



Level	Requirement Description	User(s)	Current ECTS Function	Business Unit	Priority	Solution Map to Requirements			Comments
						Out of the Box ✓	Custom Dev. ✓	Not Available ✓	
1	System feature: Workflow								
1.1	Workflow Roles								
1.1.1	The system shall provide the ability to route tasks and provide notifications for the following user roles	All	No	All	1				
1.1.1.1	Guest - read only access to a specific complaint file for MIA internal staff or contractors	Guest	Yes	All	1				
1.1.1.2	Licensee - read access to data posted on the ECTS Portal and ability to upload documents	Licensee	No	All	1				
1.1.1.3	Clerk - the lowest level of administrative and data entry capability on a complaint	Clerk	Yes	All	1				
1.1.1.4	Secretary - includes all Clerk Functions plus the ability to create and send letters	Secretary	Yes	All	1				
1.1.1.5	PIA Coordinator - includes all Secretary functions plus the ability to compile documents for a PIA request	PIA Coordinator	No	All	1				
1.1.1.6	Investigator - includes all Secretary functions plus the ability to submit a complaint for approval	Investigator	Yes	All	1				
1.1.1.7	Supervisor - includes all Investigator functions plus the ability to assign and approve complaints	Supervisor	Yes	All	1				
1.1.1.8	Senior Staff - includes all Supervisor functions plus the ability to approve hearings and Orders	Senior Staff	Yes	All	1				
1.1.1.9	System Administrator - ability to add or modify user accounts and access levels, update system tables and code values and add or modify letter templates	System Administrator	Yes	All	1				
1.1.2	The system shall provide the ability to route tasks and provide notifications to a specific User ID within a user role	All	No	All	1				
1.1.3	The system shall allow a complaint to be assigned to multiple user roles and IDs at the same time for various functions	All	No	All	1				



1.2	Workflow Dashboard								
1.2.1	The system shall display and update a user dashboard listing all complaints by complaint number for a specific user role and user ID (Note: Dashboard shall display: Complaint #, case type, case status, date opened and Investigator Assigned)	All	No	All	1				
1.2.1.1	The system shall allow the user to select the sort order by Complaint #, case type, case status, date opened, or Investigator Name	All	No	All	1				
1.2.2	The system shall indicate on the user dashboard whether a PIA request has been filed for a complaint	All	No	All	1				
1.2.3	The system shall indicate on the user dashboard whether an Order has been issued for a complaint	All	No	All	1				
1.2.4	New complaints shall display on the user dashboard after a complaint number has been generated	Supervisor	No	All	1				
1.2.5	New complaints shall be displayed on the user dashboard after the Supervisor codes the complaint and assigns it to an Investigator	Investigator, Supervisor	No	All	1				
1.2.6	Approved complaints shall display on the system dashboard for 45 days after the Supervisor approves the complaint or until a Hearing Request is received by the Investigator	All	No	All	1				
1.2.7	After the Investigator receives the Hearing Request, the system shall display the complaint on the user dashboard until the Hearing Summary is completed	Investigator, Senior Staff	No	All	1				
1.2.8	The system shall allow the System Administrator the ability to view user dashboards	System Administrator	No	All	1				
1.2.9	The system shall allow the users to access their diary from the user dashboard	All	No	All	1				



1.3	Workflow Diary								
1.3.1	The system shall create a defined set of tasks when certain conditions or workflow status are met (Note: The diary is defined as list of tasks assigned to an individual that are due on a given day)	Supervisor, Investigator	No	All	1				
1.3.2	The system shall provide the ability for users to create new tasks	Supervisor, Investigator	No	All	1				
1.3.3	The system shall provide the ability for the user to reassign tasks as needed	Supervisor, Investigator	No	All	1				
1.3.4	The system shall provide the ability for users to select tasks to be assigned to another user role and specify the date when a response is expected	All	No	All	1				
1.3.5	The system shall allow the Supervisor to view the diary for any individual	Supervisor	No	All	1				
1.3.6	The system shall display and highlight past due and outstanding workflow tasks assigned to others, date assigned and date response is expected	All	No	All	1				
1.3.7	The system shall provide ability for users to revise task due dates	Supervisor, Investigator	No	All	1				
1.3.8	The system shall provide the ability to display diary tasks by day, week or month based on user preference	All	No	All	1				
1.4	Workflow Triggers								
1.4.1	The system shall list complaints on the user dashboard when a new complaint number is generated (Note: Complaint Status = Unassigned)	Supervisor	No	All	1				
1.4.2	The system shall list complaints on the user dashboard when a complaint has been assigned by the Supervisor (Note: Complaint Status = Assigned Awaiting Investigation)	Investigator, Supervisor	Yes	All	1				
1.4.3	When a Clerk attaches an electronic document to the complaint, the system shall generate a notification in the Investigator's diary	Clerk, Investigator	No	All	1				



1.4.4	The system shall add a task on the appropriate user's dashboard based on completion of the following tasks (Note: Complaint Status = Under Investigation)	All	No	All	1				
1.4.5	Initial Letter Task								
1.4.5.1	When the Supervisor assigns a complaint, the system shall generate a task on the assigned user's diary to send the initial letters (Note: Complaint Status = Under Investigation)	Investigator, Secretary	No	All	1				
1.4.5.2	When a Secretary completes a form letter, the system shall generate a task on the Investigator's diary to approve the letter (Note: Complaint Status = Under Investigation)	Investigator, Secretary	No	All	1				
1.4.5.3	When an Investigator approves a form letter, the system shall generate a task on the Secretary's diary to send the letter (Note: Complaint Status = Under Investigation)	Investigator, Secretary	No	All	1				
1.4.5.4	When a Secretary or Investigator sends an initial letter to an external party (Licensee or Consumer), the system shall indicate that the Initial Letter Task is complete (Note: Complaint Status = Awaiting Response)	Investigator, Secretary	No	All	1				
1.4.5.5	When the Initial Letter Task is complete, the system shall generate a task in the Investigator's diary to obtain a response from external parties (Note: Complaint Status = Awaiting Response)	Investigator, Supervisor	Yes	All	1				
1.4.5.6	When a licensee uploads a document via the ECTS portal, the system shall generate a task in the Investigator's diary to review the response (Note: Complaint Status = Response Received)	Investigator, Supervisor	No	All	1				
1.4.6	Determination Task								
1.4.6.1	When a determination is submitted by an Investigator to be approved by a Supervisor, the system shall generate a task in the Supervisor's diary to review the determination. (Note: Complaint Status = Awaiting Approval)	Investigator, Supervisor	No	All	1				



1.4.6.2	When a Supervisor rejects a determination, the system shall generate a task in the Investigator's diary to review the Supervisor's disapproval comments (Note: Complaint Status = Disapproved)	Investigator, Supervisor	No	All	1				
1.4.6.3	When a Supervisor approves a determination, the system shall generate a task in the Investigator's diary to close the complaint (Note: Complaint Status = Approved)	Investigator, Supervisor	No	All	1				
1.4.7	Referral Task								
1.4.7.1	When a referral is submitted by an Investigator for review, the system shall generate a task in the Supervisor's diary to review the referral (Note: Complaint Status = Under Investigation)	Investigator, Supervisor	No	All	1				
1.4.7.2	When a Supervisor returns a referral for further action, the system shall generate a task in the Investigator's diary to review the Supervisor's comments (Note: Complaint Status = Under Investigation)	Investigator, Supervisor	No	All	1				
1.4.8	Hearing Request Task								
1.4.8.1	When an Investigator or Secretary receives a Hearing Request, the system shall generate a task in the Supervisor's diary to review the Hearing Request (Note: Complaint Status = Hearing Requested)	Secretary, Investigator, Supervisor	No	All	1				
1.4.8.2	When a Supervisor denies a Hearing Request, the system shall generate a task in the Supervisor's diary to send the hearing denial letter (Note: Complaint Status = Hearing Denied)	Secretary, Investigator, Supervisor	No	All	1				
1.4.8.3	When a Supervisor approves a Hearing Request, the system shall generate a task in the user's diary to prepare Hearing Summary (Note: Complaint Status = Hearing granted)	Secretary, Investigator, Supervisor	No	All	1				
1.4.8.4	When an Investigator or Secretary submits a Hearing Summary to be approved, the system shall generate a task in the Supervisor's diary to review the Hearing Summary	Secretary, Investigator, Supervisor	No	All	1				



