# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| | | **Consolidated Fiscal Management Platform (FMP)** | | | |
| FMP | 1.00 | **Financial information classification structure:** | | | |
| FMP | 1.10 | Financial information must be able to be recorded, maintained and reported for the accounting information based on a classification structure listed that requires each element to associate with multiple elements. | F | General Ledger | |
| FMP | 1.20 | **Financial information classification structure that is comprised of the following:** | | | |
| FMP | 1.30 | Organization Unit/Reporting Entity (department or agency) - Any department, authority, board, institution, state college or university, and any other public agency created by the Commonwealth, other than units of local government and school districts. | F | General Ledger | |
| FMP | 1.40 | Funding type: Proprietary – Those funds used to account for the Commonwealth's ongoing organizations and activities that are similar to those often found in the private sector.  All assets, liabilities, equities, revenues, expenses, and transfers relating to the government's business and quasi-business activities where net income and capital maintenance are measured are accounted for through proprietary funds.  Fiduciary - Funds used to account for assets held in a trustee capacity or as an agent for individuals, private organizations, other governmental units, and/or other funds.  General Government - Those funds through which most governmental functions typically are financed.  The acquisition, use and balances of the government's expendable financial resources and the related current liabilities are accounted fro through governmental funds. | F | General Ledger | |
| FMP | 1.50 | Fund Year/Budgeted Fiscal Year - The appropriation year to which the transaction applies | F | General Ledger | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|---|
| FMP | 1.60 | | Government Fund –a fiscal and accounting entity, with a self-balancing set of accounts recording cash and other financial resources, together with all related liabilities, obligations, and residual equities or balances and changes therein, which are segregated for the purpose of carrying on specific activities or attaining certain objectives in accordance with special regulations, restrictions, or limitations. | F | General Ledger | |
| FMP | 1.70 | | Appropriation- A statutory authorization granted by the legislature to an agency allowing it to incur obligations and make expenditures for specific purposes within a specified period of time and generally for a maximum dollar amount. | F | General Ledger | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|---|
| FMP | 1.80 | | Ledger- Identifies the type of expenditure symbol for budgetary and accounting purposes.  Currently there are 8 types.<br>1. Current and Prior Year State Appropriations -Current or prior fiscal year appropriations that are lapsable within a prescribed timeline generally one fiscal year.<br>2. Executive Authorization- Appropriations granted from the executive branch.  These appropriations are lapsable within a prescribed timeline generally one fiscal year.<br>3. Continuing- Appropriations granted that are not limited in the time frame for the funds to be used.<br>4. Restricted Receipt- Funds designated for a specific purpose which, when received, become the fiduciary responsibility of the Commonwealth.  Restricted Receipts are held in trust capacity by the Commonwealth for payment to designated recipients including other government units.<br>5. Non-Budgeted- Appropriations that are not budgeted.  These symbols are not limited to a dollar value or time frame.  Instead the payments are made directly from the fund balance.<br>6. Restricted Revenue – funds when received are designated either by law or administrative decision for a specific purpose.<br>7. Current and Prior Year Federal Appropriations -Current or prior fiscal year appropriations that are lapsable within a prescribed timeline generally one fiscal year.<br>8. Federal Executive Authorization- Appropriations granted from the executive branch.  These appropriations are lapsable within a prescribed timeline generally one fiscal year | F | General Ledger | |
| FMP | 1.90 | | Sub-fund-  an additional designation of an appropriation symbol to further account for a specific activity. | F | General Ledger | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|---|
| FMP | 2.00 | | **Revenue Source Code:** | | | |
| FMP | 2.10 | | The system should maintain revenue information in a revenue source code structure to classify types of revenue and receipts  This information should be able to integrate with the financial information classification structure defined above.  Key elements required are: | F | General Ledger | |
| FMP | 2.20 | | Fund - The fund as defined earlier in which the receipt will be deposited | F | General Ledger | |
| FMP | 2.30 | | Classification - The major classifications are as follows: <br> 1. Taxes, Penalties, and Interest- records revenues received from taxes and tax related penalties and interest. <br> 2. Non-Tax Revenue- records miscellaneous revenues and receipts received from sources other than tax revenue. <br> 3. Nonrevenue Receipts – These receipts result in an increase in cash and a corresponding decrease in another asset account or an increase in a liability. <br> 4. Revenue Augmenting Expenditure Symbols- records revenue that supplements appropriations. <br> 5. Federal Funds- records funds received from the federal government. <br> 6. Restricted Receipts and Restricted Revenue. <br> 7. Refunds of Expenditures- Records the refund of expenditures which were previously recorded. | F | General Ledger | |
| FMP | 2.40 | | Organizational Unit- Any department, authority, board, institution, state college or university, and any other public agency created by the Commonwealth, other than units of local government and school districts | F | General Ledger | |
| FMP | 2.50 | | Appropriation - Revenue credited to a specific appropriation as opposed to general revenue.  Please see definition of appropriation above. | F | General Ledger | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP** = The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|---|
| FMP | 2.60 | | Specific Type of Revenue- Identifier that specifies in further detail the type of receipt within a general revenue class. Including but not limited to the following: <br> Nature (cash code) <br> Destination <br> Financial Accumulations <br> Dollars (Revenue) <br> Collections <br> Planned Total Revenue <br> Authorized | F | General Ledger | |
| FMP | 3.00 | | Budget Control –  The composite activity of analyzing, recording, summarizing, reporting and interpreting the financial transactions of governmental units and agencies. | F | General Ledger | |
| FMP | 3.10 | | The ability to record, summarize, and report, the financial transactions of governmental units and agencies.  Giving various users the ability to analyze and interpret financial information in order to enhance control and management of Commonwealth resources.  Specifically, Cash Management and Investing Activities. | F | General Ledger, Cash Management, Deal Management | |
| FMP | 3.20 | | The system should maintain budgetary spending limits and recognize non-budgetary spending exceptions. | F | General Ledger | |
| FMP | 3.30 | | The system should record and report all expenditures ensuring that they do not exceed the amount legally available. | F | General Ledger | |
