING	Maintain tracking of user changes to data in the AR system.
1-Essential	63.1	Allow for configuration of audit trail data elements for primary screen(s).	
1-Essential	63.2	Allow a user to display/view the audit log for an agency record.	
1-Essential	63.2	Allow a user to display/view the audit log for a customer record.	
1-Essential	63.4	Allow a user to display/view the audit log for a batch.	

5.3.28. Configure Reporting

Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	64	CONFIGURE REPORTING	Maintain ability for users to generate reports from within the AR system.
1-Essential	64.1	Allow for the configuration of business rules to determine the appropriate agency form to run from a print command issued through a screen(s) form.	
1-Essential	64.2	Allow the determination of a report format based on type of financial transaction (document).	
1-Essential	64.3	Allow the determination of a report format based on agency.	
1-Essential	64.4	Support different report destination types—display, printer, network file.	
1-Essential	64.5	Allow for the configuration of report destinations, i.e., network printers, network file folders.	
1-Essential	64.6	Support different report output formats—Crystal, Excel, Word, PDF, HTML.	
1-Essential	64.7	Allow a user to print batches of financial transactions.	Invoices, debit memos, credit memos, chargeback and return, write-offs, refund requests, transfers.
1-Essential	64.8	Allow a user to choose which batches to include in the print run.	
1-Essential	64.9	Allow the batch reporting request to run in the background on the server machine.	
1-Essential	64.10	Allow the configuration of report destinations for a batch report request.	
3-Medium	64.11	Allow the batch reporting request to be scheduled.	
1-Essential	64.12	Allow selection criteria for limiting the documents included in the batch print request.	
1-Essential	64.13	Allow for a method to run reports On-Demand.	
1-Essential	64.14	Allow selection criteria for limiting the records included in an On-Demand report request.	
1-Essential	64.15	Allow for reports to be designated as on demand or not.	

1-Essential	64.16	Allow the configuration of report destinations for an On Demand report.
1-Essential	64.17	Allow the user to print to a local printer and bypass configured report destinations.
1-Essential	64.18	Support application process cycle reporting by having report generation at end of application cycles.
1-Essential	64.19	Support matched business process reporting between applications (i.e. transactions posted—AR to GL).
1-Essential	64.20	Allow a user to view an On Demand Report Instance.
1-Essential	64.21	Allow the report data to be saved with the report instance.

5.3.29. Maintain System Standard Reports

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
	43	MAINTAIN SYSTEM (STANDARD) REPORTS	Identify minimum set of reports required of the AR system.
1-Essential	43.1	Have a standard Customer Account form	Report of customer non-financial information (name, addresses, notes, related customers, etc) -
1-Essential	43.2	Have a standard Customer Statement form	Report of customer header (name, address, etc), customer account balance, and financial activity for a specific time period.
1-Essential	43.3	Have a standard Customer Transaction History form	Report of customer header (name, address, etc), customer account balance, and financial activity for multiple periods.
1-Essential	43.4	Have a standard Invoice form	
1-Essential	43.5	Have a standard Debit memo form	
1-Essential	43.6	Have a standard Credit memo form	
1-Essential	43.7	Have a standard Cash Receipt form	A walk-in single customer cash receipt.

Functional
Requirements

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
1-Essential	43.8	Have a standard Cash Batch form	Report the cash financial transactions.
1-Essential	43.9	Have a standard Batch Validation form	Report the result of running the validation of the accounting information. The AFRS Error Report is an example.
1-Essential	43.10	Have a standard Deposit form	Report multiple cash receipts, similar to a bank deposit slip.
1-Essential	43.11	Have a standard Transaction Batch form	Report the financial and accounting information. An example is the current AR Batch Edit report.
1-Essential	43.12	Have a standard Unapplied (overpay/deposit) Cash form	An example is the current Overpay/Deposit Listing Report.
1-Essential	43.13	Have a standard Transferred form	Report the "from" and "to" activities transferred.
1-Essential	43.14	Have a standard Receipt Transaction form	Report one receipt in a batch and what invoice it was processed/applied against.
1-Essential	43.15	Have a standard Refund Request Transaction form	Report the information necessary to request the generation of a refund.
1-Essential	43.16	Have a standard Adjustments Transaction form	Report the information relating to the adjustments transaction.
1-Essential	43.17	Have a standard Collection Activity Transaction form	Report the information relating to the collection activity.
1-Essential	43.18	Have a standard Write-offs Transaction form	
1-Essential	43.19	Have a standard Dunning Letter form	
1-Essential	43.20	Have a standard (Agency) Aged AR Details form	Report aged items by customer.
1-Essential	43.21	Have a standard (Agency) Aged AR Summary form	Report aged items by period or by customer class.



