Nationwide Confidential

Functional Requirements Deliverable

for

COPDR-Submission Manager

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Approved

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Document History

Distribution

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Summary of Changes

Version	Status	Date	Author	Summary of Changes
0.1	Draft	4/18/2013	Praveen Parimi	Initial draft
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0.##	Peer Review	8/24/2013	Praveen Parimi	Updated doc with stakeholder meetings
0.##	Internal Review	8/30/2013	Praveen Parimi	Team Review Done
0.##	Walkthrough	9/09/2013	Praveen Parimi	Stakeholder Walkthrough done
1.0	Approved	9/15/2013	Praveen Parimi	Final Document

Table of Contents

DOCUMENT HISTORY **2**

DISTRIBUTION 2
SUMMARY OF CHANGES 2

INTRODUCTION **4**

DESCRIPTION OF PROCESS 4
PROCESS MAPS 4
AS IS PROCESS ..... **ERROR! BOOKMARK NOT DEFINED.**
TO BE PROCESS ..... **ERROR! BOOKMARK NOT DEFINED.**

DETAIL REQUIREMENTS **8**

USE CASES 8
USER STORIES 8
BUSINESS RULES 43
WIREFRAMES 44
DATA REQUIREMENTS ..... **ERROR! BOOKMARK NOT DEFINED.**
NON FUNCTIONAL REQUIREMENTS ..... **ERROR! BOOKMARK NOT DEFINED.**

Introduction

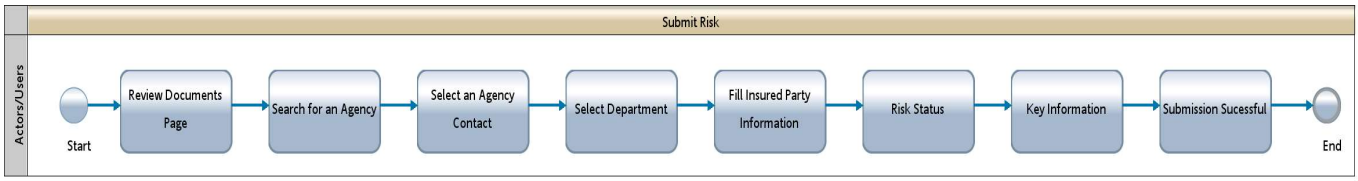
Description of Process

The Internal Users (Underwriter Manager/Underwriter/Assistant Underwriter/Risk Clearance) and the External Users (General Agent/Program Manager/Broker) will use Submission Manager Application to submit a new risk or renewing an existing policy to Scottsdale Insurance Company.

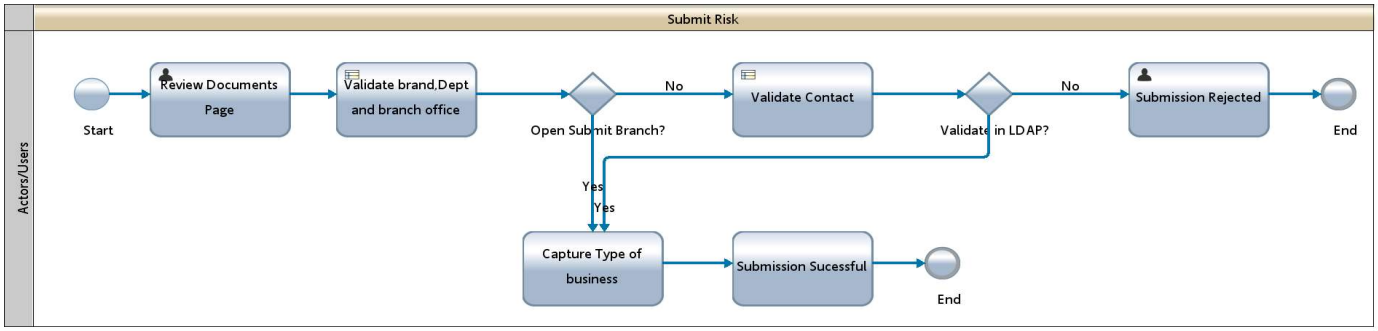
The future state process is an enhancement to the current state to address the clearing and routing pain-points for submitting a new business or renewing an existing policy through the SIC underwriters using Submission Manager Application. The process involves various steps of submitting the valid information and application validates the entered information and routes the submission or risk to the appropriate underwriter.

