

RFP-CE-OCM

Attachment B

(Requirements Traceability Matrix)

Section 1 Requirements Traceability Matrix for NCS

The Bidder may study the Requirements Traceability Matrix (“RTM”) below in order to understand the features and functionalities required of the NCS. It is provided here as an FYI in this OCM RFP.

The Requirement ID and Reference ID columns are simply unique numbers related to each line item. The Requirement Description is related to the business needs. The other two columns are simply additional information related to each requirement

For purposes of the RTM provided, “System” means the NCS and its sub-systems and interfaces.



Requirement ID	Reference ID	Requirement Description	Business Class	Functional Group used by BA group
Accounting-101	R1-01	System must interface with other systems by importing and exporting data files.	Receivable/Payment Application	
Accounting-102	R1-02	System must import and post various payment file types to accounts.	Receivable/Payment Application	
Accounting-103	R1-03	System must provide a unique payment identifier, which is trackable and associated with that payment for a single posting to an account, or is trackable and associated with that payment to multiple account postings.	Receivable/Payment Application	
Accounting-104	R1-04	System must support the posting of full or partial payment against one or more accounts. System cannot dictate to the user how many accounts a payment will post to or how many payments will post to an account. When user determines that part of a check is not ripe for posting, system supports moving unposted portion to suspense.	Receivable/Payment Application	
Accounting-105	R1-05	System must allow users to move money posted against one account to another account.	Receivable/Payment Application	
Accounting-106	R1-06	System must display a payment posting breakdown from the view of any of the related accounts when a payment is split among multiple accounts.	Receivable/Payment Application	

Accounting-107	R1-07	System must track and sort unposted payments by business class/status. Users must have the ability to post unposted payments.	Receivable/ Payment Application	
Accounting-108	R1-08	System must reconcile incoming payments to postings applied to accounts and unposted payments.	Receivable/ Payment Application	
Accounting-109	R1-09	System must be able to apply payments based on multiple posting rules, allowing payments to automatically/manually post or update the unapplied payment listing.	Receivable/ Payment Application	
Accounting-110	R1-10	System must have the capability to attach or generate a view of documents that are linked to an account.	Receivable/ Payment Application	
Accounting-111	R1-11	System must generate an audit trail of payment postings and processing. Regardless of payment method.	Receivable/ Payment Application	
Accounting-112	R1-12	System must provide a report that shows how posted and unposted transactions reconcile to any payment file.	Receivable/ Payment Application	
Accounting-113	R1-13	System must have the ability to provide an alert when posted and unposted transactions do not reconcile to a payment posting file.	Receivable/ Payment Application	
Accounting-114	R1-14	Users must be able to search payment information by financial institution metadata to identify debtor accounts.	Receivable/ Payment Application	
Accounting-115	R1-15	Users must be able to search debtor demographic and account information.	Receivable/ Payment Application	
Accounting-116	R1-16	System must display original certified debt and any adjustments made.	Receivable/ Payment Application	

Accounting-117	R1-17	System must permit increases or decreases to the balanced owed.	Receivable/ Payment Application	
Accounting-118	R1-18	System must permit posting of a payment to debtor's other outstanding debts.	Receivable/ Payment Application	
Accounting-119	R1-19	User must have the ability to make adjustments and validate them in real-time.	Receivable/ Payment Application	
Accounting-120	R1-20	System must accommodate configurable fee structure for Special Counsel or Third Party Vendor (TPV).	Receivable/ Payment Application	
Accounting-121	R1-21	System must track the assignment or reassignment of accounts to Special Counsel or TPV.	Receivable/ Payment Application	
Accounting-122	R1-22	System must allow users to clear a negative balance on an account.	Receivable/ Payment Application	
Accounting-123	R1-23	System must produce general accounting reports such as balance sheet, accounts payable/receivable, trial balance, and income statement.	Receivable/ Payment Application	
Accounting-124	R1-24	System must interface with financial institutions that hold bank accounts for the AGO.	Receivable/ Payment Application	
Accounting-125	R1-25	System must maintain a client master containing demographic and account information	Receivable/ Payment Application	
Accounting-126	R1-26	System must accommodate various gross up or net against agency fees – make whole, non-make whole, whole dollar partial make whole.	Receivable/ Payment Application	

