TREINEN ASSOCIATES

State of Washington
Department of Ecology

BARTS General Requirements, Workflows, and Options Analysis

Requirements Document

&

Workflow

Deliverables D1, D2

Version 1.1

June 18, 2013

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Executive Summary

Given the current BARTS application and business processes, there are a few high-level, general opportunities for enhancement, both from Program and Agency perspectives.

These enhancements should a) reduce manual, IT-supported tasks, b) reduce manual, paper- and labor-intensive activities, and c) provide Users with increased self-service querying/reporting options while reducing non-BARTS application dependencies (i.e. MS Excel).

Key Opportunities by Program

% Volume Active Accounts As of 11/29/12	Program	Uses BARTS (Y/N)	Expand to Use BART (Y/N)	Key Opportunities
11.0%	Air Quality	Y		• Provide data import • Handle Payment Plans
8.5%	Hazardous Waste & Toxic Reduction – Planning	Y		
10.9%	Toxic Cleanup Program	Y		• Forms Validation, Routing, Processing
8.5%	Waste 2 Resources	Y		• Provide data import for BioSolids • Fee Category/Sub Category Formulas and access to RE Values
57.0%	Water Quality	Y		• Interface to/from PARIS with Event queuing and document transfer • Fee Category/Sub Category Formulas • Additional data elements to support fee determination and beginning to end electronic forms processing
4.2%	Other	Y		
N/A	Fiscal	Y		• Improved Process and Document Flow for Collections • Improved Financial Querying/Reporting

% Volume Active Accounts As of 11/29/12	Program	Uses BARTS (Y/N)	Expand to Use BART (Y/N)	Key Opportunities
				• Ability to invoice other fees (Loans, Penalties) • Invoice interface to A/R database
N/A	OpCert	N	Y	• Provide Account Invoice data import • Payment interface to OpCert
N/A	Hazardous Waste & Toxic Reduction– Generation Fees	N	Y	• Provide Account Invoice data import • Improved Cashiering Interface • Ability to handle large Invoice/Payment volumes • Payment interface to new system

Key Opportunities – Agency Wide

There are some common Key Opportunities that could minimize manual-intensive efforts, reduce problematic processes, and increase efficiencies:

1. Provide work flow support and additional data elements to store and query Event information (Sent Date, Due Data, Event type, etc.) to support more efficient Delinquency, Collection, and Termination processing, both within the Programs and between the Programs and Fiscal
2. Provide forms processing and storage to electronically generate, send, track, receive, validate, and harvest information with minimal User intervention
3. Provide a standard mechanism for approved Users to upload Customer, Contact, Account, and Invoice information
4. Provide additional data elements and additional query and export capabilities for Users to find, analyze, and export Customer, Contact, Account, and Invoice information

See *Appendix J –Key Agency-wide Opportunities Detail* for more detail.

Introduction

Background

As detailed in the BARTS Options Analysis Charter, "BARTS is an agency-wide application for billing and receivables of fees that are charged for a variety of environmental services by the Department of Ecology. The largest user of this enterprise application is the Water Quality (WQ) program. Water Quality is concerned with the age, maintenance and functionality of BARTS.

Purpose

The overall objective of this project is to determine the best path for replacement or redevelopment of BARTS.

The first part of accomplishing that is the completion of this document, the BARTS Requirements Document. This document also includes the Workflow Assessment which identifies how business processes might be further enhanced as a result of factoring in current requirements. Following this, the Options Analysis will analyze alternative approaches to enhance, redevelop, or replace BARTS.

Business Need

As detailed in the BARTS Option Analysis Charter, "The current system BARTS is very good at doing a very narrow set of requirements that were envisioned 15 years ago. Technology has changed and there are many more things that the application could do to make billing and receivables more efficient, more electronic and more flexible as business requirements change for collecting fees. Many of the current work flow processes are still handled by hand and BARTS could be linked to other agency/program databases to eliminate duplication of information."

With sometimes complex decision making requiring years of experience, such as determining which section(s) of the appropriate Fee Schedule should be used to bill a Permit, the need to simplify and automate these processes is key to ensuring continuity and accuracy moving forward.

In addition, with workloads increasing and the possibility of adding more Programs to BARTS, efficiencies need to support a) increased Account and Invoice volume and b) reduced manual intervention.

Scope

The scope of this project includes current BARTS functionality, potential functionality enhancements, and existing and potential interfaces to/from BARTS to other Department of Ecology systems, such as:

- Permit and Reporting Information System (PARIS)
- Integrated System Information System (ISIS)
- Facility Site Web (FSWEB)
- Employee Plus Information Computer System (EPIC)
- Dam Safety
- E-Cycle

- Cashiering

NOTE: Agency Financial Reporting System (AFRS) does not currently interface directly with BARTS and no direct interface to BARTS is proposed in this document. Any information or transactions to AFRS is suggested to continue to flow through the Fiscal A/R database/application or from Cashiering.

Approach

A business team comprised of six key Department/Program business users, two IT members, and one external business analyst/PM (please see *Appendix A – Project Team*) was formed and started work on April 17, 2013.

Users from four other Programs (or sub-Programs) were also interviewed to determine whether those areas might be able to use the current application or an improved version of the application.

Some existing documentation was available for review, specifically a BARTS Use Case Model and the BARTS/VCP User Manual Guide and Reference.

The content of this deliverable was developed through these reviews and interviews with the Business Team to understand the current business flows, potential enhancements or automation opportunities to current business flows, and discussion with IT representatives.

The external business analyst/PM met one-on-one with each business user at least twice to review their current business processes and document the steps the users perform to carry out their jobs. During these interviews, any potential enhancements or automation opportunities were identified and documented. IT Staff were also interviewed to discuss and review current technical interfaces, overall technical environment, and support and technical issues with the current system.

A presentation was developed and presented to the Business Team detailing key activities that are handled within the current system, issues with the current system, and potential improvements/enhancements for improving BARTS or including in a new or replacement system. Current and future Work Flows were also presented and discussed.

Sources

The following sources of information were used in the development of this report:

- Interviews – Conducted interviews with a number of Ecology programs and IT staff to understand and document their business processes and ideas. The Business Team members are listed in *Appendix A – Project Team* and the meetings and interviews conducted are listed in *Appendix B – Meetings and Interviews*
- Previous Documentation – Reviewed the BARTS/VCP User Manual Guide and Reference, dated 3/15/2013 and Use Case Model, date/version unknown.
- Sample Forms and Documents – To illustrate the various business transactions, sample forms and documents were made available by the Users, including reports, customer forms, spreadsheets, letters, etc.

Current Business Process

In order to capture how the program areas conduct their current billing and receivables business, a current business flow for 3 overall areas was produced. These business flow diagrams do not attempt to capture every task that may currently be involved in the process, but rather to capture the primary activities and their logical relationships to other activities.

The Business Team represented billing and receivables functions from 6 different Ecology programs, including Fiscal. From the 6 different programs, 3 primary work flows emerged:

- Water Quality
- TCP (VCP)
- External Customer Database (all others that use their own ECY systems/databases for customer management and then import or manually update the billing and receivable information into BARTS)

All staff perform most of the business processes in their programs, but some programs a) perform some of their business processes, mainly customer creation and maintenance, outside of BARTS and b) perform their business processes in a unique way. Fiscal performs most of the Collections process with interaction and input from the Programs.

In Water Quality, given this is a Permit-driven business process, we addressed processes regarding new, updated, transferred, revoked, and terminated Permits – they are documented *Appendix C – Current Water Quality Business Flows*.

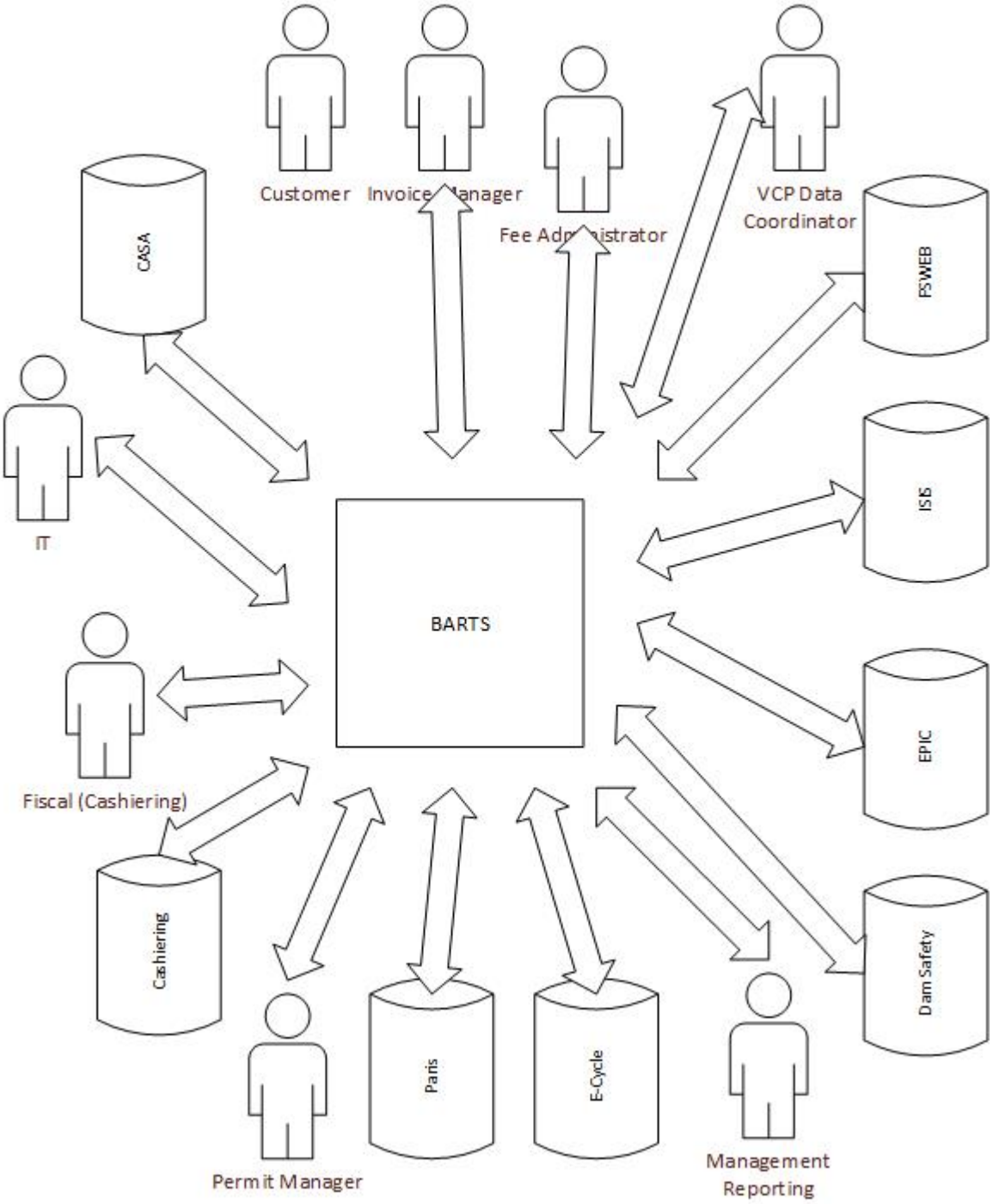
In Toxic Cleanup Program (TCP)'s Voluntary Cleanup Program (VCP), we addressed processes regarding Site Log processing and Regional Office interactions for Delinquencies and Collections – they are documented in *Appendix D – Current TCP (VCP) Business Flows*.

For the Programs that use their own systems/databases for customer management and then import or manually update the billing and receivable information into BARTS, we addressed the processes of importing, maintaining, and interfacing with their current databases – they are documented in *Appendix E – Current External DB Business Flows*.

These current business flows provided the basis to identify important aspects for our analysis. They capture each point in the process where a different person is involved. In the context of business analysis, we call these "Actors" and they each perform a role in the process. *Appendix F – Actors* contains a table of the various Actors identified in the billing and receivables process.