Process Maps

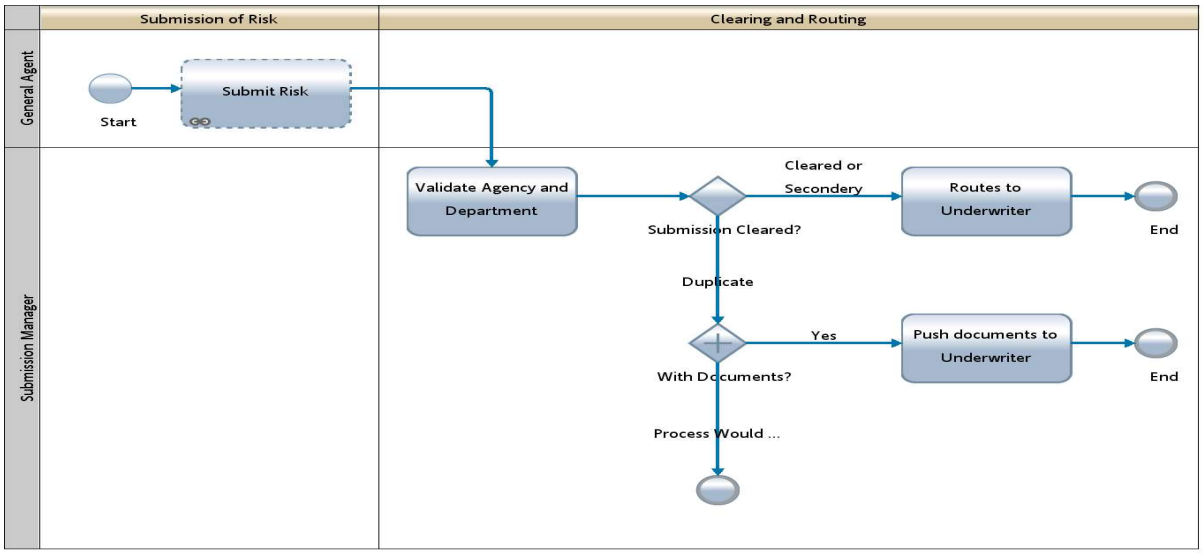
As Is Process Map to Submit Risk



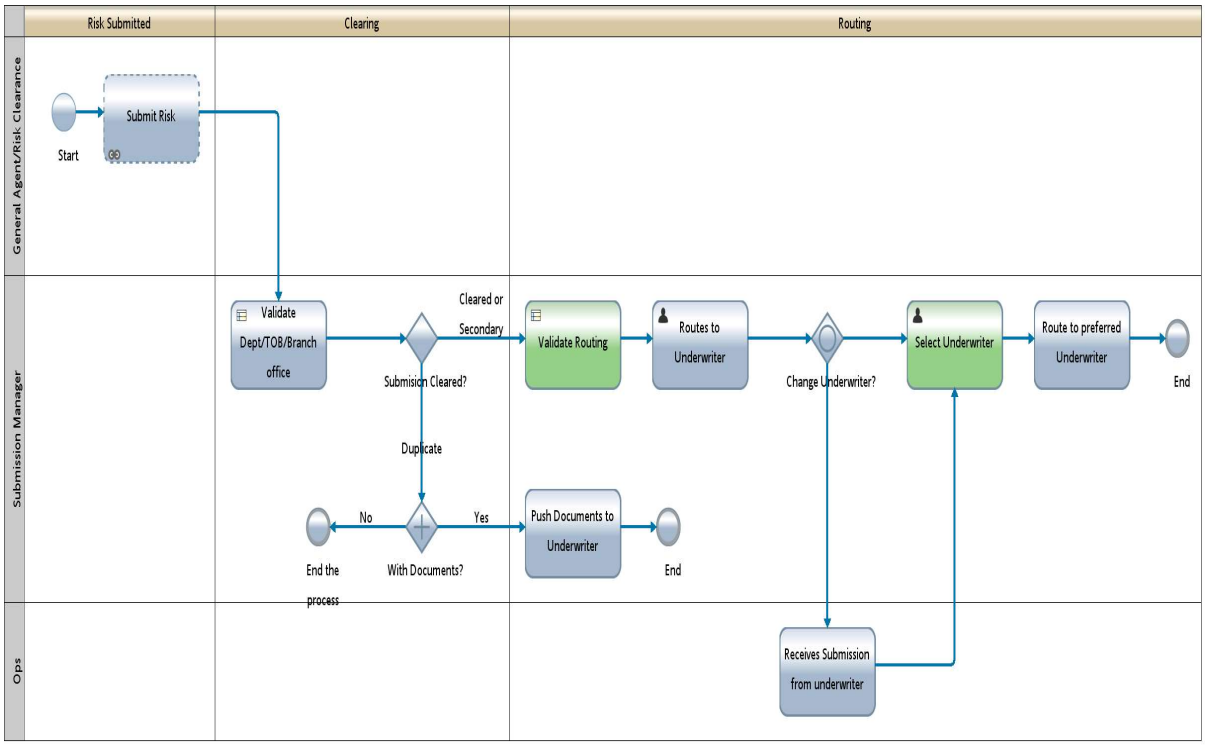
To Be Process Map to Submit Risk



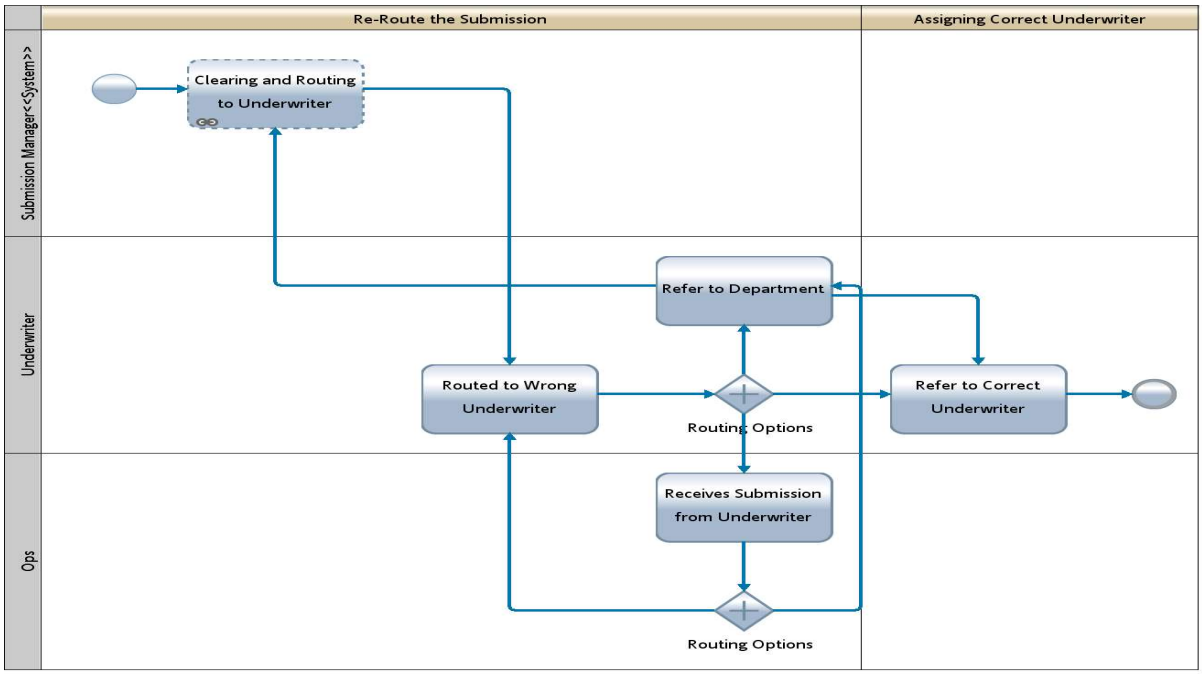
As Is Process Map for Clearing and Routing a Submission



