Audit Ordering System

Software Requirements Specification



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| Summary: | |
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| Version: | 1.0.3 |
| Last Modified Date: | March 21, 201010 |

# Revision History

|  |  |  |  |
| --- | --- | --- | --- |
| **Date** | **Version** | **Description** | **Author** |
| April 21, 2009 | Draft | The first draft version of the document was created. Features left for ‘After May 1’ releases are in purple. | Vasia Pupkin |
| June 9, 2009 | 1.0.0 | Specification was actualized | Vasia Pupkin |
| June 26, 2009 | 1.0.1 | [Business Rules](#_Business_Rules) section was updated.  ***Source = TFS WI 123*** | Vasia Pupkin |
| June 26, 2009 | 1.0.2 | [Business Rules](#_Business_Rules) section was updated.  ***Source = TFS WI’s 125, 126***  Specification was re-factored and improved. | Vasia Pupkin |
| March 21, 201010 | 1.0.3 | The following sections were updated:   1. [Business Rules](#_Business_Rules) 2. Orders Pipeline   ***Source = TFS WI 9523*** | Vasia Pupkin |

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# Introduction

## Purpose of the document

The purpose of the Audit Ordering System Software Requirements Specification is to provide a clear and consistent vision of the Audit Ordering System and to list all the software requirements for it.

This document is intended to ensure a common understanding of the software goals and tasks both by Software Guru Development team and business experts.

The document is to be continuously updated to reflect the functionality changes that happen during the implementation of the Audit Ordering System Project, so that an accurate vision of what's been done is available at any time.

# Overall Description

## Product Perspective

The [ABC](#AdditionalDocs_ABD) standard requires that audit ordering process comply with regulatory standards and that starting on April 1, 2010 all insurance companies utilize an Audit Development Company for all [Audits](#Glossary_Audit). This standard requires that no Client, Insurance Company, or partner on behalf of the Insurance Company influence the development, reporting or review of an Audit in any manner.

Purpose of the Audit Ordering System Project is to perform the [ADC](#Documents_SOVS)/Insurance Company integration which will allow Clients, Insurance Company and Auditors to communicate with each other in a much more controlled setting.

## System Architecture

The following existing Systems are to be modified\created in order to accommodate the purposes of the Audit Ordering System Project:

* [IOS](#Glossary_IOS)
* [ADCA](#AdditionalDocs_ADCA)
* [Audit Site](#_Audit_Site)

For the list of outside Systems to be utilized in the scope of the Audit Ordering System Project refer to the [Software Interfaces](#_Software_Interfaces) section.

Diagram of the system’s high-level components:

**TBD**

## User Classes and Characteristics

### User Classes

The following User Classes can be defined within the scope of Audit Ordering System project:

* **Insurance Applicant**: any person outside of Insurance Company tied to Insurance order and who has access to Insurance order and its Parameters
* **Client User:** userofClient Company which makes Insurance Orders within Insurance Company
* **IOS User**: userofClient which originates Insurances within Insurance Company via IOS application
* **Insurance Requester:** Person who applied for a Insurance to certain Client Company (which further sold Insurance to Insurance Company) or directly to Insurance Company.
* **ADC User:** user (whether external or internal in relation to Insurance Company) who utilizes the ADC application
* **ADC Auditor:** independent Auditor who registered within the ADC Company to process Audit Orders coming from Insurance Company
* **ADC Administrator:** ADC personnel who administrates ADC System and distributes Audit Orders between ADC Auditors
* **Insurance Company Personnel:** any Insurance Company personnel taking part in the Audit processing workflow
* **Processor:** Insurance Company Processor responsible for Audit Order review via Audit Site
* **Audit Site Administrator:** Insurance Company personnel responsible for tracking and managing Audit Orders that were not delivered to ADC due to any reason.

### User Roles

Users’ categories and access level within the existing Systems should be left as it is currently. See below User Roles for the newly created Systems.

The following User Roles can be defined within Audit Site:

* **Client User** (corresponds to [‘Client User’](#UserClasses_ClientUser) User Class);
* **Requester** (corresponds to [‘Insurance Requester’](#UserClasses_IRR) User Class);
* **Admin** (corresponds to [‘Audit Site Administrator’](#UserClasses_Admin) User Class).