	(Note: Complaint Status = Hearing granted)									
1.4.8.5	When a Supervisor denies a Hearing Summary, the system shall generate a task in the Investigator's diary to review the reason for denial (Note: Complaint Status = Reopened)	Secretary, Investigator, Supervisor	No	All	1					
1.4.8.6	When Senior Staff denies a Hearing Summary, the system shall generate a task in the Supervisor's diary to review the reason for denial (Note: Complaint Status = Reopened)	Senior Staff, Supervisor	No	All	1					
1.4.8.7	When a Supervisor submits a Hearing Summary to be approved, the system shall generate a task in the Senior Staff's diary to review the Hearing Summary (Note: Complaint Status = Hearing granted)	Senior Staff, Supervisor	No	All	1					
1.4.8.8	When Senior Staff approves a Hearing Summary, the system shall generate a task in the Secretary's diary to transmit the Hearing Summary, closing the task (Note: Complaint Status = Hearing Completed)	Senior Staff, Supervisor	No	All	1					
1.4.8.9	When Senior Staff approves a Hearing Summary, notification shall be routed to a Secretary to transmit the Hearing Summary to the Appeals Clerk (Note: Complaint Status = Hearing Completed)	Secretary, Senior Staff, Supervisor	No	All	1					
1.4.9	Order Task									
1.4.9.1	When a Supervisor submits an Order, the system shall generate a task in the Senior Staff's diary to review the Order (Note: Complaint Status = Approved)	Senior Staff, Supervisor	No	All	1					
1.4.9.2	When Senior Staff approves an Order, the system shall generate a task in the Supervisor's diary to issue the Order (Note: Complaint Status = Approved)	Senior Staff, Supervisor	No	All	1					



1.4.9.3	When Senior Staff denies an Order, the system shall generate a task in the Supervisor's diary to review the Order as to why it was denied (Note: Complaint Status = Approved)	Senior Staff, Supervisor	No	All	1				
1.4.10	PIA Task								
1.4.10.1	When a PIA file is created, the system shall generate a task in the PIA coordinator's diary to review the PIA request	PIA Coordinator	No	All	2				
1.4.11	Survey Task								
1.4.11.1	When a survey response is entered into the system, the system shall generate a task in the Supervisor's diary to review the survey (Note: Complaint Status = Closed)	Supervisor	No	All	2				
2	System feature: Complaint Filing/Set-up								
2.1	The system shall allow complainant to file a digital complaint form via the ECTS Portal (Note: Complainant must provide name, address, phone number, contact information, relationship to the insured, treating physician, insured's name, address, phone number, policy or member number, line of business, complaint text, desired resolution, and insurance Licensee information)	Complainant	Partial	All	1				
2.1.1	The system shall allow MIA to enter a complaint received via paper or phone and specify Method Received and Date received	Clerk	Yes	All	1				
2.1.1.1	The system shall associate the MIA user ID with a complaint entered internally	Clerk	Yes	All	1				
2.1.1.2	The system shall allow the user to select whether they are an individual or a firm before entering additional information	Clerk	Yes	All	1				
2.1.2	The system shall generate a unique complaint number and received date	System	Yes	All	1				



2.1.3	The system shall allow the user to enter their phone number and auto fill the complainant's name and address	Complainant, Clerk	No	All	1				
2.1.4	The system shall allow the user to enter their name, address, or phone number and auto fill the complainant's demographic data if it exists in the ECTS database	Complainant, Clerk	No	All	1				
2.1.5	The system shall allow selection of the appropriate addresses from the provided search results in the auto-fill	Complainant, Clerk	No	All	1				
2.1.6	The system shall provide a selection of one or more licensees that a complainant can select from and add new if not in the list	Complainant, Clerk	No	All	1				
2.1.7	The system shall allow the entry of one or more complainant first name, middle name, last name, and suffix in separate fields	Complainant, Clerk	No	All	1				
2.1.8	The system shall allow the designation of a primary complainant	Complainant, Clerk	Yes	All	1				
2.1.9	The system shall allow the complainant to enter their relationship to the insured/patient	Complainant, Clerk	No	All	1				
2.1.10	The system shall allow the complainant to select their NAIC role from a drop down list to include the following: Beneficiary, Insured; Military Personnel; Other; Producer; Provider; Third-Party	Complainant, Clerk	Partial	All	1				
2.1.11	The system shall allow the complainant to enter their address allowing three lines for the address entry	Complainant, Clerk	Yes	All	1				
2.1.12	The system shall generate the county based on complainant's address	Complainant, Clerk	No	All	1				
2.1.13	The system shall allow the complainant to enter their zip code which shall auto fill city and state	Complainant, Clerk	No	All	1				
2.1.14	The system shall allow the complainant to enter up to three (3) phone numbers	Complainant, Clerk	Yes	All	1				



2.1.15	The system shall require the complainant to enter an e-mail address twice to confirm accuracy	Complainant, Clerk	Yes	All	1				
2.1.16	The system shall allow the complainant to select correspondence delivery method (paper or paperless or both)	Complainant, Clerk	No	All	1				
2.1.17	The system shall allow the complainant to select an MIA unit from the following: Appeals & Grievance ("A & G"); Consumer Education & Advocacy Unit ("CEAU"); Life & Health ("L & H"); Property & Casualty ("P & C"); Private Passenger Automobile Surcharges & Nonrenewal ("PPA")	Complainant, Clerk	Partial	All	1				
2.1.18	After selection of an MIA unit, the system shall allow the complainant to select one or more Line of Business from the drop down list (Note: The list contains: auto, fire, life, home)	Complainant, Clerk	Partial	All	1				
2.1.19	The system shall allow the complainant to select a reason for the complaint from a drop down list (Note: See the list of reasons on the NAIC complaint data standard form)	Complainant, Clerk	Partial	All	1				
2.1.20	The system shall allow the user to enter one or more policy or member numbers	Complainant, Clerk	Yes	All	1				
2.1.21	The system shall allow the user to enter coverage and reason codes associated with a policy or member number	Investigator, Supervisor	Yes	All	1				
2.1.22	The system shall allow Licensees to be entered as an individual or firm	Complainant, Clerk	Yes	All	1				
2.1.23	The system shall reference MIA's Company and producer licensing databases to display licensee data	System	Yes	All	1				
2.1.24	The system shall allow the user to enter a Group number	Complainant, Clerk	No	All	1				
2.1.25	The system shall allow the user an age group selection from a drop down list to include: <25; 25 to 49; 50 to 64; 65+	Complainant, Clerk	No	All	1				