Accounting-127	R1-27	System must track the assignment and re-assignment of payment adjustments to Special Counsel or TPV.	Receivable/ Payment Application	
Accounting-201	R2-01	System must reflect what has been paid to Clients, Special Counsel, TPV, and the Attorney General's Office (AGO).	Accounts Payable/ Client invoicing	
Accounting-202	R2-02	System must display original certified debt and any adjustments made.	Accounts Payable/ Client invoicing	
Accounting-203	R2-03	System must permit increases or decreases to the balanced owed.	Accounts Payable/ Client invoicing	
Accounting-204	R2-04	System must permit posting of a payment to debtor's other outstanding debts.	Accounts Payable/ Client invoicing	
Accounting-205	R2-05	User must have the ability to make adjustments and validate them in real-time.	Accounts Payable/ Client invoicing	
Accounting-206	R2-06	System must have the ability to recognize there are no fees due to Special Counsel or TPV based on the type of offsets received.	Accounts Payable/ Client invoicing	
Accounting-207	R2-07	System must track the assignment or reassignment of accounts to a Special Counsel or TPV.	Accounts Payable/ Client invoicing	

Accounting-208	R2-08	System must track the assignment and re-assignment of payment adjustments to Special Counsel or TPV.	Accounts Payable/ Client invoicing	
Accounting-209	R2-09	System must track balances from stale dated checks on debtor and other accounts.	Accounts Payable/ Client invoicing	
Accounting-210	R2-10	System must track Accounts Payable for expenses.	Accounts Payable/ Client invoicing	
Accounting-211	R2-11	System must track Accounts Payable for debts collected.	Accounts Payable/ Client invoicing	
Accounting-212	R2-12	System must have the ability to generate invoices and send them electronically or by mail.	Accounts Payable/ Client invoicing	
Accounting-213	R2-13	Invoices/Statements must reflect a due date and days past due.	Accounts Payable/ Client invoicing	
Accounting-214	R2-14	The system's Accounts Payable module must allow adjustment based on configurable Accounts Receivable rules where balances may be automatically amended.	Accounts Payable/ Client invoicing	
Accounting-215	R2-15	System must maintain an outstanding check register. - To track check numbers -To track checks that have cleared -To track outstanding checks	Accounts Payable/ Client invoicing	

Accounting-216	R2-16	The system shall generate a report of Accounts Payable in real-time.	Accounts Payable/ Client invoicing	
Accounting-217	R2-17	The system shall provide data needed to generate 1099 tax information.	Accounts Payable/ Client invoicing	
Accounting-218	R2-18	The system shall generate 1099 tax forms	Accounts Payable/ Client invoicing	
Accounting-219	R2-19	The system shall interface with other systems by importing and exporting data files.	Accounts Payable/ Client invoicing	
Accounting-220	R2-20	The system shall maintain a vendor master file containing demographic and account information.	Accounts Payable/ Client invoicing	
Accounting-221	R2-21	The system shall permit the user to update the status of debtor accounts	Accounts Payable/ Client invoicing	
Accounting-222	R2-22	The users shall have the ability to make adjustments	Accounts Payable/ Client invoicing	
Accounting-223	R2-23	The system shall interface with financial institutions that hold bank accounts for the AGO.	Accounts Payable/ Client invoicing	