The other important aspect that the current business flows identify for us is other systems, applications, or interfaces that have some connection or interaction with BARTS. In any business automation study, an important decision is defining what is in scope and what is not. Seeing the area of automation as a "black box" with all of the involved Actors and interfaces helps with the decision of what is in scope. Below is the business contact diagram for the billing and receivables business.

BARTS Context Diagram



Proposed Business Flows

The analysis of the current business flows identified the common aspects of the overall billings and receivables process. But there are still some unique characteristics of Water Quality and TCP (VCP) that merit separate business flows. While some of the business processes across all the programs are common or similar, steps before and after may be different.

Between the 3 proposed business flows, the proposed business flows accommodates all of the billing and receivables programs.

There are 9 major activity areas that are described below:

1. Customer Setup and Maintenance – For most programs, there are a set of activities that occur to create and update a Customer, Contact, and Account. Some programs maintain their Customer data in their own systems and then upload/update that information into BARTS to perform billing and receivables processing.
2. Invoice Preparation – In preparation to review and print an invoice, programs have to setup Fee structures for the fiscal year, determine which fee structure(s) a customer should be assigned and/or what fee the Customer should pay, and possibly calculate fees externally using program-specific formulas.
3. Invoice Review – Before printing an invoice, Users review the Invoices for correctness
4. Invoice Print – Users need to physically print the Invoices (or in some cases, request that someone else print the invoice). This may involve an external mail-merge and inclusion of accompanying forms, external printing (due to volume), or other custom print options due possibly to # of Invoice pages or other factors to support manual handling of the invoices.
5. Payments – Once the Invoice is sent out, Customers send in their Payments to Fiscal (or potentially a 3rd party for large volumes).
6. Delinquencies – If a Customer has not paid their Invoice by the Due Date, Users will evaluate these accounts and determine whether to mark the customer as delinquent and send the customer a delinquent letter.
7. Collections – If a customer does not respond to delinquency processing, Users will evaluate these accounts and determine whether to send the account to collections. If determined to send an account to collections, the programs work with Fiscal and Fiscal works with a collection agency. During this period, the customer may or may not make payments which need to be tracked.
8. Terminations – If a customer has been at Collections for a certain length of time or a customer has requested a termination, the customer's account is terminated and other program-specific processing may occur.
9. Reporting – At various times, programs will need to run reports to answer various questions or perform analysis.

The proposed business flow diagrams are located in *Appendices G (Water Quality), H (TCP/VCP), and I (External DB)*.

Requirements

System requirements are statements that specify what a system must do in order to satisfy a business need. They are implicit in the business flow diagrams that were developed to document the current and proposed processes. They are stated in a simple, clear and unambiguous fashion that can convey the full business intent to the technical team of the project.

System requirements are categorized into two types:

- Functional Requirements refer to aspects of the system that a user can exercise to support the business flow. These include using electronic documents, workflow management, reporting, etc.
- Non-Functional Requirements capture aspects of the system that are important, but are not something a user can actually exercise. These include throughput, quality, documentation, architecture, standards, etc.

Both types of requirements have been documented for BARTS.

The system requirements identified below were developed with the Business Teams through interviews and reviews. The level of detail captured was targeted to support the options analysis that follows. This is a higher level of detail than might otherwise be developed if the goal was for full custom development of a solution.

The Requirements tables have two columns to indicate whether this is part of current functionality or whether this is a proposed enhancement to the current functionality. If there is a letter designation in the "Enhancement" column, this indicates that this functionality does not exist in the current system. Enhancements are grouped together under an associated current functionality.

The current functionality is also bolded.

While some Requirements list items not typically part of a billing and receivable system, such as processing web form-submitted information or Form generation/processing/ storage, the ability for Users to perform these functions in the course of their business process, either within the application or via some other interfaced application, is critical to the project's success.

FUNCTIONAL – Customer Setup & Maintenance

Current BARTS	Enhancement	Requirement Description
1		**Setup and Maintain Customer and Contact Information via non-BARTS ECY databases and allow Users to then import Customer, Contact, Account, Invoice Information** **Import overwrites Customer and Contact Information, but maintains Invoice History; creates New Customer/Contact/Accounts as necessary if they don't already exist; if existing Accounts are not in the Import, do not create new fiscal year records**
1	a	Ability for approved Users to import Customer/Contact/Account/Invoice Information, using a pre-defined format. Import maintains Invoice History, Create New Customer/Contact/Accounts as necessary; if existing Accounts not in the Import, do not create new fiscal year records - provide a summary report of results
1	b	Ability to process large Customer volumes (up to 30,000) in a single Fee Type and be able to create Invoices for these Customers
2		**Setup and Maintain Customer, Contact, and Account Information via the application where a Customer can have more than 1 Contact, a Contact can have more than 1 Account, an Account can have more than one Bill Cycle (Fiscal Year), and a Bill Cycle can have more than one Invoice.**
2	a	Ability to store additional Billing Contact information: Email Address, Fax Number
2	b	Ability to display Permit-related Information from PARIS in BARTS: County, Legislative District, Permit Category, Permit Manager
2	c	Ability to have updated Region List to assign to Account
3		**Accept Account Initiation through Paper Form**
3	a	Ability to import data from Customer Application Forms submitted electronically from Web, including Field and Form validation, and queue into Application for review and approval, storing original and updated versions in system at Program-discretion
3	b	Perform Address Verification on Billing Addresses on submitted Customer Application Forms
4		**Customers can initiate VCP Billing Contact Updates via Change of Contact Form**
4	a	Ability to import, with User approval, updated Billing Contact information from authorized Customers via web interface or queue in application
5		**Update Billing Contact information from Customer via: email, voice, postal, inter-office mail**
6		**Create BARTS record from New Permits**

Current BARTS	Enhancement	Requirement Description
6	a	Ability to use Permit Category information to correlate Permit information with Billing Fee Categories and Sub Categories, with possibly of pre-populating information from PARIS to work queue in BARTS with ability for BARTS User to change and approve before insertion into BARTS database.
7		**Change Accounts due to: Permit Transfers/Updates/Re-issues**
7	a	Ability to use Permit Category information to correlate Permit information with Billing Fee Categories and Sub Categories, with possibly of pre-populating information from PARIS to work queue in BARTS with ability for BARTS User change and approve before insertion into BARTS database. For Updates, present User with comparison of differences for any items indicating a change in Fee Type, Fee Category, Sub Category, Sub Sub Category, Billing Status (Inactive to Active, etc.), Billing Contact Information changes
8		**Update Billing Contact Name and/or Address for an Account and the new Contact does not exist elsewhere in the System.**
9		**Update Billing Contact Name and/or Address for 1 Account to assign to another existing Contact. (Account Transfer)**
9	a	Ability to transfer an Account from one Contact to another, existing Contact, regardless of Customer, so that the system establishes a relationship with the existing Contact.
10		**Maintain Account Status for Exempt Accounts, could be Exempt because site has been evaluated and does not require an Invoice or could be Exempt because site has not yet been evaluated.**
11		**Users Search Customer, Contacts, Account**
11	a	Ability to Search Customers, Contacts, Accounts by County, Region
12		**Audit-related Information is stored in Comment fields are on paper documents**
12	a	Ability to track more audit-specific information in BARTS to minimize paper file tracking of these items (who changed what when and why) - Customer Information
13		**Change a Billing Frequency from Annual to Semi-Annual or from Semi-Annual to Annual**
13	a	Ability to change a Billing Frequency at any time and have the system correctly calculate the respective Invoice amounts (i.e. if Annual and changing to Semi-Annual and Invoice has been paid (perhaps partially), allow a User to change the Billing Frequency and have the remaining balance to be Invoiced in the Semi-Annual Invoice, taking into account any Invoice Adjustments, such as Hardship/Small Business)

FUNCTIONAL – Invoice Preparation

Current BARTS	Enhancement	Requirement Description
14		**Prepare Invoices by Fee Type.**
14	a	Ability to track more audit-specific information in BARTS to minimize paper file tracking of these items (who changed what when and why) – Financial Information
15		**Setup for New Fiscal Year**
15	a	Ability to create a New Fiscal Year using combination of Fee Type, Fee Category, Fee Sub Category with % increase/decrease similar to current system
16		**Calculate Account Fees and/or Fee Categories via external tools, such as Excel**
16	a	Ability to have User-configurable Formulas assigned to Fee Category/Sub Category to calculate Fees. Formulas will be limited to data elements existing at the Account level and could be the addition of a set minimum fee amount plus a multiplier of field amount and unit value per field amount: min fee + (quantity x unit $ value/quantity. The Unit $ Value could change by Fee Sub Category
17		**Calculate some Fees manually using more than one Fee Category/Fee Sub Category, each of which could have a different Fiscal Account #, and some of the lower level involve a unit * rate calculation (i.e. WQ-Shipyard)**
17	a	Ability to configure Fee Categories/Sub Categories with a Fiscal Account # (this is currently configured at the Fee Type level)
18		**IT manually loads Account billing characteristics, such as Residential Equivalents, from Excel spreadsheets**
18	a	Ability for Users to bulk load certain Fee characteristics (RE values) via a file, such as Excel spreadsheet, or interface
19		**Use Residential Equivalent (RE) values to calculate Fees**
19	a	Ability for non-WQ Programs to use/reference Site RE values obtained by WQ using Site Name or Site ID
19	b	Ability to configure Fee Categories/Sub Categories to allow User entry for Number of Units. This Number of Units will be multiplied by a pre-determined (WAC) amount to come up with the Fee for that Sub Category (i.e. WQ-Shipyard).
19	c	Ability to assign multiple Fee Categories/Sub Categories to an Account and have those line items, for unique combinations, appear on the Invoice with a total amount due. Each line item on the Invoice should include a description, amount, and Fiscal Account #, barcode
20		**Adjust Invoices due 1) Permit Changes, 2) Fee Reductions, 3) Errors,**

20	a	Ability to record more Invoice Comments, preferably with a time stamped and auditable record with user id and interaction type (type of comment)
Current BARTS	Enhancement	Requirement Description
21		**Manually reduce Fee amount by 75% if site is inactive but billable**
21	a	Ability to designate that an Account's Fee is automatically reduced by a certain percentage (i.e. 75%) and have that designation incorporated into the calculation of the fee - assignment should stay in the system across Fiscal Year until changed by the User.
22		**Manually process paper VCP Site Logs to record, update, and verify: Employee Name, Employee Job Code, Job Code Rate, Date, Hours Worked**
22	a	Ability to import, with User approval, Site Log data
22	b	Ability to reference Site Logs electronically
23		**Manually resolve VCP Site Logs discrepancies with BARTS (hours, dates don't match) and missing Site Logs**
23	a	Ability to improve Site Log handling, possibly include interface with new Time Tracking system. This will alleviate missing/late Site Logs and Site Logs data entered incorrectly.
24		**Manually, with IT support, extract BARTS Account Information (to support Customer Form mailings/tracking) by Fee Type, Fee Category, Fee Sub Category**
24	a	Ability to store certain Account-level Forms-related (RE values, Form Type) and Invoice-related information (WAC-related) from the prior Fiscal Year (the last Fiscal Year only) that are used to determine Fees or Fee Category/Sub Category
25		**Manually send post cards or courtesy letters as courtesy reminders to Customers for certain Fee Categories of an upcoming event (annual invoicing) or that the Customer has not submitted a required form.**
25	a	Ability to generate mailing labels using various criteria, such as Fee Type, Fee Category, Fee Sub Category, Region, Delinquent Accounts, Account in Collection and, at an Account level, record date sent, due date (or Not Applicable)
26		**Manually manipulate WQ extracts into usable spreadsheets (remove duplicates, perform other filtering/processing, merge prior Fiscal Year info not stored in BARTS or not included in the extract)**
26	a	Ability to extract unique Account information using Fee Type, Fee Category, Fee Sub Category, Form Type to assist in Customer Form mail-merges
27		**Manually mail-merge BARTS Account extracts with Customer Form to produce Customer Form mailings**
27	a	Ability to record at an Account level, at most 1 Form an Account should receive, limited by Fee Category, Fee Sub Category – at Account setup or maintenance, based on the Fee Category/Sub Category, a User is presented a list of applicable Forms which User can select one and only one to associate with that account – with Forms/Document Processing, Customer Forms can be generated directly out of application.