2.1.26	The system shall allow the user to enter one or more claim number	Complainant, Clerk	Yes	All	1				
2.1.27	The system shall allow the user to enter one or more physician's name	Complainant, Clerk	No	All	1				
2.1.28	The system shall allow the user to enter the physician's address, city, state and zip code	Complainant, Clerk	No	All	1				
2.1.29	The system shall allow the user to enter the physician's telephone and fax numbers	Complainant, Clerk	No	All	1				
2.1.30	The system shall allow the complainant to enter a desired resolution within a text field	Complainant	No	All	1				
2.1.31	The system shall allow the complainant to enter a complaint summary in a text field	Complainant	Yes	All	1				
2.2	The system shall allow complainant to submit a consent to release of medical records with electronic signature	Complainant	No	All	1				
2.3	The system shall allow users to upload and store digital copy of Auto Nonrenewal and Premium Increase forms when selecting PPA as an MIA Unit (Note: These documents are required for a PPA complaint)	Complainant, Clerk	No	All	1				
2.4	The system shall allow users to upload and store digital copies of documents associated with a complaint (Note: The documents need to be linked to particular complaints)	Complainant, Clerk	No	All	1				
2.5	The system shall generate an online complaint confirmation displaying the complaint number for complainant	System	No	All	1				
2.6	The system shall generate a confirmation email including the complaint number for complainant	System	Yes	All	1				
2.7	The system shall allow users to access digital copy of stored documents uploaded with the complaint	Supervisor	No	All	1				



2.8	The system shall allow users to enter a Case Type and Case class	Supervisor	No	All	1				
2.9	The system shall allow users to designate a complaint as inquiry	Supervisor	No	All	1				
2.10	The system shall allow users to view/modify uploaded complaint form for correctness/completion	Supervisor	No	All	1				
2.11	The system shall allow users to view multiple complaints at the same time	All	No	All	1				
2.12	The system shall allow users to access the Internet while working in the system	All	No	All	1				
2.13	The system shall allow users to clone a complaint	Supervisor	No	All	1				
2.14	The system shall allow users to assign a cloned complaint to a different business unit and generate a new complaint number	Supervisor	No	All	1				
2.15	The system shall allow a user to select a case status based on user role from the following values: Approved; Assigned Awaiting Investigation; Awaiting Approval; Awaiting Response; Disapproved; Hearing Request Denied; Hearing Request Granted; Reassigned Awaiting Investigation; Reopened; Unassigned; Under Investigation	All	No	All	1				
2.16	The system shall allow the user to select a "Subject" from a drop down list to include: HUR - Hurricane; INT - Internet Related; LEA - Lead; MOL - Mold; OBS - Obesity; TER - Terrorism; TOR - Tornado; OTH - Other	Clerk	No	All	1				
2.17	The system shall allow users to search existing complaints (Note: Search criteria to include complaint number, firm name, first name, last name, address, type of user, Case Status and Contact Type data fields and combination of these data fields on open or closed files)	Clerk	Yes	All	1				



2.18	The system shall allow users to only view a complaint file unless the user has "Update" access rights	All	Yes	All	1				
2.19	The system shall allow users to modify complaint records (Note: Modifications to include Name, address, phone number, other contact information, relationship to the insured, treating physician, insured's name, address, phone number, policy or member number, claim number, date of loss, complaint text, insurance Licensee information, NAIC role, designation as primary complainant)	Clerk	Yes	All	1				
2.20	The system shall allow users to modify the case type, case class, case action, Investigator, and date received	Supervisor	Yes	All	1				
2.21	The system shall allow users to copy information from an existing complaint into a new complaint (Note: This capability is referred to as Add / Copy)	Clerk	Yes	All	1				
2.22	The system shall allow users to select appropriate primary and secondary codes from a drop down list created from the NAIC Standard Complaint Data and MIA M-Code list (Note: Code Types include line of business, coverage, sub coverage, reason, and subject)	Supervisor	Yes	All	1				
2.23	The system shall allow the user to enter the appropriate NAIC "Line of Business" code from a drop down list created from the NAIC Standard Complaint Data sheet	Supervisor	Yes	All	1				
3	System feature: Phone Log								
3.1	The system shall provide the ability for users to enter information about a general phone call from the public	All	Yes	All	1				
3.2	The system shall provide the ability to enter the caller's phone number and auto fill the caller's address and zip code if the phone number exists in the ECTS database (Note: The current ECTS system captures this	All	No	All	2				



	data by zip code only. If unable to get phone number need to be able to capture zip code)								
3.3	The system shall allow user to enter time spent on call (Note: HH:MM:SS format as reported in Cisco phone system)	All	Yes	All	1				
3.4	The system shall allow users to enter Call Types	All	Yes	All	1				
3.5	The system shall allow users to enter Call Reasons	All	Yes	All	1				
3.6	The system shall allow users to enter Call Dispositions	All	Yes	All	1				
3.7	The system shall allow users to enter a text note about the call	All	Yes	All	1				
3.8	The system shall date and time stamp all call data entered	System	Yes	All	1				
3.9	The system shall allow users to enter a complaint number with the call record (Note: When entering a new case the system shall check for existing phone calls)	System	No	All	1				
3.10	The system shall allow users to run reports against phone log data by any field in the call log database	System Administrator	Yes	All	1				
3.11	The system shall allow users to have phone-log screen open while viewing a complaint	All	Yes	All	1				
4	System feature: Complaint Processing								
4.1	The system shall allow multiple iterations of notification to external parties	All	No	All	1				
4.2	The system shall calculate number of work days between assignment of a complaint to the Investigator and first notification to the Licensee	System	No	All	1				
4.3	The system shall allow users to access complaints	Investigator	Yes	All	1				
4.4	The system shall allow a user to note that a complaint was received from CEAU	Investigator	Yes	All	1				
4.5	The system shall allow the user to select view only or update mode as required	Investigator	Yes	All	1				



4.6	The system shall allow users to generate or update form letters and templates (Note: Acknowledgement letter, initial inquiry letter, no consent form letter (A&G business unit), follow-up letter)	Investigator, Secretary	Yes	All	1				
4.7	The system shall allow users to send notification to external parties (Note: Process may be repeated multiple times as additional information or respondents is needed)	Investigator	No	All	1				
4.8	The system shall allow users to create a post of complaint data for the Licensees to view on MIA ECTS Portal (Note: The post shall include the complaint #, date posted, MIA Investigator's name and contact information, correspondence due date, complainant name, insured name, policy #, member #, claim #, copies of docs posted by the MIA and text notes)	Investigator	No	All	1				
4.9	The system shall allow users to select documents and include them in the post for Licensees to view and download (Note: Types of docs include Video, MPEGs, PDFs, Audio, Images, JPEG & PnG, MS Office Files)	Investigator	No	All	1				
4.10	The system shall have the ability for the Licensee to respond to a post and upload docs via MIA ECTS Portal (Note: NAIC #, Complaint #, Licensee contact information (name, email & phone #), notes, date responded)	Licensee	No	All	1				
4.11	The system shall generate a due date based on case type for licensee response after the creation of the first post (Note: Due date calculated based on COMAR 31.16.10)	System	No	All	1				
4.12	The system shall allow users to receive notification when a Licensee uploads a response to a post	Investigator	No	All	1				