### Permission Requirements

| **Requirement ID** | **Requirement Description** |
| --- | --- |
| PR-AS-01 | Users of different categories and different applications should be able to see different sets of Orders in the Order Pipeline (see also [FR-AS-01](#FRAS01)):   |  |  | | --- | --- | | **User Role** | **Description** | | Client User | Able to view only Orders created by himself (filtered by Client ID + Bank ID). | | Requester | Able to view Orders for Insurances for which current Insurance Requestor is Primary Insurance Requestor. | | Admin | Able to view only Orders which are paid but failed during export to ADC. | |
| PR-AS-02 | Users of all other User categories except mentioned in the [User Roles](#_User_Roles) section should not have access to Audit Site. |

## Operating Environment

Operating Environment for existing Systems should be left as it is currently. See below Operating environment for the newly created Systems.

| **Requirement ID** | **Requirement** |
| --- | --- |
| OE-1 | Audit Site will operate with the following browsers:   * Internet Explorer 7.0 and greater; * Firefox 3.0 and greater; * Safari 4.0 and greater. |

# System Features

## General Workflow

Audit ordering workflow starts with ordering Audit by Client.

1. Client requests Order Audit via the following IOS.

In order to achieve this goal, User will select option in IOS to order Audit and will be redirected to the [Audit Site](#_Audit_Site).

Audit Site requests Price calculation from ADC.

1. ADC calculates Client Order Price and Auditor Order Price based on supplied data and returns Client Order Price to Audit Site.
2. Client based on the returned Price either cancels Order or proceeds with ordering Audit. If he proceeds with ordering Audit, the System (Audit Site) will display the form to pay for Audit via [e-Payment](#SI_Epayment).
3. Client completes the form.
4. E-Payment request via the ADC E-Payment component will be sent to PS E-Payment system (as AUTH transaction). E-Payment System returns one of the following results:

* Payment is rejected (PS returned error) or declined. In this case Client will need to perform [step 4](#Workflow_Step3) again.
* Payment is authorized. In this case order will be sent to ADC System for further processing.

1. When ADC gets new Audit Order, it will add Order to the pipeline of Audit Orders. Order is assigned Status = ‘*Open*’.

Order is assigned automatically to certain Auditor.

E-mail notification should be sent by ADC to Auditor to whom Order was assigned.

Audit Site Administrator will have ability to view these Orders via the ADC application and re-assign them to certain Auditor either manually or randomly.

1. Auditor logs into the ADC application and he has one of the following options:
2. Accept Order. After that Auditor starts creating Auditing Report on his own. Order is assigned Status = ‘*Pending*’.
3. Reject Order. In this case Order gets back to the Order pipeline. [Step 6](#Workflow_Step6) should be performed again.
4. After Auditing Report is completed, Auditor\ADC Administrator on behalf of Auditor logs into ADC application and uploads Auditing Report.

After Auditing Report is uploaded, User submits Order and it is assigned Status = ‘*Completed’*.

1. Client via Audit Site should be able to view the list of Orders tied to their Insurances, their Status and details any time after [Step 6](#Workflow_Step6).

Starting from when Order is assigned Status = ‘*Completed*’ Client\Insurance Requestor should be able to view Auditing Reports attached to Audit Order.

## Use Cases

For visual representation of Audit Site Use Cases refer to [Diagram 1](#Diagram1) in the [Mockups and Diagrams](#_Mockups_1) section.

### Actors

The following Actors can be defined within the scope of Audit Ordering System project:

**Human Actors:**

For the list of human actors refer to [User Roles](#_User_Roles_1) section.

**Non-Human Actors:**

* Audit System;
* ADC System.