Accounting-224	R2-24	The system shall create and track payments to Vendors.	Accounts Payable/ Client invoicing	
Accounting-225	R2-25	The system shall generate payment reports based on funds collected.	Accounts Payable/ Client invoicing	
Accounting-226	R2-26	If a client has a negative balance because of a payment reversal, the system shall reflect the net of payment(s) received. The system shall indicate if a disbursement is due or reflect a balance due.	Accounts Payable/ Client invoicing	
Accounting-227	R2-27	The system shall allow users with permission to adjust balances of Special Counsel or TPVs who no longer are employed by the AGO.	Accounts Payable/ Client invoicing	
Accounting-228	R2-28	The system shall provide invoices and statements showing accrued balance due.	Accounts Payable/ Client invoicing	
Accounting-229	R2-29	The system shall have the ability to generate invoices and statements for AGO fees that are due by clients.	Accounts Payable/ Client invoicing	
Accounting-230	R2-30	The system shall remit payments for indivial line items within an open batch.	Accounts Payable/ Client invoicing	
Accounting-301	R3-01	The system shall import data from spreadsheets or other media that contain payment information.	Direct Payments	
Accounting-302	R3-02	The system shall import data from outside agencies.	Direct Payments	

Accounting-303	R3-03	The system shall generate error reports based on payment updates received by direct pays to clients. The system shall provide an error report on “rejected” items that could not post. The system shall, where feasible, record the reason for rejection on the report, such as “paid-in-full”.	Direct Payments	
Accounting-304	R3-04	The system shall permit the ability to adjust for direct payments to clients. If a direct payment is adjusted, then the allocation of commission and payments shall be adjusted automatically/manually based on the pro-rated amounts due defined by contracts and/or by business rules.	Direct Payments	
Accounting-305	R3-05	The system shall prompt the user to confirm the adjustment of a direct payment prior to completion of the transaction.	Direct Payments	
Accounting-306	R3-06	The system shall not allow direct payments to auto post on a debtor account if the balance due is less than the payment amount.	Direct Payments	
Accounting-307	R3-07	The system shall permit the manual adjustment of commissions when postings are moved between accounts.	Direct Payments	
Accounting-308	R3-08	The system shall permit the manual adjustment of Special Counsel and TPV rates on individual accounts. The system shall require override approval in order to process the transaction.	Direct Payments	
Accounting-309	R3-09	The system shall track the assignment and re-assignment of payment adjustments to Special Counsel or TPV.	Direct Payments	
Accounting-310	R3-10	The system shall interface with other systems by importing and exporting data files.	Direct Payments	
Accounting-311	R3-11	The system shall interface with financial institutions that hold bank accounts for the AGO.	Direct Payments	
Accounting-401	R4-01	The system shall create and track refund payments to persons who are not debtors in the system.	Refunds	
Accounting-402	R4-02	Refund hold times by payment type shall be configurable.	Refunds	
Accounting-403	R4-03	The system shall have the ability to post and then reverse a payment as needed in real-time.	Refunds	
Accounting-404	R4-04	The system shall generate a report of refunds due to debtors by payment type (checks, various offsets). From this report a checks listing shall be generated and sent to the Treasury of State (TOS).	Refunds	

Accounting-405	R4-05	The system shall display an account status of Refund Payment Available when a refund can be made based on the hold periods and business rules.	Refunds	
Accounting-406	R4-06	System shall be based on payment type and have the ability to apply funds to outstanding debts before a refund is generated.	Refunds	
Accounting-407	R4-07	The system shall interface with other systems by importing and exporting data files.	Refunds	
Accounting-408	R4-08	The system shall interface with financial institutions that hold bank accounts for the AGO.	Refunds	
Accounting-409	R4-09	The system shall track the assignment and re-assignment of payment adjustments to Special Counsel or TPV.	Refunds	
Accounting-410	R4-10	The system shall generate a refund reason code.	Refunds	
Compliance-1	1	Update: The vendor must be able to demonstrate competency in, and that the proposed information system is able to attain and maintain compliance with the requirements from; the IRS Office of Safeguards (i.e. IRS Publication 1075, SCSEMS's, etc.) as applicable to the information systems based on the FTI data received, processed, stored, or transmitted by any component of the information system. The vendor will deliver a document that demonstrates (1) out of the box compliance, and (2) a gap analysis for will be delivered by Go Live, and (3) what the vendor does not expect to be able comply with.		
Compliance-10	00.01.01.00	Update: The vendor must be able to demonstrate competency in, and that the proposed information system is able to attain and maintain compliance with the requirements from; Health and Human Services (HHS)/Office of Civil Rights (OCR)(i.e. HIPAA/HITECH/etc.) as applicable to the information systems based on PHI data received, processed, stored, or transmitted by any component of the information system. The vendor will deliver a document that demonstrates (1) out of the box compliance, and (2) a gap analysis for will be delivered by Go Live, and (3) what the vendor does not expect to be able comply with.	ALL	Compliance
Compliance-20	01.01.02.13	Update: The vendor must be able to demonstrate competency in, and that the proposed information system is able to attain and maintain compliance with the requirements from; the Department of Education (i.e. FERPA, etc.) as applicable to the information	All	Compliance