4.13	The system shall allow users to change the due date if an extension is granted	Investigator, Supervisor	No	All	1				
4.14	The system shall allow external users to mark document as confidential and provide reason (Note: Reason shall be provided in the notes field)	Licensee	No	All	1				
4.15	The system shall generate receipt showing date of response, file number, and a list of attached documents (Note: Printer friendly version shall be available)	System	No	All	1				
4.16	The system shall link uploaded documents to specific complaint file identified by the user	Licensee, Guest	No	All	1				
4.17	The system shall allow external users to access a user manual and FAQ on how to enter a response and troubleshoot common problems	Licensee, Guest	No	All	1				
4.18	The system shall allow MIA users to add/update notes on a complaint file (Note: Notes to have spell check ability; Any Investigator, Supervisor, Clerk will be able to add notes)	Investigator	Yes	All	1				
4.19	The system shall allow MIA users to select an IRO	Investigator	No	A&G	1				
4.20	The system shall allow users to enter and maintain budget allocations for each IRO	Supervisor	No	A&G	1				
4.21	The system shall allow users to record cases related to DBM	Supervisor	No	A&G	1				
4.22	The system shall allow users to query cases related to DBM on both a calendar year and fiscal year basis	Supervisor	No	A&G	1				
4.23	The system shall allow users to route complaint to Supervisor for review and advice on how to proceed	Investigator	No	All	1				
4.24	The system shall allow users to update or add NAIC codes (Note: All code/valid value tables shall be controlled centrally)	Investigator	Yes	All	1				



4.25	The system shall allow users to update NAIC numbers and FEIN numbers of licensee's	Investigator	Yes	All	1				
4.26	The system shall allow users to assign up to 3 disposition codes (Note: Users shall be able to select appropriate disposition codes)	Investigator	Yes	All	1				
4.27	The system shall allow users to record recovery information about complaint (Note: Users shall be able to select appropriate recovery type)	Investigator	Yes	All	1				
4.28	The system shall allow users to route investigation decision for Supervisor approval	Investigator	No	All	1				
4.28.1	The system shall verify all required fields are entered to allow transfer to Supervisor (Note: All required fields according to case class)	System	Yes	All	1				
4.28.2	The system shall allow users to receive notification of a request for advice	Supervisor	Yes	All	1				
4.29	The system shall allow users to view documents related to the complaint	Supervisor	No	All	1				
4.30	The system shall allow users to view case summary	Investigator	Yes	All	1				
4.31	The system shall allow users to return complaint file to Investigator	Supervisor	No	All	1				
4.32	The system shall allow users to flag documents as confidential	Supervisor	no	All	1				
4.33	The system shall allow users to process a complaint Order during the complaint processing stage regardless of the status of the complaint	Supervisor	No	All	1				
4.34	The system shall allow users to close complaints	Supervisor	Yes	All	1				
4.35	The system shall allow users to grant access to specific complaints to guests to allow them to view documents and enter notes	Supervisor	Yes	All	1				
4.36	The system shall provide notification to user 85 days after complaint received date	Supervisor	No	All	1				



5 System Feature: Complaint Review/Approval/Closing									
5.1	The system shall allow users to receive notification of approval request	Supervisor	Yes	All	1				
5.2	The system shall provide the ability to flag a complaint as quick close, VIP and resubmitted (Note: VIP = Legislative Correspondent)	System, Investigator	No	All	1				
5.3	The system shall allow the Supervisor/Investigator to access all file documentation including confidential documents	Supervisor, Investigator	No	All	1				
5.4	The system shall allow Supervisor to add, remove, edit, and redact attachments to be included with determination/closing letter	Supervisor	No	All	1				
5.5	The system shall allow Supervisor to edit and create form letters	Supervisor	Yes	All	1				
5.6	The system shall allow users to change the complaint status to under review by OAG when applicable	Supervisor	No	All	1				
5.7	The system shall allow user to select documents to be reviewed by OAG	Investigator, Supervisor	No	All	1				
5.8	The system shall allow users to receive notification of OAG file assignment	Supervisor	No	All	1				
5.9	The system shall allow users to enter OAG file number and name of assigned Asst. Attorney General	Supervisor	No	All	1				
5.10	The system shall allow users to change the complaint status when legal sufficiency is complete	Supervisor	No	All	1				
5.11	The system shall allow OAG memos to be flagged as confidential	Supervisor	No	All	1				
5.12	The system shall allow users to add Supervisor notes	Supervisor	Yes	All	1				
5.13	The system shall allow users to approve or disapprove investigation decision (Note: Possible outcomes: approve, reject, seek more information)	Supervisor	Yes	All	1				



5.14	The system shall allow users to create and edit disapproval form	Supervisor	Yes	All	1				
5.15	The system shall allow users to return complaint file to Investigator as either approved/closed or in need of additional investigation with Disapproval form (Note: Allow the file to be returned as view only for Investigator to apply digital signature)	Supervisor	No	All	1				
5.16	The system shall allow users to refer complaints to other work units by adding them as a guest	Supervisor, Investigator	Yes	All	1				
5.17	The system shall allow user to select file documents for viewing by a specified guest	Supervisor, Investigator	Yes	All	1				
5.18	The system shall allow users to flag complaints to track referrals made by work unit	Supervisor, Investigator	Yes	All	1				
5.19	The system shall allow users to select if the complaint is confirmed or unconfirmed	Supervisor	No	All	1				
5.20	The system shall allow users to change status of complaint file to approved	Supervisor	Yes	All	1				
5.21	The system shall allow users to provide Secretary with access to specific documents to send to external parties	Supervisor, Secretary	No	All	1				
5.22	The system shall allow Secretary to send closing letter to all appropriate parties electronically	Secretary	No	All	1				
5.23	The system shall allow user to create or edit a referral memo	Supervisor, Investigator	Yes	All	1				
6	System feature: Consumer Survey								
6.1	The system shall allow users to select a survey based on complaint type (Note: Allow the file to be returned as view only for Investigator to apply digital signature)	Investigator, Clerk	Yes	All	1				



6.2	The system shall allow users to select the appropriate survey and send to the consumer via email or US mail	Investigator, Clerk	No	All	1				
6.3	The system shall allow the users to enter hard copy survey results into the system and associate with the complaint record	Clerk	No	All	1				
6.4	The system shall allow users to view individual online survey results	Supervisor, Investigator	No	All	1				
6.5	The system shall notify a Supervisor when a new survey response is received	System	No	All	2				
6.6	The system shall allow user to create aggregate reports on the Survey data across multiple complaints	System Administrator	No	All	1				
6.7	The system shall provide the users with the ability to query survey responses by complaint #	Supervisor, Investigator	No	All	1				
7	System Feature: Hearing Processing								
7.1	The system shall allow aggrieved party to file a digital Hearing Request form and attach document	Licensee, Complainant	No	All	2				
7.2	The system shall provide an online confirmation with the date time the Hearing Request was submitted	Licensee, Complainant	No	All	1				
7.3	The system shall verify that the Hearing Request is for an existing complaint # and all required fields are provided	System	No	All	1				
7.4	The system shall allow users to receive notification of Hearing Request and date time received	Supervisor, Investigator	No	All	1				



7.5	The system shall allow users to enter data for Hearing Request and attach documents received in paper form	Clerk	Yes	All	1				
7.6	The system shall link the Hearing Request to the correct complaint file	System	No	All	1				
7.7	The system shall provide users the ability to modify a complaint number on a Hearing Request submitted online	Supervisor	No	All	1				
7.8	The system shall allow users to review Hearing Request for correctness/completion	Supervisor	No	All	1				
7.9	The system shall allow users to grant or deny timeliness of Hearing Request (Note: Based on the date the determination letter was sent and the date the Hearing Request was received)	Supervisor	No	All	1				
7.10	The system shall allow users to post notice to Licensee and send notice to the complainant that the Hearing Request was granted or denied	Supervisor	No	All	1				
7.11	The system shall allow users to send notification to the Licensee that a Hearing Request was received	Supervisor	No	All	2				
7.12	The system shall calculate the date that the Hearing Summary is due based on 30 calendar days from the date the hearing is requested	System	No	All	1				
7.13	The system shall not allow modification to documents that were in the system prior to the Hearing Request (Note: Based on date, time stamp, of the Hearing Request)	System	No	All	1				
7.14	The system shall notify the user when a Hearing Request is 25 days old and again at 30 days old (Note: Section 2-210 of the Insurance Article requires granting a hearing within 30 days)	Supervisor	No	All	1				