### Use Case Catalog

#### UC01 Fill Audit Order Data

|  |  |  |  |
| --- | --- | --- | --- |
| **Overview** | | This use-case is utilized to fill initial data for an Audit Order being created. | |
| **Actor** | | [Client User](#_Actors) | |
| **Pre-conditions** | | Actor should be logged in the System. | |
| **Post-conditions** | | Audit Order is ready to be paid. | |
| **References** | | *<<Screen Description>>:*   * [Order Audit Request Form](#_Order_Audit_Request) * Audit Order Summary * Orders Pipeline * Audit Payment page   *<<Extended By>>:*   * UC15 Request Payment * UC80 Upload Contract Documents   *<<Extends>>*   * UC01 Initiate Audit Order * UC54 View Order Details   *<<Includes>>:*   * UC65 Select Fees | |
| **Basic Flow** | | | |
| Step | | Action | |
| 1 | | Actor fills all desired and required data on the ‘Order Audit Request Form’ page (see [mockup 1](#Mockup1)) and presses the ‘Next’ button. Can be extended by UC80. | |
| 2 | | The System displays the ‘Additional Fees/Addendums’ page (see mockup 2). | |
| 3 | | UC65 | |
| 4 | | The System displays the ‘Audit Order Summary’ page (see mockup 3). | |
| 5 | | Actor reviews data and presses the ‘Proceed to Payment’ button. Extended by UC15. | |
| **Alternate Flow 1 – Actor wishes to temporary save the Order and abandon completing its data** | | | |
| Step to alternate | Step Name | | Action |
| 1 | 1a | | Actor fills all desired data on the ‘Order Audit Request Form’ page (see [mockup 1](#Mockup1)) and presses the ‘Save’ button. |
| 2 | 2a | | The System displays Order Pipeline with the just saved Order selected.  All other steps are skipped. |
| **Alternate Flow 2 – Actor wishes to get back to selecting Fees** | | | |
| Step to alternate | Step Name | | Action |
| 5 | 5b | | Actor presses the ‘Back’ button on the ‘Audit Order Summary’ page. |
| - | 6b | | See Step 2. |
| **Alternate Flow 3 – Actor completes previously incomplete data for already existing Order** | | | |
| Step to alternate | Step Name | | Action |
| - | 0c | | Actor presses the ‘Proceed to Request Form’ link in the Order Details section on the ‘Orders Pipeline’ page (see mockup 4). |

## Business Rules

| **Business Rule ID** | **Business Rule Description** |
| --- | --- |
| BR-AS-01 | If Insurance Requestor haven’t provided document A to Insurance Company thenhe should not be allowed to pay for Audit. |

## Audit Order Statuses

|  |  |  |  |
| --- | --- | --- | --- |
| **Status** | **Status Description** | **Conditions for transferring order to status** | **User Friendly Alias** |
| Request Initiated | Audit Order request is initiated (initial information is partially filled). | User initiated Audit Order via Audit Site but didn’t yet reach ‘Audit Order Summary’ page (i.e. saved data on ‘Audit Order Request Form’\’Additional Fees/Addendums’ page). | Request Initiated |
| Order Not Paid | Order information is completely filled in but Order is not yet paid. | Insurance Applicant proceeded to the ‘Audit Order Summary’ page and\or submitted payment transaction but Approval was not yet received from E-Payment System for payment transaction. | Payment |
| Open | Order is passed to ADC but not yet assigned to Auditor. | Order is paid and passed to ADC but Auditor is not yet assigned. | Order Assignment |
| Pending | Order is assigned to Auditor and currently in progress. | Order was assigned to Auditor and Auditor approved it but not yet completed (i.e. Auditing Report and data were not submitted). | Audit Review |
| Completed | Auditing Report is complete but not yet verified by Processor. | Auditing Report and data were submitted by Processor but not yet approved by Processor. | Audit Completed |
| Approved | Auditing Report is complete and approved by Processor. | Auditing Report and data were approved by Processor. | Audit Approval |
| Cancelled | Audit Order was cancelled by ADC administration. | Audit Order was cancelled by ADC administrator in the ADC application. | *Not displayed in Audit Site* |