		systems based on ER data received, processed, stored, or transmitted by any component of the information system. The vendor will deliver a document that demonstrates (1) out of the box compliance, and (2) a gap analysis for will be delivered by Go Live, and (3) what the vendor does not expect to be able comply with.		
Compliance-30	01.01.02.14	Update: The vendor must be able to demonstrate competency in, and that the proposed information system is able to attain and maintain compliance with the requirements from; the Department of Education (i.e. FERPA, etc.) as applicable to the information systems based on ER data received, processed, stored, or transmitted by any component of the information system. The vendor will deliver a document that demonstrates (1) out of the box compliance, and (2) a gap analysis for will be delivered by Go Live, and (3) what the vendor does not expect to be able comply with.	All	Compliance
Compliance-40	00.01.02.00	Update:The vendor must be able to demonstrate competency in, and that the proposed information system is able to attain and maintain compliance with the requirements from; Ohio Revised Code (i.e. ORC 1347, etc.) as applicable to the information systems based on PII/CPI data received, processed, stored, or transmitted by any component of the information system. The vendor will deliver a document that demonstrates (1) out of the box compliance, and (2) a gap analysis for will be delivered by Go Live, and (3) what the vendor does not expect to be able comply with.		Compliance
Compliance-50	01.01.02.15	Update: The vendor must be able to demonstrate competency in, and that the proposed information system is able to attain and maintain compliance with the requirements from; Ohio Revised Code (i.e. ORC 1347, etc.) as applicable to the information systems based on PII/CPI data received, processed, stored, or transmitted by any component of the information system. The vendor will deliver a document that demonstrates (1) out of the box compliance, and (2) a gap analysis for will be delivered by Go Live, and (3) what the vendor does not expect to be able comply with.	All	Compliance
Compliance-60	01.01.02.17	Update: System must archive and unarchive accounts. Unarchived accounts must retain all information that existed prior to archiving. Once unarchived, an account is a production account.	All	Compliance
Compliance-70	01.01.02.18	Update: The vendor must be able to demonstrate competency in, and that the proposed information system is able to attain and maintain compliance with the requirements from; the Department of Education (i.e. FERPA, etc.) as applicable to the information systems based on ER data received, processed, stored, or transmitted by any component of the information system. The vendor will deliver a document that demonstrates (1) out	All	Compliance

		of the box compliance, and (2) a gap analysis for will be delivered by Go Live, and (3) what the vendor does not expect to be able comply with.		
Compliance-80	01.01.02.19	Update: The vendor must be able to demonstrate competency in, and that the proposed information system is able to attain and maintain compliance with the requirements from; Ohio Revised Code (i.e. ORC 1347, etc.) as applicable to the information systems based on PII data received, processed, stored, or transmitted by any component of the information system. The vendor will deliver a document that demonstrates (1) out of the box compliance, and (2) a gap analysis for will be delivered by Go Live, and (3) what the vendor does not expect to be able comply with.	All	Compliance
Compliance-90	01.01.02.20	UpdateThe vendor must be able to demonstrate competency in, and that the proposed information system is able to attain and maintain compliance with the requirements from; business compliance (i.e. Taxpayer Bill of Rights, Fair Debt Credit/Collections Protection Act (FDCPA)) and other policies, regulations, and laws as applicable to the information systems based on operation within the prescribed legal frameworks. The vendor will deliver a document that demonstrates (1) out of the box compliance, and (2) a gap analysis for will be delivered by Go Live, and (3) what the vendor does not expect to be able comply with	All	Compliance
Compliance-100	02.01.01.00	Update: The vendor must be able to demonstrate competency in, and that the proposed information system is able to attain and maintain compliance with the requirements from; other policies, regulations, and laws as applicable to the information systems based on data received, processed, stored, or transmitted by any component of the information system, and as required to operate the system legally. The vendor will deliver a document that demonstrates (1) out of the box compliance, and (2) a gap analysis for will be delivered by Go Live, and (3) what the vendor does not expect to be able comply with.	ALL	Compliance
Compliance-110		System must permit user to configure and apply business rules that prohibit assignment of accounts to special counsel or thrid party vendors.	All	
Compliance-120		System must be able to revert (business processes and data) up to 32 days back in time, within 24 hours.		
Compliance-130		Outside of mutually agreed upon scheduled maintenance windows, the System must be available for online access from 6am to 8pm every business work day and 9am to 3 pm		

