**Project Discovery & Initiation:**

Claims Collection

|  |  |
| --- | --- |
| **Document Author** | Chris Beattie/Devna Chaturvedi/Amanda Hyland |
| **Sponsoring Business Unit** | Axos Fiduciary Services |
| **Business Sponsor** | David Park/Marc Kantor |
| **Daptiv Project #** |  |
| **Vision Canvas #** | 153, 159, 161 |

**Note:** Branch number and Allocation % are required fields. When there are multiple Branch numbers with varied allocations, then the Total Allocation % must be equal to 100%. Cost Center is only to be used by business units such as Commercial, with assigned cost center numbers. Add more rows as needed. Refer to the first two tabs for active Branch and Cost Center info:[Branch Dictionary](https://axosconnect.corp.axosbank.com/_layouts/15/WopiFrame.aspx?sourcedoc=%7b3FA7F0D8-F9B4-4D5A-BE40-5716B30FA533%7d&file=Branch%20Dictionary.xlsx&action=default)

|  |  |  |
| --- | --- | --- |
| **Branch #** | **Cost Center** | **Allocation %** |
| 673 | N/A | 100% |
|  |  |  |
|  |  |  |
| **Total Allocation %:** | | **100%** |

# **Project Request Process Overview**

*The Project Management Office (PMO) Project Request Process supports the structured delivery of a business objective. The intake process is comprised of a series of steps that ultimately aligns a viable project to its delivery schedule. The steps of the intake process are described below. The first 4 steps finalize the Discovery & Initiation document and then culminate in the Architecture Review Meeting (ARM). Completing the Discovery & Initiation document is a collaboration between the requesting Business Unit, Product Management, Technology, and PMO teams.*

1. *Business has an idea and works with Product Management on the creation of a Vision Canvas.*
   1. *Completed Vision Canvas goes to ARM for initial t-shirt sizing.*
   2. *Next, the Vision Canvas is prioritized by Product Management and Business and if selected to move forward it, will be presented to the CEO/SteerCo.*
   3. *After approval by CEO/SteerCo, it will be added to the Product Roadmap and the Business will submit the Vision Canvas via the PMO Project Request Site.*
   4. *Note: Not all Vision Canvas ideas will become a project.*
2. *Product Management works with Business on the creation of a Project Discovery & Initiation document.*
   1. *Business/Product Management will complete the Project Overview & Discovery (Section 1).*
3. *Technical Lead/Architect will complete the Technology Impact Assessment (Section 2)*
   1. *Technical Lead/Architect assigned to produce the Technology Solution Design will complete all relevant sections and they will provide an ETC for completion.*
4. *Confirm completeness and quality of the request.*
   1. *After Sections 1 & 2 have been reviewed and approved by all key stakeholders in Business/IT/Product Management, Product Management will send the Project Discovery & Initiation document to the PMO for review. It’s not necessary to submit a new PMO Project Request, just reference the project number that was assigned during the original Vision Canvas submission.*
   2. *In preparation for ARM, the PMO will review Sections 1 & 2 for quality and completeness.*
   3. *Note: Section 3 – Project Initiation & Baseline will be completed once the PMO Project Manager is assigned.*
5. *Schedule Project Discovery & Initiation document for ARM.*
   1. *The PMO will schedule the document for ARM review.*
   2. *The ARM meeting is conducted, and an ARM disposition form is provided. If approved during ARM, the project can move forward.*
6. *PMO gathers initial resource estimates across IT groups in the Project Portfolio Management tool; currently this is Daptiv.*
7. *PMO shares the cost estimate with the Business.*
8. *Start date and priority is confirmed during the monthly Project Review meeting (as applicable) where resource capacity is confirmed and reviewed with Technology, Product Management, and the PMO.*
9. *Once resource availability is confirmed by all teams, the PMO will schedule the project for initiation.*
10. *After sprint 0 planning is completed, and is approved by all Business, IT, and Product Management stakeholders, the Project Manager completes Section 3 with project team.*

# **Project Discovery & Initiation Document Revision History**

*The table below captures the revisions to this project discovery and initiation document.*

| **Version #** | **Date** | **Author** | **Section** | **Document Changes** |
| --- | --- | --- | --- | --- |
| 1.0 | 12/8/2023 | Chris Beattie/ Devna Chaturvedi/ Amanda Hyland | Section 1 | Initial Draft |
|  |  |  |  |  |
|  |  |  |  |  |

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# **SECTION 1 – Project Overview & Discovery**

## Project Introduction and Strategic Goal Alignment

*[NEED DASH OVERVIEW HERE]*

## Strategic Initiative / Operational Initiative

*How does this project align to Bank strategy? Provide the primary strategic alignments (e.g., SI/OI) and the secondary alignments as applicable.*

|  |  |
| --- | --- |
| **Strategic Initiative / Operational Initiative**  *Include Number and Description; there may be more than 1* | |
| SI/OI #: | 3332 |
| SI/OI Description: | Non-7 Core Build – DASH 2.0 Application |
| **Secondary strategic alignment:** | |
| Increase Revenue | **Yes** **No** |
| Regulatory/Compliance | **Yes** **No** |
| Increase Asset | **Yes** **No** |
| Improve Customer Satisfaction | **Yes** **No** |
| Increase Deposits | **Yes** **No** |
| Reduce Risk | **Yes** **No** |
| Reduce Expense/Cost Avoidance | **Yes** **No** |
| Increase Productivity/Efficiency | **Yes** **No** |
| No Strategic Impacts | **Yes** |

## Project Goals and Acceptance Criteria

*The information below describes the goals of the project, as well as the impacts and risks if the project is not executed. Describe the goals and the criteria that defines successful outcomes. The actual results/outcome will be documented in the Closing document, measured against this criterion at the conclusion of the project. The more quantifiable, specific, and measurable the acceptance/success criteria description is written, the better.*

| ***#*** | **Goal Description** | **Acceptance/Success Criteria** |
| --- | --- | --- |
| *Example* | *Achieve operational efficiency by streamlining the sources and collection of historical loan data for accurate financial reporting* | *Centralized loan data source for accurate financial reporting* |
| 01 | Retain existing Non-7 clients for longer durations as their case evolves by providing a comprehensive case management solution catering to their unique business | New platform must be customizable *per fiduciary case*, such that any Non-7 customer can utilize the system accounting for their matter’s specific needs |
| 02 | Acquire additional Non-7 clients by marketing a software solution that increases their operational efficiency and drives down their case management expenses, making them more appealing to the governing bodies responsible for appointing fiduciaries to specialized Non-7 matters | New platform must be more efficient and effective at administering complex Non-7 matters than comparable methods which utilize spreadsheets and piece-meal solutions, capitalizing especially on real-time banking integrations |
| 03 | Capitalize on the head start Axos has in the space, especially regarding international Non-7 matters | New platform’s speed to market must be balanced effectively with the desired end-to-end nature of the solution to deliver value before the competition catches up |

| ***#*** | **Impact and Risks of Not Doing Project** |
| --- | --- |
| 01 | Missed deposit and revenue opportunities by not capitalizing on head start Marchand has in the market space |
| 02 |  |
| 03 |  |

## Forecasted Project Benefits

*The effort and expense spent of completing a project must be justified. Forecasted benefits resulting from this project are to be quantified and qualified****. Include your department’s quantifiable Key Performance Indicators (KPIs) as well as both the current metric and target metric goals.*** *Also supply an economic model that shows the forecasted benefits that can be realized by investing in this project.*

| ***#*** | **Key Performance Indicator (KPI)** | **Current Metric** | **Target Metric** |
| --- | --- | --- | --- |
| 00 | Would need from Marchand/Business |  |  |
| 01 |  |  |  |
| 02 |  |  |  |

## Departments Impacted

*The following business units have been identified as being impacted; the description of how they are impacted is to be provided below. Review with other departments and validate the description of impact prior to submitting this to the PMO for review. Impacted application information must tie in with the impacted department so all groups and applications are accounted for.*

| **Department** | **Description of Impact** |
| --- | --- |
| Audit |  |
| Auto Lending |  |
| Axos Advisory Services (AAS) |  |
| Axos Digital Assets (ADA) |  |
| Axos Fiduciary Services (AFS) | AFS development teams will be developing the new DASH 2.0 application. AFS personnel will have administrative responsibilities in the new application. |
| Axos Invest |  |
| Business Continuity Planning |  |
| Centers of Excellence (e.g., RPA, Oracle, Omnichannel, EDS, EDW) | There is a DocuSign integration requirement, which will necessitate support from COE |
| Clearing Operations |  |
| Clearing IT |  |
| Commercial Lending |  |
| Commercial Banking |  |
| Commercial Operations |  |
| Compliance |  |
| Consumer Deposits |  |
| Credit |  |
| Decisions |  |
| Digital Marketing & Content | Marketing will format client-facing release communication content, which is created by AFS, using a bank approved format, and will obtain approval from Legal and Compliance. |
| Facilities |  |
| Finance & Accounting |  |
| Human Resources |  |
| Income Property Lending |  |
| Income Property Lending / TPO |  |
| IT Consumer App Development (e.g., UDB, Enrollment, Sitecore) | MFA required – does that belong with this department or other? |
| IT Security (CISO) | See above note on MFA |
| Loan Servicing |  |
| Marketing (Other) |  |
| Marketing Automation (COE) |  |
| OCEO Consulting |  |
| Residential Lending |  |
| Risk & IAR |  |
| Specialty Finance |  |
| Strategic Partnerships |  |
| Vendor Management |  |
| Warehouse Lending |  |
| Others: List each individually |  |
| Others: List each individually |  |

## Customer Flow & Business Process

*Understanding the business process and how customers are affected is essential to understanding the business problem to be solved and/or the opportunity the project offers.*

### **Current Customer Flow or Business Process**

*Insert a process map that illustrates the current-state customer flow or business process. Be sure to highlight what process steps will be affected by this project request.*

A diagram of a workflow

Description automatically generated

### **Target Customer Flow or Business Process**

*Insert a process map that illustrates the target-state customer flow or business process. Be sure to highlight what process steps changed, compared to the current state.*