| FMP | 3.40 | | The system should receipt, record and report information related to revenue information. | F | General Ledger, Receivables | |
| FMP | 3.50 | | The system should record and report all adjusting accounting transactions. | F | General Ledger | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| FMP | 3.60 | Funds Allocation Process- allocating of budgetary funds based on account structure authorized by the legislature and governor limited to the ledger code of an account listed above. | F | General Ledger | |
| FMP | 3.70 | Lapses and Expirations - a lapse is the expiration or returning to surplus of an uncommitted appropriation balance. | F | General Ledger | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| FMP | 3.80 | The ability to record expenditure activity -  Expenditures are decreases in net financial resources.  Expenditures include current operating expenses that require the current or future use of financial resources, debt service, or capital outlays.  Expenditure Recognition occurs throughout the fiscal year as actual expenditures are incurred.  The types of expenditure transactions realized currently are<br>1. Payroll – Payroll related expenses.<br>2. Vendor payments- payments related to goods and services<br>3. Unemployment Compensation benefit payments-<br>4. Securities<br>  a. Bonds<br>  b. Common Stock<br>  c. Commercial paper<br>  d. Treasury Bills<br>  e. Repurchases<br>  f. Long Term investments<br>5. Replenishment of Advancement accounts<br>6. Public Assistance<br>7. Transfer of Funds<br>  a. Payroll<br>  b. Inter-fund Transfers<br>  c. Intra-fund Transfers<br>  d. Statutory Transfers<br>  e. Legislative Transfers<br>  f. Investment Pool Transfers | F | General Ledger | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| FMP | 3.90 | The ability to record and report revenue transactions.  Revenues are additions to assets which do not increase any liability, nor represent the recovery of expenditure and/or the cancellation of liabilities without a corresponding increase in other liabilities or a decrease in assets. Revenues are classified as Augmenting and Non Augmenting Augmentation– are revenues which supplement appropriations thereby increasing the authorized spending limit.  Non-Augmentation– are revenues which do not supplement any appropriation but simply increase fund balance. Revenue transactions currently recognized are the following: 1. Regular Revenue 2. Refund of Expenditures 3. Refund of Advancements 4. Securities    a. Sales    b. Interest on Securities | | | |
| FMP | 3.91 | The ability for transaction level validation to government fund balances 1. Validation of account code structure. 2. Validation of government fund and appropriation balances. | F | General Ledger | |
| FMP | 4.00 | Pre-Expenditure/Disbursement Processing -Prior to accounting for expenditure transactions the following process should be included. | | | |
| FMP | 4.10 | Payment Grouping --Payment requests must be capable of being paid individually or in groups assembled based on various criteria. | F | Payables | |
| FMP | 4.20 | The system must have the ability to enforce pay date assignment rules | F | Payables | |
| FMP | 4.30 | The system must be capable of displaying all payment request information and supporting documentation from both internal and external sources for pre-audit review. | F | Payables, Cash Management | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system. Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement. Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only. Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|---|
| FMP | 4.40 | | The proposed system must have workflow functionality for the processing of payments requests. This workflow must be configurable based on multiple review and approval roles in the pre-audit process. All review and approval action must be captured and archived. | F | Payables | |
| FMP | 4.50 | | Payment Pre-Audit -- The proposed system must enable the pre-audit of payment requests in Accordance with Generally Accepted Auditing Standards. | F | Governance, Risk and Compliance Manager, Application Access Controls Governor, Configuration Controls Governor | |
| FMP | 4.51 | | Documentation of Audit -- ability to document pertinent audit information, such as who approved or rejected the payment, audit notes, audit program checklist, and attaching electronic documents. | F | Governance, Risk and Compliance Manager, Application Access Controls Governor, Configuration Controls Governor | |
| FMP | 4.52 | | Audit Resolution -- Ability to document the resolution of rejected payments and record savings. Ability to identify rejected payments that have not be resolved. | F | Governance, Risk and Compliance Manager, Application Access Controls Governor, Configuration Controls Governor | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|---|
| FMP | 4.53 | | Automated Validations -- there should be automated validation to include at minimum:<br>-potential duplicate payment<br>-contractor responsibility file match<br>-valid appropriation is being charged<br>-fund balance verification<br>-agency and comptroller approval | F | Governance, Risk and Compliance Manager, Application Access Controls Governor, Configuration Controls Governor | |
| FMP | 4.54 | | Sampling -- Ability to apply different sampling parameters based on the type of transaction.  The ability for authorized users to adjust sampling parameters.  The proposed system must be able to sample based on :<br>-Monetary Unit<br>-Statistical<br>-Judgmental (i.e. based on vendor) | F | Governance, Risk and Compliance Manager, Application Access Controls Governor, Configuration Controls Governor | Transaction Controls Governor is designed to avoid random sampling as discrpencies can fall through the cracks when statisticla sampling is applied.  TCG monitors all transactions and applies its logic to the entire population so that any suspect is identified every time. |
| FMP | 4.55 | | Quality Control (QC) -- Ability to select payments for QC judgmentally as well as randomly.  Ability to control when payments are selected for QC review.  A QC control checklist should be maintained within the system.  Documentation of which payment was selected and the overall QC review should be maintained within the system, as well as the appropriate level reviews.  Ability to summarize and analyze QC data within the system. | F | Governance, Risk and Compliance Manager, Application Access Controls Governor, Configuration Controls Governor | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|---|
| FMP | 4.56 | | Error Correction -- <br> -Correction Process - Business partner access to correct payment data.  This process must include workflow and multiple level approvals. <br> -Rejection Process - Ability to reject payments and require the rejection workflow for approval.  Ability to record that employee, date, and time of the rejection.  Ability to record the reason for the rejection based on a standard list of exception codes.  Ability to send an automated notification by email with the retails about the rejection. <br> -Check Pull Process - ability to request and track check pulls <br> -Reporting - A robust reporting system is needed for daily and monthly reporting statistics including processing timeliness, volumes, audit resolution, rejections, redlines, check pulls, errors, etc. | F | Payables | |