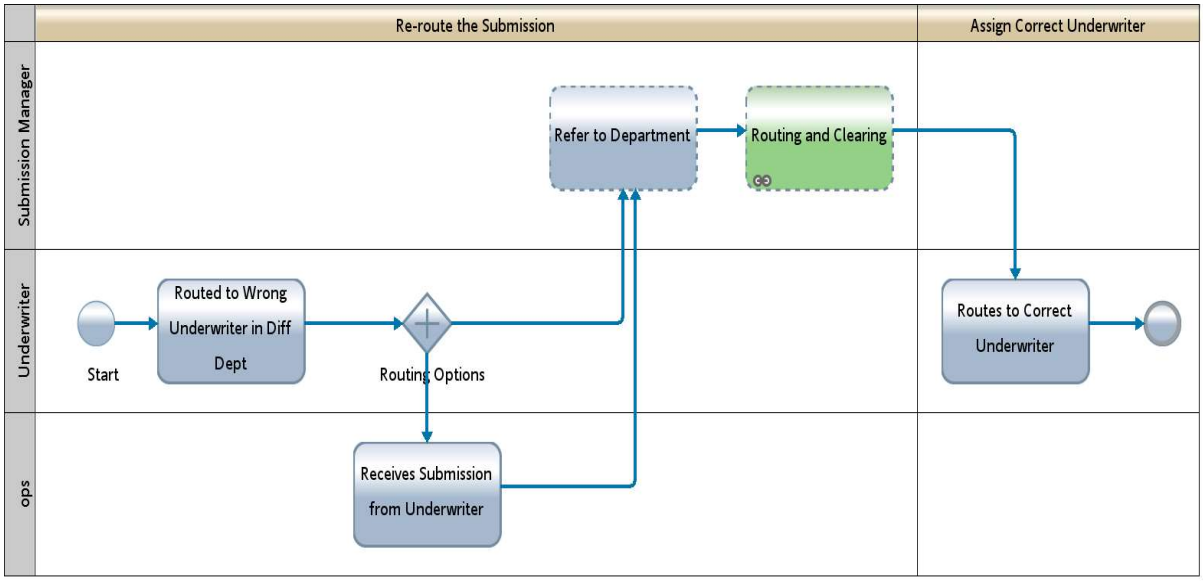
To Be Process Map for Clearing and Routing a Submission



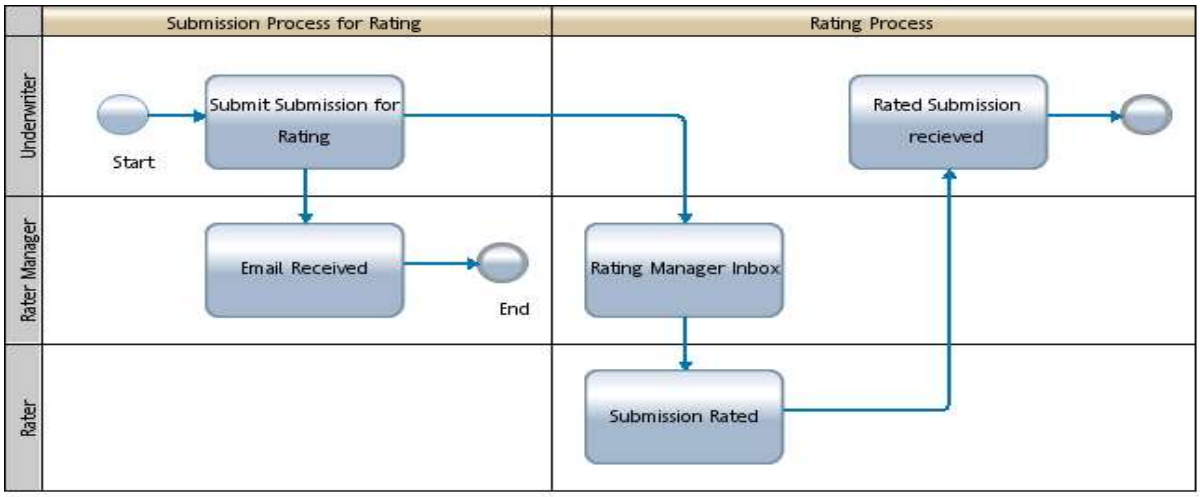
As Is Process Map for Rerouting to Correct Underwriter



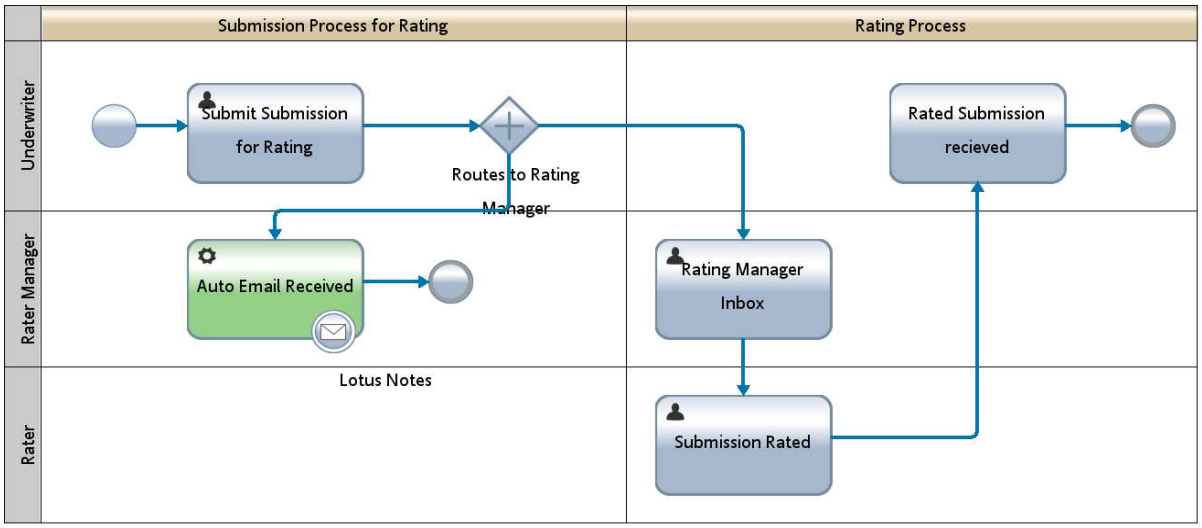
To Be Process Map for Rerouting to Correct Underwriter



As Is Process Map for Routing to Rater



To Be Process Map for Routing to Rater



Note: The To-Be process holds true for Contract only and the As–Is process remains the same for Brokerage Casualty department and for Brokerage Transportation needs the Rater's list is to be added in dropdown as it is for brokerage casualty.

