eZ-Audit
Use-Case Specification 7: Query

Version 2.2

Revision History

Date	Version	Description	Author
07/17/2002	1.0	Final version created for 7/17 deliverable submission.	Matt Portolese
09/05/2002	1.1	Identified new Special Requirements for Pre-Screener role.	Matt Williamson
9/10/2002	1.2	Added new Alternate Flow to allow Pre-Screener to query for submissions to check for Completeness	Matt Williamson
12/16/200	1.3	Added alternative flow 2.2.3 to describe the “Allow Resubmission” functionality.	Seth Sinclair
04/30/03	2.0	Changes throughout to reflect Release 1.0 functionality	Amy Rothman
05/28/2003	2.1	Update to reflect R1.01 functionality. Removed references to Completeness check functionality that is not documented in UC 30 – QC.	Brian Cannavan
01/22/2004	2.2	Updated to reflect R2.0 functionality. Added to Basic Flow, Special Requirements, Requirements	Ben Lopez

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Use-Case Specification 7: Query

1. Search for a record

1.1 Brief Description

Internal users will have the ability to search for financial statement and compliance audit submissions for an institution. If the record the user selects is assigned to them in the system, they will be able to work on the record, depending on their assigned privileges. If the user is not assigned to the record selected, all information will be read-only.

2. Flow of Events

2.1 Basic Flow

1) **Resolution actor clicks on the search link on the home page.**

2) System presents the search page.

The user is shown a page with the heading Search. The following text should immediately follow the heading:

"This page will allow you to search for a particular institution record by using the following search criteria. Please enter as much or as little information as desired, but one of the fields must be populated."

"Please note the following:

- Any fields left blank will return all data for that particular field.
- All fields are wildcard searches, for example: Entering a 'w' without the quotes into the institution name field will return all institutions with a 'w' in the name. For more precise searches, please enter as much information as possible."
- If more than one parameter is required for a particular field, please separate the entry data with commas. For example: university of maryland, university of Illinois.

The following labels with their associated entry type will be displayed following the text description above:

Field	Entry Type
OPEID	Text Box – maximum of 10 characters
Institution Name	Text Box – maximum of 75 characters
City	Text Box – maximum of 75 characters
State	Text Box – maximum of 2 characters
Province	
Country	
Case Team	Drop down box – Default 'All', Other values: 1 – 11.
Type of Institution	Drop down box - Default 'All', Other values: Public, Non-Profit, Proprietary.

Type of Submission	Drop down box - Default 'All', Other values: Compliance Audit, Financial Statements, Other.
Submission Reason	Drop down box – Default 'All', Other values: Annual Submission, Merger/Change in Ownership, Waiver Request, Initial Application, Closeout Audit, Stub Audit, Reinstatement Submission, Change in Fiscal Year End.
Submission Status	Drop down box – Default 'All', 'Incomplete', 'Active'
Fiscal Year End	3 Text boxes –User may input month day and/or year to search on.
CPA Name	Text Box – maximum of 75 characters

A button labeled 'Search' will be displayed below the entry fields.

3) The Resolution User actor types in the appropriate search information to perform search.

The Resolution User actor enters an institution name, city and state in the appropriate fields and clicks the search button.

4) The System retrieves the information requested.

The system takes the input information from the user and constructs an SQL query. This query is executed against the database and retrieves the following information for any applicable records that were returned:

- Institution Name
- OPEID
- Fiscal Year End
- Case Team
- CPA Name
- Submission Reason
- Institution Type
- Submission Type

5) The System presents the results to the user.

The search page is displayed to the user. The information listed in Step 2 is again displayed to the user with the search information the user typed in pre-populated.

Below the search entry fields and search button, a table is now displayed with the records returned for each submission. The institution name will be a link to the school summary page for that school, for the particular fiscal year. The information will be displayed to the user in this order from left to right in the table:

- Institution Name
- OPEID
- Fiscal Year End
- Case Team
- CPA Name
- Submission Reason
- Institution Type
- Submission Type
- Submission Status

6) The Resolution User actor selects a record for a particular fiscal year.

The user locates the record they wish to view and clicks on the institution name for that particular record.

7) The system presents the school summary page for the institution.

The system retrieves the information requested for that fiscal year and presents the school summary page. See extension point – Use Case 15 “Select an Institution”.

2.2 Alternative Flows

2.2.1 User obtains all necessary information from the table of returned data

Steps 1-5 are the same for the alternate use cases. Only the following steps will change.

6) The Resolution User actor reviews the information and returns to their home page.

The user clicks on the link to return to their home page.

7) The system presents the home page.

The system presents the home page to the user.

2.2.2 User Queries to Indicate “Allow Resubmission”

Steps 1-7 are the same as the Basic Flow. The “Allow Resubmission” option is presented to Case Users who have accessed a Submission through the Query functionality. This is displayed on the Submission Summary page. A checkbox is provided for the user to select if they would like to allow for a resubmission. A save button and a notes field is provided as well.