| FMP | 5.00 | | Expenditure/Disbursing Processing | | | |
| FMP | 5.10 | | **Payment Validations** | | | |
| FMP | 5.11 | | Funding Validations-The ability to validate government fund and investment fund balances with the investment platform to ensure proper funding levels | F | General Ledger , Payables | |
| FMP | 5.12 | | Appropriation Validation- the ability to validate appropriation symbols | F | General Ledger | |
| FMP | 5.13 | | Work flow and reporting tools to ensure failures on validations are monitored and corrected. | F | Governance, Risk and Compliance Manager, Application Access Controls Governor, Configuration Controls Governor | |
| FMP | 5.40 | | **Payment Identification and Monitoring** | | | |
| FMP | 5.41 | | The ability to track payment requests within any point of the disbursement process including thru check mail sorting functions | M | Payables | |
| FMP | 5.42 | | The status of any payment request should be readily available for internal and external access | M | Payables | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| FMP | 5.43 | Ability to monitor and report access to this data | F | Governance, Risk and Compliance Manager, Application Access Controls Governor, Configuration Controls Governor | |
| FMP | 5.50 | **Payment Methodologies** | | | |
| FMP | 5.51 | The ability to produce payments in different industry standard payment modalities. | F | Payables, Cash Management | |
| FMP | 5.53 | Payment requests should be able to combine into one disbursement and maintain individual transaction reporting details | F | Payables | |
| FMP | 5.54 | All payment types should have the ability to transmit remittance information provided by business partners | F | Payables, Cash Management | |
| FMP | 5.60 | **Payment methods should include but not be limited to the following** | | | |
| FMP | 5.61 | Wire Payment Processing- The ability to coordinate with Investment platform/Cash Management the use of Federal Reserve to wire payments to vendors and for the use of wire transfers for funding. | F | Cash Management | |
| FMP | 5.62 | ACH payments- The ability to process electronic payments thru an automated clearing house to a payee.  This methodology should conform with BAI standards including remittance information transmissions (CTX, EDI). | F | Payables, Cash Management | |
| FMP | 5.63 | Paper Check Processing- Check processing should conform to Treasury Policies.  Check processing  includes assigning which bank a disbursement is drawn on.  Check processing should be able to integrate with Treasury mail systems to optimize the best efficiency. | F | Payables | |
| FMP | 5.64 | The system must have the ability to modify or remove payment requests with proper approval using established workflow criteria. | F | Payables | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system. Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement. Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only. Such additions and access to these additional fields do not require changing core source code. | | | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| FMP | 5.70 | **Bank Assignment** | | | |
| FMP | 5.71 | The system will assign payments to be made from pre-determined accounts on the basis of established parameters. | F | Payables | |
| FMP | 5.72 | The system will allow for the establishment of "rules" to control assignment by a variety of parameters for each eligible bank including the ability to manually select a disbursement bank, with proper approvals. | M | Payables | |
| FMP | 5.73 | The system must maintain a record of the disbursement as an outstanding item on the account pending post-payment updates by internal/external partners. This information will be carried through multiple locations on the system and used for reconcilement purposes. Subsequent entries by other internal/external partners will update the status of the payment. | F | Payables | |
| FMP | 5.74 | Selected disbursing accounts' necessary financial information must be integrated into the check printing and/or payment creation. | F | Payables | |
| FMP | 5.75 | This application needs to have work flow and reporting tools that allow for the monitoring and adjusting of checks drawn on accounts. This application needs report activity to a variety of Treasury systems. | F | Cash Management, Payables | |
| FMP | 5.80 | **Remittance Processing** | | | |
| FMP | 5.81 | In addition to sending remittance information with payments to payees, remittance and disbursement information should be able to be reported in alternative electronic distribution methods automatically. | F | Cash Management | |
| FMP | 5.90 | **Positive Pay** | | | |
| FMP | 5.91 | Positive payment detail files must be in accordance with BAI standards and be able to be transmitted to multiple issuing banks. Positive pay exception files should be able to be received from multiple banks an update Treasury systems to allow for daily reconciliation | F | Payables, Cash Management | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|---|
| FMP | 5.92 | | A work flow and reporting system is needed to monitor, control, and report expenditure activity to a variety of sources both internal and external to Treasury.  Workflow and reporting integrations that would provide for more efficient and effective processes should be outlined.  One example is the ability to integrate the types of deleted payments from the TABs/Accounting system into the Pre-audit sampling selection to better pinpoint higher risk payment areas. | F | Governance, Risk and Compliance Manager, Application Access Controls Governor, Configuration Controls Governor | |
| FMP | 6.00 | | **Warrant information** | | | |
| FMP | 6.10 | | The ability to generate and transmit information that combines expenditure transaction requested data of a department with finalized Treasury processing information.  This information is utilized to indicate that transactions have been processed and recorded within Treasury.   This information should contain a unique identifier for external partners to reference as a processed transaction. | F | Payables, Cash Management | |
| FMP | 6.11 | | It must be able to be distributed directly to external partners or in other electronic formats. | F | Payables, Cash Management | |
| FMP | 6.20 | | **Post Payment Processing** | | | |
| FMP | 6.21 | | Information received from multiple business partners must be able to easily update Treasury systems.  Multiple Financial institutions report information to Treasury on a daily basis that updates payment status with industry standard changes including: | F | Cash Management | |
| FMP | 6.22 | | Check information-  Processed checks must update Treasury systems to provide a listing of outstanding, cleared or returned checks in order to complete check and bank reconciliations.  Additionally this information must integrate into Treasury systems | F | Cash Management | |
| FMP | 6.23 | | ACH information - Ach information must be able to be received from financial institutions and be able to update treasury systems including bank reconciliations.  ACH returns should be able to generate necessary accounting adjustments.  NOCs should be able be received an automatically report to the payment originators | F | Cash Management | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| FMP | 6.24 | Returned ACH payments should be accessible to Fiscal Review to match to re-sent payment requests. | M | Cash Management | |
