FSA

eZ-Audit
Use-Case Specification 13: Assign Submissions

Version 2.2

Revision History

Date	Version	Description	Author
July 17, 2002	1.0	Final version created for 7/17 Deliverable Submission.	Seth Sinclair
August 6, 2002	1.1	Updated to allow the system to handle assignment of multiple submission types. 2.1 Basic Flow- Step 2 – Consolidated queues and added ability to handle multiple submission types. Added Submission Type and Status as values in the queue. 2.2.1 – Step 2 – Added in left navigation options for all submission types. 2.2.2 – Added section to account for review of Change in FY End submission. 3.2 – Provided explanation for multiple Co-Team Leaders assigning submissions. Revised version created for deliverable re-submission	Seth Sinclair
September 3, 2002	1.2	2.1 – Step 2 – Removed “Submission Status” from Pending Assignment Queue Section 3 – 3.3 – Provided explanation of “Assign To” dropdown list functionality	Seth Sinclair
May 13, 2003	2.0	Revised version to incorporate requirements for Release 1.01	Andre Sakaluk
May 14, 2003	2.1	Update for new R1.01 Release	
January 16, 2004	3.0	Revised to reflect new R2.0 requirements. Specifically, nav bar links to Code Findings for the Co-Team Lead	Ben Lopez

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Use-Case Specification 13: Assign Submissions

1. Assign Submissions

1.1 Brief Description

When an institution creates a submission that the system "Screener" determines needs to be reviewed by the Case team, the eZ-Audit system will route this submission to a Co-Team Leader. Part of the Co-Team leader's responsibility is to assign this submission to an Audit Resolution Specialist or Financial Analyst for review and resolution. The purpose of this Use Case is to address the Co-Team Leader's ability to view submissions and assign them to an appropriate Case Team Member.

2. Flow of Events

2.1 Basic Flow

1) Co-Team Leader actor logs into the system

The System verifies the user's role of "Co-Team Leader" through the Login Process. See Extension Point - Use Case 3 "Login to System" for details of the Login Process.

2) System presents the Co-Team Leader Home Page with "Pending Assignment" Queue

The system presents a queue to the Co-Team Leader Actor containing all submissions requiring review (as determined by the system through the screening and routing processes), sorted with the most recent submissions at the top of the queue. See Extension Point – Use Case 9 "Create Submission" for details of the Financial Statement routing process and Extension Point – Use Case 10 "Code Findings" for details of the Compliance Audit routing process. Other submissions types, including Closeout, Stub, Reinstatement/Initial Application, Change in Ownership, Waiver Request, and Change in Fiscal Year end will automatically be routed to the Co-Team Leader. For each institution record appearing in the queue, the following data is displayed

- Institution Name
- OPEID
- Fiscal Year End
- Date of Submission
- Resolution Due Date
- Submission Type
- Submission Status
- Completeness Status
- Reason for Referral to Case (pulled from the screening determination)

The system presents to the Co-Team Leader actor the option of assigning the submission to a team member or viewing the submission for each record. There is a second queue on the page for submissions "Pending Approval." See Extension Point – Use Case 14 "Approve Resolution Documents" for details on this queue. At the top of the page, there are navigation options available to access "Update My User Profile," "Search," "Team Queue," "Reports," "Manage Users" (if applicable), and "Logout." See Extension Point – Use Case 4 "Maintain User Profile, Use Case 7 "Query," Use Case 26 – "Team Queue," Use Case 8 – "Reporting," Use Case 1 – "Manage Users," and Use Case 27 – "Logout" for details on these functions.

3) Co-Team Leader actor Selects to assign the submission

The Co-Team Leader actor selects a Case Team Member name from the “Assign To” dropdown list and selects to “Assign” the submission. See Special Requirements for an explanation of the “Assign To” dropdown list functionality.

4) System routes the Submission to the selected case team member

The system refreshes the page and displays the Co-Team queue; the “assigned” submission is no longer displayed in the pending assignment queue. The system routes the Submission to the queue of the selected case team member and displays the record in the Case User’s assigned queue. See Extension Point – Use Case 15 “Select an Institution” for an explanation of the Case User queue.