## Project Scope

*The following items are defined as “in scope” or “out of scope” for this initiative, as noted. Focus on the “what” – what is the problem we’re trying to solve? – not “how” it will be technically solutioned. Requirements describe the desired business functionality; do not provide technical solutions, even when you know them. See examples below for requirements that describe what is needed, but not how the solution will technically be achieved. All requirements need to be identified and included in this table to ensure that impacted stakeholders can reference requirements in one place.*

*Compliance requirements: Occasionally there are specific requirements from Compliance that must be included in scope. Often these requirements are to ensure compliance with regulatory rules. When Compliance scope is included, then Compliance must approve the document; a “review only” designation is insufficient. Examples of Compliance scope items are included below.*

| **SC**  **#** | **Scope Description** | **In Scope** | **Out of Scope** | **Scope Added After Sprint 0**  **(PMO USE ONLY)** | **Scope Removed After Sprint 0**  **(PMO USE ONLY)** |
| --- | --- | --- | --- | --- | --- |
| 01 | MFA for DASH 2.0 | X |  |  |  |
| 02 | Admin: Application Dashboard | X |  |  |  |
| 03 | Cases | X |  |  |  |
| 04 | Templates | X |  |  |  |
| 05 | Dashboard | X |  |  |  |
| 06 | Settings | X |  |  |  |
| 07 | Ability to configure the form creation process. | X |  |  |  |
| 08 | Build the form as per client preference. | X |  |  |  |
| 09 | Sending claim form links (URL) via email to the claimants. | X |  |  |  |
| 10 | Claimant: Application Dashboard | X |  |  |  |
| 11 | Configure shared drive to save claim documents uploaded by the claimant. | X |  |  |  |
| 12 | Database structure for Claims collection portal/DASH. | X |  |  |  |
| 13 | Linking Claim form information to Non-7 Portal Claims UI | X |  |  |  |
| 14 | Linking claimant information to non-7 claimant UI | X |  |  |  |
| 15 | Using DocuSign for claim form submission. | X |  |  |  |

## Project Features and Deliverables

*The features below describe the system functionality or user experience to be delivered at the completion of this project. This segment of the document also supports user Acceptance Testing. Use the SC# to provide traceability to the Scope items above. Only include the specific features necessary to deliver a functional solution. “Nice to have”/ low priority features, are not part of a minimum set of requirements. Focus on the features required to deliver Minimum Viable Product (MVP).*