Current BARTS	Enhancement	Requirement Description
28		**Manually Review, Verify, and Track Customer Forms and Information on the Customer Forms - Tracking of Forms includes verifying when the forms were sent, calculations on the Forms, and entering the results into spreadsheets - the results typically indicate a Fee or a Fee Category/Sub Category**
28	a	Ability to mail-merge Customer Forms, record Date Sent, Due Date.
28	b	Ability to email Forms out to the Customer and/or have Customers submit Forms electronically.
28	c	Ability for electronically-submitted Forms to have Field and Form validation, so required attributes are filled in and calculations are done correctly.
28	d	Ability to have electronically submitted Forms manually scanned/processed for information and automatically, with optional User approval, populated into a repository, such as a spreadsheet
28	e	Ability to analyze Previous Fiscal Year to Current Fiscal Year to determine Accounts that had Fee Type, Fee Category, Fee Sub Category, RE value, or other Fee-changing activity.
29		**Process Invoice Adjustments due to Permit Changes - Re-Issue**
30		**Process Invoice Adjustments due to Permit Changes - Permit Transfer**
31		**Process Invoice Adjustments due to Permit Changes - Fee Reduction Request**
32		**Process Invoice Adjustments due to Permit Changes - Inactive to Active Request**
33		**Process Invoice Adjustments due to - Write Off**
34		**Process Invoice Adjustments - Refunds**

FUNCTIONAL – Invoice Preparation

Current BARTS	Enhancement	Requirement Description
35		**Post Invoices by Fee Type**
35	a	Ability to correct, prior to printing, Invoices with wrong Post Date.
35	b	Ability to Print Invoices as a group regardless whether they have been marked with “Done?” in the same Save.
36		**Verifies Invoices by Unbilled Charges**
37		**Posts Invoices, specifying an Invoice Date and a Due Date (system calculates suggested dates using configuration based on Fee Type).**

FUNCTIONAL – Invoice Print

Current BARTS	Enhancement	Requirement Description
38		**Print Invoices: Individually and By Fee Type.** **Batch Invoices are generally physically grouped and printed by Customer and Contact.**
38	a	Ability for approved Users to edit ECY contact area of their Program's Invoice Form/Report template
38	b	Ability to Review/Print Invoices using criteria other than just Fee Type, such as: - Invoices for certain Fee Categories/Sub Categories - Invoices that are physically more than x pages long (requires special envelopes) - Invoices that have an amount due more than $n (if ECY doesn't want to send Invoices for small amounts)
38	c	Ability to generate/Print a barcode (with Invoice # and Fiscal Account #) on the Invoices for easier Cashiering. For Line Item Invoices, barcode is required for each Line Item (in case the Line Items have different Fiscal Account Codes).
38	d	Ability to system-generate unique Invoice #'s within a Fiscal Year (to better support billing other than just annual).
38	e	Ability to mark an Invoice as already sent (via some external method, such as email or external web download) so that the same Invoice doesn't need to be sent during batch Invoice generation.
38	f	Ability to send Invoices electronically via email.
38	g	Ability to specify, calculate, and include Interest or Surcharges on Invoice if an account is Delinquent or in Collections. These charges would have the same Fiscal Account Code.
38	h	Ability to Export Invoice Information to file
39		**For VCP Invoices, Site Address is retrieved from ISIS and FSWEB to print on the Invoice.**
40		**Manually export Invoice information to externally mail-merge with Invoice Cover Letter for each Invoice to produce Invoice Cover Letter to include with Invoice mailing**
40	a	Ability to print Invoices and custom Forms together to lessen manual effort to collate separately-printed Invoices and Forms.
41		**Invoices are printed with a single Fiscal Account code and a single amount due**

Current BARTS	Enhancement	Requirement Description
41	a	Ability to Group and Summarize a Customer's or Contact's total Invoices (Single Owner, Multiple Sites) onto one Invoice document – if a Customer or Contact has more than one Invoice, on the one Invoice document for that Customer/Contact, list each Invoice's line items and Fiscal Account #'s, sum the Invoice amounts and provide a total.
41	b	Ability to print line items on the Invoice for each Fee Type, Fee Category, Fee Subcategory, Fiscal Account Code with a description, amount, and Fiscal Account #.
42		**Process Invoices: One Time Only (the Customer will only be Invoiced once and only once)**
42	a	Ability to handle one-time Invoices initiated from the Regional Offices, such as "Copy Fees".
43		**Process Invoices: Payment Plan (no 2nd Invoice) - this is not semi-annual** **The Customer is sent one Invoice, but they are expected to make two Payments.**
44		**Send exports of Invoices to a Customer or Contact to include all of their Invoices - select multiple Invoices, export to PDF, and email the PDFs in one email**
44	a	Ability to export to electronic format all Invoices by Customer, Account, or other criteria.

FUNCTIONAL – Payments

Current BARTS	Enhancement	Requirement Description
45		**Customers send all Payments with corresponding BARTS Invoice to Cashiering, and Cashiering transmits Payment Information automatically to BARTS on a nightly basis.**

FUNCTIONAL – Delinquencies

Current BARTS	Enhancement	Requirement Description
46		**Programs generate Invoices with Due Dates.** **After the Due Dates pass (and periodic subsequent intervals), Programs review Accounts that are past due.** **Programs may exclude certain Accounts from Delinquency processing due to ECY working with Customer or amount due is below a threshold.**
47		**Programs process Delinquencies by generating Reports of all past due Accounts by Fee Type.**
47	a	Ability to query/report which Accounts have been in Delinquency for a certain duration or longer or have an amount due over/under a certain amount.
48		**Programs document whether Account has been sent a Delinquency Letter, date sent, date due in comment fields.**
48	a	Ability to record that an Account had been determined to be Delinquent, the date the Delinquency Letter was sent, and a Due Date.
49		**Some Programs generate Delinquency Letters from BARTS**
49	a	Ability to print only Delinquent Letters for Accounts that the User determines to be Delinquent and Ability for the application to electronically store the Delinquent Letter with the Account.
49	b	Ability to send notification to PARIS if a Permit-related (WQ) Account is set to Delinquent.
49	c	Ability for approved Users to edit ECY contact area and other verbiage on their Program's Delinquency Letter/Form/Report
49	d	Ability for a VCP User to send notification to ECY Data Coordinators/VCP Supervisors if an Account is set to Delinquent with ability to indicate whether to stop further work on the account or withhold issuance of No Further Action Report
49	e	Ability to query/report/alert which Accounts that were sent Delinquency Letters have passed their Due Dates.
50		**Some Programs mail-merge or manually produce Delinquency Letters for all Accounts that are past due.**
51		**Some Programs perform additional processes when an Account is Delinquent (OpCert suspends the Certification, VCP sends a memo to TCP personnel)**
52		**Customer sends in a Payment on an Account in Delinquency.**
52	a	Ability to query/report/alert which Accounts that were sent Delinquency Letters made a Payment.

FUNCTIONAL – Collections

Current BARTS	Enhancement	Requirement Description
53		**Account is marked for Collections and paperwork sent to Fiscal for Collections processing if Delinquency Payment is not made.**
53	a	Ability to record that an Account was sent to Collections, the date it was sent, and a follow-up date.
53	b	Ability to set a trigger/event notification to another person/group when a User sets an Account to be sent to Collections to notify other team members or Programs to process Collections on that Account.
53	c	Ability to query/report/alert which Account Invoices have been in Collections for a certain duration or longer.
53	d	Ability for Users to indicate which Accounts should be processed by Fiscal for Collections and indicate any applicable surcharge (20%) that should be applied. Maybe this is a "Pending Collections" status.
53	e	Ability to store Delinquency-related documentation electronically and associate to a specific Account to support Fiscal's Collections process.
54		**Users perform certain actions (Termination, Account Invoice writes off, withhold additional services) if Account Invoice has been in Collections over a certain period of time.**
55		**Customer sends in a Payment to Cashiering for an Account in Collections.**
55	a	Ability to query/report/alert Users if a Payment was made on an Account in Collections.
56		**Customer sends in a Payment to Collection Agency for an Account in Collections.**

FUNCTIONAL – Terminations

Current BARTS	Enhancement	Requirement Description
57		**Users need to Terminate an Account for some reason:** **1. Non-Payment** **2. Ecology takes over the cleanup (VCP)** **3. Customer withdraws from Program or is issued a No Further Action letter (VCP)** **4. Customer goes out of business (AQ, E-Cycle)** **5. Other**
57	a	Ability to record a Termination Reason.
58		**Users need to Revoke a Permit and Terminate an Account for:** **Non-Payment (WQ) - Requires approval from ECY**
58	a	Ability to generate a Revocation Form to send via email or electronically to ECY personnel and store the Form/email in the system, along with a Date Sent and Due Date for response from ECY. Form/email to include which Permits are slated for Revocation and the reason. (NOTE: Programs cannot cancel Individual Permits, only Stormwater permits can be cancelled.)
58	b	Ability to query/report/alert Users when a Revocation Letter Due Date (from ECY has passed.
59		**Users need to Revoke a Permit and Terminate an Account for:** **Non-Payment (WQ) - Notify the Customer**
59	a	Ability to generate a Revocation Letter to send to ECY personnel (via email or electronically) and Customer (via Certified Mail) and store the Letter in the system, along with a Date Sent and Due Date for response from Customer. Letter to include which Permits are slated for Revocation and the reason. Letter is signed by Regional Supervisor, sent to WQ Program, and then sent out to Customer.
59	b	Ability to query/report/alert Users when a Revocation Letter Due Date (from Customer) has passed.
60		**User manually updates Permit status in PARIS to Pending and then Cancelled when BARTS Account Terminated for Revocation.**
60	a	Ability for an authorized User to trigger Permit status update and update comment in PARIS to Permit Pending (when ECY notified) and Permit Cancellation (when Customer does not pay after Revocation Letter Due Date) when BARTS Account Terminated for Revocation.
60	b	Ability for an authorized User to trigger Permit status update and update comment in PARIS to Permit Active if ECY does not approve that Permit can be revoked or Customer pays outstanding balance.

61		**Users needs to Cancel a Permit and Terminate an Account:** **Customer requests via Notice of Termination**
Current BARTS	Enhancement	Requirement Description
61	a	Ability to store the Notice of Termination in the system and notify ECY, along with a Date Sent and Due Date for response from ECY.
61	b	Ability for an authorized User to trigger Permit status update and update comment in PARIS to Permit Pending when BARTS Account Notice of Termination is being processed.
61	c	Ability to query/report/alert Users when a Notice of Termination Due Date (from ECY) has passed.
61	d	Ability for an authorized User to trigger Permit status update and update comment in PARIS to Permit Cancelled when BARTS Account Terminated for Notice of Termination.