Detail Requirements

Use Cases

Overview

Name:	Submit New Risk: Internal User
Type:	Use Case Narrative
Identifier:	
Complexity:	**High**

Normal Path for Submit New Risk: Internal User

	High-Level Information and Preconditions	
Actors	Any one from below mentioned Internal "Actors/Users" can submit a "Risk". 1. Underwriter 2. Underwriting Manager 3. Underwriting Assistant 4. Risk Clearance	
Actor Goal	To submit a risk/submission to SIC using Submission Manager	
Use Case Description	This use case will assist the actors above mentioned to successfully submit a risk/submission using submission manager.	
Preconditions	1. Producer or an Agency approaches SIC for underwriting a policy. 2. Risk Clearance agent should login in Submission Manager. 3. Underwriter/Underwriter Assistant should login in Submission Manager.	

	Flow Events for Normal Path	
	Actor(s) will use submission manager to successfully submit a risk.	
Step # Basic Flow Step	**Actor Action Steps**	**System Response Steps**
BS 1	Actor shall select Enter Information option for submitting a new risk in review documents page and click continue.	System should display Select Agency Name Screen
BS 2	Actor shall enter Email Address and click Search.	If the Agent is registered then System should populate Branch Office Name with Location and related Organization and Parent (If applicable)
BS 3	Actor shall select one Branch Office Name, Location from populated List. **Note:** If the Name is not in the dropdown then Actor should have the option of manual entry.	a) System should populate related Organization and Parent (If applicable) b) System should Auto populate the Name, Email Address and Phone Number of selected Contact. (GA/Broker/Program Manager)
BS 4	By Default “New Business” option is selected and actor shall click continue.	If the Agency Contact is registered then system should display the authorized Department(s) and TOB’s based on Agency Contact authorization and system should also display and grey out the authorized Departments and TOBs for the Agency as per location. If the Agency contact is not registered System should only display authorized Department(s) and TOB’s for the Agency (location) on Submit Risk Info Screen. **Note:** The System should also display the Programs option if the Agency has authority to submit.
BS 5	Actor shall: a) Select Department(s) **b)** Select **Type of Business** **c) Programs** and click “Continue”.	System should display “Departments and Type of Business” Screen. The “Departments and Type of Business” Screen would display selected Department(s), TOB(s).

	Note: **Scenario 1**: If a Department has only one Type of Business then the selection of any one, by default, other should be selected. **Scenario 2**: If a Department has more than one Type of Business a) Selection of Department should automatically select all TOB under the Department and we should also have an option to deselect few TOB (if required). b) If one or more TOB is selected then Department should be auto selected. **Scenario 3**: For Brokerage Package: If Brokerage Package is selected the TOB's under it should be auto selected. (Scenario 2 will not be applicable for Brokerage package).	
BS 6	Actor shall enter " Insured Information" • Insured or Company Name • Risk Physical Address And Clicks Search	System should search the Mailing List for the • Insured or Company Name • Risk Physical Address And if the search returns no results in the "List of Possible Matches".
BS 7	Actor shall enter a) Key Information :Effective Date b) Reason for Submission would be selected from drop down if applicable.	System should display • Expiration Date • Need by Date And Submit Risk section would be defaulted to previous selection on "Select Agency" Screen.
BS 8	Actor shall click Continue on "Submit Risk Info" screen. **Note:** Once the actor clicks "Continue" Clearing and Routing process of the submitted risk would happen and the risk would be cleared and routed to Underwriter accordingly based on Clearing and Routing Rules. TOB Clearing Rules_V0.2.xlsx	System shall display "Risk Status" screen with a) Insured/Company name b) Submission Number **c) Department** **d) Type of Business** **e) Programs**(If selected) f) Risk Status g) Related Submission Number h) Policy Number i) SIC Underwriter (drop down) j) New/Renewal k) Branch office name

	Note: Once the Submission number should be displayed on “Submit Risk Info” Screen.	l) Risk Physical Address m) Policy Number
BS 9	Actor shall click Continue in Risk Status screen	System should display Risk Submitted Screen with a. Submission Number **b. Department** **c. Type of Business** **d. Programs**(If selected) e. Risk Status f. New/Renewal g. SIC Underwriter
	Post conditions and Data Requirements for Normal Path	
Post conditions	The Actor should be able to submit the risk to correct Underwriter successfully.	
Notes	1. In Key Information Section Reason for Submission is a required entry for the following departments: **a.** Contract Property **b.** Contract Casualty **c.** Contract Transportation **d.** Personal Lines	

Alternate Path for Submit New Risk

	Flow of Events for Alternate Path	
	If the submission is submitted by unregistered or New General Agent/Broker/Program Manager then this alternate flow process is used in process of submission of risk.	
Step # Alternate Flow Step	**Actor Action Steps**	**System Response Steps**
AFS 2.1.0	Actor shall enter Agency Name or Agency Number and click Search.	System should populate Branch Office Name with Location and related Organization and Parent (If applicable)

AFS 2.1.1	Actor shall select one Branch Office Name, Location from populated List.	System should display Underwriter or Contact name in Dropdown.
AFS 2.1.2	Actor shall select the contact name from drop down and if name is not found Actor shall enter the information manually.	Auto populates the Name, Email Address and Phone Number of selected Contact.
	Continued from Basic Flow Step BS 4	

Alternate Path for Submit New Risk:

	Flow of Events for Alternate Path	
	For Agencies with exceptions and only authorized agents from these agencies can submit business or risk.	**For Brokerage only**
Step # Alternate Flow Step	**Actor Action Steps**	**System Response Steps**
AFS 2.1.0	The Actor selects the Agency with location. **Note:** Refer to BR-02	System Should check for exceptions for that agency. If the selected Agency is from the exception list then system should display an Pop up message stating "**Only authorized agents in the drop down can submit business for this Agency**"
AFS 2.1.1	The Actor clicks "Ok" in the popup window.	System auto populates the authorized agents in the drop down and manual entry of agent information is disabled.
AFS 2.1.2	The Actor would select the appropriate agent from the populated dropdown list.	System should display the Name, Email ID and Phone Number of the Agent.
	Continued from Basic Flow Step BS 4	

Alternate Path for Submit New Risk: Programs

	Flow of Events for Alternate Path	
	When a submission of risk is for programs then this alternate flow process is used. **Note:** Below described flow can happen in any order i.e.., Actor can Select Department, TOB then select a Program or Vice Versa.	
Step # Alternate Flow Step	**Actor Action Steps**	**System Response Steps**
AFS 5.1.0	Actor shall: a) Select Departments, TOB's and Select Programs option. and click "Submit".	System should populate list of programs in a popup window for which the agency is authorized.
AFS 5.1.1	Actor shall select the Program based on the information received and shall click Continue in the popup Window. • **Cancel:** Shall go back to Basic Risk Info screen without saving the selection of Program. • **Continue:** Navigate to Department(s) and TOB's by saving the selected Program.	System should Navigate back to Department(s) and TOB's screen.