|  |  |  |
| --- | --- | --- |
| **SC#** | **FT#** | **Feature or Deliverable Description** |
| **01** | **1.1** | **MFA – Create New Account**  As a new DASH user, I want to create a new account so that I can log into DASH.  When I click “Create New Account” from the login page, then I should be able to enter my account information:   1. Username (required) 2. First Name (required) 3. Last Name (required) 4. Email Address (required) 5. Mobile Phone Number (optional) 6. Password (required) 7. Confirm New Password (required)   Next, the user should be able to select Email or Text Message (if Mobile Phone Number was added) to receive an OTP (one-time passcode). The user will enter the code and then be logged into the Dashboard. |
| **01** | **1.2** | **MFA – User Login**  As a claimant user, when I log into DASH to complete my claim form, I want to be prompted to have an OTP sent to either my email or mobile phone number on file so that I can securely log in.  As an Admin user, when I log into DASH to administer my cases, I want to be prompted to have an OTP sent to either my email or mobile phone numberon file so that I can securely log in.  If I have previously selected to "Remember this device" then I should not be prompted to enter an OTP. I should be navigated directly to the Dashboard.  If I have NOT previously selected to "Remember this device" then I should be prompted to enter an OTP. Once I have entered the OTP code successfully, then I should be navigated directly to the Dashboard. |
| **01** | **1.3** | **MFA – Security Profile**  As an existing DASH user, I should be able to update the email address and mobile phone number on my MFA Security Profile by choosing the MFA Security Profile menu option.  When I change my email address, I should get an OTP via my mobile phone number to confirm the change and receive a confirmation email to my old email address. If I do not have a mobile phone number on file, I will need to call the Contact Center to have my email address changed.  When I change my mobile phone number, I should get an OTP via my email address to confirm the change and receive a confirmation email to my existing email address. |
| **01** | **1.4** | **MFA – Forgot Password**  As an existing DASH user, I should be able to reset my password when I have forgotten it, or if I have locked my account.  I should be able to choose the Forgot Password option on the login page, then enter my username, New Password and Confirm New Password fields. Next, I should be able to select Email Address or Text Message (if mobile phone number is on my profile) to receive the OTP. After entering it, my password will be reset, my account will be unlocked, and I will be logged into the Dashboard. |
| **01** | **1.5** | **MFA – Expired OTP**  As an existing user who has requested an OTP, but it has expired by the time I enter it, I want to be able to request a new OTP to be sent to my chosen method. |
| **01** | **1.6** | **MFA – Incorrect OTP**  As an existing user who has requested an OTP, but I have entered it incorrectly 3 times, then I should be able to request a new OTP. |
| **01** | **1.7** | **MFA – Remember This Device**  As an existing user who is prompted to enter the OTP during login or first-time account creation, then I should be able to select the “Remember this device” checkbox so I do not have to enter the OTP the next time I log in. |
| **01** | **1.8** | **MFA – Forgot Username**  As an existing DASH user, I should be able to retrieve my username via my email address when I have forgotten it by clicking on the Forgot username link on the login page.  After receiving my username, when I log in with my username and password, then I should be able to select Email Address or Text Message (if mobile phone number is on my profile) to receive an OTP. Once I have entered the OTP, then I should be logged into the Dashboard. |
| **02** | **2** | **Admin: Application Dashboard**  **Use Case:**  The DASH 2.0 application is essential for collecting claims data for all Non-7 case matter types from every claimant. This process is crucial because the fiduciary must compile the claims data and accurately assess the amount owed to each claimant. By doing so, the fiduciary will efficiently create checks and allocate funds to the claimants based on the outstanding amounts owed to them.  **Description:**  **Logic:**   * The claims data from DASH 2.0 will flow into Non-7 platform. It will be one-directional. * Creating a case or a claim form in DASH will make the case/claim form in the Non-7 portal and sync the claim data received from the claimant into the Non-7 application. * This will include custom field creation and field mapping logic implementation.   **Example:** Since TNET and Unity share the same database, the same information gets populated in both applications. Similar logic will be implemented for DASH 2.0 and the Non-7 portal.  **Pre-requisite:**   * The admin user will have to set up the MFA profile and login into the application. * Admin users will have access to all the components of the application. * The Application Dashboard will be accessible to the admin user: (Internal Axos Employees/Admin) * The admin user should be able to view the following options in the navigation menu located on the Dashboard:   1. **Cases**   2. **Templates**   3. **Dashboard**   4. **Settings (User Management)**   5. **User Profile**   **Sync Logic:**  **Define the integration method:**   1. The data structure will be dynamic for each case matter type. 2. The data model will be consistent to ensure compatibility between both the applications DASH 2.0 and Non-7. (Case and Claim form creation) 3. The integration between two applications Non-7 and DASH 2.0 using APIs to retrieve data from DASH 2.0 and populate the data in Non-7. 4. Case creation or claim form creation in the source application (DASH 2.0) will trigger updates in destination application (Non-7).   (Will require an integration method to facilitate the sync)  **Implementation**   1. To create fields and make sure those fields are replicated in the destination application using respective APIs. 2. To have a sync logic for handling data transfer, this can involve polling the source app for changes or listening for events. |
| **03** |  | **Feature 3: Cases**  As an admin user, I need the ability to access the case view, so that I can create/edit cases for the fiduciaries.  **Use Case:**  The admin user (Axos employee) will need the ability to create cases inside DASH 2.0 so that the claim forms created for a specific case can be associated/linked to a case.  **The admin user should be able to view and perform the following actions:**  **Description:**   1. Cases option will be displayed on the navigation menu. 2. Clicking on cases will navigate the admin user to global case list view. 3. Cases are the parent level under which individual intakes/ forms are added. Those are the clients we will create the forms for. 4. The case view will display the following information to the admin user: 5. **Global Case List View**   The list table view for cases will display the following columns to the admin user:   * + Name of the case     - nvarchar (60), not null   + Description of the case     - nvarchar (128), null   + Office Name (Fiduciary Name)     - nvarchar (60), not null   + Case Matter type (Receivership, Liquidating trust, etc.)     - Dropdown (pre-populated list of values)   + Date Created (The date when the case was created)     - Format: MM/DD/YYYY   + Actions     - Edit (Clicking on Edit action will navigate the admin user to edit view)   **Actions on the Global case view:**   * + Case Creation: In the case list view the admin user will have the ability to create a new case.   + Form Creation: The admin user will have the ability to create new forms.(Global Case view and Case view)   **Cases: CRUD Workflow**  **1. Create Case**  **The admin user should be able to perform the following actions:**   1. The admin user will need to have access to the Cases option in the generic menu. 2. The ability to access ‘Add’ functionality to add a new case. 3. The admin user will have the ability to add a case and enter the following details for a case.    * The New case creation workflow will require the following details to be entered by the admin user:      1. Case Name         1. Textbox         2. nvarchar (128), not null         3. Required      2. Description         1. Textbox         2. nvarchar(max)         3. Not Required      3. Fiduciary Name         1. Required         2. Nvarchar (128), not null      4. Case Matter Type (seeded list) Dropdown         1. Required         2. Nvarchar (128), not null         3. Seeded List of Case Matter types            + ABC            + Assignee            + Chapter 11            + CRO            + DIP            + Disbursing Agent            + District Court            + Examiner            + Liquidating Trust            + Monitorship            + Plan Administrator            + Probate Estate            + Receivership            + Revocable Trust            + Sub-Ch. V      5. Case Number         1. Not required (Optional)         2. nvarchar (20), null      6. Date created         1. This will be populated when the admin user takes the save action when creating a case.         2. Format MM/DD/YYYY   **Logic:**   * If a case is created in the non-7 portal the information will not flow into DASH 2.0. * The database for Non-7 and dash will be shared as the database for Unity and TNET is shared changes in DASH 2.0 application will be reflected in the Non-7 application. (Address conflict handling between 2 applications)  1. **Edit a Case**    * **Acceptance Criteria** 2. In the case edit workflow, the admin user will have the ability to edit a case and add forms to a case. 3. The admin user will click on the respective case from the list of cases displayed in the case list view. 4. Clicking on the specific case will navigate the admin user to case edit mode. 5. In the case edit mode the following options will be displayed to the admin user:    1. Forms    2. Data Sources is covered under templates feature. 6. The following fields will be editable in the edit workflow:    1. Case Name    2. Description    3. Label    4. Fiduciary Name    5. Case Matter Type (seeded list) Dropdown   **a. Forms**   * The form creation feature will be accessible through case view and globally via the dashboard. The description is covered in another feature [AFSN7-43](file:///C:\features\AFSN7-43)   **B. Individual Case Actions**   * Open the individual case and view the Case information. * The list view will display all the forms submitted by the claimants associated with an individual case. * The table view will display the following information for an individual case.   1. Form Name   * nvarchar (128), not null   2. Reference Number (The submission of claim form will generate a reference number)   * nvarchar (128), not null   3. Submitted (Status of form submission)   * Yes * No   4. Actions (Action to be taken on the claim form)   * Download (to download the claim form)   **3. Deleting a case**   * Cases will not be deleted. |
| **04** | **4** | **Feature 4: Templates**  **Description**  As an admin user, I need the ability to create templates for claim forms, so that the claim form can be published and sent out to claimants.  **Use Case**  An admin user will need the ability to create form templates so that these forms can be used for existing cases and upcoming cases depending on the format of the claim form received from the client or approved by the court.  **Acceptance Criteria:**  **Templates and Forms**   * The templates section will display existing Claim form templates for all offices/cases. * The admin user will need to be able to access the templates section. * The admin user will need the ability to view all the existing forms created for all cases. * The template section will provide the admin user an option to create/add/delete and view the following:   + Forms   + Data Sources   + The admin user can filter the templates based on the following criteria:     1. Office     2. Fiduciary Name     3. Case matter type     4. The admin user will have the ability to filter the existing form templates in the Global view based on Office/Fiduciary Name and Case Matter type.   + The admin user will need the ability to save the forms created as a template at system level/Case level.   + The admin user will first configure the form settings and save it.   + After saving the form the admin user will need the ability to design the form layout.   + Form configuration is covered in this feature: [AFSN7-37](file:///C:\features\AFSN7-37)   + Form creation is covered in feature [AFSN7-43](file:///C:\features\AFSN7-43)   **1) Forms**  **Form's view will have 2 variants:**  **A) Forms (Global view) – View Only**  **The admin user will be able to view and edit the following information:**   1. Name of the form    1. String value    2. nvarchar(64), not null 2. Case Name    1. String value    2. nvarchar(64), not null 3. Status    1. Published    2. Non-Published    3. Retired 4. Case Matter Type    1. String value    2. nvarchar(64), not null   (Selected from dropdown list of seeded values)   1. Office/Fiduciary Name    1. String value    2. nvarchar(64), not null 2. Form Type (Always be Claim) 3. Date created    1. Date Format: MM-DD-YYYY 4. Actions    1. Download - To download the existing forms.    2. Edit - Edit the existing form templates   **Editable fields in the Forms List**   1. Name    1. Editable    2. nvarchar (64), not null    3. Required 2. Case Name (Not-editable) 3. Status    1. Editable    2. Dropdown selector to select a status       1. Non-Published       2. Published       3. Retired 4. Case Matter Type (editable)    1. Dropdown selector    2. Seeded list of values 5. Form Type    1. Always set to claim by default 6. Date Created (not-editable)    1. Populated when the form is created and saved 7. Actions    1. Edit    2. Download   **B) Forms (Case specific view)**   1. Form Name    * String value    * Nvarchar(64),not null 2. Status    * String value    * Nvarchar(64),not null 3. Case Matter Type    * String value    * Nvarchar(64),not null 4. Form Type (Always be Claim) 5. Date created    * Date Format: MM-DD-YYYY 6. Actions    * Download - To download the existing forms    * Edit - Edit the existing form templates   **Editable fields in the Case specific forms List**   1. Form Name    1. Editable    2. nvarchar (64), not null    3. Required 2. Status    1. Editable    2. Dropdown selector to select a status       1. Non-Published       2. Published       3. Retired 3. Case Matter Type    1. Dropdown selector    2. Seeded list of values 4. Form Type    1. Always set to claim by default 5. Date Created    1. Populated when the form is created and saved 6. Actions    1. Edit    2. Download   **List of functionalities required:**   * The admin user will need a method to create a new form. * The ability to import a new pdf. * The ability to import a new data source. * The ability to create a new data source. * The ability to create a new form template at system level. * The ability to import an existing form. * PDF files will be accessible at individual form level. * **The admin user will be able to filter the list using Office/Fiduciary name and Case Matter type.**   **C) Import or Upload Form Templates**   * The admin user will have the ability to perform the following actions to add a form template in the Import Forms section:   + The admin user will need to be able to access the Forms button to upload/add a new form template.   + The admin user will need to be able to view the pop-up and select a PDF, Word, or Excel file from the dropdown menu.   + The option to upload the file.   + The ability to view the uploaded file in the templates section.   **PDF Files List will be available at case specific and form specific level**   * **Path - Dashboard - Templates - Forms - Individual Form - PDF list** * **Each PDF is associated with an individual form** * **The following information will be displayed for a specific PDF**  1. Name of the PDF file    1. Nvarchar(64),not null    2. Required 2. Description of the file    1. Nvarchar(128),null    2. Not required 3. File Location    1. String value    2. Nvarchar(max),not null 4. Actions (Icons for Edit/Delete/Export) 5. Office/Fiduciary Name    1. Nvarchar(64) , not null 6. Case Matter Type    1. String value    2. Required    3. Nvarchar(64), not null   **Editable Fields**   1. Name of the PDF file    1. Editable    2. nvarchar (64), not null 2. Description of the PDF file    1. Editable    2. Not Required    3. nvarchar(128), null 3. File Location    1. Populated based on the location in the shared drive where the PDF will be stored 4. Actions    1. Edit    2. Delete    3. Export 5. Office    1. Nvarchar(64), not null    2. Editable 6. Case Matter Type (Seeded list)    1. Dropdown selection from the seeded list of values       1. ABC       2. Assignee       3. Chapter 11       4. CRO       5. DIP       6. Disbursing Agent       7. District Court       8. Examiner       9. Liquidating Trust       10. Monitorship       11. Plan Administrator       12. Probate Estate       13. Receivership       14. Revocable Trust       15. Sub-Ch. V   **2) Data Sources**  **c. Data Source (key value pairs for dropdown selection)**   * The user will have the option to link one of the following item types to data sources when configuring the form:   i. Radio button  ii. Combo box (dropdowns)   * The data source is the list of options that will be available for the two item types * Example of key value pair:  |  |  | | --- | --- | | Key | Label | | AB | Alberta | | BC | British Columbia | | MB | Manitoba | | NB | New Brunswick | | NL | Newfoundland and Labrador | | NT | Northwest Territories | | NS | Nova Scotia | | NU | Nunavut | | ON | Ontario | | PE | Prince Edward Island | | QC | Quebec | | SK | Saskatchewan | | YT | Yukon |  * Data source can be added at:   + System level: available for access by all forms regardless of case   + Case level: available for access only by the forms under the respective case. * To add a data source at a system level the admin user will be able to click on the templates option in the navigation menu.   + Within the templates option the user will be able to select the following:     - Form: To create a new form template.     - Data Source: To create or upload a data source file.   b. Data Source page view   * The Data source page view will display the list of all existing Data sources   + Name     - String value     - Nvarchar(64), not null   + Date Created - The date when the data source was created.     - Date format: MM-DD-YYYY   + Actions (Edit/Delete) * **Adding a Data Source:** The admin user will have the ability to add a new data source to the list of existing Data sources.   + **Configuring Name and Description**     - Name (required)- The name of your data source that will display on the Data Sources list when linking items to a data source.       * Required field       * nvarchar(64), not null     - Description (optional)- any description for reference. It only displays on the Data Sources page but is not part of the list you will see when linking items to a data source.       * Not Required       * nvarchar(128), null   + **Adding items to the Data source (manually)**     - The admin user will have the ability to add items       * Start adding items by configuring the Key and Label for each and clicking Save. Add as many items as needed by clicking the Add button again and repeating those steps.         1. Key and label can be the same or different         2. When forms are configured, admin user can select to display either Key, Label, or Key-Label from the respective data source.   + **Adding item through Excel import**     - The admin user will need the ability to import excel file       * The admin user will need the ability to access the Import button       * The ability to choose the file the admin user wants to import in the Import Data Source Items pop up and upload.     - The excel file needs to have two columns (first column is the Key values, second column is the Label values) with header row.     - When the file is imported, items will be automatically created from the respective file.     - In the same data source, items can be added by importing single or multiple excel files (clicking on the Import button for each additional file) and/or added manually (clicking on the Add button for as many items as needed)     - After items are added to the data source, they can be edited or removed       * Edit - click on the Edit button for the respective item       * Remove- click on the Remove button for the respective item     - To add a data source at a case level, access the respective case     - Click on the Data Sources button   **Data Sources List (Global View)**   1. Name    1. String value    2. Nvarchar(64), not null 2. Date Created    1. Date format: MM-DD-YYYY 3. Actions    1. Edit    2. Delete    3. Download   **Edit Workflow: Data Sources List**   1. Name    1. Editable    2. Required Field    3. nvarchar(64), not null 2. Actions    1. Edit    2. Delete    3. Download |
| **05** | **5** | **Feature 5: Dashboard**  **Description**  As an admin user, I need the ability to view the dashboard, so that I can get an overview of existing cases, active claim forms and templates.  **Use Case**  Dashboard will be the first view to be displayed to the admin user, when the admin user logs into the application. It will display all the metrics regarding the number of active claim forms, existing templates to give the admin user.  **Dashboard**  The dashboard will display the following information to the admin user: Numeric data  **a. Number of templates created by the admin user**   * The admin user will need a method to click and access the templates created and saved for all the offices. * The admin user will need a filter to view the templates saved for each office. * Filter with prepopulated list of all offices. * Numeric value   **b. Number of Data sources**   * The admin user will need the ability to view all the data sources imported into all the offices and view the cumulative list of Data sources * The admin user will need the ability to filter the data sources based on the office for which the data source was imported. * Clicking on the numeric value displayed on the dashboard will navigate the user to the list view of data sources. * Numeric value   **c. Recently viewed Forms (Clickable navigate the admin user to the recently viewed forms table)**   * The admin user will need the ability to view the recently viewed forms in the application (all offices) * Name of the templates (top 5) recently viewed/edited – clicking on this link will navigate the admin user straight to the form/template. * Clicking on this link will display a tabular view of the forms recently viewed. * Each form name will be a clickable link navigating the admin user to the form view which will be editable.   **d. Cases with Active forms**   * The admin user will need the ability to view the list of cases (name of the case) that are active and are being filled in by the claimants.   **e. Number of registered Claimants for active cases**   * The ability to view the number of registered claimants for every active case. |
| **6** | **06** | **Settings Management**  As an admin user, I need the ability to access settings to manage admin users/create admin users, create roles.  The admin user should be able to perform the following actions:   1. The admin user should be able to create roles for the specific office. 2. The admin user should be able to give permission to different roles. 3. Admin role will have all the permissions existing in the application. 4. The admin user will need the ability to set permissions for allowing amendment.   **Required Functionality:**   * Creating admin users * Creating Roles * Amendment settings   **Amendment: Allowing Amendments**  - The system will provide the ability for Admin user to specify if a user can file an amendment to a previous submittal when configuring the form:   1. “Allows for Amendment” option defaulting to No 2. “Allows for Amendment” = No: original submittals or amendment records cannot be amended 3. “Allow for Amendment” = Yes: original submittals or amendment records can be amended.   **The admin user will need the ability to access Settings from the navigation menu:**   * The settings section will give admin the ability to access/Edit/create/delete users from the users List   **A. Create a new user – MFA workflow – Any user will create their own user account and setup their MFA**  **B. Edit an existing user**  In the edit workflow, admin user will have the ability to lock the user.   1. Username - locked 2. First Name    1. nvarchar (64), not null    2. required 3. Last Name    1. nvarchar (64), not null    2. required 4. Email Confirmed    1. nvarchar (128), not null    2. required 5. Mobile Phone number    1. Optional    2. Must be 10 digits    3. No alphanumeric characters    4. Should auto-format as (999)999-9999 6. Lock user    1. Lock the user    2. Unlock the user   **C. Delete the user**   * The admin user will have the ability to delete the existing user. (soft delete the user)   **D. Accessing user Profile**   * The search bar will give admin user the ability to search for a user from the users list: * The users list table will display the following information for all users:   1. Username - string value   2. Name - string value   3. Email Confirmed      1. Yes      2. No   4. Date Created      1. Automatically created when the admin user is created.   5. Actions (Edit/Lock/Remove)      1. Edit the user information - Click here to edit an individual admin user      2. Lock the user - to lock a specific user      3. Remove the existing user - remove/delete the existing admin user      4. Activate the user - the ability to activate a user   6. Created by      1. Name of the person who created the user      2. Status of the person who created the user   **Logic:**   * Usernames, Name and email will be unique for every admin user.   **E. Managing user Permissions**   1. Access the user profile 2. User Permissions   The ability to access the admin user profile   * 1. Edit the role by selecting a role from the list a user can have:      1. Admin         1. View and access all dashboards and functionality      2. Cases Admin         1. Can view templates, forms, data sources and all the information associated with a respective case.      3. Claimant         1. Can view only the forms they have received via a URL sent by the fiduciary to input the information about a claim. |
| **7** |  | ***Ability to Create a brand-new form***   1. **The ability to access the respective case from the list of cases** 2. **Ability to open the respective case in edit mode** 3. **Access the forms section within the specific case** 4. **The ability to view the forms list for the respective case** 5. **The ability to click 'New' to add a form to the case** 6. **The ability to configure the form:**    1. **Form type**       * The form type will always be set to "Claim"    2. **Confirmation Type**       * The Confirmation Type settings will determine the format of the confirmation number generated upon claim form submittal by the claimant. (When the admin user submits the form a confirmation number/token will be generated)       * The Confirmation Type setting is a dropdown with two options:         + Reference Number (Auto-generated)           - Reference Number confirmation type will be an auto-generated 10-digit alpha-numeric code.         + Confirmation Number (Keeps on increasing sequentially)           - Confirmation Number confirmation type is a numeric value, sequentially increasing by 1 with each submittal.           - If the confirmation type is set to Confirmation Number, the admin needs to specify the starting sequence for the confirmation number. For example, if the Starting Claim Number is configured to 1000, the first submittal against the respective form will have a confirmation number of 1000, the second submittal will have a confirmation number of 1001, and so forth.           - nvarchar(30), not null           - Confirmation number will be generated after the form submission process is completed by the claimant.    3. **Watermark**       * The watermark setting will allow the admin user to determine the watermark that will display on the preview copy when admin users download their form before submittal. For example, if the watermark is configured to 'Do Not File', when admin user previews their form, it opens up the PDF document watermarked as per the screenshot below.   **d. Time Zone (optional)**   * + - The Time Zone setting determines the time zone in which the submittals against the respective form will be recorded.     - The system automatically converts the admin user’s local time to the time of the configured time zone. For example, if the Time Zone is set to (UTC-05:00) Eastern Time (US & Canada) and admin user submits a form on 8/18/2017 10:15 AM in Kansas (central time), the date submitted for the respective record will be set to 8/18/2017 11:15 AM EST.     - (Default to the time zone where the Fiduciary is located) Case level specific settings   **e. Generate Combined PDF**   * + - If the admin user sets the toggle to Generate Combined PDF as No, and admin user uploads supporting documentation to their claims form submission, the system will generate separate PDF files for the actual form and each supporting documentation file uploaded when the form is submitted.     - If the Generate Combined PDF toggle is set to Yes, and admin user uploads supporting documentation to their form, the system will generate a combined PDF file with the actual form first and supporting documentation files appended at the back when the form is submitted   **f. Allows for Multiple Submissions**   * + - If the 'Allows for Multiple Submission' toggle is set to No, admin users will have the ability to submit only once against the respective form. Their dashboard will display only one line item for their submittal with ability to download a copy. It will not give them an option to start another submittal.     - If the Allows for Multiple Submission toggle is set to Yes, the admin user can submit multiple times against the same form. Their dashboard will display a line item for their submittal(s) with the ability to download a copy. And a line item allowing them to start a new submittal.   ***Form Statuses***   1. **The admin user will need the ability to save the form. The forms in a non-published status will not be accessible to the claimants.**    * There are three statuses a form will go through      1. Non-Published      2. Published      3. Retired    * Initially when the form is created by the admin user, it will in a non-published status and can be edited (by clicking on the form name or selecting the edit option provided to the admin user in the UI).      1. All form’s settings      2. PDFs      3. Excel Data Source      4. Sections    * Forms in a Non-Published status can be deleted (by clicking delete option under Actions)    * Admin users can preview the Forms in a Non-Published status    * Admin users can export the forms in a Non-Published status.    * In order for the forms to be available to the claimant for submittal, it should be published to the website.    * In order for a previously published form to be taken down and removed from the respective case public facing dashboard, it needs to be retired.      1. Forms in a Retired status cannot be edited (Note: the edit option under actions only allows for running a report)      2. Forms in a Retired status cannot be deleted      3. Forms in a Retired status cannot be previewed      4. Forms in a Retired status cannot be exported |
|  |  |  |
| **8** |  | ***Feature 8 - Sending claim form links (URL) via email to the claimants***  As an admin user, I need a method to send the claim form URL to claimants via email so that they can fill up the claim information.  **Pre-requisite:**  **The user will have to go through the MFA process**  **Acceptance Criteria:**  **Sending claim form URL via email**  The admin user should be able to perform the following actions:  **Dependency on MFA**   1. The admin user will need a method to generate a URL for the form created. 2. The admin user will need an option to send the claim form URL to all the claimants via email. 3. The admin user will need the ability to add multiple email addresses. 4. The email addresses of the respondents will be saved in our database. 5. When the admin user clicks the Send button a pop-up modal will be displayed giving admin user the following options    1. Send the form via email:       1. To (Enter or select one/multiple email addresses)          1. Required (Enter an email address or select from an existing list of email addresses)    2. Subject       1. nvarchar ((128), null)       2. not required    3. Message       1. Optional       2. nvarchar((256), null)    4. Include form in email       1. The admin user will be provided the option to include the form in the email if the checkbox is selected.   The option to send out the email to all the email addresses listed in the 'To' section.  Publish the URL on his website - URL for the digital version of the form.  **Import an excel file (Existing functionality in DDP)**  The admin user should be able to perform the following actions:   1. The admin user will need the ability to import the excel file with the list of all claimant email addresses. 2. The admin user will need access to import window to select an excel file from desktop or drag and drop the **.xls and .csv** file. 3. The imported excel file with the list of claimant email addresses will be displayed in the list of imported files for the specific case. 4. The admin user will need the ability to extract all the email addresses from the excel file in the Email address table.   **Error handling**  **If an email recipient fails to receive the email, the error log will record these instances.**  **Excel file structure**  The excel file structure will be formatted as per the instructions below and uploaded to parse the email addresses of all the claimants.  1) Name - Name of the claimant  2) EmailAddress - email address of the claimant.  The admin user will have the ability to download the email format template from DASH 2.0.  **Imported Email Addresses List View**   * All the email address imported or added manually in the DASH 2.0 application will be displayed in the list view * The following columns will be displayed in the email address table  1. Name  * Editable * Required * nvarchar(64), not null   2. Email Address   * Editable * Required * nvarchar(128), not null   3. Case Name   * Not Editable   **Imported email addresses Case specific view**   * All the email address imported or added manually in the DASH 2.0 application for a specific case will be displayed in the list view  1. Name    1. Editable    2. Required    3. nvarchar(64), not null 2. Email Address    1. Editable    2. Required    3. nvarchar(128), not null |