FUNCTIONAL – Reporting

Current BARTS	Enhancement	Requirement Description
62		**Generate Reports to support Programs**
62	a	Ability to store and query financial transaction time stamps and maintain history of changes for financial transactions
62	b	Ability to query, report, and export data using additional and multiple criteria, such as: Account Status, To/From dates/times of financial transactions, Fee Type, Fee Category, Fee Sub Category, Customer, Contact, Account, Account Geographical Information (county, Region, etc.), Facility Site Name, Account Form Type
62	c	Ability to run other ad hoc reports
63		**Ability to produce current BARTS Reports:** **Water Quality Quarterly Revenue Report for Fiscal Year**
63	a	Ability to re-create Water Quality Quarterly Revenue Report for Fiscal Year with same date parameters at a later time and get the same results - report data is currently summarized (rolled up) nightly (due to length of time to process the data), prior report data overwritten – summarized data does not include individual transaction timestamps
64		**Generate Reports to support Fiscal**
64	a	Financial Queries/Reporting across Fiscal Periods, Detail and Summary: Account Status, To/From Dates of financial transactions, Fee Type, Fee Category, Customer, Contacts, Accounts – Balances, Overpayments, Underpayments, Overdue, with option to sort output
64	b	Financial Queries/Reporting across Fiscal Periods: List Invoices that have a credit balance and that reflects adjustments
64	c	Financial Queries/Reporting across Fiscal Periods: List Accounts that have a credit balance and that reflects adjustments
65		**Generate Reports to support Management Reporting**
65	a	Ability, for WQ Fee Types, to Query/Report and Summarize Number of Permits, Permit Invoice Amounts, and Permit Payment Amounts by one or all: Fee Type, Fee Category, Fee Sub Category PARIS Permit Group - Federal or State PARIS Permit Category PARIS Permit Region, County, Legislative District PARIS Permit Facility Site BARTS Invoice or Payment Transaction Date Range, Current Fiscal Quarter, Current Fiscal Year

FUNCTIONAL – General

Number	Enhancement	Requirement Description
66	a	Ability to enter dates using m/d/yy in search/query/report fields

FUNCTIONAL – Interfaces – Current

Current BARTS	Enhancement	Requirement Description
67		**The system will interface with DAM Safety to provide Billing Address Information for a Site**
68		**The system will interface with ISIS and FSWEB to determine VCP Site Address.**
69		**The system will interface with EPIC to determine Reviewer job code information.**
70		**The system will use CASA or Active Directory**
71		**The system will interface with Cashiering to receive Payment transaction information.**
72		**The system will interface with E-Cycle to send Payment transactions**

FUNCTIONAL – Interfaces – Proposed

Number	Enhancement	Requirement Description
73	a	The system will use Web Services to interact with PARIS to: Receive Permit information from PARIS for initial setup and subsequent changes Send Payment transaction information to PARIS Retrieve summary Permit information from PARIS to display within the application for a Permit-related account (WQ) Retrieve information from PARIS to support Management Reporting Receive copies of Permits and Permit Applications.
74	a	The system will interface with the new Time Tracking System (when it becomes available) to replace Site Log functionality.
75	a	The system will interface with the Fiscal A/R database to send Invoice and Invoice Adjustment transaction data for any Receivables – currently this is for VCP but would include such items as Copy Fees.
76	a	Ability to send Payment information to other ECY applications (PARIS, OpCert, Fiscal A/R db, Loans, Contracts, HWTR-Gen) that have Invoices generated out of BARTS
76	b	Ability to send transaction reports for Payment information interface that lists failed transactions so that the Program owners can research and resolve.
77	a	Ability to process Payment Indicator/Notification for certain Payments that don't yet have a BARTS Account or Account Invoice (i.e. Individual Permit Application Fees, OpCert Application Fees). Issue might be that BARTS record may not exist at the time of Payment, so no record to assign the Payment to. And if OpCert has not yet assigned an Operator Certification #, the Customer is not yet in the OpCert database.
78	a	Ability to accept and process Payment transactions that might include multiple Invoices and/or multiple Invoice line items. (OpCert Receipts sometimes have more than on Operator listed because a company may pay for all their employees, a Customer may pay more than one Invoice in a Payment, or with multiple Invoice line items functionality, the Payments may need to be applied to more than one Invoice transaction) Or Cashiering splits these out and sends separate Payment transactions for each line item.

NON FUNCTIONAL

Current BARTS	Enhancement	Requirement Description
79		**The system will be compatible with Ecology's technical policies, IT operating principles, standards, and best practices.**

OUT OF SCOPE – MANUAL OR FUTURE CONSIDERATION

Number	Description	Comment
80	Update Billing Contact Name and/or Address using information from Facility Site.	Facility Site is not in scope to interface for Billing Contact Information.
81	Ability to more easily reconcile between AFRS and BARTS for Application Fees	This is a business decision whether to have Application Fees Invoiced through BARTS.
82	Customers send Payments to US Bank facility for electronic processing. Fiscal (Cashiering) handles Payments that US Bank can't handle or Payments sent directly to Fiscal	Cashiering is out scope.
83	Ability to process large volumes of Payments electronically (US Bank equivalent) Ability to process Payment file from financial institutions, such as US Bank.	Cashiering is out scope.
84	Ability to process large volume non-electronic Payments less manually (without having to use User Batch files)	Cashiering is out scope.
85	Management manually tries to cross-reference between BARTS, AFRS, and Time Tracking.	This is a business decision how these 3 systems should interact.
86	Ability to cross-reference between Time Tracking codes and Fee Types, Fee Categories, Fee Sub Categories, Fee Sub Sub Categories	Time Tracking System is not in scope for this project, except to potentially replace Site Logs in the future.
87	Ability for Fiscal (Cashiering) to accept credit cards to pay Invoices.	Cashiering is out scope.

Appendix A – Project Team

Business Team

Name	Program
Paula Dunlap	Air Quality (AQ)
Christine Haun	Waste 2 Resources (W2R)
Beth McKee	Fiscal
Dolores Mitchell	Toxic Cleanup Program (TCP)
Bert Ponton	Hazardous Waste & Toxic Reduction (HWTR)
Bev Poston	Water Quality (WQ)

Management Reporting

Name
Stephen Bernath
Vince Chavez
John Ridgway
Jeff Nejedly
Mike Herold

Other Interviewees

Name	Program
Randall Ruddick	Air Quality (AQ)
Shawn Nolph	Air Quality (AQ)
Kelsey Dunn	Waste 2 Resources (W2R) - BioSolids
Shirley Rollins	Water Quality (WQ)

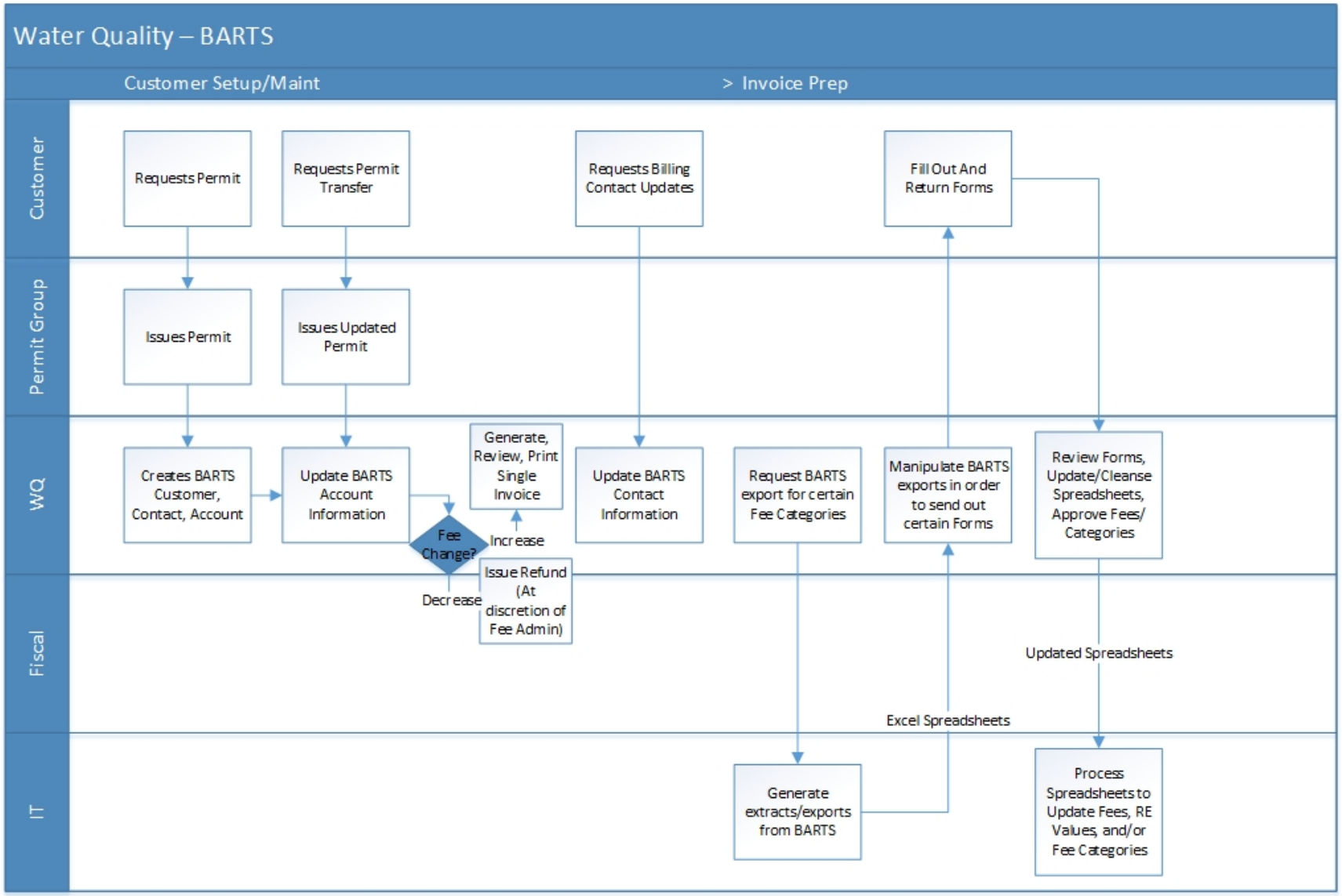
Name	Program
Jeri Berube	Hazardous Waste & Toxic Reduction – Generation Fees
Poppy Carre	Operator Certifications (OpCert)
Kary Peterson	Agricultural Burn Permitting
Crystal Rau	Air Operating Permits