AFS 5.1.2	Actor Shall click “Continue” on Department(s) and TOB’s screen.	Based on the selected Departments, TOB’s and Program selected system would Clear and Route. Note: A Table/Relationship should be maintained to link **Agency (location)—Department—TOB – Program Code— Program Name— Underwriter— Assistant Underwriter.** For Clearing Programs System would use the new clearing rules. For Routing Same Table would be used and the relation would be **Program Name — Program Code — Underwriter — Assistant Underwriter.**
	Continued from Basic Flow Step BS 6	

Alternate Path for Submit New Risk

	Flow of Events for Alternate Path	
	For any reason the Internal Users have to stop the submission process or have to deviate from basic flow below mentioned alternate flow should be used.	
Step # Alternate Flow Step	**Actor Action Steps**	**System Response Steps**
AFS 5.2.0	On Basic Risk Info Screen the actor will select the Termination option and click continue.	System shall display a popup screen.

AFS 5.2.1	The pop up screen would display the reasons for which actor may terminate the submission process a) If the Individual is not registered b) If the individual has no authority to submit business for selected department(s) and TOB(s). c) Branch office (Agency) has no authority to submit business for selected department(s) and TOB(s). d) If the Branch office(Agency) is only open for Renewals e) If additional information is required. f) Effective date is over 90 days g) For any Other reason For Reason **b, c and g** actor can enter text i.e...Can type in the reason for Termination. Once the reason is selected the actor can Click • **Back** • **Terminate** • **Continue** **Scenario 1:** When Agency Contact requests business for multiple departments and has authority only for selected departments but the agency is authorized for doing business with SIC for the other Departments. In this scenario actor would select the authorized departments for the Agency contact and click Terminate option and from the popup window select **"option b"** and specify the unauthorized departments and TOBs in the text box and Click Continue. **Scenario 2:** When Agency Contact requests business for multiple departments and agency has authority only for selected departments. In this scenario actor would select the authorized departments for the Agency contact and Agency. click Terminate option and from the popup window select **"option c"** and specify the unauthorized departments and TOBs in the text box and Click Continue.	System Response for following Selections • **Back:** System would go back to the Basic Risk Info Screen to continue with the existing process. • **Terminate:** The Submission process would end here and an auto email would be sent to appropriate parties specifying the reason. **Note:** When the Submission of risk process is terminated the Submission/risk should land in Exception Queue of Risk Clearance Inbox. • **Continue:** **Scenario 1:** System would send an auto mail to Agency contact with reason for un-cleared risk and asking to get registered for un-cleared departments. And system would continue to next screen by clearing and routing the submission for authorized departments. **Scenario 2:** System would send an auto mail to Agency contact, Agency Admin with reason for un-cleared risk and asking to get registered for un-cleared departments. And system would continue to next screen by clearing and routing the submission for authorized departments.
	Continued from Basic Flow Step BS 6	

Alternate Path for Submit New Risk:

	Flow of Events for Alternate Path	
	When the value is returned for search on "**Insured Information**"	
Step # Alternate Flow Step	**Actor Action Steps**	**System Response Steps**
AFS 6.1.0		System would populate the List of submission related to the search on "**Insured Information**"
AFS 6.1.1.1	Actor would check the populated results and takes a decision on the submitted risk. Possible decisions based on results **Decision 1: Renewal** Actor would enter " Key Information" a) Effective Date b) Expiration Date c) Need for Date d) Reasons for Submission (if applicable) And Select Renewal option and enters appropriate policy number. Continued from Use-case_3 Renew Risk, Basic Flow step BS6.	System should overwrite the Submit Risk option from New Risk to Renewal and display Policy Number field.
AFS 6.1.1.2	**Decision 2: New Risk** Based on search results if actor decides that submission is still a New Risk. Continued from Basic Flow step BS6.	
AFS 6.1.1.3	**Decision 3: Terminate** Based on search results if the actor decides that submission has to be terminated. The Actor Clicks on "**Cancel and Restart**".	System should display the Select Agency screen

Alternate Path for Submit New Risk

	Flow of Events for Alternate Path	
	If more than one underwriter is available for a Department and TOB then the actor has an option to overwrite the system routed underwriter and can select from dropdown.	
Step # Alternate Flow Step	**Actor Action Steps**	**System Response Steps**
AFS 8.1.0		System shall display “Risk Status” screen with a) Insured/Company name b) Submission Number **c) Department** **d) Type of Business** **e) Programs**(If selected) f) Risk Status g) Related Submission Number h) Policy Number i) SIC Underwriter (drop down) j) New/Renewal k) Branch office name l) Risk Physical Address m) Policy Number
AFS 8.1.1	Actor shall select a new SIC Underwriter from Drop Down and click Continue on the Risk Status Screen.	System should display Risk Submitted Screen with changed SIC Underwriter Name.
	Continued from Basic Flow Step BS 9	

Exception Path for Submit New Risk

	Flow of Events for Exception Path	
	Below mentioned Error Messages should be included with already existing Error Messages for the Submission Manager application.	
Step # Exceptional Flow	**Actor Action Steps**	**System Response Steps**
EF 2.1.0	Actor enters Email Address as search an option.	System should Display a message "**Match not found"** Please Try with Agency name or Agency Number
EF 2.1.1	Actor enters Agency Name or Agency Number as a search option.	System displays a message "**Match not found"** Please verify the Agency Name and Agency Number Entered and try again or ask to get Registered.
EF3.1.0	When a name of an agent is selected from the dropdown and if the agent has authority but flagged not to submit business.	The system should throw an exception stating "**The Agent has no authority to submit Business**" and process should end here.