| **9** |  | ***Feature 9: Claimant: Application Dashboard***  As a claimant user, I need the ability to login into claims collection portal and fill in the claims form, so that I can submit my claim.  **Pre-requisite:**   1. **The claimant user will receive the URL to submit the claim. (Feature to create URL and send the claim form.)** 2. **Clicking on the URL will navigate the claimant user to DASH 2.0.** 3. **The user will register and create an account setting up the MFA profile.** 4. **After the MFA setup is completed, the claimant user can login into the application.** 5. **The claimant user will require them to have the claimant permission marked in settings to view the claimant dashboard.**   **The user will need to have the ability to perform the following actions:**  **The claimant user will receive the URL to fill the claim form and submit it in the DASH 2.0 portal.**   1. The ability to login into DASH 2.0. 2. The claimant user will view the dashboard after logging into the application.    1. The Dashboard view will display the following to the claimant user.       1. '**Claim Form Submission' tabular view**          1. The Claimant user will click here to view/edit the claim form information saved/submitted by the claimant.          2. This section will display the claimant user all the forms to be submitted/already submitted for the specific case.          3. Clicking on 'Claim Form Submission' will navigate the user to the forms window, listing all the forms Waiting for submission/submitted by the claimant.          4. The claimant user will be able to make edits to the form by clicking on the specific form.          5. The claimant user will be able to save the form as a draft before making the submission.          6. The tabular view will display the following information          7. Form Name             1. Text Box             2. nvarchar(128), not null          8. Reference Number             1. Alphanumeric 10-digit code automatically generated when the claimant admin user submits the form.          9. Status (Allow multiple submissions)             1. New             2. In progress - The claimant admin user has started filling the form but not submitted the form.             3. Completed          10. Actions              1. Start              2. Download              3. Continue - If the form is saved as a draft and needs to be completed by the claimant to finish the submission process the claimant admin user will click on continue              4. View - If the user has submitted the form, the claimant user will be able to view the form.              5. Signatures   Signatures Pending  Signatures Declined  Form not started   * + 1. Submission Date        1. If the claimant user has submitted the form the date when the claimant user submitted the form will be populated here.        2. Date format: MM/DD/YYYY   **- The claimant admin user will be able to perform the following actions:**   1. The claimant user will have the ability to click on the claim form and start filling the form 2. The claimant user will need the ability to move to different sections of the form. 3. The claimant user will be able to make changes to the form before the submission is done. 4. After the submission is completed the claimant user cannot make changes to the submittal. The claimant user will have the ability to amend the claim based on the case matter type and if the fiduciary is allowing the amendment. 5. After the submission is done the claimant user will be able to view and download the submitted claim form.   **Form Statuses**  **A. Form not started**   1. Status= New 2. Actions= Start - starts form from beginning 3. Reference Number= blank   **B. Form started not filed (before DocuSign redirect)**   1. Status= In Progress 2. Actions= Continue- takes admin user to last completed step 3. Reference Number= blank   **C. Signature collected**   1. Status= Completed 2. Actions= Download 3. Reference Number= populated with respective number   **D. Admin user has gone to DocuSign but opted to complete later or exited DocuSign without signing**   1. Status= Signatures Pending 2. Actions= Continue- takes admin user to Submit section 3. Reference Number= blank   **E. Signature was declined by admin user**   1. Status= Signatures Declined 2. Actions= Resubmit for Signatures- takes admin user to Submit section 3. Reference Number= blank   **Business Logic:**   * 1. If the form allows for amendments, there will be an Amend options under Actions for a completed record.   2. If a submittal has been amended, the Reference Number field will display the respective reference number followed by the amendment record reference number in parenthesis.   3. If a submittal is an amendment of a previous submittal, the Reference Number field will display the respective reference number followed by the reference number of the original record in parenthesis.   4. If a user has started an amendment but have not submitted it, the status of the respective record that is being amended will show “Amendment in Process” and the Action will show “Continue”.   5. The edit option will be provided to the claimant if the form has not been submitted.   6. If the fiduciary allows amendment in a specific case matter type, the claimant will be able to access the amend action. |
| **10** |  | ***Feature 10: Configure shared drive to save claim documents uploaded by the claimant***.  **Description**  Documents submitted in support of claim will be saved on a shared drive defined in the configuration. When the claim is submitted, the claim will be saved in PDF format and combined with all the supporting documents at the end of the document. This document will be saved to a file share location, all the documents that claimants upload will also be saved.  **Acceptance Criteria:**  We need to configure a shared drive where all the claim documents uploaded by the admin user will be stored.   * The admin user will have access to the shared drive and the ability to view/download the claim files uploaded by the claimants. * The shared drive will save all the documents uploaded by the claimants. |
| **11** |  | ***Feature 11 - Configure shared drive to save claim documents uploaded by the claimant.***  **Description:**  Documents submitted in support of claim will be saved on a shared drive defined in the configuration. When the claim is submitted, the claim will be saved in PDF format and combined with all the supporting documents at the end of the document. This document will be saved to a file share location, all the documents that claimants upload will also be saved.  **Acceptance Criteria:**  We need to configure a shared drive where all the claim documents uploaded by the admin user will be stored.   * The admin user will have access to the shared drive and the ability to view/download the claim files uploaded by the claimants. * The shared drive will save all the documents uploaded by the claimants. |
| **12** |  | ***Feature 12 - Database structure for Claims collection portal/DASH.***  **Description:**   * The database will store all the case information. * The database will be dynamic and store all the data received from the claimants after the claim form is submitted. * For each case and case matter type the claim form will keep changing, the database needs to accommodate all the information.   **Acceptance Criteria:**  The database needs to have the following functionality:   * The database should be customizable everything is vertical instead of having tables that have fields it should have tables that have rows that refer to entities and attributes. * Caseforminstances table in Prose database shows the submission data for claim forms * Query to find amendments      * For the submitted forms a token confirmation will be saved in the database. * All the Data received from the claimant via the DASH portal goes to Prose database in the TCMS-21 server.   If we use the existing Prose database, the following tables are present in the database to store the form information:   * Caseforminstances shows the submissions – to check whether the admin user submitted the claim form. * The hierarchy of tables:   + Form templates (Highest Level) - stores the different forms in the database table.   + Section Templates (Sections of the form) - stores the sections of the form   + Itembases (Fields in the form) - stores the fields in the form * The above three tables are linked to view the claimant/claim information. * If the claimant completed and submitted the claim, we can see a token confirmation in the database table. * Documents are saved in the Prose database. PDF is saved to a file share location, all the documents that claimants upload are also saved. * Files are uploaded to DASH and then the documents are saved to file share. |
| **13** |  | ***Feature 13: Linking Claim form information to Non-7 Portal Claims UI***  **Description:**  As an admin user, I need the logic to be implemented to display the information received by DASH 2.0 in the Non-7 Claim UI, so that the information will sync in real-time from DASH 2.0 to Non-7 portal. |
|  |  | **Acceptance Criteria:**  The following actions need to be performed to synchronize the Non-7 portal and DASH 2.0 and replicate fields in both applications.   1. **APIs**   Configure APIs to push and pull data. Set up a process to call APIs from both applications to exchange updated field data.  Configure webhooks in each app to trigger data syncs whenever a relevant field is updated, ensuring real-time updates.  **2. Integration platform**  Use an integration platform (Tools like zapier, Integromat etc) to create workflows that transfer data between apps. To support field mapping, so specific fields in one app can be mirrored in the other app.  **3. Database synchronization**  Shared database: Claims, claimant and case component in both the applications will be shared and use the same database, replicate fields within the database so changes in one app immediately reflect in the other app.  ETL tools - Extract and transform, and load data between databases, allowing fields in one app's database to sync with the other.  **4. Sync Scripts**  Custom scripts to pull data from one app, check for changes, and push updates to the other app at scheduled intervals.  Direct Field Mapping: In the script, map fields between applications, specifying which fields correspond in each to ensure accurate replication.  **5. Data Sync services**  Integration and synchronization for common applications. This will create a field-level syncing for bi-directional data flows.  **Logic:**   1. **Field Mapping**  * Clearly define and map fields   **2. Conflict resolution**   * Decide on rules for handling conflicts (e.g. which app has priority in case of data discrepancy)   **3. Real-time vs batch updates**   * Determine if you need real-time updates or if periodic batch syncs are sufficient.   **4. Logging and monitoring**   * Implement logging to track sync processes and identify errors.   **Logic to establish sync between Non-7 portal and DASH 2.0**   * Link the Fiduciary profile in Non-7 portal to DASH 2.0 to implement a proper sync between the two applications. * The claim form fields created for a specific case and Fiduciary in DASH 2.0 will sync in the Non-7 portal and displayed in the Non-7 claims UI |
| **14** |  | ***Feature 14: Linking claimant information to non-7 claimant UI***  ***The implementation logic for Claim and claimant will be similar.*** |
| **15** |  | ***Feature 15: Using DocuSign***  **Description:**  A claimant admin user will need a method to certify that the claim form has been submitted by the specific claimant associated with a specific case.  **Acceptance Criteria:**  **The admin user should be able to perform the following actions:**  **Create and Send and Envelope**   * + To send documents for signature, you add them to a docusign envelope. Recipients will receive a notification with a link to review their envelope.  1. A **DocuSign**® **envelope** is a container used to send one or more documents for signature using the **DocuSign** system. 2. A **DocuSign**® **envelope** can contain multiple documents and can be sent to several recipients. 3. **DocuSign**® requires a Name and Email Address in order to initiate an envelope for each signatory    1. The name and email address for the admin user completing the form in DASH 2.0 Workflow and is already available from their registration and does not need to be collected additionally.    2. The name and email addresses for any additional signatories need to be collected during the intake process in DASH 2.0 Workflow. 4. **DocuSign**® **Tabs** indicate to the recipient where signature or initials are required in the document. Tabs are always associated with specific recipients/signatory  Submit Form Widget for DocuSign  1. Add Item Type= Widget 2. Select Widget= Submit Form 3. In the Widget Settings section set “Include DocuSign Signature” = Yes      1. Save  Adding Signatories  1. Once the DocuSign Submit widget is added, admin user will need the ability to access the Edit option.      1. To add signatories, admin user will need the ability to click on the [Add] button in the DocuSign Signers section- top right      1. There are three options where data sent to DocuSign comes from:    1. **Admin user**- person submitting the form    2. **Admin**- designated representatives that needs to sign regardless of admin user submitting the form. For example, an account executive that needs to review and sign every time a form is submitted and before it gets finalized. This is on form level and is not dependent on admin user input.      1. To add the admin user submitting the form as signatory:    1. Specify Label    2. Select “Admin user” from the “Data Comes From” drop down    3. Save   Note: The Name and Email address does not need to be added with this signatory option as it is already available from their registration     1. To add an admin:    1. Specify Label    2. Admin user will need the ability to Select “Admin” from the “Data Comes From” drop down.    3. Specify admin name in the “Admin Name” - name that will be used to initiate the DocuSign envelope    4. Specify admin email in the “Admin Email”- email that will be used to initiate the DocuSign envelope    5. Save     **Adding Signatories**  Note: The PDF fields that will be used as DocuSign Tabs (where the admin user needs to sign, initial, etc.) need to remain separate and not integrated as part of the intake.   1. Once the signatories are added under the DocuSign Submit Widget, admin user will need to click on the Edit button for the respective signatory 2. Click on [Tabs]- top right      1. Click on [Add]- top right      1. There are three fields that need to be configured on the Add Tabs screen    1. Item drop down- the admin user will select the PDF field the respective admin user needs to complete in DocuSign       1. The drop down contains all PDF fields that are not used as part of the intake.       2. Once a PDF field is used as a Tab for a given admin user, it will not be available anymore in the drop down    2. Type - select from the three drop down options:       1. Signature Field       2. Initials Field       3. Date Signed    3. Required- Yes or No option      1. Save 2. Once PDF fields are added as Tabs, a new Form Section is automatically added at the bottom of the form    1. Label = DocuSign Tabs    2. It contains all the PDF fields added as Tabs for internal reference only. It will not be part of the admin user facing form     **Business Logic and Compliance requirements:**   * + Need to implement the docusign feature for digital signatures to be included in the claimant form submission workflow:   + The signature/certification piece is required at the end of the form to get an acknowledgement or certification that the specified claimant admin user has made the claim submission.  1. Product and Business team will work with Marketing and compliance team to finalize the verbiage to acknowledge the submission. 2. Have a two-step submission confirmation to give the claimant admin user a method to ensure and check the information they have entered in the claim form before submitting the final claim form. |