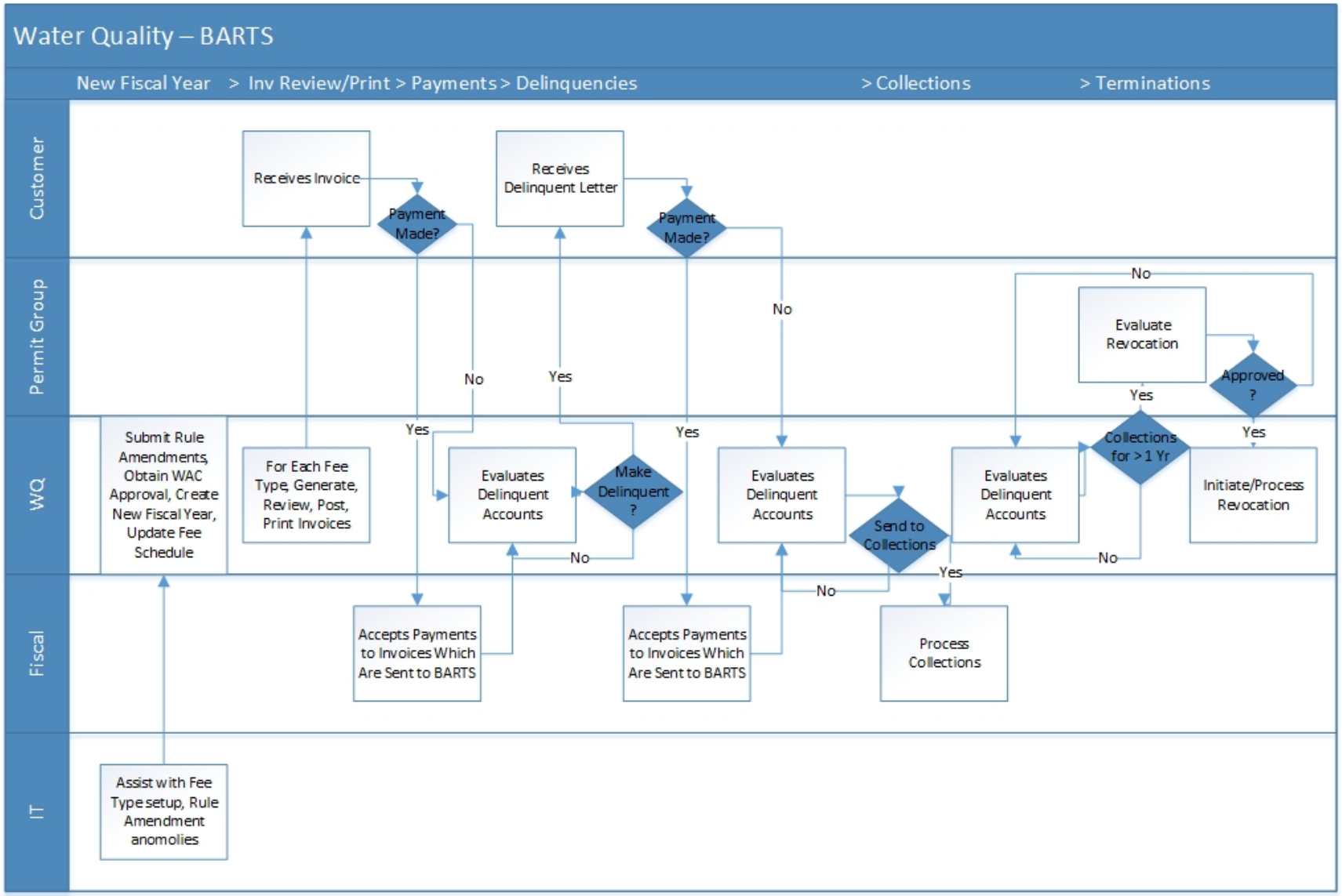
Appendix B – Meetings and Interviews

Date	Contact	Description
17-Apr	Stephen Bernath	Initial orientation, setup and introductions
18-Apr		Kick Off Presentation
18-Apr	Bev Poston	Discussed WQ BARTS processes
22-Apr	Bev Poston	Discussed WQ BARTS processes
23-Apr	Dolores Mitchell	Discussed TCP BARTS processes
23-Apr	James, Matt, Neil, Will, Kevin Barbee	Discussed BARTS Technical aspects
23-Apr	Bert Ponton	Discussed HWTR BARTS processes
24-Apr	John Ridgway, Jeffrey Nejedly, Vince Chavez, Stephen Bernath, Mike Herold	BARTS Management Reporting Requirements Review
24-Apr	Shirley Rollins	Discussed WQ BARTS processes
24-Apr	Beth McKee	Discussed Fiscal BARTS processes
24-Apr	Dolores Mitchell	Discussed TCP BARTS processes
24-Apr	Christine Haun	Discussed W2R BARTS processes
25-Apr	Jeri Berube	Discussed HWTR BARTS processes for HW Generation Fees
25-Apr	Paula Dunlap, Randall Ruddick	Discussed AQ BARTS processes
25-Apr	James Webster	BARTS Manual Process and Reports Discussion
30-Apr	Mike Herold	BARTS Management Reporting Requirements Review Follow-up
30-Apr	Stephen Bernath	BARTS Status
1-May	Kevin Barbee	Discussed BARTS HW Generation Fees Technical Support
2-May	Poppy Carre	WWT Plant Operator Certification Billing Process Review
6-May	Kary Peterson	Discussed Agricultural Burn Permits processes
6-May	Crystal Rau	Discussed Air Operating Permits processes
8-May	Bev Poston	Discussed WQ BARTS processes
8-May	Bev Poston	Discussed WQ BARTS processes
8-May	Dolores Mitchell	Discussed TCP BARTS processes
8-May	Bert Ponton	Discussed HWTR BARTS processes
8-May	Beth McKee	Discussed Fiscal BARTS processes
8-May	Christine Haun	Discussed W2R BARTS processes
9-May	Beth McKee	Discussed Fiscal BARTS processes

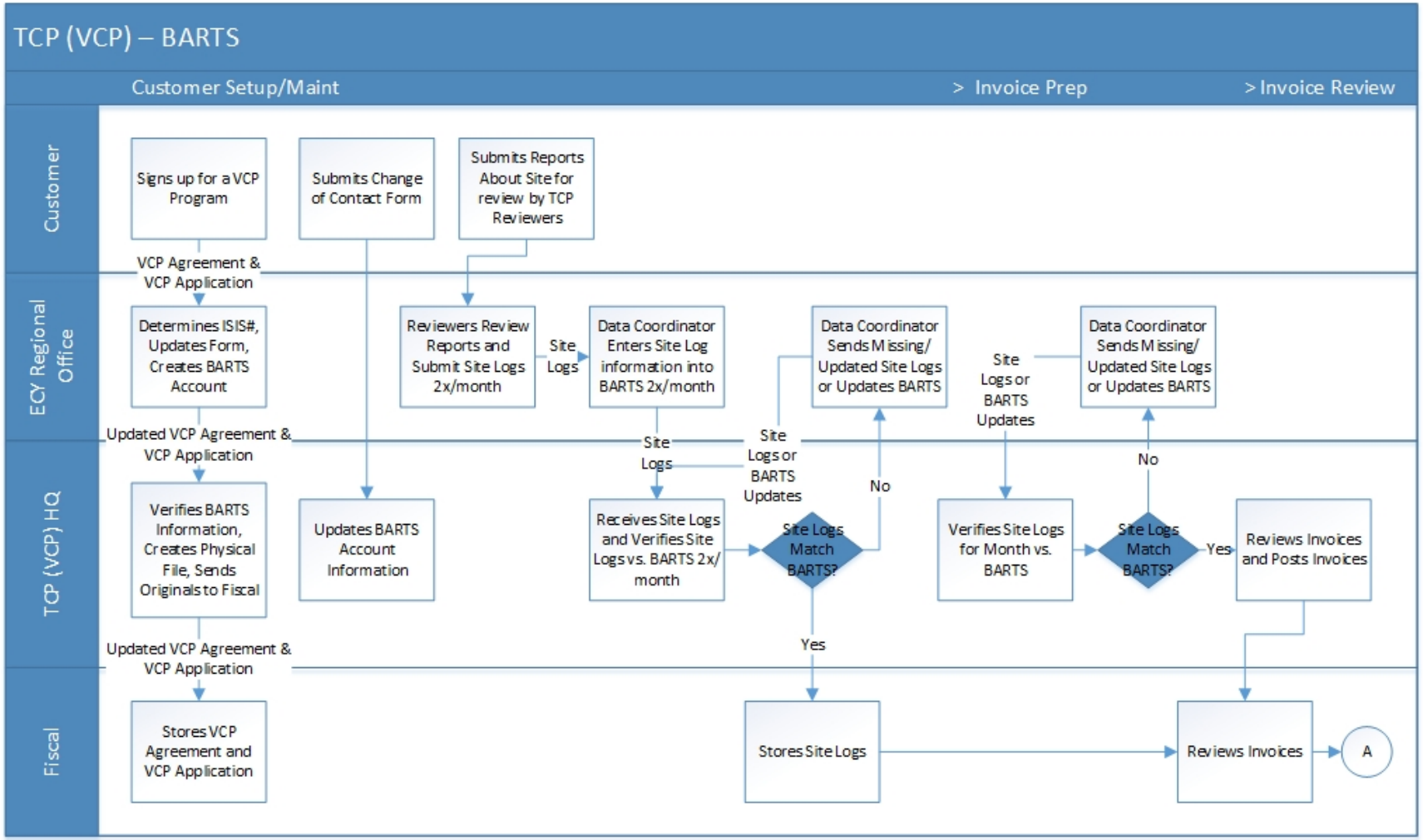
9-May	Paula Dunlap, Randall Ruddick, Shawn Nolph	Discussed AQ BARTS processes
9-May	Stephen Bernath	BARTS Status
Date	**Contact**	**Description**
9-May	Shirley Rollins	Discussed WQ BARTS processes
10-May	James Webster	BARTS Manual Process and Reports Discussion
13-May	Bev Poston	Discussed WQ BARTS processes
13-May	Shirley Rollins	Discussed WQ BARTS processes
16-May	Stephen Bernath Bev Poston Dolores Mitchell Kevin Barbee Bert Ponton Paula Dunlap Randall Ruddick Kelsey Dunn Poppy Carre Jeff Nejedly Will Treinen Matthew Wilkerson	Business Team Review
17-May	Beth McKee	Business Team Review - Fiscal
22-May	Nancy Kmet	Discussed Permit, PARIS, and WQ

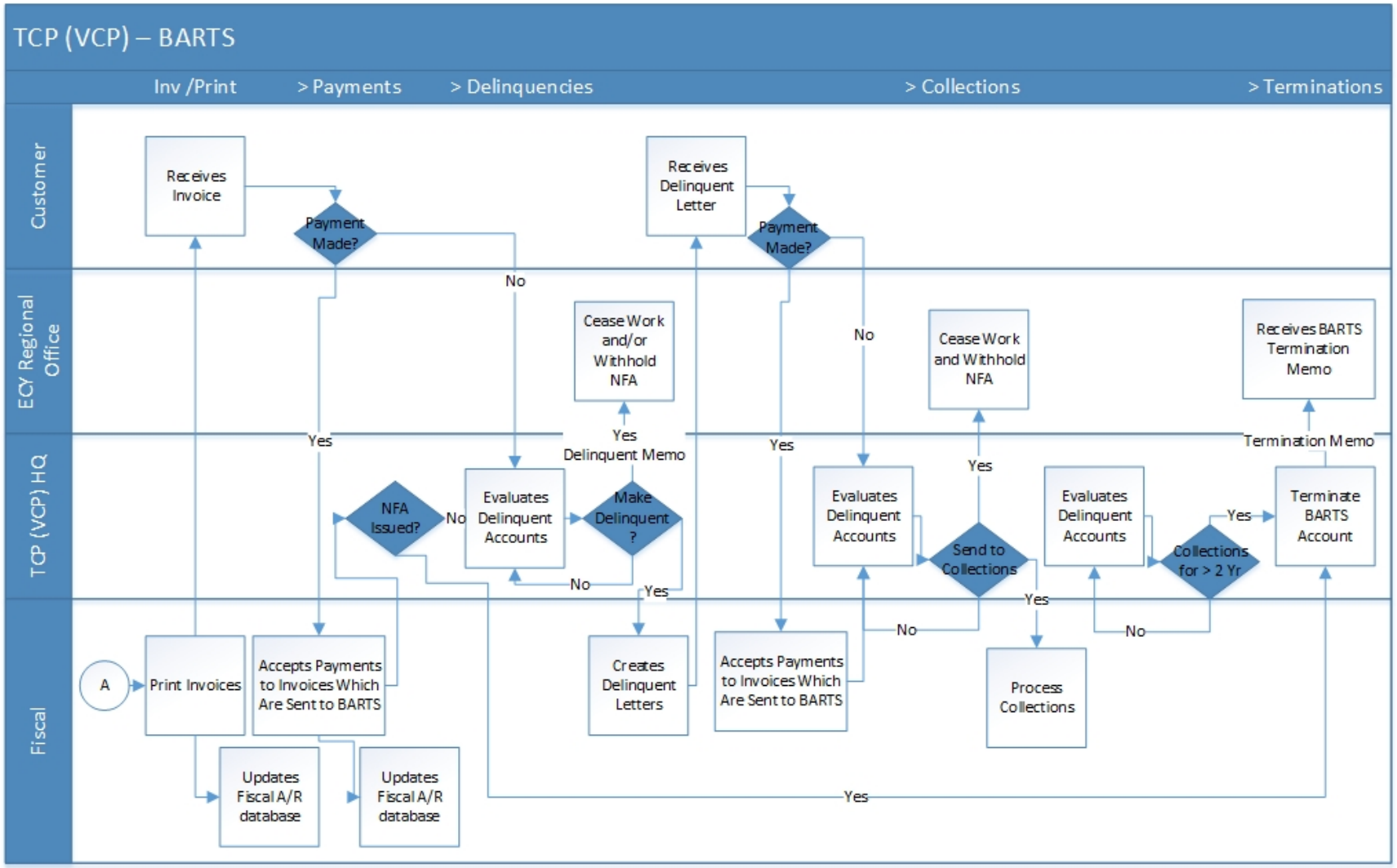
Appendix C – Current Water Quality Business Flows