7.15	The system shall allow users to generate/update appropriate letters & documents	Investigator, Supervisor, Secretary	Yes	All	1				
7.16	The system shall allow users to select documents to become exhibits and assign exhibit numbers to documents to be included for hearing file (Note: The exhibited file shall be saved in a read-only format)	Investigator, Supervisor, Secretary	No	All	1				
7.17	The system shall allow users to route hearing file to Supervisor for approval	Investigator, Secretary	No	All	1				
7.18	The system shall allow users to copy relevant documents associated with the complaint and redact for purposes of including as exhibits (Note: Documents with date, time stamp prior to request)	Supervisor	No	All	1				
7.19	The system shall allow users to approve or reject the notice of hearing and exhibits (Note: Possible outcomes: approve, reject, seek more information)	Supervisor	No	All	1				
7.20	The system shall allow users to assign reopened complaint file to an Investigator	Supervisor	No	All	1				



7.21	The system shall allow users to route relevant documents to appropriate personnel for approval (Note: route to Investigator, Supervisor and Senior Staff)	Investigator	No	All	1					
7.22	The system shall allow users to post hearing notice for the Licensee and send it to the Complainant	Secretary	No	L&H	1					
7.23	The system shall allow users to post notice of hearing, exhibit list, and exhibits file for Appeals Clerk	Secretary	No	All	1					
7.24	The system shall provide a data interface of complaint data to MIA case tracking system (Note: Need to link to Case # in CTS for each applicable Complaint)	System	No	All	1					
7.25	The system shall allow users to mark a complaint file as "Hearing Completed" (Note: Complaint Status = Hearing completed)	Senior Staff	No	All	1					
8	System Feature: Auto Protest Hearing Processing									
8.1	The system shall allow the users to store electronic document received from OAH and associate to multiple complaint files (Note: Received by fax transmittal for multiple cases that hearings are timely)	Secretary	No	P&C	1					
8.2	The system shall notify the Supervisor that a Hearing Request has been received	Supervisor	No	P&C	1					
8.3	The system shall allow the Supervisor to change the complaint status to "Hearing Granted" (Note: The current ECTS allows Supervisor to update the status to Hearing Requested)	Supervisor	Yes	P&C	1					
8.4	The system shall allow a Secretary to draft hearing letters (form letters) on each complaint that has a hearing granted	Supervisor	Yes	P&C	1					
8.5	The system shall notify the Secretary that a hearing letter is needed	Secretary	No	P&C	1					
8.6	The system shall notify the Investigator that a hearing letter has been drafted	Secretary	No	P&C	1					



8.7	The system shall allow the Investigator the ability to electronically sign the hearing letter	Investigator	No	P&C	1					
8.8	The system shall notify the Secretary to send the hearing letter to the complainant and post the letter to the Licensee	Secretary	No	P&C	1					
8.9	The system shall notify the Licensee that hearing letter has been posted to the portal	Secretary	No	P&C	1					
8.10	The system shall record the date and time stamp when the Licensee has reviewed the hearing letter	System	No	P&C	1					
8.11	The system shall allow users to select documents to become exhibits and assign exhibit numbers to documents to be included for hearing file (Note: The exhibited file shall be saved in a read-only format)	Investigator	Yes	P&C	1					
8.12	The system shall notify Secretary that exhibit numbers have been assigned	Secretary	No	P&C	1					
8.13	The system shall allow Secretary to create a transmittal memo on multiple hearing files	Secretary	No	P&C	1					
8.14	The system shall allow users to route hearing file for Supervisor approval	Investigator, Secretary	No	P&C	1					
8.15	The system shall allow users to receive notification of approval request	Supervisor	No	P&C	1					
8.16	The system shall allow users to update/modify transmittal memos	Supervisor, Secretary	No	P&C	1					
8.17	The system shall allow users to change file status to "re-open"	Supervisor	Yes	P&C	1					
8.18	The system shall allow users to assign a re-opened complaint file to an Investigator	Supervisor	No	P&C	1					
8.19	The system shall allow users to route relevant documents to appropriate personnel for approval	Supervisor	No	P&C	1					
8.20	The system shall allow users to post transmittal memo and numbered exhibits for multiple files for the Appeals Clerk access	Secretary	No	P&C	1					



8.21	The system shall provide a data interface of complaint data to MIA case tracking system (Note: Need to link to Case # in CTS for each applicable Complaint)	System	No	P&C	1				
8.22	The system shall allow users to mark a complaint file as "Hearing Completed" (Note: Complaint Status = Hearing completed)	Supervisor	No	P&C	1				
9	System feature: Complaint Order Processing								
9.1	The system shall allow users to create and edit Orders from the template	Supervisor, Investigator	No	All	1				
9.2	The system shall allow user to generate/update Order Letters	Supervisor	Yes	All	1				
9.3	The system shall allow users to post Draft Order / Consent Order and relevant documents for OAG (Note: May provide access to documents to OAG in future vs. sending document)	Supervisor	No	All	1				
9.4	The system shall allow user to note approval of Order by OAG	Supervisor	No	All	1				
9.5	The system shall allow users to post Orders for the appeals Clerk to access	Supervisor, Secretary	No	All	1				
9.6	The system shall allow users to submit an Order to the Senior Staff for approval	Supervisor	No	All	1				
9.7	The system shall allow users to approve Order / Consent Order	Senior Staff	No	All	1				
9.8	The system shall allow user to reject the Order for editing or additional investigation	Senior Staff	No	All	2				
9.9	The system shall allow users to post Order / Consent Order for Licensee access and send a letter to the complainant (Note: Currently Appeals Clerk sends Order to Licensee by mail)	Secretary, Supervisor	No	All	1				
9.10	The system shall allow user to view the date and time Licensee accessed the Order from the portal	Secretary	No	All	2				



9.11	The system shall allow users to follow the Hearing Request process upon receipt of a Hearing Request on an Order	Supervisor	No	All	2				
10	System Feature: PIA Requests								
10.1	The system shall allow a user to create a PIA file using the PIA number assigned by the MIA PIA coordinator (Note: PIA file is a collection of documents from the complaint file to be prepared in response to a PIA request)	Supervisor, PIA Coordinator	No	All	2				
10.1.1	The system shall allow a user to enter PIA Requester name, email, fax #, phone #, and address	Supervisor, PIA Coordinator	No	All	1				
10.2	The system shall allow users to select and copy documents from the complaint file	PIA Coordinator	No	All	1				
10.3	The system shall allow the user to associate a PIA file with one or more complaints	Supervisor, PIA Coordinator	No	All	1				
10.4	The system shall allow users to redact PIA documents	Supervisor, PIA Coordinator	No	All	1				
10.5	The system shall allow users to tag PIA documents with designated categories Examples: Requestor Correspondence, Identified Documents, Licensee Correspondence, Internal Correspondence, Released Documents	System, PIA Coordinator	No	All	1				
10.6	The system shall allow users to upload PIA request or other document received by email or scan hard copy requests	Secretary, Clerk, PIA Coordinator	No	All	1				
10.7	The system shall allow users to assign a PIA request to a Unit PIA Coordinator	PIA Coordinator	No	All	2				
10.8	The system shall allow users to manually enter a PIA File Number which will automatically populate along with the complaint file number on all PIA letters	System, PIA Coordinator	No	All	2				