| FMP | 6.25 | Ability to extract/query the payment records by status. | F | Payables | |
| FMP | 7.00 | **Revenue/Receipting Process** | | | |
| FMP | 7.10 | **In addition to the accounting for revenues, the receipt of revenue process should include the following:** | | | |
| FMP | 7.11 | Revenue transaction information should be able to be received from external partners in electronic formats and posted automatically to the financial records | F | Cash Management, Receivables, General Ledger | |
| FMP | 7.12 | Revenue Validations – Transactions should be validated to ensure revenue code structures are authorized and transactions are being categorized appropriately | F | Cash Management, Receivables, General Ledger | |
| FMP | 7.13 | Revenue transactions information should integrate with the Cash Management/investment platform, and bank reconciliation platform. | F | Cash Management, Receivables, General Ledger | |
| FMP | 7.14 | Revenue transaction information should describe the type of deposit (i.e. cash, ach, wire) the bank, the receipt date of the transaction, the revenue descriptions as described above, and any reference information provided by the external business partner. | F | Cash Management, Receivables, General Ledger | |
| FMP | 7.15 | Multiple bank deposit activity must be received and recorded to allow for daily reconciliation between transactions recorded and actual deposits.  Work flow and reporting applications must be available to identify, monitor any discrepancies between deposits and revenue transactions recorded. | F | Cash Management, Receivables, General Ledger | |
| FMP | 7.16 | A workflow and reporting system of revenue transactions should be available in order to record, monitor and report revenue recognition.  The information should be able to interact with Treasury systems especially Cash Management/Investment platform as well as external partners | F | Cash Management, Receivables, General Ledger | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| FMP | 7.17 | The ability to accumulate revenue transactions by all description elements, dates, banks, deposit types, transaction types in order to analyze revenue.  Reporting of this data should be able to be transmitted directly to external partners as well as be able to be distributed in electronic formats | F | Cash Management, Receivables, General Ledger | |
| FMP | 7.20 | **Receipting Revenue** | | | |
| FMP | 7.21 | The ability to generate and transmit information that combines revenue transaction requested data of an external partner with finalized Treasury processing information.  This information is utilized to indicate that transactions have been processed and recorded within Treasury.   This information should contain a unique identifier for external partners to reference as a processed transaction. | F | Receivables, Cash Management | |
| FMP | 7.22 | The ability to process revenue transactions utilizing requested receipt dates provided by external partners. | F | Receivables, Cash Management | |
| FMP | 7.23 | This information should contain a unique identifier for external partners to reference as a processed transaction.  It must be able to be distributed directly to external partners or in other electronic formats. | F | Receivables, Cash Management | |
| FMP | 7.30 | **Accounting Transactions** | | | |
| FMP | 7.31 | Transactions that do not create a disbursement or require a deposit and are utilized to adjust balances of the account codes are required | F | General Ledger, Cash Management | |
| FMP | 7.32 | Require the ability to receive accounting transactions electronically from external departments that can adjust revenues, expenditures, appropriations, and lapses | F | General Ledger, Cash Management | |
| FMP | 7.33 | Require the workflow and reporting application to create, monitor and record adjusting accounting transactions | F | General Ledger | |
| **Consolidated Investment Platform (IVP)** | | | | | |
| IVP | 1.00 | **Security Trade Processing** | | | |
| IVP | 1.10 | Ability to enter preliminary trade details | U | | |
| IVP | 1.20 | Ability to change the trade details and track them on a log | U | | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|---|
| IVP | 1.30 | | The trade process must have a two user approval before it is executed in the system | U | | |
| IVP | 1.40 | | Produce a final trade ticket, add to a transmission to the sub-custodian bank, and create the accounting entries needed to record the transaction into the Fiscal Management Platform (FMP) | U | | |
| IVP | 2.00 | | **Portfolio Accounting** | | | |
| IVP | 2.10 | | Update and maintain a security master file for all industry securities purchases (CUSIP, description, issue date, dated date, coupon and payment information, bond ratings, industry sectors, etc) from information obtained by your source.  What source do you use? | F | Deal Management | External sources may include a service such as Moody's, however we do not recommend any one service and we may integrate to various services. |
| IVP | 2.11 | | Update and maintain a security master file for all industry securities purchases (CUSIP, description, issue date, dated date, coupon and payment information, bond ratings, industry sectors, etc) from information obtained by a third party vendor. | F | Deal Management | |
| | 2.12 | | The ability to manually establish or edit a security within the  security master file (CUSIP, description, issue date, dated date, coupon and payment information, bond ratings, industry sectors, etc) | F | Deal Management | |
| IVP | 2.20 | | Accept and process security purchases and sales received from daily transmissions from multiple sources and formats and process them into multiply portfolios | F | Deal Management | |
| IVP | 2.30 | | Provide a daily valuation for all securities from prices obtained from your source. What source do you use? | F | Deal Management | |
| IVP | 2.31 | | Provide a daily valuation for all securities from pricing obtained from a third party vendor. | F | Deal Management | |
| IVP | 2.40 | | Ability to correct and reprocess data or transactions that reject during the upfront processing | F | Deal Management | |
| IVP | 2.50 | | Ability to process cash transactions from multiple transmissions and formats as well as track cash balances | F | Deal Management, Cash Management | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system. Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement. Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only. Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|---|
| IVP | 2.60 | | Ability to calculate daily accruals on all asset types including variable rate securities | F | Deal Management, Cash Management | |
| IVP | 2.70 | | Ability to accommodate non industry coupon calculations and payments | F | Deal Management, Cash Management | |
| IVP | 2.80 | | Ability to calculate a realized gain or loss based on amortized cost and trade date | F | Deal Management | |
| IVP | 2.90 | | Ability to calculate a straight line amortization or accretion | F | Deal Management | |
| IVP | 2.91 | | Post coupon payment on payment date | F | Deal Management, Cash Management | |
| IVP | 2.A | | Ability to apply corporate actions, calls, splits, merger, etc | F | Deal Management | |
| IVP | 2.A1 | | Ability to enter corporate actions from information obtained from your source - What source do you use? | F | Deal Management | The ability to interface to various sources is provided. |