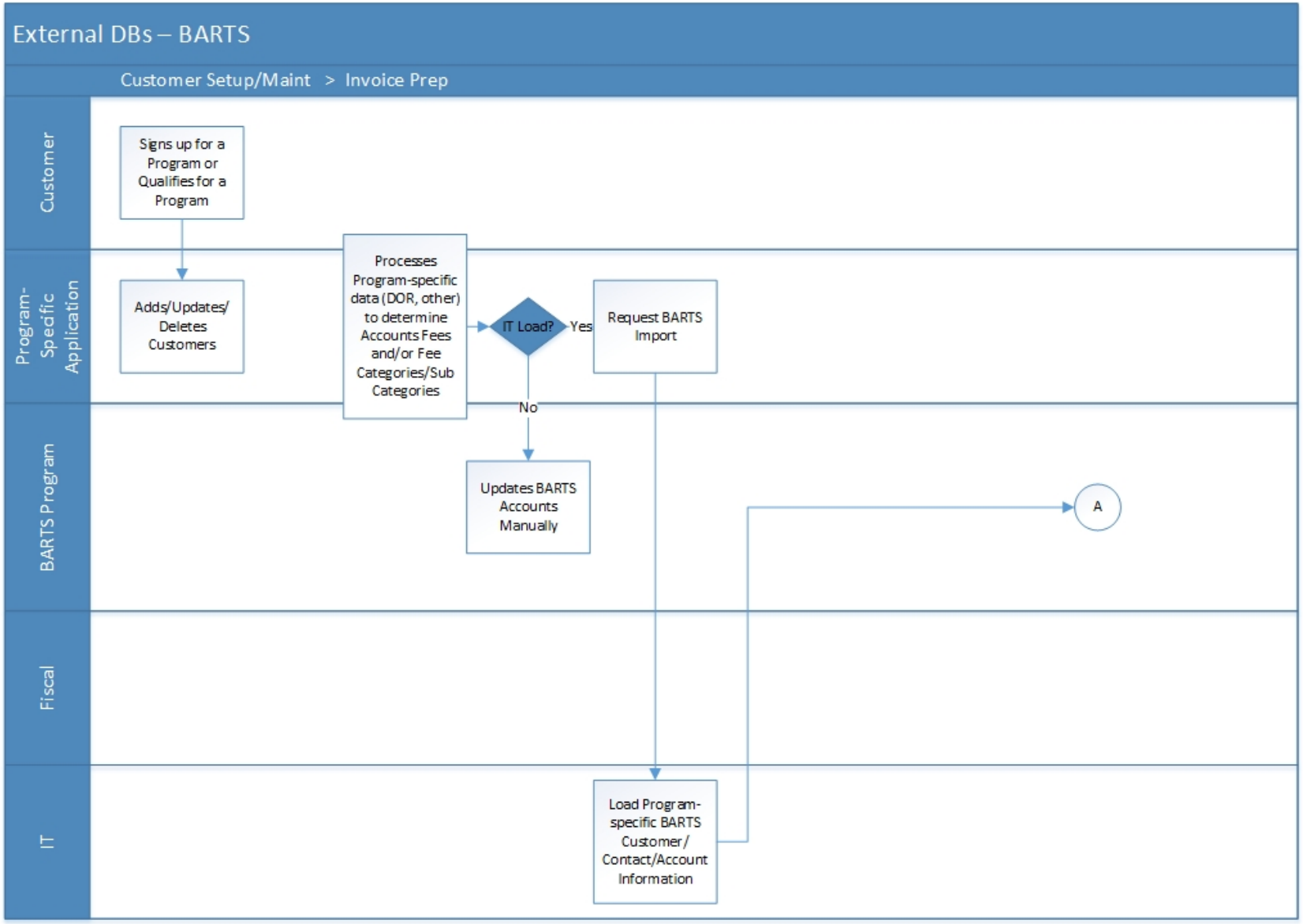

Water Quality – BARTS
New Fiscal Year
> Inv Review/Print
> Payments
> Delinquencies
> Collections
> Terminations
Customer
Permit Group
WQ
Fiscal
IT
Receives Invoice
Payment Made?
Receives Delinquent Letter
Payment Made?
No
Evaluate Revocation
Approved ?
Yes
No
Yes
Yes
Yes
Submit Rule Amendments, Obtain WAC Approval, Create New Fiscal Year, Update Fee Schedule
For Each Fee Type, Generate, Review, Post, Print Invoices
Evaluates Delinquent Accounts
Make Delinquent ?
Evaluates Delinquent Accounts
Send to Collections
Evaluates Delinquent Accounts
Collections for > 1 Yr
Initiate/Process Revocation
No
No
Yes
No
Accepts Payments to Invoices Which Are Sent to BARTS
Accepts Payments to Invoices Which Are Sent to BARTS
Process Collections
Assist with Fee Type setup, Rule Amendment anomolies

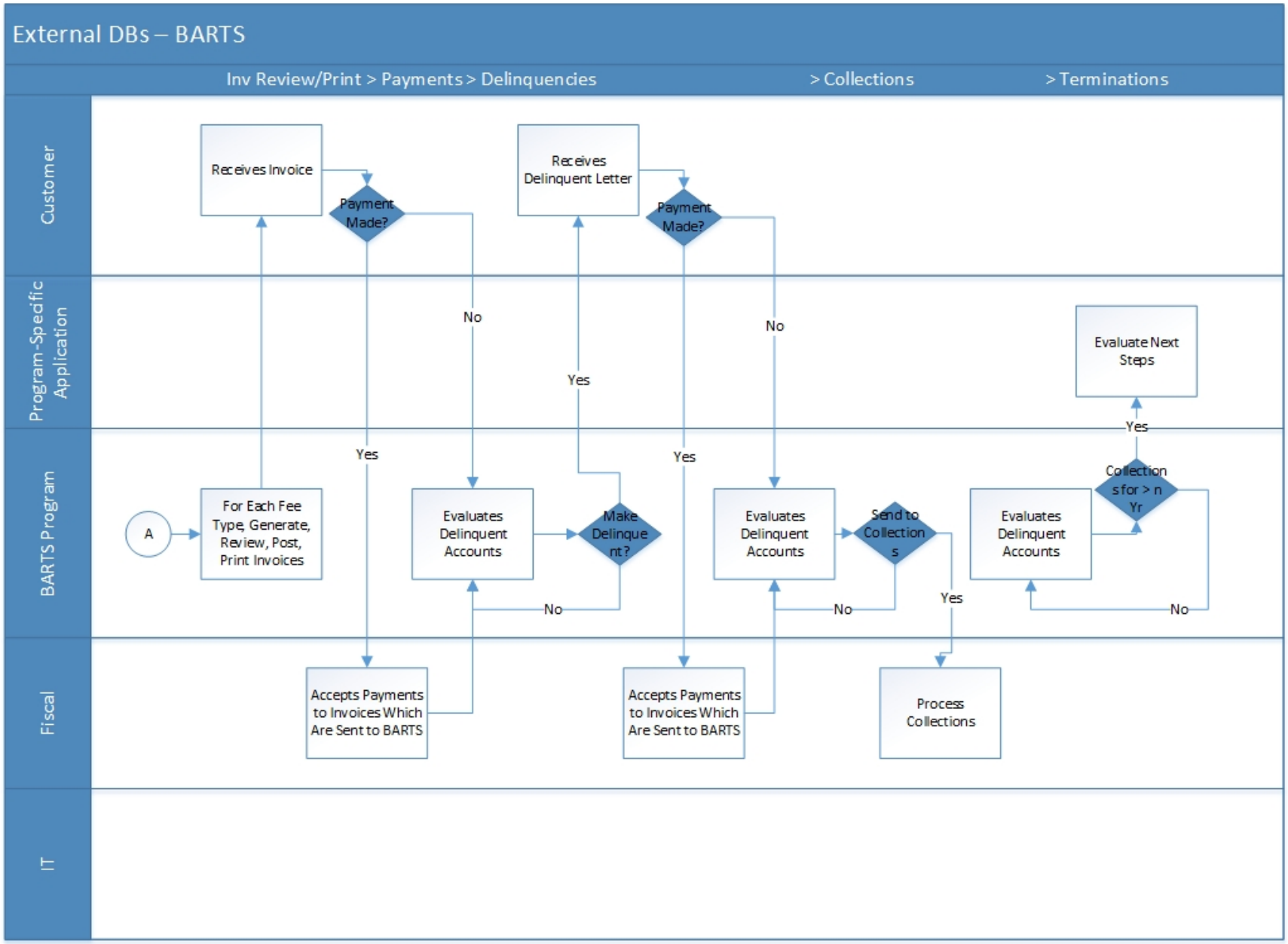
Appendix D – Current TCP (VCP) Business Flows




TCP (VCP) – BARTS
Inv /Print
> Payments
> Delinquencies
> Collections
> Terminations
Customer
ECY Regional Office
TCP (VCP) HQ
Fiscal
Receives Invoice
Payment Made?
No
Receives Delinquent Letter
Payment Made?
No
Cease Work and/or Withhold NFA
Cease Work and Withhold NFA
Receives BARTS Termination Memo
Yes
Yes
Delinquent Memo
Yes
Yes
Termination Memo
NFA Issued?
No
Evaluates Delinquent Accounts
Make Delinquent ?
Evaluates Delinquent Accounts
Send to Collections
Evaluates Delinquent Accounts
Collections for > 2 Yr
Yes
Terminate BARTS Account
No
Yes
Yes
No
No
A
Print Invoices
Accepts Payments to Invoices Which Are Sent to BARTS
Creates Delinquent Letters
Accepts Payments to Invoices Which Are Sent to BARTS
Process Collections
Updates Fiscal A/R database
Updates Fiscal A/R database
Yes