## Reporting Requirements

*The following reporting requirements are in scope for this project. Changes to existing reports and new reports that are needed will be described below. At a minimum, identify the type of report and whether it will be automated or ad hoc. If known, include data fields, frequency of the reporting (e.g., daily, monthly, quarterly, etc.), format (e.g., Tableau, csv file, excel, word, etc.), and any other pertinent information to help IT provide a more accurate estimate. Examples of the types of reports needed can be referenced and included in the Appendix.*

| **RPT**  **#** | **Reporting Description** | **Existing or New** | **Who will build the report?** |
| --- | --- | --- | --- |
| 01 | *EXAMPLE-Audit customer activity and make it available for EDW reporting*   * *Each time the intercept page is displayed when the customer logs in we will record an event in the Activity Log on the Customer Management page*   + *Will include both the page displaying as well as the customer’s selection*   + *Will work similarly to how we audit the Funding Intercept today* * *When customer switches between groups we will record an event in the Activity Log on the Customer Management page*   + *Will include both the previous and the new bucket info* * *When the customer nicknames or modifies their default account group we will record an event in the Activity Log on the Customer Management page* * *All audit data will be available in the EDW so that it can be used for other reporting needs* * *Report will be run daily and will be an excel file downloaded to the x drive* * *Data fields to be incorporated can be found in the Appendix (refer to report xyz)* | *New* | *COE team* |
| 02 | All reporting can be handled within BU |  |  |
| 03 |  |  |  |

## Marketing Requirements

*These requirements will describe any type of Marketing support required to deliver on the economic model outlined earlier in this document (i.e., Digital Marketing & Content, Marketing Automation, etc.). This support may include – but is not limited to – drafting customer-facing content; creating campaigns (e.g., emails, landing pages and banners); and SEO/SEM. Please include all Marketing departments that are impacted in the “Departments Impacted” section above when applicable.*

| **MKT**  **#** | **Marketing Requirements Description** | **External / Internal** |
| --- | --- | --- |
| *01* | *EXAMPLE: Funding Journey – Managed Portfolios*  *The Funding Journey is one of the final stages in the enrollment process and has the critical undertaking of converting a lead into an acquisition.  This journey will focus on funding the new account. After the initial 3-4 emails, these emails will continue to be sent monthly until \*CAP, or until an automatic account closure or expiration is established for unfunded accounts.*   * *This journey will include a survey once the journey is due to end/account is due to expire.4 Initial Emails, 1 Survey Email* * *4 SMS* * *4 Push* | *Internal* |
| *02* | *EXAMPLE: Pending Documents Journey – Managed Portfolios & Self-Directed Trading will use the same/shared content*  *The Pending Documents Journey is the touchpoint between when an application is submitted and when it’s decisioned. This journey focuses on acquiring required documents for an application decision to be made*   * *4 Emails* * *2 SMS* | *Internal* |
| *03* | *EXAMPLE: Allow customer to create default view + switch between groups within the same session*   * *Online Banking content/design will need to be updated to reflect new functionality* | *External* |
| *04* | *EXAMPLE-Notify existing customers that we now offer the ability to keep business and personal funds separate*   * *Customers are currently using Online Banking who should have multiple buckets. However, since we don’t have this functionality today these customers fall into one of two buckets:*   + *Utilizing temporary relationship codes to temporarily allow the customer to view accounts from different buckets alongside one another*   + *Inability to view business accounts from inside online banking* * *We will need to come up with a conversion communication plan, complete with timeline, that will notify customers what to expect and when to expect it.* | *External* |
|  | Marketing not (yet) needed exclusively for DASH 2.0 part of this project |  |
|  |  |  |

## Training and Communication Requirements

*Please outline the required internal training and communication activities below. Identify the types of training and communication materials needed and who will create these materials. If Technology is creating training materials, that cost will need to be included in the Technology cost estimate.*

*\*It is important for the Business Unit to track deliverables related to their training plan and ensure that these deliverables are completed prior to release. The PM can track the training milestones at a high level in the project plan but the BU is accountable for identifying and completing all deliverables. Any training plan or artifacts are to be uploaded to Daptiv.*

| **COM#** | **Training and Communication Requirements Description** | **Materials Needed** | **Created By** | **Training Point of Contact\*** | **Training / Communication** |
| --- | --- | --- | --- | --- | --- |
| 01 | *EXAMPLE-Train Customer Support teams on new functionality*   * *CSRs will need to be trained on how accounts are grouped + displayed so that they can provide tier 1 customer support when the functionality goes live* * *Business will create a training guide on how accounts are grouped and displayed (IT will only be needed to demo the functionality for the business)* | *List what materials will be needed if known.*  *(e.g., quick reference guide, on demand training video, instructor led tutorial)* | *Technology or Business to create?* |  | *Training* |
| 02 |  |  |  |  |  |
| 03 |  |  |  |  |  |

## Systems Operation & Availability Requirements

|  |  |
| --- | --- |
| **System Operation & Availability** | |
| **Operational Support**   1. Timing: When is support required? | **24x7 support**  **Business Hours** |
| 1. Who will provide support? | **Axos Help Desk**  **Axos Production Support Team**  **Axos Operational Team**  **Vendor**  **Other (please explain below)**  *More Information:*  AFS Contact Center and AFS Prod Support |
| 1. Who is the point of contact from the business accountable for driving operational readiness? | Name: Brandon Hines  Email: bhines@axosfs.com  Phone #: 858-649-2033 |
| **System Availability**  What are the Service Level Agreements (SLAs)? | **24x7 support**  **Business Hours**  **Other (please explain below)** |
| **Disaster Recovery**   1. Define RTO (Recovery Time Objective) representing target duration for system to restore after a disruption in number of hours or days 2. RPO (Recovery Point Objective) representing maximum duration that data may be lost after a disruption in number of hours or days | **RTO (Recovery Time Objective):**  24 hours  **RPO (Recovery Point Objective):**  24 hours |
| **System Admin users**   1. Types of system admin users | **Internal**  **External** |
| 1. Will the solution use external facing APIs? | **Yes** **No** |
| 1. Total number of end admin users | 5 |
| 1. Total number of concurrent admin users | 5 |
| 1. Will total number of admin users increase over time? | **Yes** **No** |

*Ensuring operational support for this new or updated functionality is critical to the success of this project.*

## Project Discovery Approvers

*To ensure that all impacted departments and stakeholders are aligned on the requested project scope, approvals are required before submitting for PMO Review.*

| Role | Name | Review or Approve |
| --- | --- | --- |
| Executive Sponsor | David Park | Approval required |
| Executive Sponsor | Marc Kantor | Approval required |
| Business Stakeholder | Brandon Hines | Approval required |
| Impacted Business Stakeholder | Marchand Boyd | Approval required |
| Impacted Business Stakeholder | Courtney Ward | Review |
| Impacted Business Stakeholder | Renee Laws | Review |
| IT Leader (this is Dev or QA) | Keith Ten | Approval required |
| Product Management | Chris Beattie | Approval required |
| Governance, Risk and Compliance (if applicable) | N/A | N/A |
| IT Infrastructure (if applicable) | Ramesh Govindan | Review |
| IT Security-CISO (if applicable) | Raghu Valipireddy | Review |
| Chief Audit Executive (if applicable) | N/A | N/A |
| Dev Manager Stakeholder | Lavanya Kalva | Approval required |
| PMO | Bennette Burks | Review |
| Other | N/A | N/A |