8) User Selects to Allow Resubmission

The user clicks on the “Allow Resubmission” checkbox.

9) System displays updated value

The System displays the “Allow Resubmission” box as selected.

10) User enters any notes and selects to save

The user enters any desired text in the Notes fields and then selects the Save button. The system re-presents the submission summary page of this record. The record just noted is no longer available in any of the system queues, as the school is now required to resubmit.

2.2.3 Co-Team Lead Queries to place Financial Statement on “Administrative Stay”

Steps 1-7 are the same as the Basic Flow. The Administrative Stay functionality is presented to the Co-Team Lead Users who have accessed a Submission through the Query functionality. This is displayed on the Submission Summary page. The Submission Summary page will display the following for administrative stay for financial statements: “Date” text field, “Reasons” drop down list, “Notes” text field, “Start” button, and Administrative Stay table.

8) Co-Team Lead places Financial Statement on Administrative Stay

User enters a Date, selects a reason, types a note, and clicks the Start button. The financial statement is put on administrative stay and the resolution due date is suspended. A table will be populated at the bottom of the Administrative Stay section showing the Start Date, Reason, action taken of “Start”, and User Id of the user who put the financial statement on Administrative Stay. Whatever is entered in the Notes field will be posted to the Notes Page.

2.2.4 Co-Team Lead Queries to place Compliance Audit on “Administrative Stay”

Steps 1-7 are the same as the Basic Flow. The Administrative Stay functionality is presented to the Co-Team Lead Users who have accessed a Submission through the Query functionality. Next to the “Compliance Audit Administrative Stay” title there is text explaining “Requires OCFO Approval”. This is displayed on the Submission Summary page. The Submission Summary page will display the following for administrative stay for compliance audits: “Date” text field, “Reasons” drop down list, “Notes” text field, “Start” button, and Administrative Stay table.

8) Co-Team Lead places Compliance Audit on Administrative Stay

User enters a Date, selects a reason, types a note, and clicks the Start button. The compliance audit is put on administrative stay and the resolution due date is suspended. A table will be populated at the bottom of the Administrative Stay section showing the Start Date, Reason, action taken of “Start”, and User Id of the user who put the compliance audit on Administrative Stay. Whatever is entered in the Notes field will be posted to the Notes Page.

2.2.5 Co-Team Lead Queries to indicate end of “Administrative Stay” for Financial Statement

Steps 1-7 are the same as the Basic Flow. The Administrative Stay functionality is presented to the Co Team Lead Users who have accessed a Submission through the Query functionality. This is displayed on the Submission Summary page. The Submission Summary page will display the following for administrative stay for financial statement: “Date” text field, “Reasons” drop down list (pre-populated with a reason that was selected when the Administrative Stay was started), “Notes” text field, “Stop” button, “Cancel” button, and Administrative Stay table.

8) Co-Team Lead takes Financial Statement off of Administrative Stay

User enters a Date, types a note, and clicks the Stop button. The financial statement is taken off of administrative stay and the resolution due date is recalculated to take into account the time the financial statement has been on Administrative Stay. The fields for Date, Reason, Notes and the Stop button will be removed once the Financial Statements are off of Administrative Stay and only the table at the bottom of the Administrative Stay section will remain. The administrative Stay table will be populated at the bottom of the Administrative Stay section showing the End Date, Reason, action taken of “Stop”, and User Id of the user who took the financial audit off of Administrative Stay. Whatever is entered in the Notes field will be posted to the Notes Page.

2.2.6 Co Team Lead Queries to indicate end of “Administrative Stay” for Compliance Audit

Steps 1-7 are the same as the Basic Flow. The Administrative Stay functionality is presented to the Co-Team Lead Users who have accessed a Submission through the Query functionality. Next to the “Compliance Audit Administrative Stay” title there is text explaining “Requires OCFO Approval”. This is displayed on the Submission Summary page. The Submission Summary page will display the following for administrative stay for compliance audits: “Date” text field, “Reasons” drop down list (pre-populated with a reason that was selected when the Administrative Stay was started), “Notes” text field, “Stop” button, “Cancel” button, and Administrative Stay table.

8) Co Team Lead takes Compliance Audit off of Administrative Stay

User enters a Date, types a note, and clicks the Stop button. The compliance audit is taken off of administrative stay and the resolution due date is recalculated to take into account the time the compliance audit has been on Administrative Stay. The fields for Date, Reason, Notes and the Stop button will be removed once the Compliance Audit is off of Administrative Stay and only the table at the bottom of the Administrative Stay section will remain. The administrative Stay table will be populated at the bottom of the Administrative Stay section showing the End Date, Reason, action taken of "Stop", and User Id of the user who took the compliance audit off of Administrative Stay. Whatever is entered in the Notes field will be posted to the Notes Page.