		on weekends and holidays.		
General-10	00.01.05.00	A relational, scalable, and flexible data base architecture that supports rapid and efficient implementation of required policy and/or programmatic changes	All	General
General-20	02.01.44.00	System must permit user to manually create and modify statuses and flags and assign them to accounts, packets and cases. System must permit user to configure business rules and automatically create, modify and assign statuses and flags to accounts, packets and cases based on system recognition of the business rules.	ALL	General
General-30	04.01.60.00	System must permit user to view archived accounts.	All	General
General-40	00.01.31.00	System must not have a limit on debt types	All	General
General-50	04.01.62.00	System must allocate payments based on business rules.	All	General
General-60	04.01.66.00	System must permit multiple users to view the same account simultaneously but only one user can update the account.	All	General
General-70	04.01.71.00	System must permit user to manually distribute accounts to account representatives and desks. System must permit user to configure business rules for automatic distribution of accounts to account representatives and desks.	All	General
General-80	04.01.72.00	System must permit user to manually restrict/block accounts from being assigned to external agencies or firms. System must permit user to configure business rules and automatically restrict/block accounts from being assigned to external agencies or firms based on system recognition of the application of one or more of the business rules.	All	General
General-90	CE-015	System must permit user to query on any attribute and mass update accounts	LEGAL	General
General-100	CE-046	Data must be converted in current format.	LEGAL	General

General-110	CE-057	System must manually and automatically packet/unpacket unlimited number of accounts and link/unlink unlimited number of packets of accounts into cases based on business rules. System must permit user to manually and automatically put some, but not all packets or related accounts into a case. System must permit independent sets of business rules to apply to the accounts in the case vs. those outside the case.	LEGAL	General
General-120	CE-084	System must enforce the rule that for all forms of payment and offsets which consumer made the payment or offset must be recorded and displayed for user.	LEGAL	General
General-130	02.01.57.00	System must retain and permit user to search and view historical information for an account, i.e. information that has been replaced with more current information.	ALL	General
General-140	CE-175	System must permit user to adjust defunct client codes to zero and track funds reversals on inactive counsel.		General
General-150	00.01.44.00	System must not limit the number of text characters user can enter for account information.	All	General
General-160	CE-204	System must permit the addition, modification and archiving of Special Counsel, Third Party Vendors and Clients. In addition, system must permit user to create fields/customize Client and each Client portfolio and to group Clients by business class.	All	General
General-170	CE-211	System must permit user to select and cancel in mass a group of accounts.	All	General
General-180	00.01.50.00	System must permit management user to monitor and forecast account revenue.	All	General
General-190	00.01.22.00	System must permit user to access help that explains the meanings of statuses/flags placed on an account.	All	General
General-200	00.01.55.00	The outbound correspondence module must permit user to autopopulate information contained on an account into PDF, Word and Excel forms.	All	General