Appendix E – Current External DB Business Flows

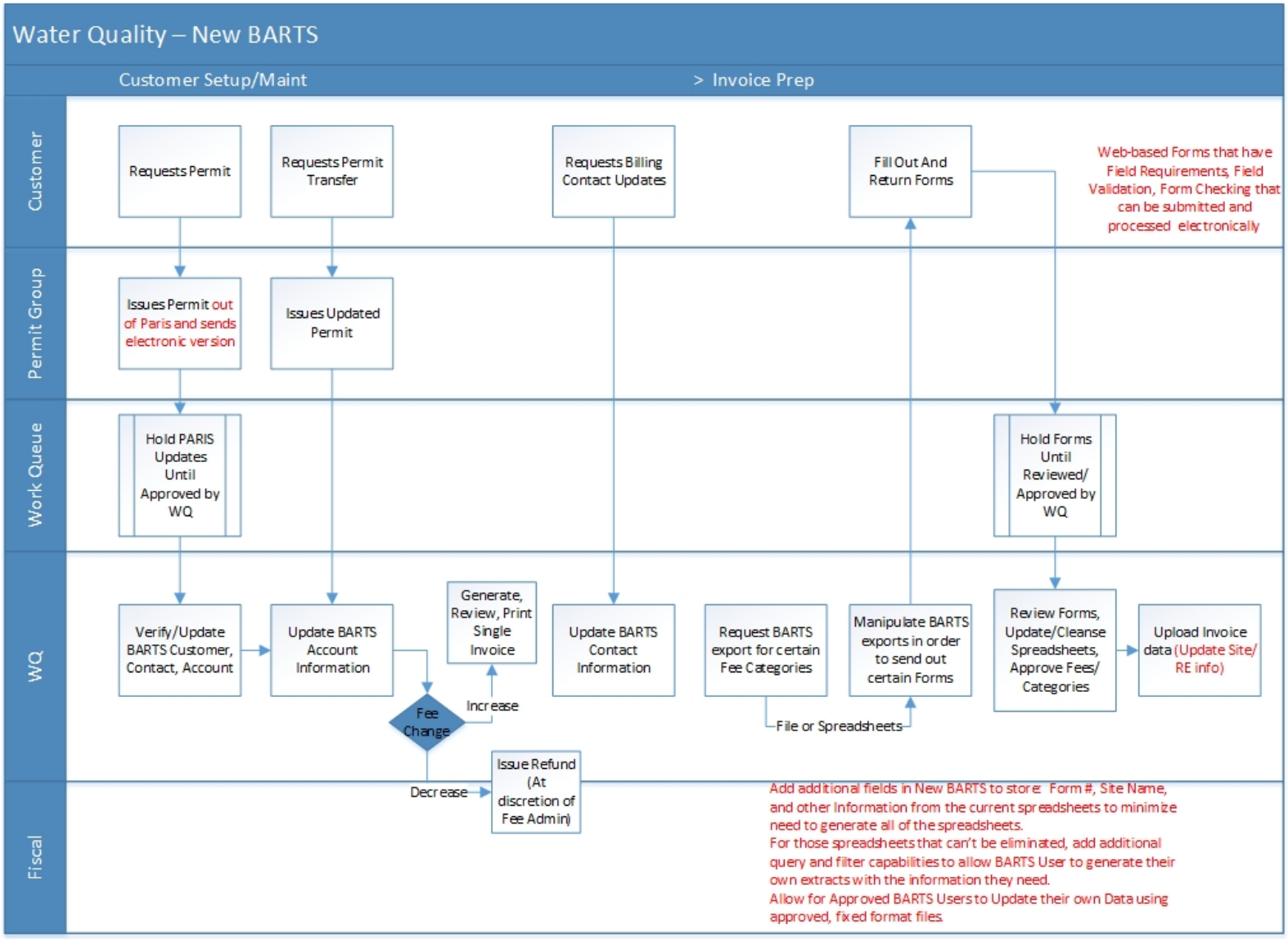


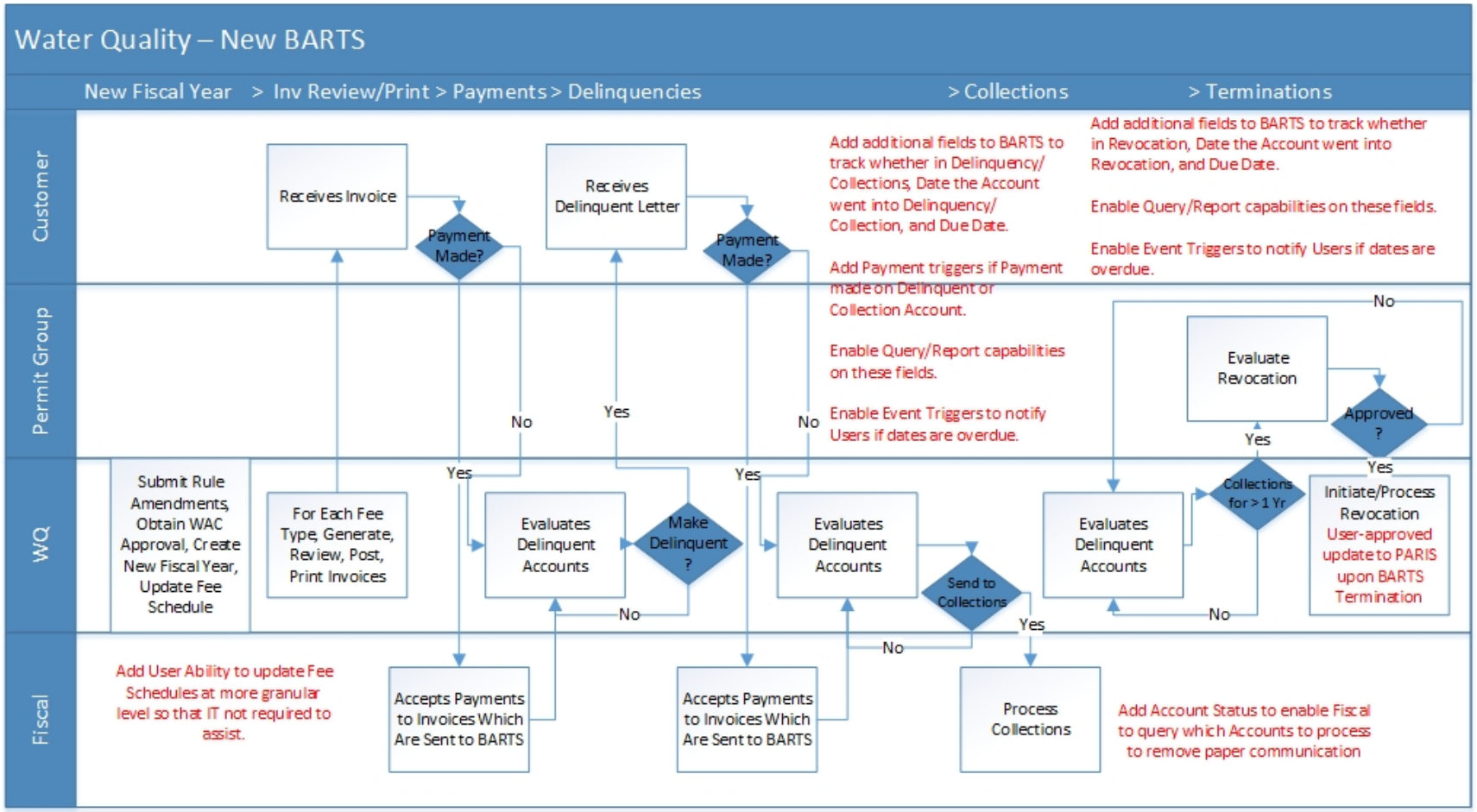

External DBs – BARTS
Inv Review/Print > Payments > Delinquencies
> Collections
> Terminations
Customer
Program-Specific Application
BARTS Program
Fiscal
IT
Receives Invoice
Payment Made?
Receives Delinquent Letter
Payment Made?
Evaluate Next Steps
No
Yes
No
Yes
Yes
Yes
Collections for > n Yr
A
For Each Fee Type, Generate, Review, Post, Print Invoices
Evaluates Delinquent Accounts
Make Delinquent?
Evaluates Delinquent Accounts
Send to Collections
Evaluates Delinquent Accounts
No
No
Yes
No
Accepts Payments to Invoices Which Are Sent to BARTS
Accepts Payments to Invoices Which Are Sent to BARTS
Process Collections

Appendix F – Actors

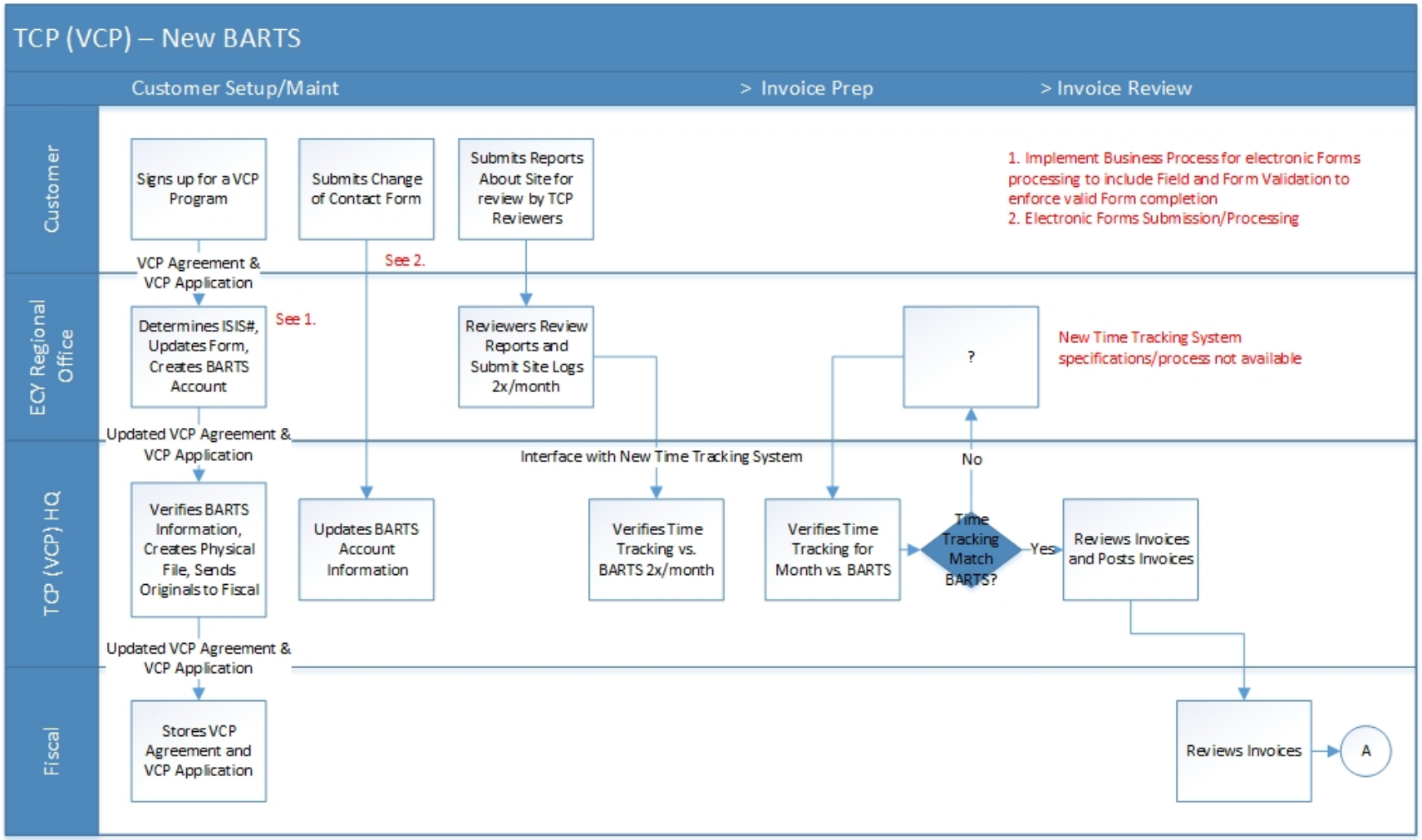
Name	Customer Setup/Maint	Invoice Preparation	Invoice Review	Invoice Print	Payments	Delinquencies	Collections	Terminations	Report	Role
Customer	x				x	x	x	x		A member of the public that has requested a Permit or is involved with an Ecology Program.
Invoice Manager	x	x	x	x		x	x	x	x	Responsible for managing the Invoices for their Program.
Fee Administrator		x								Maintains the fee schedule for a fee type
VCP Data Coordinator		x								Receives Site Logs and enters Site Log information into system
Management Reporting									x	Responsible for reporting and analyzing Program metrics.
Permit Manager	x					x	x	x		Overseas permits in a particular Region or County.
Fiscal (Cashiering)				x	x		x		x	Responsible for accepting payments and working with Collection agencies for accounts in Collection.
IT	x	x			x	x			x	Responsible to support the application and the users using the application for any ad hoc requests.