2.2 Alternative Flows

2.2.1 View Submission Data

From Step 2 of the Basic Flow, the Co-Team Leader actor chooses to view the submission before assigning it to a team member.

1) Co-Team Leader Actor selects to view the submission

The Co-Team Leader actor selects to view the submission by clicking on the “Institution Name” within the submission record.

2) System presents the Institution submission

A navigation-driven page is presented to the Co-Team leader providing the ability to view all of the information for the selected institution’s submission. For an annual submission, annual resubmission, or stub audit submission, this includes links to access the:

Link	Destination
Submission Summary Page	Displays Submission Summary – See Extension Point Use Case 15 “Select an Institution” for details of the Summary Page.
Financial Statements	Displays a read-only version of the Financial Statements Information Page Submitted by the Institution (w/links to the Financial Statements) – See Extension Point Use Case 9 “Create Submission”
Compliance Audit	Displays a read-only version of the Program and Audit Statements Information Page Submitted by the Institution – See Extension Point Use Case 9 “Create Submission”
Completeness Checklist	Displays a read-only version of the Completeness Checklist Page Submitted by the Institution – See Extension Point Use Case 9 “Create Submission”
View Attachments	Displays a page where the Case User Can Access any Attachments uploaded as part of the Institution Submission – See Extension Point Use Case 9 “Create Submission”
Financial Statement QC	Displays a page where the Co-Team Leader can view the QC report on a school’s Financial Statement – See Extension Point Use Case 30 “Quality Control”
Compliance Audit QC	Displays a page where the Co-Team Leader can view the QC report on a school’s Compliance Audit – See Extension Point Use Case 30 “Quality Control”
Code Findings	Displays a page where the Co-Team Leader can view the Code

	Findings of a school's Submission Report – See Extension Point Use Case 10 "Code Findings"
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 "Correspondence Log"
Notes	Displays the Notes Page

For a Closeout submission, this includes links to access the:

Link	**Destination**
Submission Summary Page	Displays Submission Summary – See Extension Point Use Case 15 "Select an Institution" for details of the Summary Page.
ComplianceAudit	Displays a read-only version of the Program and Audit Statements Information Page Submitted by the Institution – See Extension Point Use Case 9 "Create Submission"
Completeness Checklist	Displays a read-only version of the Completeness Checklist Page Submitted by the Institution – See Extension Point Use Case 9 "Create Submission"
View Attachments	Displays a page where the Case User Can Access any Attachments uploaded as part of the Institution Submission – See Extension Point Use Case 9 "Create Submission"
Code Findings	Displays a page where the Co-Team Leader can view the Code Findings of a school's Submission Report – See Extension Point Use Case 10 "Code Findings"
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 "Correspondence Log"
Notes	Displays the Notes Page

For a Reinstatement or Initial Application submission, this includes links to access the:

Link	**Destination**
Submission Summary Page	Displays Submission Summary – See Extension Point Use Case 15 "Select an Institution" for details of the Summary Page.
Financial Statements	Displays a read-only version of the Financial Statements Information Page Submitted by the Institution (w/links to the Financial Statements) – See Extension Point Use Case 9 "Create Submission"
Completeness Checklist	Displays a read-only version of the Completeness Checklist Page Submitted by the Institution – See Extension Point Use Case 9 "Create Submission"
View Attachments	Displays a page where the Case User Can Access any Attachments uploaded as part of the Institution Submission – See Extension Point Use Case 9 "Create Submission"
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 "Correspondence Log"
Notes	Displays the Notes Page

For a Change in Ownership submission, this includes links to access the:

Link	Destination
Submission Summary Page	Displays Submission Summary – See Extension Point Use Case 15 “Select an Institution” for details of the Summary Page.
Financial Statements Info	Displays a read-only version of the Financial Statements Information Page Submitted by the Institution (w/links to the Financial Statements) – See Extension Point Use Case 9 “Create Submission”
View Attachments	Displays a page where the Case User Can Access any Attachments uploaded as part of the Institution Submission – See Extension Point Use Case 9 “Create Submission”
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 “Correspondence Log”
Notes	Displays the Notes Page

3) Co-Team Leader Actor selects to return to the Home Page

The Co-Team Leader actor selects to return to the Home Page by selecting the “Home” navigation option.