10.9	The system shall allow users to enter the date PIA request was received	PIA Coordinator	No	All	1				
10.10	The system shall calculate the date the PIA response is due based on thirty (30) calendar days from when the PIA request was received	System	No	All	2				
10.11	The system shall allow users to grant an extension to the PIA response due date and modify the due date	PIA Coordinator	No	All	2				
10.12	The system shall allow users to add or modify PIA requesters and responders as contacts on the complaint record	PIA Coordinator, Supervisor	No	All	1				
10.13	The system shall allow user to combine all PIA documents into a single PDF document in date order	PIA Coordinator	No	All	1				
10.14	The system shall allow users to create, update, and redact responsive document files using Adobe Pro or similar method	PIA Coordinator	No	All	1				
10.14.1	The system shall allow for saving a modified version of the initial document (Example: saving a draft version with proposed redactions or extracting and saving a set of pages from the complete document) (Note: All versions shall be retained)	PIA Coordinator	No	All	1				
10.15	The system shall allow user to maintain multiple versions of the PIA document	PIA Coordinator, Supervisor	No	All	1				
10.16	The system shall provide users a notes field to add a description of the PIA document	PIA Coordinator	No	All	1				
10.17	The system shall allow users to create and edit PIA letter templates	PIA Coordinator	No	All	2				
10.18	The system shall allow users to digitally sign and save a finalized copy of all correspondence while retaining draft copy. System shall differentiate between draft docs and final docs	PIA Coordinator, Supervisor	No	All	1				
10.19	The system shall allow users to sort PIA documents in chronological order by date	System, PIA Coordinator	No	All	1				



	received or sent								
10.20	The system shall allow users to post specific PIA documents to the MIA portal	PIA Coordinator	No	All	2				
10.21	The system shall allow users to email redacted documents and designated confidential documents/ to the OAG	PIA Coordinator	No	All	1				
10.22	The system shall allow users to manually enter OAG file number	PIA Coordinator	No	All	1				
10.23	The system shall allow users to upload all OAG responses and designate same as confidential	PIA Coordinator	No	All	1				
10.24	The system shall allow for PIA documentation to be categorized as final version with no further edits in the document	System	No	All	1				
10.25	The system shall provide user with the ability to select the PIA form letter and auto populate it with PIA Requester, PIA file #, and Licensee	System, PIA Coordinator	No	All	2				
10.26	The system shall provide the ability to capture PIA cost data: per page copying or CD, and time spent preparing documentation, and postage	System, PIA Coordinator	No	All	2				
10.27	The system shall allow users to prepare an invoice with PIA cost data	System, PIA Coordinator	No	All	2				
10.28	The system shall allow users to manually adjust PIA status (i.e.: Under Review, Awaiting Licensee Response, OAG Review, Commissioner Review, Other Unit Review, Invoiced-Awaiting Payment)	System, PIA Coordinator	No	All	1				
10.29	The system shall provide users a text field to enter notes on all activities associated with the PIA file	System, PIA Coordinator	No	All	1				
10.30	The system shall allow for submission of final version of responsive documents and closing letter to Supervisor for approval	PIA Coordinator	No	All	2				
10.31	The system shall allow Supervisor to review specified documents and Approve/Disapprove File	Supervisor	No	All	2				



10.32	The system shall allow users to generate invoice requests when required	PIA Coordinator	No	All	2				
10.33	The system shall allow users to post the invoice to the portal for access by the Fiscal Department or PIA Coordinator	PIA Coordinator	No	All	2				
10.34	The system shall allow users to enter dates of invoice and payment	PIA Coordinator	No	All	2				
10.35	The system shall allow users to send final documents to requester by email, regular mail or CD	PIA Coordinator	No	All	2				
10.36	The system shall send notification to PIA Coordinator when final version of responsive documents is received	PIA Coordinator, System	No	All	2				
10.37	The system shall allow users to close a PIA file and update status as Suspended, Withdrawn, Completed	PIA Coordinator	No	All	1				
10.38	The system shall allow users to post notification to OAG upon file closure with copy of the closing letter	PIA Coordinator, System	No	All	1				
10.39	The system shall allow users to follow the Hearing Request process upon receipt of a Hearing Request on a PIA denial	PIA Coordinator	No	All	1				
11	System feature: Document Management								
11.1	The system shall store documents uploaded by external parties in MS Word, MS Excel, .pdf, jpg, .png, Mpeg4, MP3, TIFF (Note: Document File sizes not to exceed 1GB)	Complainants Licensees	No	All	1				
11.2	The system shall store documents scanned by MIA staff or received by fax	All	No	All	1				
11.3	The system shall allow users to tag at the time the document is scanned or uploaded	All	No	All	1				
11.4	The system will auto index any document that has been tagged for data retrieval	System	No	All	1				



11.5	The system shall allow the user to tag and attach a document to a complaint	All	No	All	1				
11.6	The system shall allow users to view or print documents or comments posted on the portal	All	No	All	1				
11.7	The system shall allow users to create and edit form letters with date and time stamp for multiple versions of a form letter	Secretary, Investigator	Yes	All	1				
11.8	The system shall allow users to search based on key words or dates within documents for easy reference	All	No	All	1				
11.9	The system shall allow users to add notes to the documents	All	No	All	1				
11.10	The system shall allow users to copy and paste text from a website or document into a Form Letter while viewing them both at the same time (Note: Websites Example: COMAR and Annotated Code of Maryland, NAIC)	All	No	All	1				
11.11	The system shall allow users to view multiple documents at once	All	No	All	1				
11.12	The system shall allow users to organize documents by tag category (Note: Tag examples: legal docs, correspondence, medical records)	All	No	All	1				
11.13	The system shall allow users to archive documents with the complaint file (Note: See Retention Policy/Schedules for document archiving or purging)	System Administrator	Yes	All	1				
11.14	The system shall have optical character recognition ability to enable word searches	System	No	All	2				
11.15	The system shall allow users to store and apply electronic signatures to documents as required	Investigator, Supervisor, Senior Staff	No	All	1				
11.16	The system shall allow users to access Form Letter templates based on the user's business unit and type of file (Note: Type of File: PIA or Complaint)	All	No	All	1				



11.17	The system shall be compatible with MS Office (Note: Current system uses MS Word)	All	Partial	All	1				
11.18	The system shall ensure that all screens and documents within the system are printer-friendly (Note: Current system provides the ability to print some screens)	All	Partial	All	1				
12	System feature: Security								
12.1	The system shall authenticate MIA users with an active directory account	System	Yes	All	2				
12.2	The system shall authenticate external users with a user name and password	System	No	All	1				
12.3	The system shall allow users to be assigned a specific role to limit access to data and documents according to workflow (Note: Implied requirement includes restricting non-authorized role from performing specific actions)	System Administrator	Yes	All	1				
12.4	The system shall allow identified users to view audit history or log	Supervisor, System Administrator	No	All	1				
12.5	The system shall provide the ability to inactivate internal or external users	System Administrator	No	All	1				
12.6	The system shall have the ability to centralize user management for both internal and external users	System Administrator	No	All	1				
12.7	The system shall comply with DoIT Password guidelines	System	No	All	1				
12.8	The system shall encrypt data backups, data in transit, and data at rest to prevent improper disclosure or alteration	System	No	All	1				
12.9	The system shall include mechanisms for vulnerability testing and patch management using an automated tool	System Administrator	No	All	1				
12.10	The system shall retain audit logs recording user access activities, authorized and failed access	System	Partial	All	1				