| IVP | 2.A2 | | Ability to enter corporate actions from information obtained from a third party vendor. | F | Deal Management | |
| IVP | 2.A3 | | Ability to enter corporate actions manually. | F | Deal Management | |
| IVP | 2.B | | Ability to calculate a portfolio weighted average days to maturity (WAM) based on trade date using maturity date | M | Deal Management | |
| IVP | 2.C | | Ability to calculate a portfolio weighted average days to maturity (WAM) based on trade date using reset dates (call dates, variable rate rest date, etc) | M | Deal Management | |
| IVP | 2.D | | Calculate a daily yield at the security, sector, and portfolio level | M | Deal Management | |
| IVP | 2.E | | Ability to produce portfolio cash projections | F | Cash Management, Deal Management | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|---|
| IVP | 2.F | | Extensive "out-of-box" and custom reporting capabilities including but not limited to GASB reporting. | F | Deal Management, Cash Management, General Ledger | |
| IVP | 2.G | | Extensive and flexible search capabilities | F | Deal Management | |
| IVP | 3.00 | | **Pool Accounting** | | | |
| IVP | 3.10 | | Ability to process participant purchases and sales for stable value pools and floating value pools | F | Cash Management, General Ledger | |
| IVP | 3.20 | | Ability to combine various portfolios into one pool and strike a daily net asset value (NAV) based on trade date accounting | F | Cash Management, General Ledger | |
| IVP | 3.30 | | Ability to calculate income distribution on a daily basis | F | Cash Management, General Ledger | |
| IVP | 3.40 | | Ability to distribute income on either a daily or monthly basis and create the transactions for the FMP. | F | Cash Management, General Ledger | |
| IVP | 3.50 | | Calculate and verify that the net asset value on the stable value pools is $1.00 | F | Cash Management | |
| IVP | 3.60 | | Ability to calculate yields on a trade date basis including cash and trade receivable and payables | F | Cash Management, Payables, Receivables | |
| IVP | 3.70 | | Extensive "out-of-box" and custom reporting capabilities including but not limited to GASB reporting. | F | Cash Management General Ledger | |
| IVP | 3.80 | | Extensive and flexible search capabilities | F | Cash Management, General Ledger | |
| IVP | 3.90 | | Ability to track "real time" cash balance based on portfolio, shareholder, and trade activity | F | Cash Management, General Ledger | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| IVP | 4.00 | **Shareholder Accounting** | | | |
| IVP | 4.10 | Ability to interface with the FPM to determine the daily Short Term Investment Pool (STIP) purchase or redemption which is based on the participant activity. | F | Cash Management | |
| IVP | 4.20 | Ability to adjust the participant activity based on same day activity and recalculate the net STIP purchase or redemption. | F | Cash Management | |
| IVP | 4.30 | Ability to determine which STIP should be used by the participant and create a purchase and redemption journal to post to the their account. | F | Cash Management | |
| IVP | 4.40 | Ability to determine realized gains and losses on redemptions of the floating NAV Pool and post accounting entries to adjust Fund balance on the FMP. | F | Cash Management | |
| IVP | 4.50 | Ability to set up and track participant profiles with information such as name, address, contact and wire information email address, phone numbers, etc. | F | Cash Management | |
| IVP | 4.51 | Ability for participants to update their profiles and enter transactions | M | Cash Management | |
| IVP | 4.52 | Ability to enter purchases, redemptions, and transfer between approved accounts. | F | Cash Management | |
| IVP | 4.53 | Ability to determine if participant requested transfer is allowed based on defined criteria. | M | Cash Management | |
| IVP | 4.60 | Provide website access for participants | F | Cash Management | |
| IVP | 4.70 | Ability to distribute income on a set time period such as monthly, daily, quarterly, semi-annually, or annually | F | Cash Management, General Ledger | |
| IVP | 4.80 | Ability to process a special income distribution.  This would be a distribution declared by Treasury for posting to the participants on a designated date. | F | Cash Management, General Ledger | |
| IVP | 4.90 | Ability to produce monthly shareholder statements. | F | Cash Management | |
| IVP | 4.A | Reconcile pool units to cost basis, at the participant level on FMP. | F | Cash Management | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system. Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement. Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only. Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| IVP | 4.B | Extensive "out-of-box" and custom reporting capabilities including but not limited to GASB reporting. | F | Cash Management, General Ledger | |
| IVP | 4.C | Extensive and flexible search capabilities | F | Cash Management, General Ledger | |
| IVP | 5.00 | **Investment Performance and Analysis** | | | |
| IVP | 5.10 | Provide investment analytic tools to calculate and measure various scenarios | F | Crystal Ball | |
| IVP | 5.20 | Ability to track actual allocations and determine "what if" scenarios by asset type, sub asset type, portfolio risk, duration of pool, portfolio, and/or individual security | F | Crystal Ball | |
| IVP | 5.30 | Ability to calculate returns on a rolling basis using the Modified Dietz method (daily, monthly, quarterly, 3 years, 5 years, inception to date | F | Crystal Ball | |
| IVP | 5.40 | Update and maintain various benchmarks from information obtained by your source. What source do you use? | M | Crystal Ball | |
| IVP | 5.41 | Update and maintain various benchmarks from information obtained by a third party vendor. | F | Crystal Ball | |
| IVP | 5.50 | Ability to compare portfolio returns to their industry and custom benchmarks. | F | Crystal Ball | |
| IVP | 5.60 | Ability to prepare peer comparisons charts and reports based on like universes. | F | Crystal Ball | |
| IVP | 5.70 | Ability produce board level reporting. | F | Deal Management | |
| IVP | 6.00 | **Compliance** | | | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| IVP | 6.10 | Ability to process queries and reporting on an exception basis | F | Governance, Risk and Compliance Manager, Application Access Controls Governor, Configuration Controls Governor | |
| IVP | 6.20 | Ability to enter investment policy criteria at the pool and portfolio level and receive daily exception reporting based on the criteria such as Industry type (Alcohol and tobacco), terrorist screening, bond rating below a define rating, % of issuer, and % of sector. | F | Governance, Risk and Compliance Manager, Application Access Controls Governor, Configuration Controls Governor | |
| IVP | 7.00 | **Bank Collateral** | | | |
| IVP | 7.10 | Ability to manage the relationship between collateralized security and corresponding collateral.  System must apply complex set of rules regarding both acceptable forms of collateral and minimum value of collateral in order to confirm that prescribed requirements are met. | M | Deal Management | |
| IVP | 7.20 | Provide a daily valuation for all securities from prices obtained from your source. What sourer do you use? | M | Deal Management | |
| IVP | 7.21 | Provide a daily valuation for all securities from pricing obtained from a third party vendor. | M | Deal Management | |
