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Attachment VII

Dashboard Functional Specification

NTIA Coupon Program

Electronic Dashboard

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1.0 Introduction

The Functional Requirements Specifications Document is a formal statement of NTIA's Coupon Program Electronic Dashboard functional requirements.

1.1 Purpose

This document presents and explains the NTIA requirements for a contractor provided Electronic Dashboard to monitor and administer the Coupon Program.

The Dashboard is a tool that provides users a web based interface and is designed to deliver user-specific information relating to the health of the program, typically represented by key performance indicators and links to relevant reports and documents. Visual cues and graphs focus user attention on important trends, status, changes, and exceptions.

NTIA requires a uniform and standard on-line Electronic Dashboard to be utilized on the Coupon Program. The Dashboard will be a standard and concise set of basic service performance indicators that will enable the NTIA program management office to monitor the contractor's Coupon Program performance including all key activities through a web portal. Committed and actual levels of performance, including retailer participation, consumer requests and coupon distribution, and redemption and payment transactions volumes and trends will be the indicators to be displayed on the Dashboard. The Dashboard will compare specific performance criteria and measurements; especially service level standards and alerts NTIA managers if the deviations become large enough for them to take and or expect contractor corrective action.

The Dashboard will also display to NTIA managers, a summary status of the Coupon Program Service Center Activities, the status of coupon requests, distributions, redemptions, and retailer payments being processed by the service center, the status of service center operations, and on-line access to deliverable documents as referenced in Section F, at a quick glance.

NTIA requires visibility into four (4) specific areas:

1. **Program Objectives Section 1.3.3.1 - Monitoring summary program data** related to the key mission of distributing coupons to consumers. Dashboard metrics at the highest level are key program objectives, including trending and reporting data tailored to NTIA's needs to view the overall progress of coupon distribution, status of retailer participation, levels of consumer participation and fulfillment of these requests.
2. **Financial Transaction Processing Section 1.3.3.2 - Monitoring of the current Coupon Program financial transaction-processing environment** including funding levels for redemption requests and retailer payments, and monitoring of key waste, fraud and abuse indicators and exception reporting.
3. **Service Center Processing Section 1.3.3.3 - Monitoring the health and status of the service center system processing specific to the contractor's daily processing to meet NTIA business objectives, including availability of the processing operating systems environment, service center workload statistics, status of program servers, subsystems, databases, networks, security and management functions.**
4. **Interoperability to Databases and Systems Section 1.3.4 - Access to Coupon Program deliverables and service levels performance reports and other contractor provided reports and documents.**

1.2 Key System Objectives

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- Provides a standard on-line portal to Coupon Program for monitoring operations, performance and reporting
- Provides a statement of how the Dashboard will be accessed by NTIA
- Provides a complete list of the functional requirements to be viewed by NTIA
- Provides secure and controlled access to appropriate individuals

1.3 System Requirements

The Coupon Program Dashboard must provide NTIA with the following:

- Web Portal to access data to verify the Coupon Program objectives and processes are met
- Controlled access to views, allowing different NTIA personnel from any location through the Web portal to access different views
- Compliant with and meets all NTIA security requirements
- Refresh the Dashboard views to show the appropriate hourly, daily, weekly and monthly status and trends
- Both tabular and graphical displays of critical management information
- Consolidation of data from numerous sources, querying, reporting, and displaying it in a view that is approved by NTIA
- Easy-to-use Dashboard, in tailoring the common views and creating unique views defined by NTIA
- Ability to easily view underlying details of an existing view by drilling down with the click of a mouse
- Notify NTIA management of all major, NTIA-defined, threshold violations, through the use of alerts displayed on the Dashboard of a designated master screen immediately, which will remain on the screen until a response is received from the proper NTIA personnel
- Capability to launch down into a view of any one of the deliverables defined in Section F, or other documentation as requested
- Integrated with the contractor's service level standards reporting and quality assurance program

1.3.1 Web Portal Requirements

1.3.1.1 The Dashboard must be accessible to authorized users via the Internet or Intranet using COTS products. Accessible must be provided using standard browser software and Internet address from any authorized NTIA location, Department of Commerce Division and/or other authorized Federal Agency.

1.3.1.2 Once the authorized user accesses the Coupon Program portal site, the Dashboard must display performance views and trends and provide additional access to contextual information such as documents and reports. The portal will define user access rights, which will allow different displays to be directed to different types of users.

1.3.2 Operational Requirements

The operational requirements listed in this section are functions the system must support to maintain Dashboard viewing stability.

1.3.2.1 Dashboard Security

1.3.2.1.1 The Dashboard system shall require NTIA employees and/or representatives to obtain a valid login credential to access the Dashboard portal

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1.3.2.1.2 The system shall automatically expire a users session within the Dashboard portal if idle for longer than 10 minutes, except on the NTIA designated master screen, which will display the Dashboard continuously. Lockout of a user login ID shall occur after three consecutive unsuccessful attempts to log on.