Functional
Requirements

USE CASE NAME			
Priority	Ref #	Requirement—"The System MUST..."	Description/Example
1-Essential	43.22	Have a standard (Agency) Aged AR by GL distribution form	
1-Essential	43.23	Have a standard Customer Statements to Print (listing) form	
1-Essential	43.24	Have a standard Dunning Letters to Print (listing) form	
1-Essential	43.25	Have a standard Sales Tax Receipts Form	
1-Essential	43.26	Have a standard Customer Notes form	
1-Essential	43.27	Have a standard Cash Receipts Journal Summary form	
1-Essential	43.28	Have a standard AR Accounting Activities form	Report all or specific type "posted" accounting activities by fund/GL for a specified period. For example, AR Activity by Fund/GL Report.
1-Essential	43.29	Have a standard AR Accounting Balances form	Report all or specific type "posted" accounting balance by fund/general ledger for a specified period.
1-Essential	43.30	Annual A/R reports for the CAFR – Write offs for the year.	Report detailing the write offs that occurred for the year listed by reason code.
1-Essential	43.31	Transaction Detail report by program	
1-Essential	43.32	AR Cash Receipts by Service/Product, Organization Structure, and Fund for each fiscal month	
1-Essential	43.33	Non-AR Cash Receipts by Service/Product, Organization Structure, and Fund for each fiscal month	



6. NON-FUNCTIONAL REQUIREMENTS

6.1. Operating Environment

The following table provides a list of the technical and compatibility requirements that an Accounts Receivable system must meet for OFM to classify it as *Operating Effectively*:

Ref #	Requirement– “The Solution Should...”	Comments
OE 1	Run in a currently supported Microsoft environment.	
OE 2	Utilize a manageable application deployment model that can be efficiently managed across agency implementations.	Field locations with different versions of Microsoft operating system software.
OE 3	Be designed to operate in Washington State’s DIS information technology environment including client/server and local area networks.	
OE 4	Be compatible with Washington State’s DIS Desktop Standards.	
OE 5	Be able to integrate with users’ Microsoft desktop software.	

6.2. External Interfaces

OFM will utilize the following interface requirements covering hardware, network, software and user interface requirements in scoring Accounts Receivable Alternative Solutions.

Ref #	Requirement– “The Solution Should...”	Comments
EI 1	Allow access from standard pc hardware across the statewide intergovernmental network (IGN) and through the DIS Fortress server.	
EI 2	Provide an import facility/function/process with appropriate documentation.	
EI 3	Be able to accept (import) appropriately formatted data from other Washington State applications using industry standard formats—XML.	See AR Use Case # 2, Import Customer, and Use Case # 56, Import Financial Transaction.
EI 4	Be able to support Electronic Data Interchange (EDI) with external, 3 rd parties.	Banks, Credit Collection Agencies.
EI 5	Enforce referential integrity of the system database when importing data.	Customer Records, AR Transactions.
EI 6	Provide a user interface that meets the OFM architecture principles for self service applications, informed business decision makers, and presenting a single face to customers.	“Intuitive, helpful and bullet-proof user interfaces...that are tailored to decision makers’ process...[and present] services to customers as an integrated whole instead of separate products on separate platforms.”

6.3. Availability

The solution must be available, at a minimum, during extended normal business hours, from 6:00 a.m. until 10:00 p.m. Monday through Saturday and 6:00 a.m. to 1:00 p.m. on Sundays.

6.4. Performance

Performance of a system is a result of many factors. A standard for the response time of different transactions has not been set. However, it can be said that response time must be reasonable for all frequently-used transactions and should match or better the current Solomon AR response times.

The solution must afford a way for a system administrator to monitor response time, system use and capacity, concurrent users and system errors.

6.5. Quality

OFM will utilize the following product factors, in addition to other non-functional requirements, to evaluate system quality in scoring Accounts Receivable Alternative Solutions.

Quality -General

Ref #	Requirement– “The Solution Should...”	Comments
QG 1	Ensure that all transactions are subject to reasonable internal controls.	
QG 2	Provide controls that are sufficient to protect OFM and the state, based on associated service level agreements.	Fraud concerns with the issuance of a credit memo to generate a warrant in the form of a refund.
QG 3	Support Generally Accepted Accounting Principles (GAAP).	
QG 4	Support Fund and Government Accounting.	Use data terms and definitions consistent with public sector.
QG 5	Provide the ability to define error and warning messages for configured business rules.	
QG 6	Show error messages that clearly state the problem and remedial action.	
QG 7	Support configuration of user defined data types.	
QG 8	Support the use of custom/user defined lists as a data type.	
QG 9	Support the import of values for custom/user defined lists.	