Overview

Name:	Submit New Risk: External User
Type:	Use Case Narrative
Identifier:	
Complexity:	

Normal Path for Submit New Risk: External User

	High-Level Information and Preconditions	
Actors	Any one from below mentioned External "Actors/Users" can submit a "Risk". 1) General Agent 2) Program Manager 3) Broker	
Actor Goal	To submit a risk/submission to SIC using Submission Manager	
Use Case Description	This use case will assist the actors above mentioned to successfully submit a risk/submission using submission manager.	
Preconditions	1) General Agent/Program Manager/Broker or an Agency approaches SIC for underwriting a policy. 2) The General Agent/Program Manager/Broker should have a portal user credentials. 3) General Agent/Program Manager/Broker should login in Submission Manager.	
	Flow Events for Normal Path	
	Actor(s) will use submission manager to successfully submit a risk.	
Step # Basic Flow Step	**Actor Action Steps**	**System Response Steps**

BS 1	Actor shall login in to submission manager using user credentials.	System should display • Actor (GA/Broker/Program Manager) name • Agency Name with Location System should Auto populate the Name, Email Address and Phone Number of the Actor. (GA/Broker/Program Manager)
BS 2	By Default “New Risk” option is selected and actor shall click continue	System should display Submit Risk Info Screen and auto populates the authorized Department(s) and TOB’s for the System should display the authorized Department(s) and TOB’s for the Agency as per location and selection option based on agency contact authorization.
BS 3	Actor shall: a) Select Department(s) **b)** Select **Type of Business** **c)** Select **Programs** Option and click “Continue”. **Note:** **Scenario 1**: If a Department has only one Type of Business then the selection of any one, by default, other should be selected. **Scenario 2**: If a Department has more than one Type of Business a) Selection of Department should automatically select all TOB under the Department and we should also have an option to deselect few TOB (if required). b) If one or more TOB is selected then Department should be auto selected. **Scenario 3**: For Brokerage Package: If Brokerage Package is selected the TOB’s under it should be auto selected. (Scenario 2 will not be applicable for Brokerage package).	System should display Basic Risk Info Screen. The Basic risk Info Screen would display selected Department(s) and TOB(s).

BS 4	Actor shall enter: a) Enter Insured Information • Insured or Company Name • Risk Physical Address b) Key Information :Effective Date c) Reason for Submission would be selected from drop down if applicable.	System should auto populate a) Expiration Date b) Need by Date
BS 5	Actor shall click Continue on “Submit Risk Info” screen. Note: Once the actor clicks “Continue” Clearing and Routing process of the submitted risk would happen and the risk would be cleared and routed accordingly based on Clearing and Routing Rules.	System shall display “Risk Status” screen with a. Insured/Company name b. Submission Number **c. Department** **d. Type of Business** **e. Programs**(If selected) f. Risk Status g. Related Submission Number h. Policy Number i. SIC Underwriter (drop down) j. New/Renewal k. Branch office name l. Risk Physical Address m. Policy Number
BS 6	Actor shall click Continue in Risk Status screen	System should display Risk Submitted Screen with a. Thank You Message b. Submission Number c. Submitted Date d. Department e. Type of Business **f. Programs(If selected)** g. Risk Status h. New/Renewal i. SIC Underwriter Name and Email j. Comment’s Text Box k. Option to Attach Documents
	Post conditions and Data Requirements for Normal Path	
Post conditions	The Actor should be able to submit the risk to correct Underwriter successfully.	
Notes		

Alternate Path for Submit New Risk: Programs

	Flow of Events for Alternate Path	
	When a submission of risk is for programs then this alternate flow process is used. **Note:** Below described flow can happen in any order i.e.., Actor can Select Department, TOB then select a Program or Vice Versa.	
Step # Alternate Flow Step	**Actor Action Steps**	**System Response Steps**
AFS 3.1.0	Actor shall: b) Select Departments, TOB's and Select Programs option. and click "Submit".	System should populate list of programs in a popup window for which the agency is authorized.
AFS 3.1.1	Actor shall select the Program based on the information received and shall click Continue in the popup Window. • **Cancel:** Shall go back to Basic Risk Info screen without saving the selection of Program. • **Continue:** Navigate to Department(s) and TOB's by saving the selected Program.	System should Navigate back to Department(s) and TOB's screen.
AFS 3.1.2	Actor Shall click "Continue" on Department(s) and TOB's screen.	Based on the selected Departments, TOB's and Program selected system would Clear and Route.
	Continued from Basic Flow Step BS 4	

Alternate Path for Submit New Risk

	Flow of Events for Alternate Path	
Step # Alternate Flow Step	**Actor Action Steps**	**System Response Steps**
AFS 5.1.0		System shall display “Risk Status” screen with a. Insured/Company name b. Submission Number **c. Department** **d. Type of Business** **e. Programs(If selected)** f. Risk Status g. Related Submission Number h. Policy Number i. SIC Underwriter (drop down) j. New/Renewal k. Branch office name l. Risk Physical Address m. Policy Number
AFS 5.1.1	Actor shall select a new SIC Underwriter from Drop Down and click Continue on the Risk Status Screen.	System should display Risk Submitted Screen with changed SIC Underwriter Name.
	Continued from Basic Flow Step BS 6	

Functional Requirements Deliverable

Overview

Name:	Renewal of Risk: Internal User
Type:	Use Case Narrative
Identifier:	
Complexity:	

	High-Level Information and Preconditions	
Actors	Renewal of Risk would be submitted by Internal "Actors/Users". 1. Underwriter 2. Underwriting Manager 3. Underwriting Assistant 4. Risk Clearance	
Actor Goal	To renew a existing risk/submission to SIC using Submission Manager	
Use Case Description	This use case will assist the actors above mentioned to successfully renew a existing risk/submission using submission manager.	
Preconditions	1. General Agent or an Agency approaches SIC for renewal of a policy. 2. Risk Clearance agent should login in Submission Manager. 3. Underwriter/Underwriter Assistant should login in Submission Manager.	
	Flow Events for Normal Path	
	Actor(s) will use submission manager to successfully renew a risk.	
Step # Basic Flow Step	**Actor Action Steps**	**System Response Steps**
BS 1	Actor shall select Enter Information option for submitting a new risk in review documents page and click continue.	System should display Select Agency Name Screen.
BS 2	Actor shall enter Email Address and click Search.	If the Agent is registered then System should populate Branch Office Name with Location and related Organization and Parent (If applicable)