1.3.2.2 Dashboard Audit Trail

1.3.2.2.1 For each successful Dashboard portal login attempt, the following shall be recorded: date/time of access and user login ID

1.3.2.2.2 For each unsuccessful Dashboard portal login attempt resulting in lockout of the user, the following shall be recorded: date/time of access and attempted user login ID

1.3.2.3 Dashboard Availability

1.3.2.3.1 The Dashboard must be available 24 hours per day, seven days per week and 365 days per year consistent with the committed service level standards.

1.3.3 Functional Requirements

The requirements listed in this section are functions that the Dashboard must permit NTIA to view from a high-level view, as well as the capability to drill down to lower level views. Each view must show for each functional requirement the actual performance against the committed service level standard. If a specific service level standard is missed or there is a high potential of a missed service level standard the specific view must provide a clear visual indication of the event and result.

Views are required from the start of the program and for the appropriate reporting period. These views shall identify and display data for all distribution, redemption and payment requirements during the base funding level period of up to 22,250,000 coupons and separately for the contingent period as defined in Section B.2.4 CLIN0003 OPTION FOR CONTINGENT FUNDS PROCESSING/CONTINGENT PERIOD. During the start-up phase, NTIA will work with the contractor to define this reporting period requirement as called out below.

The Dashboard must display and trend at a minimum, the following:

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1.3.3.1 HIGH-LEVEL VIEWS

1.3.3.1.1 Daily Business Level View by Program Objective

1.3.3.1.1.1 Summary View of the Program Achievements

1.3.3.1.1.1.1 Number of consumer coupon requests from start of program

1.3.3.1.1.1.2 Number of consumer coupon requests this reporting period

1.3.3.1.1.1.3 Number of coupons redeemed and paid for from start of program

1.3.3.1.1.1.4 Number of coupons redeemed and paid for this reporting period

1.3.3.1.1.1.5 Dollar amount paid out for coupons from start of program

1.3.3.1.1.1.6 Dollars amount paid out for coupons this reporting period

1.3.3.1.1.1.7 Number and dollar amount of consumer coupon requests not

redeemed from the start of program

1.3.3.1.1.1.8 Dollar amount and number of coupons remaining available for distribution to consumers

1.3.3.1.1.2 Retailer Participation

1.3.3.1.1.2.1 Names and type of certified retailers (brick store and web)

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- 1.3.3.1.1.2.2 Names and type of rejected retailers not eligible for the program
- 1.3.3.1.1.2.3 Names of retailers no longer participating in program and reason
- 1.3.3.1.1.2.4 Dollar amount of coupons redeemed and paid for, by retailer from start of program
- 1.3.3.1.1.2.5 Dollar amount of coupons redeemed and paid for, by retailer this reporting period
- 1.3.3.1.1.2.6 Number of retailer locations participating in the program
- 1.3.3.1.1.2.7 Participation of retailers by geographic area
- 1.3.3.1.1.2.8 Geographic areas of limited or no retailer participation
- 1.3.3.1.1.2.9 Listing of NTIA approved converter boxes
- 1.3.3.1.1.2.10 Distribution notices of any known converter box supply and demand issues in a geographic area for the reporting period

1.3.3.1.1.3 Consumer Participation

- 1.3.3.1.1.3.1 Number of households authorized (Coupon Distribution) to receive coupons
- 1.3.3.1.1.3.2 Number/percent of households authorized to receive one coupon
- 1.3.3.1.1.3.3 Number/percent of households authorized to receive two coupons
- 1.3.3.1.1.3.4 Number of household requests not authorized from start of program
- 1.3.3.1.1.3.5 Number of household requests not authorized this reporting period
- 1.3.3.1.1.3.6 Number/percent of household requests to replace stolen or lost coupons this reporting period
- 1.3.3.1.1.3.7 Participation of households by geographic area

1.3.3.2 FINANCIAL PROCESSING

1.3.3.2.1 Current Financial Level View of the Coupon Program

- 1.3.3.2.1.1 Number and dollar amount of active coupons pending redemption
- 1.3.3.2.1.2 Number and dollar amount of redeemed coupons pending reimbursement and payment by retailer
- 1.3.3.2.1.3 Number of expired coupons and dollar value (over 90 days old) from start of program
- 1.3.3.2.1.4 Number of expired coupons and dollar value (over 90 days old) this reporting period
- 1.3.3.2.1.5 Number and type (stolen, counterfeit, etc) of coupon redemption and payment transactions not authorized (rejected) from start of program
- 1.3.3.2.1.6 Number and type (stolen, counterfeit, etc) of coupon redemption and payment transactions not authorized (rejected) this reporting period
- 1.3.3.2.1.7 Number of attempts to return a converter box to a retailer for a cash refund or for credit towards the purchase of another item during this reporting period
- 1.3.3.2.1.8 Number of coupons not authorized due to redemption attempt by non certified retailer this reporting period
- 1.3.3.2.1.9 Number of coupons redeemed for less than \$40 for the purchase price of a converter unit this reporting period