Quality - Reporting

Ref #	Requirement– “The Solution Should...”	Comments
QR 1	Allow the use of separate data sources for online transaction processing and analytical processing.	
QR 2	Be able to interface with the state of Washington’s Enterprise Reporting Application.	Crystal Enterprise is being evaluated at this time.
QR 3	Provide reports that are compatible with the state of Washington’s Reporting Tool Standards.	
QR 4	Provide standard reports that can be customized using OFM’s preferred Report Writer tool.	
QR 5	Utilize Windows print queues.	

6.6. Maintainability and Support

The following requirements pertaining to OFM architecture principles will be used to score the maintainability and support of Accounts Receivable Alternative Solutions:

Ref #	Requirement– “The Solution Should...”	Comments
MS 1	Follow the Washington State application development standards.	C#, .NET, IIS, SQL Server, Active Directory Authentication, Crystal Enterprise Reporting.
MS 2	Be designed and built using common components that are sharable with other applications to the extent feasible.	
MS 3	Utilize existing OFM common components where possible.	i.e. - Common Authentication, Edit Web Services
MS 4	Use open standards and loose integration (as indicated in other requirements), to minimize the impact of version migration.	
MS 5	Use a layered architecture with clear logical boundaries.	
MS 6	Use message-based and loosely coupled interfaces.	
MS 7	Use event-driven transactions.	
MS 8	Support central administration of system data.	
MS 9	Support central administration of system business rules.	
MS 10	Support all requirements using one instance of the application and one instance of the database	Certain tables may be configured for different agencies.
MS 11	Have vendor support available for system problems and issues.	
MS 12	Be supported by a vendor with a history of stability and a solid financial and competitive position.	
MS 13	Provide a customization or developers toolkit with appropriate documentation.	

6.7. Documentation

OFM will utilize the following documentation requirements in scoring Accounts Receivable Alternative Solutions:

Ref #	Requirement— “The Solution Should...”	Comments
D 1	Provide Installation documentation that allows OFM to install the system and to determine the impact of installation.	Installation Guide
D 2	Provide System documentation that allows OFM to determine the impact of implementation AND the impact of ongoing maintenance and support. Documentation must show: <ul style="list-style-type: none"> How the application is designed conceptually Platforms the application uses How the application can support OFM standard architecture (above) How the application supports external interfaces Development tools needed for application maintenance Any 3rd-party applications embedded in the application The application’s use of controls to assure confidentiality, integrity and availability The application’s use of controls to protect data in transmission and data at rest 	Documentation may take these forms: <ul style="list-style-type: none"> Conceptual solution Object model Data design Security plan Integration design Platform architecture Version release documentation
D 3	Provide comprehensive technical documentation, including but not limited to Customization Guide, Data Dictionary, Data Model.	
D 4	Provide comprehensive operational documentation including but not limited to online help and User Guide. User documentation should clearly describe the procedures that will maintain the operational quality of the system.	User Guide
D 5	Include system administration documentation, including controls and access to system data and reports.	Administrator Guide
D 6	Include Vendor support terms.	



6.8. Security

OFM will utilize the following security element and design requirements in scoring Accounts Receivable Alternative Solutions:

Ref #	Requirement– “The Solution Should…”	Comments
S 1	Allow integration with single sign-on authentication.	
S 2	Follow the security standards of the Washington State Information Services Board published at this link— http://dis.wa.gov//portfolio/word/itsecuritystandards.doc .	
S 3	Support role-based access to system objects (screens, menus, reports) and to system data thus allowing for appropriate segregation of duties.	Protect data from wrongful access, both transactional and query, enforce division of duties and report exceptions.
S 4	Be able to provide alerts/warnings when “division of duty” rules are violated.	
S 5	Include access controls for all data storage and all data transmission.	Protect data from wrongful access.
S 6	Use secure protocols for data transfer between applications.	
S 7	Generate an appropriate audit trail for all transactions that includes “who/what/when/where” information.	See AR Use Case # 63, Configure Audit Logging.
S 8	Deleted – same as non-functional requirement QG 1	
S 9	Provide means to alert/warn users against putting confidential information into the system.	OFM will draft the warning message.

6.9. Implementation

OFM will utilize the following implementation requirements in scoring Accounts Receivable Alternative Solutions:

Ref #	Requirement– “The Solution Should…”	Comments
I 1	Include adequate provision for testing to assure quality and compliance with requirements.	
I 2	Allow an incremental approach to the upgrade and replacement of the system.	
I 3	Include vendor support for implementation.	
I 4	Provide an impact analysis tool with appropriate documentation.	
I 5	Provide a conversion utility with appropriate documentation.	
I 6	Support product suites instead of individual systems, with the goal of one model for service delivery to all customers.	