2.2.7 Co Team Lead Queries to cancel Start of Administrative Stay for Financial Statement

Steps 1-7 are the same as the Basic Flow. The Administrative Stay functionality is presented to the Co-Team Lead Users who have accessed a Submission through the Query functionality. This is displayed on the Submission Summary page. The Submission Summary page will display the following for administrative stay for financial statements: "Date" text field, "Reasons" drop down list (pre-populated with a reason that was selected when the Administrative Stay was started), "Notes" text field, "Stop" button, "Cancel" button, and Administrative Stay table.

8) Co Team Lead Cancels Start of Administrative Stay for Financial Statement

User clicks the Cancel button. The financial statement administrative stay is cancelled. Nothing is done to recalculate the resolution due date. The fields for Date, Reason, and Notes will stay on the page but the Stop button will be replaced with the Start button. The administrative Stay table will be populated at the bottom of the Administrative Stay section showing the Current Date, no Reason, action taken of "Cancel", and User Id of the user who cancelled the Administrative Stay. Whatever is entered in the Notes field will be posted to the Notes Page.

2.2.8 Co Team Lead Queries to cancel Start of Administrative Stay for Compliance Audit

Steps 1-7 are the same as the Basic Flow. The Administrative Stay functionality is presented to the Co-Team Lead Users who have accessed a Submission through the Query functionality. Next to the "Compliance Audit Administrative Stay" title there is text explaining "Requires OCFO Approval". This is displayed on the Submission Summary page. The Submission Summary page will display the following for administrative stay for compliance audits: "Date" text field, "Reasons" drop down list (pre-populated with a reason that was selected when the Administrative Stay was started), "Notes" text field, "Stop" button, "Cancel" button, and Administrative Stay table.

8) Co Team Lead Cancels Start of Administrative Stay for Compliance Audit

User clicks the Cancel button. The compliance audit administrative stay is cancelled. Nothing is done to recalculate the resolution due date. The fields for Date, Reason, and Notes will stay on the page but the Stop button will be replaced with the Start button. The administrative Stay table will be populated at the bottom of the Administrative Stay section showing the Current Date, no Reason, action taken of "Cancel", and User Id of the user who cancelled the Administrative Stay. Whatever is entered in the Notes field will be posted to the Notes Page.

3. Special Requirements

3.1 Incomplete Submissions

3.1.1 Incomplete Submissions will also be displayed in Search Results

If a user executes a search, both Complete and Incomplete Submissions that meet the search criteria will be displayed in the Search Results

3.1.2 Incomplete Submissions will be view-only and non-assignable

If a user selects an Incomplete Submission record to view from Search Results, the user will not be able to make any changes to the Submission. Also, the user may not assign the Incomplete Submission.

3.1.3 Submission Summary Page

If a user selects an Incomplete Submission record to view from Search Results, the Submission Summary Page that is displayed for the Submission will note that the Submission is Incomplete in the Submission Status field at the top of the page.

4. Preconditions

4.1 Resolution User accesses query functionality from their home page.

A resolution user will be able to access the search page from their home page. See extension point – Use Case 15 “Select an Institution” for information on the resolution user home page.

5. Postconditions

5.1 User returns to home page or school summary

The user will do one of two things after performing a search.

1) The user will use the search to gather data and will have all necessary information from the table of returned information. In this case, the user will return to their home page.
2) The user will review information in the school’s submission. See Extension Point – Use Case 15 “Select an Institution” for the appropriate post-conditions.

5.2 Reset an institution record to “Resubmit” status

The system will automatically reset an institution record to “resubmit” status when a submission is marked as Screened – Incomplete. The system will also stop the FSA review “time clock” upon marking a submission as Screened – Incomplete. NOTE: The “time clock” restarts when the audit and financial statements are resubmitted.

6. Extension Points

6.1 Use Case 15 “Select an Institution”

Describes the home page of the resolution user.

7. Requirements

7.1 Release 1.0

GEN1253 The system will allow users to retrieve school information via key-word search.
GEN1254 The system will allow the user to enter multiple parameters into the search fields at one time.
GEN1255 The system will require the user to enter search criteria into at least one field prior to performing the query.
GEN1256 The system will allow wildcard searches.

7.2 Release 1.01

The system will enable users to record when a school is placed on administrative stay.
The system will stop the resolution clock for a school placed on administrative stay.

7.3 Release 2.0

INC R20193 The system will allow users to retrieve Incomplete Submissions using the "Search" Functionality
INC R20194 The system will display Incomplete Submissions as view-only and non-assignable
INC R20195 The system will label Incomplete Submissions as "Incomplete" in the Search Results and on the Submission Summary page.