General-210	00.01.56.00	System must interface with a national standardized address module in batch and real-time.		General
General-220	00.01.63.00	System must calculate and accumulate debts at the account, packet and case level.	All	General
General-230		System must interface with a Customer selected skip-trace provider.		
General-240	00.01.66.00	System must permit user to adjust the collection cost, by amount and/or percentage charged the Client.	Accounting	General
General-250	00.01.69.00	System must permit user to enter and edit for a case, packet and account various notes. Notes entered for a case must filter down to its packet and notes entered for a packet must filter down to its accounts. The notes field must have spell-check functionality. System must permit user to create note types, assign a note type to a note and filter notes by type. System must permit user to search and view the notes by content, type, date and date ranges. System must permit user to sort the notes. System must permit user to create standard/unchanging messages/sentences/phrases and to include a standard message in a note, as all or only part of the note.	All	General
General-260	00.01.75.00	System must permit user to add and adjust interest and interest rates based on business rule applicable to Client, business class and/or type of account.	All	General
General-270	02.01.67.00	System must permit user to manually assign accounts to account representatives. System must permit user to configure business rules and automatically assign accounts to account representatives based on system recognition of the application of one or more of the business rules.	ALL	General
General-280	01.01.01.45	System must permit user to send an email to multiple other users.	All	General
General-290	02.01.18.00	Must have the ability to manage different time zone calling of accounts	ALL	General
General-300	02.01.09.00	System must store and update liquor license status information at the account, packet and case level.	BTX, BWC, ODJFS	General

Imaging-10	01.06.01.01	System must provide user a manner in which to view, drag/drop and associate with an account, packet and case uploaded/scanned/mailed documents.	All	Imaging
Interface-10	00.01.25.00	System must interface with U.S. Bankruptcy Court's electronic case filing system and all of the other interfaces listed on the Interface Document.	All	Interface
Legal -10	CE-033	Converted notes must retain their date from the legacy system and appear in chronological order.	LEGAL	Legal
Legal- 20	CE-039	Settlement and payment plan rules must apply to the case, packet and account level.	LEGAL	Legal
Legal -30	CE-044	System must permit user to apply OIC and bankruptcy payments to one or more bucket levels.	LEGAL	Legal
Legal - 40	CE-058	System must permit user to modify all or any portion of a case, packet and/or account, meaning user can adjust, cancel, increase, decrease or zero out all or any one or more balances while leaving others unaffected.	LEGAL	Legal
Legal - 50	CE-115	System must have an Inactive Workgroup where there is unique set of business rules that allows some, but not all collection activities.	LEGAL	Legal
Legal -60	CE-153	On an account's home screen, system must display fields for statute of limitations and tolling updates.	All	Legal
Legal - 70	CE-008	Bankruptcy processing must occur at the case level and automatically cover all related packets/accounts.	LEGAL	Legal
Legal - 80	CE-012	System must permit user to modify or toll a statute of limitations.	LEGAL	Legal
Legal - 90	CE-025	System must permit user to configure and/or revise a payment plan allocation at the bucket level.	LEGAL	Legal
Letters-10	00.01.53.00	System must generate letters manually and automatically. System must enable customizable letter templates. Letter activity must be recorded at the account, packet and case level.	All	Letters
Lien-10	00.01.14.00	System must permit user to manually place, update, renew and release liens and lien information on accounts. System must permit user to configure business rules to automatically place, update, renew and release liens and lien information on accounts. System must permit user to repeatedly switch the delivery method to any of the following three: FTPS, web service and paper.	ALL	Lien

Portal-10	01.01.01.01	System must provide a Client view of the accounts assigned to the AGO by its Clients. System must provide a Special Counsel view and a Third-Party Vendor view of the accounts assigned by the AGO to the Special Counsel and Third-Party Vendor. System must permit user to configure the view for Client, Special Counsel and Third-Party Vendor to include all or some of the functionality available to user, including exporting reports and importing/exporting documents.	All	Portal
Reporting-10	00.01.17.00	Update: System must produce canned and ad hoc reports. Ad hoc reports must be derived from a non-production database refreshed daily. The reporting database must be denormalized to allow for user-derived SQL statements.	All	Reporting