6.10. Conversion

The data structures of the solution must allow for conversion of current OFM AR data as well as conversions from agency AR systems. Specific requirements of conversion have not been determined.



Appendix A. Requirements Matrix

Washington State Office of
Financial Management
Accounts Receivable—Feasibility
Study

Requirements
Matrix



The Functional and Non-Functional AR Requirements listed in Sections 5 and 6 of this document are contained in an Excel workbook which will be used for maintaining comments and vendor evaluations from the alternatives analysis phase of the project.

The OFM AR Requirements Matrix.xls document is a separate deliverable and resides on the OFM network. The figure below depicts the layout of the AR Requirements Matrix.xls.

Priority	Ref #	USE CASE NAME Requirement - "The System MUST..."	Option 1	Option 2	Option 3	Option 4
	15	RECORD AR CUSTOMER CASH RECEIPT / CREDIT MEMO				
1-Essential	15.1	Allow a user to create an AR customer cash receipt/credit memo				
1-Essential	15.2	Require an AR customer cash receipt/credit memo to be associated to an original receivable document (invoice)				
1-Essential	15.3	Not allow duplicate customer cash receipt/credit memo to be entered and saved				
1-Essential	15.4	Allow a user to add notes to cash receipt/credit memo document				
1-Essential	15.5	Allow a user to modify the AFRS GL distribution defaulted from the associated original document				
1-Essential	15.6	Allow a user to print a Cash Receipt/Credit Memo from the Cash Receipt screen(s)				
1-Essential	15.7	Allow multiple receipts to be associated into a single batch for processing				
1-Essential	15.8	Allow a customer cash receipt to be applied to AR (Invoice) and Non-AR				

Appendix B. Glossary

Ad-Hoc Report—a report that has been created by an individual user to serve the specific needs of that user. The individual user has complete control over the presentation of data on the report. To create an ad-hoc report, a user needs access to a reporting tool and the data to be reported.

Archive—the process of moving selected data from the production system (data base) to another media for long term storage. Archived data can be retrieved and restored to the production system if necessary.

Assigned Cash—is a receipt where a customer has been selected, but the payment has not been applied to open items.

Balance Forward Processing—is a processing method that carries forward a customer's balance. Customers pay toward the outstanding balance, not a specific transaction.

Cancel (Financial Transaction)—complete reversal of a posted AR financial transaction. Original transactions are not deleted from system; instead, cancellation process causes reversal transactions for AR and / or GL to be generated using information from original transaction.

Cash Processing—as the core of the Accounts Receivable application, it consists of entering the cash payments and then applying the payments to the open transactions.

ChargeBack—term given to process of re-billing a customer for items the customer did not pay in full. A chargeback is a debit memo and replaces one or more customer AR open items (documents).

Customer—any person, business, or entity that a state agency charges for services or products and collects money from.

Interactive Report—a report that requires users to specify the values of run-time parameters; primarily record selection criteria, report destination or report format variables. This type of report allows users some (limited) control over the content and presentation of the report.

Miscellaneous Cash Receipt (non-agency)—payments processed by an agency on behalf of another agency.

Miscellaneous Cash Receipt (Non-Customer)—receipts that are not associated with a customer or invoiced item.

Miscellaneous Receivable (Non-Customer)—an AR financial transaction that produces a receivable that is not tracked to a specific customer account.

Non-AR Customer Cash Receipt—a receipt that is associated to a customer account but is not associated to an invoiced item.

Open Item Processing—a processing method that selects specific open items for cash application.

Querying—obtaining/extracting information from databases through the use of a computer language that approximates the structure of natural English, SQL.

Purge—the process of deleting selected data from the archival information cannot be retrieved once purged.

Return—return of customer check by bank to agency due to NSF or closed customer account.

Standard Report—a report that has been created to meet the common needs of a group of users, such as a Division, Agency or the State. Standard reports are secured and cannot be modified by an individual user. A standard report can be run on-demand, on-schedule, or on-event.

Transfer (Financial Transaction)—the process of moving a posted AR financial transaction, usually misapplied cash receipts, from one customer account (transfer from) to another customer account (transfer to).

Unapplied Cash—is released payments assigned to a customer that are unapplied or partially applied to a open items released (or “open”) payments can be unapplied, partially, or fully applied.

Unassigned Cash—is a receipt that has not been assigned to a customer.

Appendix C. AR Requirements Revision Log

Revision Date	Description	By Whom
May 11, 2004	Document updated based on OFM's feedback	Denise Mills
April 30, 2004	Edit after review with OFM	Tom Babington
April 07, 2004	Draft delivered	Tom Babington
April 06, 2004	Template created	Denise Mills
April 05, 2004	Content completed	Tom Babington

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Appendix C. AR
Requirements
Revision Log