1.3.3.3 DAILEY SERVICE CENTER OPERATIONAL VIEWS

1.3.3.3.1 System Processing Availability

- 1.3.3.3.1.1 Scheduled up time
- 1.3.3.3.1.2 Scheduled down time

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1.3.3.3.1.3 Actual non-scheduled down time

1.3.3.3.2 Financial Processing Availability

1.3.3.3.2.1 Scheduled up time
1.3.3.3.2.2 Scheduled down time
1.3.3.3.2.3 Actual non-scheduled down time

1.3.3.3.3 Service Center Workload

1.3.3.3.3.1 Number and type (phone (attendant and IVR), web access, mail or fax) of requests received this reporting period
1.3.3.3.3.2 Average processing time from receipt of consumer request to mailing of coupon to consumer
1.3.3.3.3.3 Average number of consumer requests per day/week/month
1.3.3.3.3.4 Peak processing time per day/week/month
1.3.3.3.3.5 Key Service Center service level standards reporting results

1.3.3.3.4 Master Schedule

1.3.3.3.4.1 Key program milestones
1.3.3.3.4.2 Critical program milestones
1.3.3.3.4.3 Missed milestones and corrective actions

1.3.3.3.5 Component Availability

1.3.3.3.5.1 Processor platform/server
1.3.3.3.5.2 Subsystems
1.3.3.3.5.3 Databases
1.3.3.3.5.4 Network
1.3.3.3.5.5 Web site
1.3.3.3.5.6 Fulfillment systems

1.3.3.3.6 Security Management Status

1.3.3.3.6.1 Overall security conditions of program
1.3.3.3.6.2 Alerts on security issues
1.3.3.3.6.3 Virus infections impacting the systems
1.3.3.3.6.4 Incident reports and corrective actions
1.3.3.3.6.5 Intrusion attempts by inside and outside threats
1.3.3.3.6.6 Successful intrusion by inside and outside unauthorized users
1.3.3.3.6.7 Password reset requests
1.3.3.3.6.8 Password reset turnaround time

1.3.3.3.7 Daily Back-up and Recovery of Program Data

1.3.3.3.7.1 Applications servers status
1.3.3.3.7.2 Database servers status
1.3.3.3.7.3 Web Servers status
1.3.3.3.7.4 File servers status
1.3.3.3.7.5 Off site storage status

1.3.3.3.8 Change Management

1.3.3.3.8.1 Change requests approved this reporting period
1.3.3.3.8.2 Change requests rejected this reporting period
1.3.3.3.8.3 Change requests pending this reporting period
1.3.3.3.8.4 Change requests that have been completed this reporting period

1.3.3.3.9 Problem Management

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- 1.3.3.3.9.1 Number of tickets by type this reporting period
- 1.3.3.3.9.2 Number of open tickets this reporting period
- 1.3.3.3.9.3 Number of closed tickets this reporting period

1.3.4 Interoperability

The Dashboard must allow for authorized users to launch a window into other Coupon Program databases and systems based on the information presented in the functional requirements. The ability to launch must be provided in real time. At a minimum, the Dashboard must be interoperable with the following:

- 1.3.4.1 Databases and Systems
 - 1.3.4.1.1 On line access to RFP Section F Contract Data Requirement List (CDRLs) database
 - 1.3.4.1.1.1 Project Management Plan
 - 1.3.4.1.1.2 Operational Capability Demonstration Plan
 - 1.3.4.1.1.3 Rollout Plan
 - 1.3.4.1.1.4 Consumer Education Plan
 - 1.3.4.1.1.5 Subcontract Management Plan
 - 1.3.4.1.1.6 Retailer Certification Plan
 - 1.3.4.1.1.7 Retailer Training Plan
 - 1.3.4.1.1.8 Quality Monitoring and Control Plan
 - 1.3.4.1.1.9 Security Management Plan
 - 1.3.4.1.1.10 Close-out Plan
 - 1.3.4.1.2 QASP Service Level Standards monthly report
 - 1.3.4.1.3 On line access to contractor Coupon Program other operational documents as provided
 - 1.3.4.1.4 Manufacturer and retailer provided reports including: 1. Number of and model numbers of converter boxes shipped by manufacturers and 2. Number of and model numbers of converter boxes sold by retailers
 - 1.3.4.1.5 Coupon Program Contract