4) System presents the Co-Team Leader Home Page with “Pending Assignment” Queue

The system presents the “Pending Assignment” queue described in Step 2 of the basic flow.

2.2.2 Change in Fiscal Year End Submission

From Step 2 of the Basic Flow, the Co-Team Leader actor chooses to review a Change in Fiscal Year End submission.

1) Co-Team Leader Actor selects to view the Change in Fiscal Year End Submission

The Co-Team Leader actor selects to view the submission by clicking on the “Institution Name” within the submission record for a record with type “Change in FY End.”

2) System Presents Change in Fiscal Year End Submission

The system presents the Change in Fiscal Year End Page submitted by the Institution. There is a read-only view of the month and day values entered by the institution. There is an “Accept” button.

3) Co-Team Leader Actor Selects to Archive

The Co-Team Leader actor selects the “Accept” button.

4) System Updates Institution’s Fiscal Year

The system displays the Co-Team Leader home page. The Change in Fiscal Year End submission is no longer displayed in the queue. The system updates the institution’s Fiscal Year End.

3. Special Requirements

3.1 Page Refresh

The Pending Assignment queue page will refresh upon page entry or upon action taken on the screen. This includes each time the Co-Team user selects the "Assign" button. The assigned submission will leave the queue and any new submissions for assignment will appear.

3.2 Multiple Co-Team Users

Incoming submissions may appear in the queue of multiple users designated with the role of Co-Team Leader. Once one Co-Team user assigns a submission, it will leave the "Pending Assignment" queue (upon page refresh) of any other Co-Team leaders who also received the submission. If a Co-Team user selects to assign an already-assigned submission before their page is refreshed, the system will display an error message explaining that the submission has already been assigned. In the case of two Co-Team leaders selecting to assign a submission at the same time, the system will record the time/stamp of the first processed request and display an error message to the other user.

3.3 Assign Dropdown List

The Assign Dropdown field will provide a list of all Case Team members users registered in the system. The list of users will be sorted alphabetically by last name. The user's designated to the Co-Team leader's region/case team will display first in the list.

3.4 Assign a Financial Statement to a Financial Analyst

Upon assignment of a Financial Statement to a Financial Analyst, the system will calculate a resolution due date. This date will be 45 days from the date of assignment. This resolution date will not be reset if the submission is reassigned.

4. Preconditions

4.1 Co-Team User Assigned System Role of "Co-Team Leader"

The Co-Team User's profile was created/saved as the Co-Team Leader Role in the User Management Area of eZ-Audit.

5. Postconditions

5.1 Assignments Routed to Selected Case Team Member

The system routes the Submission to the "Assigned" queue of the selected case team member.

6. Extension Points

6.1 Use Case 3 "Login to System"

Outlines eZ-Audit User's ability to sign in to the system.

6.2 Use Case 9 "Create Submission"

Defines the data elements and submission process for an Institution User.

6.3 Use Case 10 "Code Findings"

Defines the process of a Screener User assigning a deficiency code to submitted findings.

6.4 Use Case 14 "Approve Resolution Documents"

Defines the process of a Co-Team Leader approving a resolution package.

6.5 Use Case 15 "Select Institution"

Explains the Case Team User's ability to see their assigned queue and select an institution.

7. Requirements

7.1 Release 1.0 Requirements

GEN891 The system will provide the Co-Team leader the ability to assign audits to case team member.

GEN 893 The system will provide Co-Team leader the ability to assign financial statements to a case team member.

GEN 1141 The system will have a mechanism for queuing flagged/deficient compliance audits and financial statements to a Case Team Co-Team Leader for assignment to case team members.

GEN 1275 The system will queue for Co-Team Leader assignment, by Case Team, all submitted financial statements that have a composite score in the zone, that were flagged, or that have a failed composite score.

GEN 1276 The system will queue for Co-Team Leader assignment, by Case Team, all submitted compliance audits that are flagged or deficient.

7.2 Release 1.01 Requirements

The system shall calculate the resolution due date for a Financial Statement submission based on the date the record is assigned to a Financial Analyst.

7.3 Release 2.0 Requirements

CODE R20192 – The system will allow the Co-Team leader to view the "Code Findings" page for a submission in the "Pending Assignment" queue.