	attempts, system exceptions, and critical information security events								
12.11	The system shall restrict network connections between trusted and untrusted networks and protect networks via properly configured firewalls	System	Yes	All	1				
12.12	The system shall have procedures to monitor and take action in the case of a data breach, including reporting on various security aspects of the system and hosting environment(s)	System	No	All	1				
12.13	The system shall monitor and collect security related events for reporting purposes	System	No	All	1				
12.14	The system shall meet controls as defined in NIST Special Publication 800-53 and the Maryland IT Security Plan, as tailored for the specific solution.	System Administrator	No	All	1				
12.15	The system shall meet security requirements defined by PCI-DSS: https://www.pcisecuritystandards.org/security_standards/	System Administrator	No	All	1				
12.16	The system shall meet security requirements defined by CJIS: http://www.fbi.gov/about-us/cjis	System Administrator	No	All	1				
12.17	The system shall meet security requirements defined by HIPPA: http://www.hhs.gov/ocr/privacy/	System Administrator	No	All	1				
12.18	The system shall utilize an industry-standard scanning tool compliant with Security Content Automation Protocol (SCAP) or equivalent, to support documentation of adequate security controls. See https://nvd.nist.gov/SCAP-Validated-Tools/ for a list of compliant tools.	System Administrator	No	All	1				
13	System feature: Reporting								
13.1	The system shall provide users a complaint query screen to search by case#, case type, assigned to and case status	Investigator	Yes	All	1				



13.2	The system shall provide users the ability to generate ad-hoc reports by selecting specific data fields from a complaint	All	Yes	All	1				
13.3	The system shall provide users the ability to generate ad-hoc trend reports across complaints	All	No	All	1				
13.4	The system shall provide users the ability to view all complaint cases assigned to specific Investigator	Investigator	No	All	1				
13.5	The system shall provide users the ability to select a complaint for reporting	Investigator	Yes	All	1				
13.6	The system shall provide the users access to a Summary screen for specific complaint that will provide complainant, respondent, and NAIC codes and State specific data	Investigator	Yes	All	1				
13.7	The system shall provide the users with a detailed query screen which provides a search by case number, case status, policy#, ins claim#, Emergency indicator, case type, status categories, assigned to, IRO, First name, last name, contact firm name, street address, contact type, NAIC group#	All	Yes	All	1				
13.8	The system shall provide the users with the ability to conduct approximate searches using wildcards	All	Yes	All	1				
13.9	The system shall provide the ability to generate and print queries	All	Yes	All	1				
13.10	The system shall provide the ability to create and update form letters for a specific complaint on behalf of an Investigator	Secretary	Yes	All	1				
13.11	The system shall allow users to generate periodic reports	All	No	All	1				



13.12	The system shall allow Licensees to query for number of complaints received and closed by coverage reasons and/or disposition codes (Note: Reports on number of complaint received, complaints closed, number of closed complaints by disposition)	Licensee	No	All	2				
13.13	The system shall transmit complaint information to the NAIC daily (Note: This is currently a batch process)	System	Yes	All	1				
13.14	The system shall provide the ability to link industry standard geographic codes to complaint records based on address and zip code	System	No	All	1				
13.15	The system will provide users with the ability to generate reports based on diary entries	All	No	All	1				
13.16	The system shall provide users with the ability to set parameters to identify trends in complaints and receive notifications	All	No	All	1				



14 System feature: Administration									
Create New or Modify Account									
14.1.1	The system shall provide the ability for a user to add, update or disable user access	Supervisor, System Administrator	No	All	1				
14.1.2	The system shall allow users to search for user IDs	Supervisor, System Administrator	Yes	All	1				
14.1.3	The system shall allow users to add or update First Name, Middle Name, Last Name, Initials, Title, Email Address, Assigned Supervisor, user roles, and phone number	Supervisor, System Administrator	Yes	All	1				
14.1.4	The system shall allow users to create user roles and access rights	Supervisor, System Administrator	Yes	All	1				
14.1.5	The system shall allow users to add more workflow tasks and routing rules	System Administrator	No	All	1				
14.1.6	The system shall allow users to select appropriate work flow tasks and routing notification by user role	System Administrator	No	All	1				
14.1.7	The system shall create User IDs	System	Yes	All	1				
14.1.8	The system shall restrict creation of duplicate User ID(s)	System	No	All	1				
14.1.9	The system shall allow users to set & restrict visibility to specific form letters and documents	System Administrator	Yes	All	1				
14.1.10	The system shall verify all required fields are entered when setting up new users	System	Yes	All	1				
14.1.11	The system shall allow the admin to make user inactive instead of deleting when no longer at the MIA	System Administrator	No	All	1				
14.1.12	The system will allow multiple unique user ID's for each Licensee	System Administrator	No	All	1				



14.1.13	The system will allow for Licensee to notify MIA of the need to disable Licensee account	System Administrator	No	All	1				
14.1.14	The system will allow MIA to set expiration date on Licensee accounts	System Administrator	No	All	1				
14.1.15	The system will allow the ability to edit or remove a post on the portal	System Administrator	No	All	1				
14.2	Access Levels and Lists								
14.2.1	The system shall allow users to create, establish start and end dates, and maintain valid values	System Administrator	Yes	All	1				
14.2.2	The system shall allow users to add or modify or make inactive code valid, to system tables	System Administrator	Yes	All	1				
14.3	NAIC Codes								
14.3.1	The system shall allow users to map new NAIC codes to existing NAIC and MIA codes	System Administrator	No	All	1				
14.4	Letter Template Maintenance								
14.4.1	The system shall allow users to maintain multiple letter head templates separate from all form letters	System Administrator	No	All	1				
14.4.2	The system shall allow form letters to leverage letter head templates	System Administrator	No	All	1				
14.4.3	The system shall provide the ability to add a new form letter	System Administrator	Yes	All	1				
14.4.4	The system shall provide an admin screen to update any existing form letter or letter head template	System Administrator	Yes	All	1				
14.4.5	The system shall provide an admin screen to deactivate form letter templates instead of delete	System Administrator	Yes	All	1				
14.4.6	The system shall allow users to select from all complaint data fields and auto populate them in form letters	System Administrator	Yes	All	1				



Level	ECTS Technical Requirements	Priority	Gap Analysis			Comments
			Out of the Box ✓	Custom Dev ✓	Not Available ✓	
1	System feature: Application Requirements					
1.1	The new ECTS shall rely on a browser based COTS document management / case tracking / workflow automation system with custom built components as necessary to meet all functional requirements	1				
1.1.1	ECTS COTS components must be deployable to separate development, test and production environments.	1				
1.1.2	The COTS vendor shall provide technical support, software release upgrades and patches for document management / case tracking / workflow automation software	1				
1.1.3	The COTS vendor shall provide application training and system, and user manuals to MIA staff.	2				
1.1.4	The system shall be licensed for 100 users (internal MIA staff). (Note: With potential for two hundred (200) guest users)	1				
1.2	ECTS custom built components shall be developed on the Windows operating system using Microsoft centric development tools.	1				
1.2.1	ECTS custom built components must be deployable to separate development, test and production environments and integrated with ECTS COTS components in each environment.	1				
1.2.2	The vendor of custom built components shall provide source code containing project solutions that can be easily opened and modified using Visual Studio 2012 and above, system documentation (including but not limited to data flow diagrams, ER diagrams, class and entity diagrams and deployment diagrams) and training to MIA staff to maintain and enhance application over time. Training documentation shall include a training manual, quick reference guide and troubleshooting guide.	1				