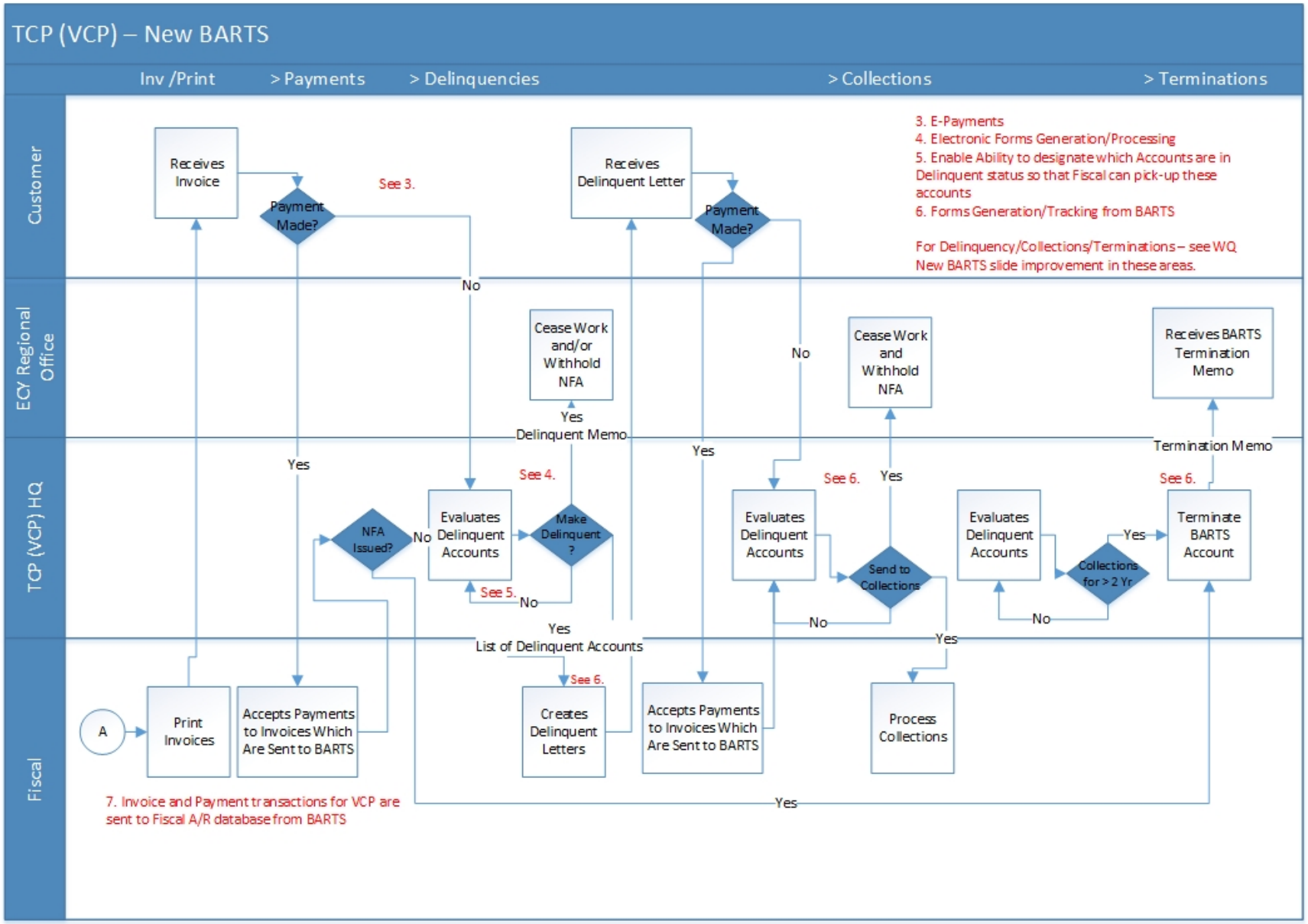
Appendix G – Proposed Business Flows – Water Quality



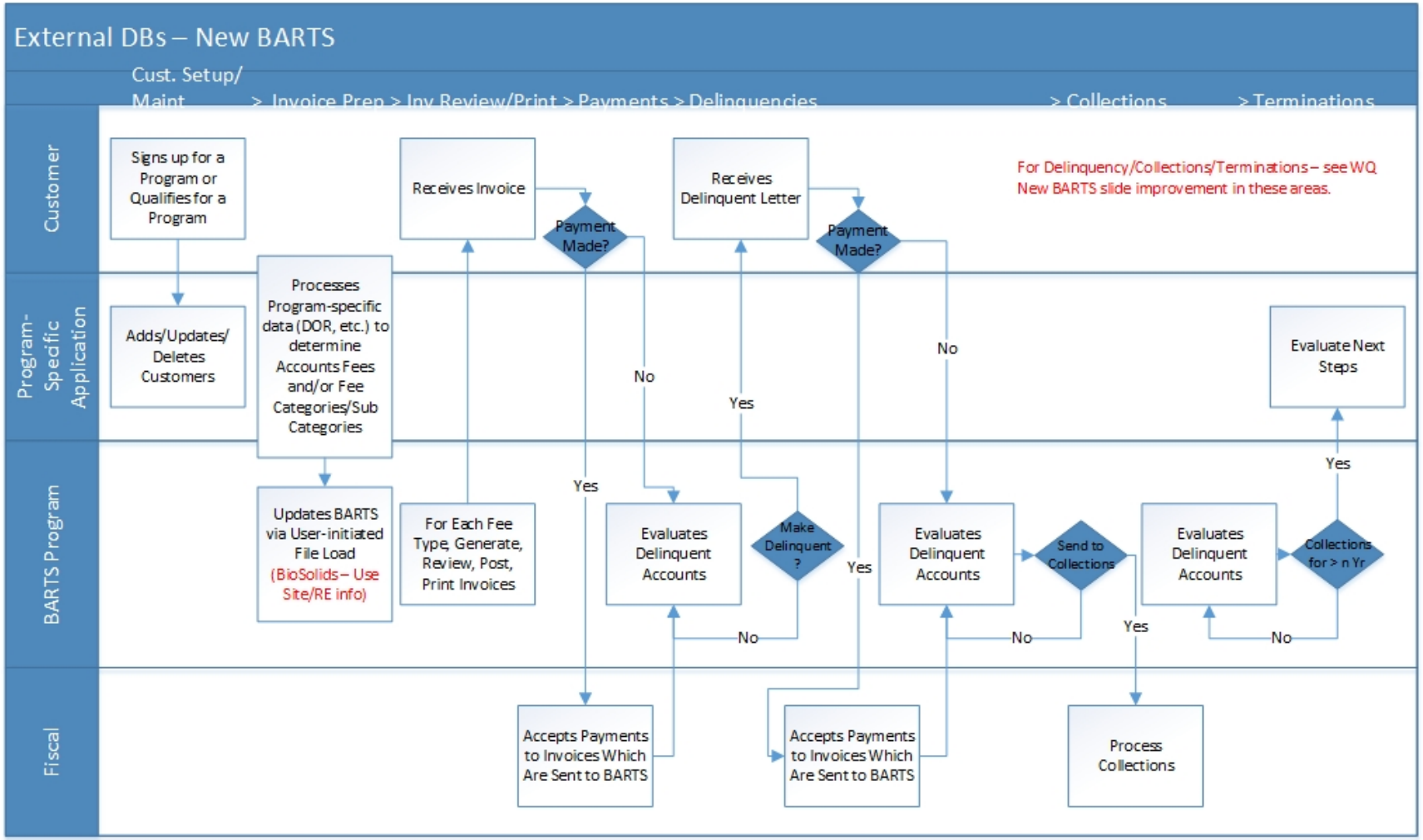

Water Quality – New BARTS
New Fiscal Year
> Inv Review/Print > Payments > Delinquencies
> Collections
> Terminations
Customer
Permit Group
WQ
Fiscal
Receives Invoice
Payment Made?
Receives Delinquent Letter
Payment Made?
Add additional fields to BARTS to track whether in Delinquency/ Collections, Date the Account went into Delinquency/ Collection, and Due Date.
Add Payment triggers if Payment made on Delinquent or Collection Account.
Enable Query/Report capabilities on these fields.
Enable Event Triggers to notify Users if dates are overdue.
Add additional fields to BARTS to track whether in Revocation, Date the Account went into Revocation, and Due Date.
Enable Query/Report capabilities on these fields.
Enable Event Triggers to notify Users if dates are overdue.
No
Yes
No
Yes
No
Evaluate Revocation
Approved ?
Yes
Yes
Submit Rule Amendments, Obtain WAC Approval, Create New Fiscal Year, Update Fee Schedule
For Each Fee Type, Generate, Review, Post, Print Invoices
Yes
Evaluates Delinquent Accounts
Make Delinquent ?
No
Yes
Evaluates Delinquent Accounts
Send to Collections
Yes
No
Evaluates Delinquent Accounts
Collections for > 1 Yr
No
Initiate/Process Revocation
User-approved update to PARIS upon BARTS Termination
Add User Ability to update Fee Schedules at more granular level so that IT not required to assist.
Accepts Payments to Invoices Which Are Sent to BARTS
Accepts Payments to Invoices Which Are Sent to BARTS
Process Collections
Add Account Status to enable Fiscal to query which Accounts to process to remove paper communication

Appendix H – Proposed Business Flows – TCP (VCP)




TCP (VCP) – New BARTS
Inv /Print
> Payments
> Delinquencies
> Collections
> Terminations
Customer
ECY Regional Office
TCP (VCP) HQ
Fiscal
Receives Invoice
Payment Made?
See 3.
Receives Delinquent Letter
Payment Made?
3. E-Payments
4. Electronic Forms Generation/Processing
5. Enable Ability to designate which Accounts are in Delinquent status so that Fiscal can pick-up these accounts
6. Forms Generation/Tracking from BARTS
For Delinquency/Collections/Terminations – see WQ New BARTS slide improvement in these areas.
No
Cease Work and/or Withhold NFA
Yes
Delinquent Memo
No
Cease Work and Withhold NFA
Receives BARTS Termination Memo
Yes
Yes
See 4.
See 6.
Yes
Termination Memo
See 6.
NFA Issued?
No
Evaluates Delinquent Accounts
Make Delinquent ?
Evaluates Delinquent Accounts
Send to Collections
Evaluates Delinquent Accounts
Collections for > 2 Yr
Yes
Terminate BARTS Account
See 5.
No
No
No
Yes
Yes
List of Delinquent Accounts
See 6.
A
Print Invoices
Accepts Payments to Invoices Which Are Sent to BARTS
Creates Delinquent Letters
Accepts Payments to Invoices Which Are Sent to BARTS
Process Collections
7. Invoice and Payment transactions for VCP are sent to Fiscal A/R database from BARTS
Yes

Appendix I – Proposed Business Flows – External DB



Appendix J – Key Agency-wide Opportunities Detail

1. Provide work flow support and additional data elements to store and query Event information (Sent Date, Due Data, Event type, etc.) to support more efficient Delinquency, Collection, and Termination processing, both within the Programs and between the Programs and Fiscal:
    a. Most of the actions and dates are documented in Comment fields (which cannot be queried), so Users cannot easily query the system for overdue events
    b. Events that occur and need follow-up (i.e. did the Delinquent or Collections Customer Pay, did someone respond to a courtesy reminder) are tracked manually (for example, look through stack of Delinquent Letters to see if a Payment was received or compare a list of Accounts in Collections against a report of Payments)
    c. Interfacing with Fiscal to indicate which Accounts need to get sent to Collections typically involves highlighting printed reports to identify which Accounts to process and handing the report to Fiscal
2. Provide forms processing and storage to electronically generate, send, track, receive, validate, and harvest information with minimal User intervention:
    a. A lot of forms are generated via paper, sent via postal or inter-office mail, submitted by the customer in paper form which must then be manually reviewed, verified, and form content transferred to a spreadsheet or into the system
    b. Some Programs require assistance from IT to upload fee-related information resulting from this process
    c. Some of the paper is sent to/from other Ecology offices, such as the Permit Group
3. Provide a standard mechanism for approved Users to upload Customer, Contact, Account, and Invoice information
    a. Some Programs have to manually update their information
    b. Some Programs require assistance from IT to upload Account-related information
4. Provide additional data elements and additional query and export capabilities for Users to find, analyze, and export Customer, Contact, Account, and Invoice information
    a. Some Programs use external Excel spreadsheets to store information related to Fee determination because the current system does not contain the data elements
    b. Some Programs require some IT-generated ad hoc extracts to support Customer mailings or stakeholder queries