| IVP | 7.30 | Ability to provide a daily summary report of all banks (one line per bank) showing their over/under collateralization. | M | Deal Management | |
| IVP | 7.31 | Ability to provide a detail report at the bank level showing their collateralized program securities, pledged collateral, and over/under level. | M | Deal Management | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| IVP | 7.32 | Ability to report either all collateralized program securities or all of the securities pledged. | F | Deal Management | |
| IVP | 7.40 | Ability to reconcile the bank collateralized securities to the portfolio program securities. | F | Deal Management | |
| IVP | 8.00 | **Investment Figure Calculation** | | | |
| IVP | 8.10 | Calculate investable amounts for Pool/Non-Pools on the basis of established participant rules. | M | Cash Management | |
| IVP | 8.20 | Ability to adjust Pool activity for same day transactions at a Pool and Participant level. | F | Cash Management | |
| IVP | 8.30 | Ability to reconcile Pool activity to Fund activity on FMP and Participant activity for Non-FMP. | F | Cash Management, General Ledger | |
| IVP | 8.40 | Ability to calculate settlement wire total on basis of Pool activity requiring transfers between sub-custodian and concentration bank and provide notification to sub-custodian | M | Cash Management | |
| IVP | 8.50 | Ability to load and update available investment totals for Trade Processing at various times throughout day. | F | Cash Management, Deal Management | |
| IVP | 8.60 | Ability to reconcile transactions for Pool/Non-Pool activity at the account level on the FMP. | F | Cash Management | |
| FMP | 8.70 | Ability to calculate a "float" investment through a settlement process using daily expenses and revenues, as well as current day bank transactions. | M | Cash Management | |
| IVP | 8.80 | Ability to calculate the income distribution for "float" investment participants on the basis of percentage share of total investment. | F | Cash Management | |
| FMP | 8.90 | Record undocumented cash movements to/from accounts for FMP. | F | Cash Management | |
| FMP | 9.00 | **Daily Check Clearing Funding** | | | |
| FMP | 9.10 | Load prior day ending Account balances | F | Cash Management | |
| FMP | 9.20 | Update Account with receipt activity for current business day. | F | Cash Management, Receivables | |
| FMP | 9.30 | Ability to import or update check clearing total for current day presentments. | F | Cash Management | |
| FMP | 9.40 | Ability to add positive/negative adjustments to Account activity | F | Cash Management | |
| FMP | 9.50 | Calculate amount to be transferred to clearing Account on basis of balance, activity, target balance, and adjustments | F | Cash Management | |
| FMP | 10.00 | **Bank Analysis** | | | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system. Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement. Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only. Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| FMP | 10.10 | Ability to receive and process bank analysis statements in current industry format, such as the 822 format | F | Cash Management | |
| FMP | 10.11 | Ability to manually enter bank analysis statements for calculations | F | Cash Management | |
| FMP | 10.20 | Ability to adjust/modify all data elements within bank analysis | F | Cash Management | |
| FMP | 10.30 | Ability to import/upload monthly compensating balances to FMP | F | Cash Management | |
| FMP | 10.40 | Generate reports that provide daily and monthly average balances by Account. | F | Cash Management | |
| FMP | 10.50 | Provide analytic tools for research of data elements by bank, timeframe, etc. | F | Cash Management | |
| FMP | 11.00 | **ACH Returns/Stop processing** | | | |
| FMP | 11.10 | Import bank statement from ACH processing bank | F | Cash Management | |
| FMP | 11.20 | Import returns report from ACH processing bank | F | Cash Management | |
| FMP | 11.21 | Sort information by issuing department and sub-total/total for system generated Refund of Expenditure. | M | Cash Management | |
| FMP | 11.22 | Notification process for the issuing department and internal Treasury including total amount returned and processing date. | M | Cash Management | |
| FMP | 11.30 | Ability to "delete" a requested ACH payment prior to file transmission to ACH processing bank and attach status updated to payment record. | F | Cash Management | |
| FMP | 11.40 | Ability to search for past and future ACH payments, with detail by a variety of parameters. | F | Cash Management | |
| FMP | 12.00 | **General Cash Management Activities** | | | |
| FMP | 12.10 | Extract Fund detail requiring cash transfers between Accounts from FMP. | F | Cash Management | |
| FMP | 12.20 | Ability to project cash flows by Fund on the basis of preloaded information on the FMP and adjustments due to agency notifications. | M | Cash Management | |
| FMP | 12.30 | Ability to extract historical expense and revenue information at transaction level by Fund, Participant, and Pool for cash flow analysis. | F | Cash Management, Payables, Receivables | |
| FMP | 13.00 | **Bank Ranking** | | | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | | |
|---|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. | |
| **TP** = The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. | |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| FMP | 13.10 | Utilize a series of "weighted" categories to develop bank assignment guidelines for the distribution of checks to multiple, eligible Accounts. | M | Cash Management | |
| FMP | 13.20 | Ability to generate "what-if" scenarios as categories are modified. | M | Cash Management | |
| FMP | 13.30 | Ability to extract pricing and volume from Bank Analysis system to encompass all real costs. | F | Cash Management | |
| FMP | 13.40 | Ability to select/deselect an Account from the Ranking. | F | Cash Management | |
| **Consolidated Treasury Internal Administrative Platform (ADP)** | | | | | |
| ADP | 1.00 | Ability to interface Treasury Program systems  with related data managed in the Fiscal and Investment platforms.  The internal program systems support Unclaimed Property, Tuition Account Program,  HR and Accounting ERP system, and the payment systems management in Treasury's Bureau of Unemployment Compensation. Eliminates the need for use of spreadsheet software outside the system for these Programs due to the lack of data integration. | F | General Ledger, Cash Management | |
| ADP | 2.00 | **Operational Performance Measurement and Program Evaluation Metrics:** | | | |
| ADP | 2.10 | Ability to collect operation information/outputs specific to the Program, Bureau, Fund, Division. | F | General Ledger, Cash Management | |
| ADP | 2.20 | Ability to measure efficiency of operations inputs vs. outputs to determine whether they meet established benchmarks. | M | General Ledger, Cash Management | |
| ADP | 2.30 | Ability to establish standards (planned results) that provide a basis for evaluating how efficient the system is operating. | M | General Ledger, Cash Management | |
| ADP | 2.40 | Means to collect operational performance evaluation at Program/Fund/Bureau/Department/Agency levels. | M | General Ledger, Cash Management | |
| ADP | 2.50 | Ability to determine reliability and integrity of operational information. | M | General Ledger, Cash Management | |
| ADP | 3.00 | Ability to incorporate Feedback loop - effectiveness.  Ability to measure customer satisfaction (internal and external) | M | General Ledger, Cash Management | |