# **SECTION 2 - Technology Impact Assessment**

*The technical sections below are to be completed by the Technical Lead/Architect responsible for documenting the technical solution design. The information provided will be reviewed and approved during the Architecture Review Meeting (ARM).*

## Technology Solution Design

*The technology solution design is essential to understanding how requirements translate to application impacts. This in turn supports project estimation for both cost and time and provides key information for teams that will assist with project execution.*

### **Current Technology Solution Design**

*The following diagram illustrates the applications/systems that support the current technical design.*

## Technical Teams Impacted

| **Technical Team/Department** | **Description of Impact** |
| --- | --- |
| ARMS |  |
| Axos Advisory Services (AAS) |  |
| Axos Core Services | MFA Identity integration |
| Business Intelligence |  |
| CD-Captiva |  |
| CD-K2 |  |
| CD-Nintex |  |
| CD-RPA |  |
| CD-SharePoint |  |
| Clearing IT |  |
| Commercial Banking |  |
| Decisions (Consumer) |  |
| Decision (Commercial) |  |
| Enrollment |  |
| Enterprise Solutions |  |
| Enterprise Data Warehouse (EDW) |  |
| Fiduciary Services | Yes |
| Invest (Managed Portfolio) |  |
| IT Infrastructure |  |
| Marketing Automation |  |
| nCino |  |
| Omnichannel |  |
| Online Banking (OLB) |  |
| Oracle |  |
| RPA |  |
| Salesforce (Consumer) |  |
| Salesforce & nCino (Commercial) |  |
| Salesforce (AAS) |  |
| Sitecore |  |
| Third Party Vendor |  |
| UI/UX |  |
| ULP/ELOS |  |
| Web Dev |  |
| Workflow Optimization | DocuSign integration |
| Others: List each individually |  |
| Others: List each individually |  |

## Vendor Information

*New or existing vendors may be included in this project. Please answer the questions below to indicate whether there is vendor participation.* ***Note****: The Axos Vendor Relationship Owner is accountable for the vendor relationship and will be the escalation point if there are any issues with the vendor.*

| Vendor Information | |
| --- | --- |
| Does this project require a vendor? | **Yes** **No** |
| Vendor Name: |  |
| What services will this vendor provide? | E.g., provide professional/consulting services; software product, etc. |
| Product Name(s) and any other details: | Enter each product name being used and a brief explanation about what each one does |
| Vendor Contact Name: |  |
| Vendor Contact Information: | E.g., Email, phone number |
| Axos Vendor Relationship Owner: | E.g., Axos employee name |
| Do we already have a relationship with this vendor? | **Yes** **No** |
| Where in the Vendor Management process is this relationship? | **Request For Proposal (RFP)**  **Scope of Work (SOW)**  **New Contract**  **Updated Contract**  **New Master Service Agreement (MSA)**  **Existing Master Service Agreement (MSA)**  **Other** *(please explain):*  More Information: |
| Are there hardware requirements? | **Yes** **No** |
| Explain any hardware requirements: |  |

*If there is more than one participating vendor, copy the table and complete the information for each one.*

## IT Infrastructure Impact

*Answering “YES” to any of the questions below is indicative of a potential impact to the IT Infrastructure team that must be considered. Please be sure to include IT Infrastructure in the “Departments Impacted” section above when applicable. If there are questions or something requires clarification, please contact the SVP, CIO for Infrastructure.*

| # | IT Infrastructure Questions | Applicable? |
| --- | --- | --- |
| Application | | |
| 01 | Will you be integrating APIs? If yes, this could have firewall implications. | **Yes** **No** |
| 02 | Will the any of the applications or web need load balancing?   * If yes, for on-prem systems need F5, for AWS need Application Load Balancer. | **Yes** **No** |
| 03 | Is the application going to be hosted by Axos Bank/Clearing/etc.?   * If yes, the hosted solution needs to be documented in the technical design document. | **Yes** **No** |
| 04 | Will the application require 24x7 technical support? | **Yes** **No** |
| 05 | Are there monitoring requirements for this application? | **Yes** **No** |
| 06 | Are there URL requirements for DNS?   * Internal * Cloudflare/external (Bank or Clearing) * APIGEE | **Yes** **No** |
| 07 | Does the application need a SMTP/email account for relay?   * Internal/office 365 * External, dmark, etc. records | **Yes** **No** |
| 08 | Are there database requirements?   * If yes, provide sizing requirement and projected growth estimates. | **Yes** **No** |
| 09 | Will other admin users require access to this application?   * If yes, note to managers to update their roles for new hires in the future. * Link: <https://bofi.service-now.com/sp?id=sc_cat_item&sys_id=4c36b175db3ca34092a0757a8c96190a> | **Yes** **No** |
| Vendor | | |
| 10 | Will this effort require you set up a direct connection with a vendor? | **Yes** **No** |
| 11 | If a new vendor is being leveraged, does it have support contact information?   * If yes, this information must be updated with [NOC@axosbank.com](mailto:NOC@axosbank.com).  Application owner escalation information needs to be documented and provided to the NOC. | **Yes** **No** |
| Software | | |
| 12 | Is there new software that is licensed per admin user or per install?   * If yes, need to set up tracking for software installs. | **Yes** **No** |
| 13 | Is there new software to deploy to admin user desktops?   * If yes, need the software to package and a list of admin users for the install. | **Yes** **No** |

## Tier 1 & 2 Technical Support

*Provide the planned Tier 1 and Tier 2 support contact information that will manage this solution after release. Add additional lines if there are multiple Tier 1 & Tier 2 support models.*

|  |  |  |
| --- | --- | --- |
| ***Tier*** | ***Skill Level*** | ***Responsibilities*** |
| *1* | *Low* | *Initial customer contact; resolving routine issues* |
| *2* | *Medium* | *Resolving issues beyond the capabilities of Tier 1* |

|  |  |  |  |
| --- | --- | --- | --- |
| **Tier Level** | **Point of Contact Name** | **Contact Info (phone/email)** | **Type of Support Provided** |
| **1** | Josh Trump | [jtrump@axosfs.com](mailto:jtrump@axosfs.com) | Production Support |
| **2** | Lavanya Kalva | [lkalva@axosfs.com](mailto:lkalva@axosfs.com) | BU Technical Support |

## IT Security Impact

*Answering “YES” to any of the questions below could indicate an impact on the Chief Information Security Office (CISO) that needs to be considered. Please include them in the “Departments Impacted” section above if applicable. If there are questions or if something is unclear, please reach out to the SVP, CISO for IT Security.*

| # | IT Security Questions | Applicable? |
| --- | --- | --- |
| 01 | Does this effort involve building new Internet-facing APIs or modifications to existing Internet-facing APIs? | **Yes** **No** |
| 02 | Does this effort involve new Internet-facing web applications or modifications to existing Internet-facing web applications? | **Yes** **No** |
| 03 | Does this effort involve implementing new technology? | **Yes** **No** |
| 04 | Does this effort involve handling sensitive PII data? | **Yes** **No** |
| 05 | Does this effort involve implementing login processes (existing logon mechanism or new)? | **Yes** **No** |
| 06 | Do you believe that any flaws and weaknesses in design components such as communication protocols, databases, applications, and configurations could potentially lead to a negative impact on Axos? | **Yes** **No** |
| 07 | Please provide any other important or relevant information below if applicable: | N/A |

# **SECTION 3 – Project Initiation & Baseline**

*Section 3 is owned by the Project Management Office and will be completed by the assigned Project Manager in partnership with the Business and project team members once the project is initiated and sprint 0 planning is completed.*

## Team Roles and Responsibilities

*The table below lists the names and roles of key project participants. Include all assigned IT and Business team leads known at the time this document is written.*

| **Name** | **Role** | **Dept. or Business Unit** |
| --- | --- | --- |
|  | Business Sponsor |  |
|  | Product Manager |  |
|  | Infrastructure POC |  |
|  | PMO Project Manager |  |
|  | Vendor Project Manager (if applicable) |  |
|  | Scrum Master [Platform] |  |
|  | Scrum Master [Platform] |  |
|  | Business Analyst/ Product Owner |  |
|  | Security POC |  |
|  | Developer [Platform] |  |
|  | Developer [Platform] |  |
|  | Developer [Platform] |  |
|  | Technology Lead [Platform] |  |
|  | Technology Lead [Platform] |  |
|  | Technology Lead [Platform] |  |
|  | Technology Lead [Platform] |  |
|  | Quality Assurance Lead |  |
|  | UI/UX |  |
|  | Admin user Acceptance Test Lead |  |
|  | Other |  |
|  | [Other] Business SME |  |
|  | [Other] Business SME |  |

## Assumptions, Dependencies & Constraints

### **Assumptions**

### *Assumptions are* **factors** *considered to be true throughout the project execution lifecycle.*

|  |  |
| --- | --- |
| **#** | **Assumption Description** |
| 01 | *Example: All resources needed for the project will be available to the project throughout execution.* |
| 02 |  |

### **Dependencies**

*Dependencies are inputs and/or contextual requirements that must be met for the project to complete. When this project is dependent on another project’s deliverables, list that project’s name and number here and describe the dependency.*

|  |  |
| --- | --- |
| **#** | **Dependency Description** |
| 01 | *Example: The project is dependent on VirPack resources to deliver various aspects of the project (test environment setup, release execution).* |
| 02 | *Example: Project #999 – Project ABC will be delivering key functionality that aligns with scope item/feature # in this project. Their planned deployment date is 12/01/22.* |
| 03 |  |

### **Constraints**

*A constraint is a limitation or restriction on an aspect of the project.*

|  |  |
| --- | --- |
| **#** | **Constraint Description** |
| 01 | *Example: The project must be delivered by October 1, 2017, to meet project goals.* |
| 02 |  |
| 03 |  |

## Risks

*Document the expected risks to the timely and/or successful completion of this project. Refer to the PMO PROM site for the Project Risk Assessment PROM that will provide more helpful information.*