BS 3	Actor shall select one Branch Office Name, Location from populated List.	a) System should populate related Organization and Parent (If applicable) b) System should Auto populate the Name, Email Address and Phone Number of selected Contact. (GA/Broker/Program Manager)
BS 4	Actor shall select "Renewal" option.	System should display Policy Number Text Box.
BS 5		System should display "Departments and Type of Business" Screen with Department(s) auto selected from the existing **Policy Number**.
BS 6	Actor shall: **a)** Select **Type of Business** on "Departments and Type of Business" Screen. and click "Continue".	System should auto populate below information based on Policy Number on "Basic Risk Info" screen. a) Department **b) Type of Business** c) Programs(If applicable) d) Insured Information e) Effective Date f) Expiration Date g) Need by Date
BS 7	Actor shall click Continue on "Basic Risk Info" screen. **Note:** Renewal Risk should clear for the associated underwriter according to the new clearing rules however it should get routed to the respective assistant underwriter bypassing the underwriter. If more than one assistant underwriter is available for an underwriter then renewal risk should be routed in chronological order of their names.	System shall display "Risk Status" screen with a. Insured/Company name b. Submission Number **c. Department** **d. Type of Business** **e. Programs(if applicable)** f. Risk Status g. Related Submission Number h. Policy Number i. SIC Underwriter (drop down) j. New/Renewal k. Branch office name l. Risk Physical Address m. Policy Number
BS 8	Actor shall click Continue in Risk Status screen	System should display Risk Submitted Screen with a. Submission Number **b. Department** **c. Type of Business**

		d. Risk Status e. New/Renewal f. SIC Underwriter
	Post conditions and Data Requirements for Normal Path	
Post conditions	The Actor should be able to Renew existing Risk successfully.	
Notes	1. In Key Information Section Reason for Submission is a required entry for the following departments: **a)** Contract Property **b)** Contract Casualty **c)** Contract Transportation **d)** Personal Lines	

Alternate Path for Renew Risk

	Flow of Events for Alternate Path	
Step # Alternate Flow Step	**Actor Action Steps**	**System Response Steps**
AFS 2.1.0	Actor shall enter Agency/Branch office or Agency Number and click Search.	System should populate Branch Office Name with Location and related Organization and Parent (If applicable)
AFS 2.1.1	Actor shall select one Branch Office Name, Location from populated List and click continue.	a) System should populate related Organization and Parent (If applicable) b) System should Auto populate the Name, Email Address and Phone Number of selected Contact. (GA/Broker/Program Manager)

AFS 2.1.2	Actor shall select the appropriate underwriter or contact from drop down Note: If the Contact Name is not found in Drop Down the actor would enter the information Manually.	System should Auto populate the Name, Email Address and Phone Number of selected Contact.
	Continued from Basic Flow Step 4	

Alternate Path for Renew Risk

	Flow of Events for Alternate Path	
	This alternate process flow would be used if the Policy number is not available for submittal.	
Step # Alternate Flow Step	**Actor Action Steps**	**System Response Steps**
AFS 4.1.0	Actor shall select “Renewal” option.	System should display Policy Number Text Box.
AFS 4.1.1	If the Policy Number is not available then actor selects “Renewal” Option and Click Continue.	System should display d n t. System should display Submit Risk Info Screen and auto populates the authorized Department(s) and TOB’s for the Agency as per location and selection option based on agency contact authorization. Note: The selection option of Programs should be displayed if the agency is authorized to submit programs.

AFS 4.1.2	Actor shall: b) Select Department(s) **c)** Select **Type of Business** **d) Programs** and click “Continue”. **Note:** **Scenario 1**: If a Department has only one Type of Business then the selection of any one, by default, other should be selected. **Scenario 2**: If a Department has more than one Type of Business c) Selection of Department should automatically select all TOB under the Department and we should also have an option to deselect few TOB (if required). d) If one or more TOB is selected then Department should be auto selected. **Scenario 3**: For Brokerage Package: If Brokerage Package is selected the TOB’s under it should be auto selected. (Scenario 2 will not be applicable for Brokerage package).	System should display Departments and TOB Screen. The Basic risk Info Screen would display selected Department(s), TOB(s) and Option to Select Programs.
AFS 4.1.3	Actor shall enter: a) Enter Insured Information • Insured or Company Name • Risk Physical Address b) Key Information :Effective Date c) Reason for Submission would be selected from drop down if applicable.	System should auto populate a) Expiration Date b) Need by Date
	Continued from Basic Flow Step 6	

Alternate Path for Renew Risk

	Flow of Events for Alternate Path	
	If more than one underwriter is available for a Department and TOB then the actor has an option to overwrite the system routed underwriter and can select from dropdown.	
Step # Alternate Flow Step	**Actor Action Steps**	**System Response Steps**
AFS 6.1.0		System shall display "Risk Status" screen with a) Insured/Company name b) Submission Number **c) Department** **d) Type of Business** e) Risk Status f) Related Submission Number g) Policy Number h) SIC Underwriter (drop down) i) New/Renewal j) Branch office name k) Risk Physical Address l) Policy Number
AFS 6.1.1	Actor shall select a new SIC Underwriter from Drop Down and click Continue on the Risk Status Screen.	System should display Risk Submitted Screen with changed SIC Underwriter Name.
	Continued from Basic Flow Step 7	

Functional Requirements Deliverable

Overview

Name:	Renewal of Risk: External User
Type:	Use Case Narrative
Identifier:	
Complexity:	

	High-Level Information and Preconditions	
Actors	Renewal of Risk would be submitted by External Source using Submission Manager. Any one from below mentioned External "Actors/Users" can submit a "Risk". 1) General Agent 2) Program Manager 3) Broker	
Actor Goal	To renew a existing risk/submission to SIC using Submission Manager	
Use Case Description	This use case will assist the actors above mentioned to successfully submit a risk/submission using submission manager.	
Preconditions	1) General Agent/Program Manager/Broker or an Agency approaches SIC for underwriting a policy. 2) The General Agent/Program Manager/Broker should have a portal user credentials. 3) General Agent/Program Manager/Broker should login in Submission Manager.	
	Flow Events for Normal Path	
	Actor(s) will use submission manager to successfully renew a risk.	
Step # Basic Flow Step	**Actor Action Steps**	**System Response Steps**
BS 1	Actor shall enter login in submission manager using user credentials.	System should display • Actor (GA/Broker/Program Manager) name • Agency Name with Location