Level	ECTS Technical Requirements	Priority	Gap Analysis			Comments
			Out of the Box ✓	Custom Dev ✓	Not Available ✓	
1.2.3	ECTS shall provide user authentication for internal MIA staff via Active Directory.	2				
2	System feature: Web Portal Requirements					
2.1	ECTS shall rely on a secure FTP web portal compliant with FIPS 140-1 and FIPS 140-2 standards, for Licensee to access and update ECTS data and provide the ability for external users to securely upload and download documents.	1				
2.1.1	The ECTS web portal shall follow Section 508 compliance for all Licensees data entry and query screens.	1				
2.1.2	The ECTS web portal shall rely on user authentication for Licensee to secure access to specific ECTS data and limit document download feature only to appropriate parties.	1				
2.1.3	The ECTS web portal shall provide the ability for Licensee to reset their passwords during user authentication.	1				
2.1.4	The ECTS web portal shall provide electronic signature capabilities for Licensees to authorize privacy and security agreements with the MIA.	2				
2.1.5	The ECTS web portal shall be designed to accommodate secure access for approx. 1,800 external Licensees (Note: With potential for twenty (20) unique user id's per Licensee)	1				
2.1.6	The ECTS web portal shall be designed to accommodate access for 200 concurrent Licensees to upload up to 1Gb files of text, image and voice recordings simultaneously and determine how much band width will be required to support the multi-directional uploads and downloads.	1				
2.2	The ECTS web portal shall provide Maryland consumers with the ability to securely enter a new complaint on-line and upload documents to be stored in ECTS.	1				
2.2.1	The ECTS web portal shall follow Section 508 compliance for all consumer date entry and view screens.	1				
2.2.2	The ECTS web portal shall be designed to accept new consumer complaints at an average rate of 100 per day.	1				



Level	ECTS Technical Requirements	Priority	Gap Analysis			Comments
			Out of the Box ✓	Custom Dev ✓	Not Available ✓	
2.2.3	The ECTS web portal shall provide electronic signature capabilities for consumers to authorize the MIA with access to medical records and other insurance documentation as might be deemed necessary during the investigation of the consumer's complaint.	2				
2.3	The ECTS web portal shall rely on reverse proxy for added security.	1				
2.4	The ECTS web portal shall rely on FTPS compliant with FIPS-199 and NIST SP 800-53 standards to secure document uploads and downloads.	1				
2.5	The ECTS web portal shall provide anti-virus scanning on all document uploads using McAfee or comparable anti-virus software or appliance.	1				
2.6	The ECTS web portal shall be integrated with MIA's current web infrastructure.	1				
3	System feature: Infrastructure Requirements					
3.1	ECTS server infrastructure shall utilize Dell hardware or Cisco UCS architecture and Windows operating system in a VMware environment.	1				
3.2	ECTS shall rely on a highly available, redundant REDU server architecture to ensure maximum availability of the web portal, application and data bases.	1				
3.3	ECTS shall rely on clustered server architecture if applicable.	2				
3.4	ECTS shall rely on Apache or IIS for web servers and provide interoperable capability with MIA Reverse Proxy and Layer 7 security appliance.	1				
3.5	ECTS web servers shall rely on load balancing capabilities.	1				
3.6	ECTS shall utilize a CA server to manage MIA certificates for external or internal if applicable.	2				
3.7	ECTS shall rely on SAN technology using VEEAM or VSAN if applicable.	1				
3.8	The ECTS SAN shall utilize either new NetApp storage products or expand on MIA's existing EMC technology.	1				
3.9	The ECTS SAN shall accommodate storage encryption capabilities for PII and HIPAA compliant data.	2				
4	System feature: Workstation Requirements					
4.1	ECTS must be accessible to all MIA end user computers that meet the following minimum requirements:	1				



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4.1.1	Windows Operating System	1				
4.1.2	Internet Explorer or Chrome Browser	1				
4.2	External users must be able to access the ECTS web portal from any browser based workstation.	1				
4.2.1	External users must be able to access the ECTS web portal from a mobile device.	2				
5	System feature: Database Requirements					
5.1	Any proprietary or pre-packaged ECTS database design and implementation must utilize the Microsoft SQL Server database platform or integrate with SQL Server for optimal speed and performance, scalability and programmability with other existing MIA data bases.	1				
5.2	The ECTS data base design and implementation must be deployable to separate development, test and production environments.	1				
5.3	The ECTS production database shall rely on load balancing capabilities.	1				
5.4	The ECTS data base design and implementation must be robust enough to handle 10,000 user transactions per day, store 1TB of mixed data types to include image/blob data at time of implementation, and scalable enough to support an increase of 10 GB of new data per day.	1				
5.5	The ECTS database design and implementation must provide ability to archive a subset of complaint data 3 years after the complaint is closed and store this data in an archive database for 7 years.	1				
5.6	The ECTS database design and implementation must accommodate Sybase ASE version 15.0 (or higher) data types in order to facilitate migration of table data from the legacy database environment to the new database environment.	1				



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			Out of the Box ✓	Custom Dev ✓	Not Available ✓	
5.7	The ECTS database design and implementation must accommodate a conversion of 15 GB of active legacy data, 25 GB of archive legacy data and 1TB of electronic files and documents to be available in the new system at the time of implementation.	1				
5.8	The ECTS database design and implementation must accommodate column level data encryption for security of PII and HIPAA complaint data.	1				
5.9	The ECTS database design must be compatible with Microsoft methodologies including but not limited to Microsoft.net and Team Foundation technology.	1				
5.10	The ECTS database design must be flexible enough to accommodate configuration and/or design changes that can be done by MIA with or without technical support from the vendor.	1				
6	System feature: Data Processing Requirements					
6.1	ECTS shall provide auto complete capability on all data entry and search screens.	2				
6.2	ECTS shall verify consumer address data matches industry standard format at the time of data entry using Satori Mailroom Toolkit or comparable software.	1				
6.3	ECTS shall auto populate consumer contact data at the time of data entry based on consumer telephone number or name or address, if a match exists on ECTS database.	2				
6.4	ECTS shall assign a unique complaint number to the consumer complaint at the time of submission and provide this number to the consumer via a confirmation screen as verification that their complaint was received.	1				
6.5	ECTS shall compare consumer name, address, complaint type, insurance company, policy number, member number and claim number data fields captured at the time of data entry, to complaint records in ECTS, and, if a match is found, flag as possible duplicate complaint.	1				



Level	ECTS Technical Requirements	Priority	Gap Analysis			Comments
			Out of the Box ✓	Custom Dev ✓	Not Available ✓	
6.6	ECTS shall pull producer data from MIA's internal SBS Data Bridge (Sybase database) when a new complaint is created, using Firm Name, Producer Name, SSN or NPN and display producer data on ECTS screens and store producer data with complaint record on ECTS database.	1				
6.7	ECTS shall pull Insurance Company Contact data from MIA's internal Company Licensing database (Sybase) when a new complaint is created, using Company Name, NAIC Number, Group Number or FEIN and display company contact data on ECTS screens and store company contact data with complaint record on ECTS database.	1				
6.8	Based on an ECTS query using Company Name, NAIC Code, Line of business, Coverage Code and a date range, ECTS shall display a list of complaints that meet this criteria and provide the user with the ability to select one or more complaints to be transmitted to the MIA's internal Market Conduct system (Sybase database) for display on Market Conduct screens and stored in Market Conduct data base.	1				
6.9	ECTS shall auto select closed complaint data from the ECTS database and transmit to the external NAIC Complaint system on a nightly basis. - See NAIC Data Selection Criteria for business rules.	1				