*Risk are things that* could *happen that would negatively affect the project’s timeline, budget, goals and/or successful completion. Therefore, it is important to anticipate potential risks and then make plans to mitigate or eliminate their impact.*

*Risk descriptions clearly indicate what is impacted by the risk.*

*Common Risks include items such as resources, schedule, requirements, technical complexity, infrastructure, vendors, quality, end-admin user adoption, and they can potentially affect the project’s timeline, budget, or goals.*

*Risk Impact measures the impact (high, medium, low) and Risk Probability measures how often (or, how likely) the risk’s impact is to occur (high, medium, low).*

*Risk mitigation plan defines the actions to be taken to remove or reduce the impact and/or frequency of the risk.*

*All project risks are also to be logged in the “Risk” section of Daptiv and continuously monitored and mitigated throughout the project duration.*

| **#** | **Risk Description/Trigger(s)** | **Impact if Risk Occurs** | **Risk Probability** | **Risk**  **Mitigation Plan** | **Risk Owner** |
| --- | --- | --- | --- | --- | --- |
| 01 | ***Example:*** *Due to vendor availability, some aspects of project scope cannot be completed putting at risk the projects’ ability to meet defined goals.* | *High* | *Low* | *Project manager and Product Owner will establish a weekly coordination checkpoint with the vendor to receive updates on availability. Project manager will escalate to leadership, as needed.* | *Role responsible for managing the risk, ensuring its mitigation to reduce its occurrence, and escalate to PM and tech leads when needed. Could be Business Owner, Product Owner, IT Owner, etc.* |
| 02 |  |  |  |  |  |
| 03 |  |  |  |  |  |
| 04 |  |  |  |  |  |
| 05 |  |  |  |  |  |

## Proposed Schedule

*Based on the identified scope and the scope assessment performed to date, the milestone schedule is the project’s delivery timeline. Material changes to the project timeline are subject to the project change management process. Remember to include any critical business-related milestone tasks that need to be part of the proposed milestone schedule.*

*Milestones may vary based on the actual project. Add/subtract line items as applicable. Items that are* ***bolded are required*** *and items that are not in bold font may or may not be applicable to a given project. E.g., when a UI is being built or changed, then UX design is an applicable milestone. You may delete milestones that are not required.*

*\*It is important for the Business to track deliverables related to their Operational readiness plan and Go to Market strategy and ensure that these deliverables are completed prior to release. The Project Manager can track the readiness and Go to Market strategy at a high level in the project plan, but the Business is accountable for identifying and completing all deliverables. The detailed plans and artifacts will be uploaded to Daptiv.*

| **Proposed Milestone Schedule** | **Planned Start** | **Planned Finish** |
| --- | --- | --- |
| **Project kick-off** |  |  |
| **Project Baselined/Section 3 Approved** |  |  |
| UX design |  |  |
| **Technology design** |  |  |
| **Requirements (Backlog / PBIs)** |  |  |
| **Technology development & QA** |  |  |
| Infrastructure build |  |  |
| **UAT** |  |  |
| Operational Readiness Confirmed by BU (as applicable)\* |  |  |
| Go to Market Readiness Confirmed by BU (as applicable)\* |  |  |
| **Final Release or Solution Deployment** |  |  |
| **Warranty** |  |  |
| **Project close** |  |  |

### **Scope Change**

Once Section 3 has been approved, the project’s scope, timeline, and budget has been baselined and is under change control. Any subsequent scope changes requested will need to go through the project change request process to assess impact to scope, timeline, costs, and resources. A Project Change Request (PCR) will be written, the requested change’s impacts will be reviewed, and any agreement to change the project will be made via approval of the PCR by the same stakeholders that approved Section 3. The project change process is led by the assigned Project Manager.

## Vendor Costs

*New or existing vendors will need to be included in the project’s budget as applicable. Refer to Section 2 for any vendor inclusions as part of the technical design. Below, indicate whether the costs are one time (e.g., an SOW for professional fees; hardware purchases) or multi-year (e.g., platform or software licensing fees). Add lines to the table as needed and use the space provided to clarify/provide any explanations and/or embed relevant documentation.*

| **Cost Type** | **Vendor Name** | **One-time Purchase $** | **Multi-year Costs $** |
| --- | --- | --- | --- |
| Licensing Fees (e.g., software, platform, etc.) |  |  |  |
| Professional Fees (e.g., SOW, etc.) |  |  |  |
| Hardware Costs |  |  |  |
| Other *(specify)* |  |  |  |
| **Total anticipated costs** |  | $0,000.00 | $0,000.00 |

**Additional Information regarding these costs:**

## Budget Summary

*The Budget Summary is the total expected cost of completing the project, inclusive of labor expenses (e.g., the costs of the resources working on the project through completion) and non-labor expenses (e.g., hardware, software licenses, platform fees, vendor professional fees, etc.).*

*Example: (remove this example when completing this section). Note that this sample budget is inclusive of the actual project hours/cost prior to the completion of Section 3, forecasted internal resource hours, and vendor costs to determine the final budget.*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Resource** | **Project Role** | **Actuals Hours as of 9/22/22** | **Actuals Cost** | **Forecast Hours** | **Forecast Cost** |
| Architect-EDW-MX | Architect | 33.00 | $1,320.00 | 138.00 | $5,520.00 |
| Analyst-Business EDW-MX | Business Analyst | 103.50 | $4,140.00 | 272.00 | $10,880.00 |
| Developer-EDW-MX | Developer | 164.00 | $6,560.00 | 666.00 | $26,640.00 |
| Analyst-Data-US | Data Analyst | 0.00 | $0.00 | 64.00 | $5,120.00 |
| QA-EDW-US | QA Tester | 51.50 | $4,120.00 | 418.00 | $33,440.00 |
| Analyst-Business-US | Scrum Master | 10.75 | $860.00 | 139.00 | $11,120.00 |
| Manager-Project-US | Project Manager | 156.25 | $12,500.00 | 250.00 | $20,000.00 |
| **Resource Total** |  | **519.00** | **$ 29,500.00** | **1947.00** | **$ 112,720.00** |
| **Vendor Costs** | **Purpose** |  | **Actuals Cost** | **n/a** | **Vendor Costs** |
| Professional Fees | Project delivery support | $0.00 | n/a | $20,000 |
| **Project Cost Summary** | | | | | |
|  | | | **Current Spend To-Date** | | **$ 29,500.00** |
| **Resource forecasted costs** | | **$ 112,720.00** |
| **Vendor planned costs** | | **$ 20,000.00** |
| **Project Budget** | | **$ 162,220.00** |

## Project Approval

*The table below identifies everyone who must review and/or formally approve Section 3 of the Discovery and Initiation document. As owners of the project, the Business Sponsor and the Product Manager will always approve Section 3. Other roles will vary for approval or review-only based on the project’s scope. Minimally, all named individuals will be included for review of Section 3. Approvals will be captured by email. Evidence of each individual approval shall be stored in Daptiv.*

| Role | Name | Review or Approve |
| --- | --- | --- |
| Business Sponsor  [Title] | [TBD] | **Approve** |
| Product Manager  [Title] | [TBD] | **Approve** |
| Business Stakeholder  [Title] | [TBD] | **Approve** |
| [Title] | [Add all Tech Lead or Dev Manager reporting to SVP of IT that has scope] | **Approve** |
| Add additional impacted dept owners OR requirement/scope owners here |  | Approve / Review only |
| VP, Chief Compliance Officer, Securities | Jason Rives | \*Note: Jason Rives is an approver on all securities projects that are consumer facing. |
| Chief Risk Officer, Securities | Jeremy Franzluebbers | Jeremy Franzluebbers is anapprover for all system / changes that impact risk reporting systems. |
| SVP, IT Consumer, Clearing IT & Centers of Excellence | Jon Crane | Review only |
| SVP, Head of Enterprise Project Management | Hina Godil | Review only |
| PMO Program Manager | [Add applicable name here] | Review only |
| SVP, Chief Digital Officer | Michael Pfau | Review only |
| EVP, Chief Operating Officer | Raymond Matsumoto | Add as Reviewer only for all AAS and Clearing projects unless he is the Business Sponsor (when he is the Business Sponsor he will approve) |
| SVP, IT Operations & Infrastructure | Rick Hattenburg | Review only  (Change to “Approve” when there are Infrastructure requirements/scope) |
| SVP, Chief Information Security Officer | Raghu Valipireddy | Review only  (Change to “Approve” when there are Security requirements/scope) |
| FVP, IT Business Controls & Application Support | Lisa Goodwin | Review only |
| Business Continuity Analyst | Micah Pletz | Review only |
| EVP, Chief Governance, Risk & Compliance Officer | John Tolla | Review only |
| SVP, Chief Audit Executive | Anthony Bowers | Review only |

# **Appendix**

## Glossary

*Terms and acronyms not commonly understood that are used in this document are defined below.*

| **Term** | **Definition** |
| --- | --- |
|  |  |
|  |  |
|  |  |
|  |  |

## Project Discovery & Initiation: Template Version Control (PMO USE ONLY)

| Ver. # | Date | Author | Changes | Approved by |
| --- | --- | --- | --- | --- |
|  |  |  | *Enter most recent change above the last change, so that the version numbers are in descending order & the most recent change is shown at the top.*   * *Minor revisions are “point revisions” e.g., 1.1.* * *Major revisions are delineated by a new version number, e.g., 2.0* |  |
| 1.01 | 10/20/2022 | Cecile Walker | Updated project goals to add acceptance criteria and align with the Closing document | Hina Godil |
| 1.0 | 09/06/22 | Cecile Walker, Bennette Burks, Hina Godil | Created/Published a new version that contains information from the original Discovery document and Project Charter | Hina Godil (PMO), Bennette Burks (PMO), Jonathan Crane (IT), Michael Pfau (Product Management), Marc Kantor (Commercial), Rick Hattenburg (Infrastructure), Raghu Valipireddy (CISO), Pallavi Walawalkar (COE), Kevin Hearn (IT Consumer Dev), Raymond Matsumoto (EVP), Rick Hastings (Operations), Matthew F. Brown (QA), Mike Ubis (Clearing Dev) |

*PMO use only – Do not remove.*