		System should Auto populate the Name, Email Address and Phone Number of the Actor. (GA/Broker/Program Manager)
BS 2	Actor shall select “Renewal” option.	System should display Policy Number Text Box.
BS 3	Actor shall enter Policy Number and Click Continue on “Submit Risk” screen.	System should auto populate and display on “Basic Risk Info” screen. a) Department b) Type of Business c) Programs(If applicable) d) Insured Information e) Effective Date f) Expiration Date g) Need by Date
BS 4	Actor shall click Continue on “Basic Risk Info” screen. **Note:** Renewal Risk should clear for the associated underwriter according to the new clearing rules however it should get routed to the respective assistant underwriter bypassing the underwriter. If more than one assistant underwriter is available for an underwriter then renewal risk should be routed in chronological order of their names.	System shall display “Risk Status” screen with a) Insured/Company name b) Submission Number **c) Department** **d) Type of Business** **e) Programs(if applicable)** f) Risk Status g) Related Submission Number h) Policy Number i) SIC Underwriter (drop down) j) New/Renewal k) Branch office name l) Risk Physical Address m) Policy Number
BS 5	Actor shall click Continue in Basic Risk Info	System shall display “Risk Status” screen and display a. Thank You Message b. Submission Number c. Submitted Date **d. Department** **e. Type of Business** **f. Programs(if applicable)** g. Risk Status h. New/Renewal i. SIC Underwriter Name and Email j. Comment’s Text Box k. Option to Attach Documents

	Post conditions and Data Requirements for Normal Path	
Post conditions	The Actor should be able to Renew existing Risk successfully.	
Notes	1. In Key Information Section Reason for Submission is a required entry for the following departments: **a)** Contract Property **b)** Contract Casualty **c)** Contract Transportation **d)** Personal Lines	

Alternate Path for Renew Risk

	Flow of Events for Alternate Path	
	If more than one underwriter is available for a Department and TOB then the actor has an option to overwrite the system routed underwriter and can select from dropdown.	
Step # Alternate Flow Step	**Actor Action Steps**	**System Response Steps**
AFS 4.1.0		System shall display “Risk Status” screen with a) Insured/Company name b) Submission Number **c) Department** **d) Type of Business** **e) Programs(if applicable)** f) Risk Status g) Related Submission Number h) Policy Number i) SIC Underwriter (drop down) j) New/Renewal k) Branch office name l) Risk Physical Address m) Policy Number
AFS 4.1.1	Actor shall select a new SIC Underwriter from Drop Down and click Continue on the Risk Status Screen.	System should display Risk Submitted Screen with changed SIC Underwriter Name.
	Continued from Basic Flow Step 5	

Functional Requirements Deliverable

Overview

Name:	Reroute the Submission: Risk Clearance
Type:	Use Case Narrative
Identifier:	
Complexity:	

	High-Level Information and Preconditions	
Actors	**Risk Clearance**.	
Actor Goal	Reroute the Submission to Correct Underwriter.	
Use Case Description	This use case will assist the risk clearance team to reroute a submission to correct underwriter.	
Preconditions	1. Risk Clearance agent should login in Submission Manager. 2. A Submitted Risk is routed to Risk clearance team by Underwriter/Assistant Underwriter to reroute the risk to correct Underwriter/Assistant Underwriter.	
	Flow Events for Normal Path	
	If the New Risk is routed to a wrong underwriter then risk clearance team would use this process to reroute the submission.	
Step # Basic Flow Step	**Actor Action Steps**	**System Response Steps**
BS 1	Risk Clearance Agent would click on the routing dropdown for the screen “refer to OPS”.	System should display the Routing options 1. OPS Complete (Existing) 2. Refer to Different Department (Existing) 3. Refer to Underwriter**(New)** 4. Refer to Assistant Underwriter**(New)**
BS 2	Actor would select either Refer to Underwriter or Assistant Underwriter option from the Routing Dropdown	System should display the list of Underwriters or Assistant Underwriter in dropdown.
BS 3	Actor would select the correct Underwriter or Assistant Underwriter from the list and click complete.	System should route the submission to the selected Underwriter or Assistant Underwriter.

	Note: If actor is required to add comments for the underwriter in comments section.	
	Post conditions and Data Requirements for Normal Path	
Post conditions	Underwriter or Assistant Underwriter should find the routed submission in their Submission Manager Inbox.	
Input Data	Select the Underwriter or Assistant Underwriter from the Dropdown.	
Output Data	Submission is routed to Underwriter or Assistant Underwriter Submission Manager Inbox.	
Notes	New field (Assistant Underwriter) to be added on the screen. Display the related Assistant Underwriter's name below the Underwriter's name.	

Overview

Name:	Route the Submission to Rater: Internal User
Type:	Use Case Narrative
Identifier:	
Complexity:	

	High-Level Information and Preconditions	
Actors	Contract Underwriters	
Actor Goal	When Submission is Routed to Rating Manager an auto email notification should be sent to Rating Manager's Lotus Notes Inbox.	
Use Case Description	An Auto Email notification should be sent to Rating Managers Lotus Notes Inbox when the submission is routed.	
Preconditions	When submitted Risk needs to be Rated.	

	Flow Events for Normal Path	
	An Auto Email notification should be sent to Rating Manager's Lotus Notes Inbox when the Risk is routed in Submission Manager.	
Step # Basic Flow Step	**Actor Action Steps**	**System Response Steps**
BS 1	Actor selects the Rating Manager from the Dropdown List and clicks Continue.	System should route the submission to Rating Manager's Submission Manager Inbox.
BS 2		System should also send an Auto Notification to Rating Manager's Lotus Notes Inbox.
	Post conditions and Data Requirements for Normal Path	
Post conditions	Rating Manager Should receive a notification his/her Lotus Notes that a Risk is submitted by the Underwriter/Assistant Underwriter in Submission Manager.	
Notes		

Additional Requirements:

1. In Submission Manager Application which ever screen the department(s) is displayed currently **"Type of Business (TOB)"** should be displayed in future.
2. prog

3. Based on the Routing selection made the Screen would display respective information.
    a. If Refer to Different Department option is selected from the routing dropdown the system should display appropriate **"Departments"** (The department's dropdown list should display, only the current Departments).
    b. When a Department is selected from the drop down list the **"Type of Business (TOB)"** dropdown should be displayed. (For the selected department respective TOB should be displayed).

4. New field (Assistant Underwriter) to be added on the screen to display the respective Assistant Underwriter's name below the Underwriter's name.

5. Brokerage Transportation department needs the Rater's names to be added in Routing dropdown to route to a specific rater.