| ADP | 4.00 | **Financial Performance Measurement and Program Evaluation Metrics:** | | | |
| ADP | 4.10 | Means to collect financial performance at Program/Fund/Bureau/Department/Agency levels. | F | Financial Analytics | |
| ADP | 4.20 | Ability to determine reliability and integrity of financial information. | F | General Ledger | |
| ADP | 5.00 | System availability (average system availability, average downtime, and maximum downtime). | U | | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| ADP | 6.00 | Analyze and evaluate asset inventory - safeguarding of assets. | F | Financial Analytics | |
| ADP | 7.00 | Comply with laws, regulations, contracts, and industry standards, i.e., GAAP, SAS 70, PCI-DSS | F | Governance, Risk and Compliance Manager, Application Access Controls Governor, Configuration Controls Governor | Single Repository for Regualtory requirments and evidece of compliance as well as audit, risk etc… |
| ADP | 7.10 | Means to audit in accordance with - COSO {Governance, Risk Assessment, Control Activities, (Prevention and Detection Controls), Information and Communication Monitoring} | F | Governance, Risk and Compliance Manager, Application Access Controls Governor, Configuration Controls Governor | Single Repository for Regualtory requirments and evidece of compliance as well as audit, risk etc… |
| ADP | 8.00 | Determine Credit, Market, Operational, and Enterprise Risks | F | Governance, Risk and Compliance Manager, Application Access Controls Governor, Configuration Controls Governor | Single Repository for Regualtory requirments and evidece of compliance as well as audit, risk etc…  Risk elements such as credit risk, liquidity risk, market risk can be measured and applied to business operations to determine what areas require further control for mitigation of risks such as financial risk, brand risk, reputation risk, compliance risk etc... |
| ADP | 9.00 | Means to collect and analyze historical data and trend analysis. | F | Financial Analytics | |
| ADP | 9.10 | Perform "What if Analysis" | F | Crystal Ball | |
| ADP | 9.20 | Perform GAP Analysis | F | Financial Analytics | |
| ADP | 10.00 | Access to information on Program payments after they are submitted for payment. | F | Payables | |
| ADP | 11.00 | Incorporate Hyperlinks to outside applications with the Program's main database. | F | General Ledger | |
| ADP | 12.00 | Integrate the phone system with the Program's database and the new platforms to provide automatic linkages between a caller, their account and status of payment. | M | Cash Management, Receivables | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| | | **General Requirements (GP)** | | | |
| GP | 1.00 | Integrate platform activities by using common data elements. | F | PeopleTools | |
| GP | 2.00 | Common Transaction Processing - capture data and record related GL transactions without user intervention. | F | PeopleTools | |
| GP | 3.00 | **Data Management** | | | |
| GP | 3.10 | Storing, retrieving, archiving, purging, and manipulating data | F | PeopleTools | All user entered data goes through a business layer of edits and logic before it is stored in the database. This ensures data integrity.  Native database tools can be used to manipulate this data if required, but this is strongly discouraged as it would risk data integrity. |
| GP | 3.20 | Consistent internal controls | F | PeopleTools | |
| GP | 4.00 | **Technical Requirements - The solution must provide transaction processing integrity and general operating reliability, use standard procedures for installation, configuration and operations; provide seamless integrated workflow processing; have the ability to query, access, and format information; and be well documented.  It must not conflict with other Treasury systems or with Treasury-established IT standards.** | | | |
| GP | 4.10 | The delivered system must be modular, highly scalable and incorporate an open-systems architecture. | F | PeopleTools | |
| GP | 4.20 | The delivered system must be customizable to meet agency-defined business practices.  Agency customizable features must be table/parameter driven. | F | PeopleTools | |
| GP | 4.30 | The delivered system must be upgradeable to accommodate changes in laws, regulations, best practices or new technology. | F | PeopleTools | |
| GP | 4.40 | System outputs must include reports, query results and data files using multiple formats as specified by functional requirements.  Specified formats can include online display, printed reports, Portable Document Format (PDF), MS Word, Excel, XML, ASCII or delimited text file.  In cases where an output format is not specified within a requirement, the requested information must be viewable to the agency online, using the application user interface. | F | PeopleTools | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| GP | 4.50 | Delivered system should be capable of processing online transactions, batch jobs and transactions submitted via system interface simultaneously. | F | PeopleTools | |
| GP | 4.60 | Delivered a reports management capability to enable online retrieval, viewing, re-printing, and permanent archiving of system-generated reports. | F | PeopleTools | |
| GP | 4.70 | **User Interfaces** | | | |
| GP | 4.71 | Deliver an online graphical user interface (GUI).  The GUI must provide consistent data entry, navigation and information presentation across all modules and sub-systems. | F | PeopleTools | |
| GP | 4.72 | Deliver a context-sensitive, online help facility that is customizable. | F | PeopleTools | |
| GP | 4.73 | Deliver the capability to customize error message text. | F | PeopleTools | |
| GP | 4.74 | Incorporate user interface features designed to reduce the amount of direct keying required for transaction processing, such as default values, value look-up tables, and passing common data from field to field, screen to screen and transaction to transaction. | F | PeopleTools | |
| GP | 4.80 | **Business Partner Interfaces** | | | |
| GP | 4.81 | Deliver a capability to import and process standard transactions generated by other systems. | F | PeopleTools | |
| GP | 4.82 | Include controls to ensure real time transactions or batch transactions files are received from authorized sources, complete and not duplicates.  Additional controls required include balancing the number of transactions in a received file against a control record count, matching the dollar total of transactions in a file to a control amount, and notifying the sender of erroneous transactions. | F | PeopleTools | |
| GP | 4.90 | Workflow/Messaging - deliver an integrated workflow management capability to automate internal routing of documents, transactions, forms or reports for online approval processing. | F | PeopleTools | |
| GP | 5.00 | Security - enable the agency to define access rules based on any combination of user id, functional role (e.g. auditor, investment analyst) and organization.  Security controls are required at all levels of the system.  The capability to restrict access in all modules, query and reporting tools and at the data element level is required. | F | PeopleTools | |
| GP | 6.00 | **Operations** | | | |