# Functional Requirements

## Audit Site

### Common Functional Requirements

|  |  |
| --- | --- |
| **Business Rule ID** | **Business Rule Description** |
| FR-AS-01 | Pipeline should contain Orders that satisfy all following criteria:   1. Order record was created with ‘*Request Initiated*’ status. 2. 90 days didn’t pass since Order is in ‘*Approved*’ status.   See [Audit Order Statuses](#_Appraisal_Order_Statuses) for details. |
| FR-AS-02 | Partial match search should be designed based on the ‘X%’ criteria, where X – value being searched, e.g.:  User searches for ‘John’ value. The System must find all records which contain values starting with ‘John’ (for example, ‘John’, ‘John Smith’ etc.). |
| FR-AS-03 | All Audit Site pages should contain the following verbiage at the footer:  *For Questions, Comments or Concerns, please email* [*answers@mail.com*](mailto:answers@mail.com) *or call us at 111-111-1111* |

### Order Audit Request Form

See [mockup 1](#Mockup1) and [FR-AS-03](#FRAS03).

| **Control Name** | **Type** | **Required?** | **Behavior/Description** |
| --- | --- | --- | --- |
| Insurance Number | Label | - | **Description:** Number ofcurrent Insurance.  Should be pulled from request URL. |
| Client | Textbox | Yes | **Description:** Client Company originating Insurance.  **Format:** alphanumeric.  **Max length:** 255 characters.  Format limitations auto-supported by textbox.  Display ‘Required’ if not filled upon pressing Save or Next. |
| Insurance Officer Contact Number | Textbox | Yes | **Description:** Insurance Officer’s Phone number.  **Format:** XXX-XXX-XXXX, where X - digit  Format limitations auto-supported by textbox.  Display ‘Required’ if not filled upon pressing Save or Next. |
| Bank Address | Address Control | Yes | **Description:** Bank street address.  Pre-populated with value for existing Insurance.  **Format:** alphanumeric.  **Max length:** not restricted  Display ‘Required’ if not filled upon pressing Save or Next. |
| Bank Type | Dropdown | Yes | **Possible Values:**   * *<no-selection>* * A * B * C   Pre-populated with value for existing Insurance.  Display ‘Required’ if ‘no-selection’ is selected upon pressing Save or Next. |
| ***Buttons section*** | | | |
| Save | Button | - | **Behavior**: when user presses this button the System saves current Audit Order with “Request Initiated” status and redirects user to the Audit Orders Pipeline. |
| Next | Button | - | **Behavior**: when user presses this button the System redirects user to the “Additional Fees/Addendums” screen. If at least one of required fields is blank the System displays “Required” message next to this field. |

**TBD**

# External Interfaces

## Software Interfaces

The following outside Systems should be utilized in the Audit Ordering System Project:

1. E-Payment ([PS](#AdditionalDocs_PS)) (see [PS API](#Glossary_PS) in the [Additional Documents](#_Additional_Documents_1) section)

# Appendix

## Mockups

**TBD**

*Diagram 1 – Audit Site Use Case diagram*

**TBD**

*Mockup 1 – Order Audit Request Form*

## Glossary

### Business Terms and Abbreviations

|  |  |
| --- | --- |
| **Term/Abbrev** | **Description** |
| Audit | Audit is an evaluation of a person, organization, system, process, enterprise, project or product. Audits are performed to ascertain the validity and reliability of information provided by Clients of Insurance companies. |
| ADC | = Audit Development Company. Insurance Company’s joint venture which holds all processes related to auditing. |
| Auditing Report | A written report by an Auditor (the result of [Audit](#Glossary_Audit)) which contains his opinion as to the value of a Client and the reasoning leading to this opinion. The factual data supporting the opinion, such as comparables, formulas, and qualifications of the Auditor, is also supplied. |
| PS | Payment System.Supports e-Commercetransactions. |

### 

### System Terms and Abbreviations

|  |  |
| --- | --- |
| **Term/Abbrev** | **Description** |
| IOS | Insurance Ordering application of Company A which was developed to improve the automation of the insuring process, increase stability and reliability of the System and bring higher satisfaction to end users. |
| ADCA | Auditing application used by Auditors having contract with [ADC](#Glossary_ADC). This application allows Auditors to accept, reject, track and upload [Auditing Reports](#AdditionalDocs_AuditingReport). |

## 

## Additional Documents

| **Document Name** | **Link** |
| --- | --- |
| ABC standard | <http://www.google.com.by/> |
| PS API | <http://www.google.com.by/> |