| GP | 6.10 | Deliver a process scheduling capability.  Allow the agency to define, initiate, monitor and stop system processes (e.g., online availability, batch jobs, and system maintenance). | F | PeopleTools | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| GP | 6.20 | Deliver a restart capability for all application's online and batch processing components.  Batch jobs must be segmented to facilitate | M | PeopleTools | Restart capability is included in processes where it makes sense.  It would not be accurate, however, to say that 100% of delivered processes are restartable. |
| GP | 6.30 | System Performance - considering 2500 concurrent users, processing 1 million transactions per day, and 3 terabytes of agency information to be maintained online. | F | PeopleTools | Because system performance is based on a number of factors, many of which are outside the control of an individual application, we are not able to guarantee a specific level of performance; however, we will work with you, your implementer, and your hardware provider to size a system to meet your business requirements. |
| GP | 6.31 | Process system workload without adversely impacting online response time | F | PeopleTools | Because system performance is based on a number of factors, many of which are outside the control of an individual application, we are not able to guarantee a specific level of performance; however, we will work with you, your implementer, and your hardware provider to size a system to meet your business requirements. |
| | 6.32 | Support concurrent access to functional modules for the user community. | F | PeopleTools | |
| GP | 6.33 | Process all scheduled work within processing windows. | F | PeopleTools | Because system performance is based on a number of factors, many of which are outside the control of an individual application, we are not able to guarantee a specific level of performance; however, we will work with you, your implementer, and your hardware provider to size a system to meet your business requirements. |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP** = The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|---|
| GP | 6.34 | | maintain the current and historical financial data storage needs with no degradation to online or batch processing performance. | F | PeopleTools | Because system performance is based on a number of factors, many of which are outside the control of an individual application, we are not able to guarantee a specific level of performance; however, we will work with you, your implementer, and your hardware provider to size a system to meet your business requirements. |
| GP | 7.00 | | Ad Hoc Query - The system must be capable of displaying requested information online.  Query features, such as drill-down and desktop downloading are required and must be met using software that is integrated in the core system. | F | PeopleTools | |
| GP | 8.00 | | Deliver documentation that identifies all software and hardware products required, application design documentation, software installation and maintenance documentation and user and operating documentation. | F | All modules | |
| GP | 9.00 | | Automated audit trail functionality to capture and report all online transaction processing, query, and batch transaction processing activity. | TP | PeopleTools | Pervasive auditing is embedded within the application; however, it may be necessary to lean on native database tools to audit "query".  For example, the Oracle database's Audit Vault module can be used for this purpose. |
| GP | 10.00 | | **Change Management Policy support** | | | |
| GP | 10.10 | | All changes must be auditable | F | PeopleTools | |
| GP | 10.11 | | The resulting system must have separate environments for system change development, user acceptance and production | F | PeopleSoft Internet Architecture | |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|---|
| GP | 10.12 | | System policies must be in place so that all production devices are monitored for change.  An independent, single point of management control for enterprise-wide change monitoring is desired. | F | PeopleTools | Oracle's PeopleSoft Change Assistant is a standalone program that expedites the process of a PeopleSoft software update or upgrade by automating most of the steps. Change Assistant utilizes all of the elements included in the Environment Management Framework to monitor information specific to your PeopleSoft implementation and deploy the necessary updates throughout your system.  In addition, Oracle's Enterprise Manager can be used to administer all your systems enterprise-wide.  The Enterprise Manager PeopleSoft plugin means that all your systems, including PeopleSoft, can be administered and monitored with this one tool. Please see the included paper, "PeopleSoft Enterprise Environment Management Plug-In for Oracle Enterprise Manager" for more information. |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below.**

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|---|
| GP | 10.20 | | All changes must be authorized | M | PeopleTools | Change control can be turned on in the development environment so that developers have to sign in to access it.  The application object types (e.g. fields, pages, etc) to which they have access can be limited based on what they need.  With change control, objects must be checked out and checked back in to leave an audit trail of who did what and when within the development environment.  Beyond the system based change control described above, the ability to authorize application changes before they occur could be added to the system using PeopleTools, or you could consider a third party version control system from vendors such as Grey Sparling Solutions (http://www.graysparling.com/GSVersionControl.html) |
| GP | 10.21 | | The system security roles must be capable of segregating change approval from the technology (or person) authorized to make the change. | F | PeopleTools | If a change approval process is added to the system as described above in 10.20, PeopleSoft's security roles would be used to segregate change approval from the technology (or person) authorized to make the change. |
| GP | 10.22 | | Change Reconciliation and Reporting to ensure all changes are authorized. | TP | | This functionality would exist outside the delivered application in the Treasury Department's internal change management policies and systems of choice. |

# Appendix H: Functional Requirement Fit Gap Matrix sumitted by DLT

**VENDOR FIT-GAP RESPONSE CODES in Column E are defined below**.

| VENDOR FIT-GAP RESPONSE CODES (Insert In Functionality Type Column Below For Each Requirement): | |
|---|---|
| **F** = Functionality is part of the core system.  Functionality may be obtained through configuration of the modules without changing or writing code. | **M** = Core source code must be changed to meet this requirement. |
| **TP =** The Vendor's proposal does not fully provide the solution and another integrated application is required to meet this requirement.  Identify recommended third party software in the notes column. | **U** = The Vendor's solution cannot meet this requirement and the Vendor is not aware of any third party solution that will be able to meet this requirement. |
| **CF** = Vendor must add custom fields to the software solution to meet this requirement that cannot be met through configuration only.  Such additions and access to these additional fields do not require changing core source code. | |

| Item No. | | Functional Requirement Description | Vendor FIT-GAP Response Codes | Module(s) Required to Fulfill Requirements | Comments |
|---|---|---|---|---|---|
| | | | | | |