FSA

eZ-Audit
Use-Case Specification 14: Approve Resolution Documents

Version 2.1

Revision History

Date	Version	Description	Author
July 17, 2002	1.0	Final version created for 7/17 Deliverable Submission	Seth Sinclair
August 7, 2002	1.1	Updated to reflect approval of multiple submission types. Basic Flow- Step 2 – Consolidated queues and added ability to handle multiple submission types. Added Submission Type and Status as values in the queue. 2.1 – Step 4 – Added in left navigation options for all submission types. Revised version created for deliverable re-submission	Seth Sinclair
September 3, 2002	1.2	3.1 Added description of possible submission statuses. 5.1 Updated post-condition to reflect that some submissions are archived after Co-Team approval and that others are returned to the Case User.	Seth Sinclair
May 23, 2003	2.0	Revisions throughout to reflect Release 1.0 functionality	Andre Sakaluk
March 4, 2004	2.1	Revisions made to Basic Flow to reflect Release 2.0 requirements relating to sorting the Co-Team Lead queue	Ben Lopez

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Use-Case Specification 14: Approve Resolution Documents

1. Approve Resolution Documents

1.1 Brief Description

After an Audit Resolution Specialist (ARS) completes the DDIF, ACD, and FAD or a Financial Analyst (FA) creates a determination for Financial Statements, they will need to send these finished documents or "resolution package" to a Co-Team Leader for review and approval. See Extension Point – Use Case 17 "Send to Co-Team Leader for Approval" for details of the resolution package submission process. Once the Co-Team leader approves the resolution package, the institution record may either be archived or, in the event of a determination of Request for LOC, be sent back to a Case User for final date tracking. The purpose of this Use Case is to address the Co-Team leader's ability to view and approve the resolution package submitted by the Case Team ARS or FA.

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 Log In Process.

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

The system presents a queue to the Co-Team Leader Actor containing all reviewed submissions pending approval. A record appears in this queue once an ARS or FA completes their review and determination of an institution's submission and selects to send it to their Co-Team Leader. For each institution record appearing in these queues, the following data is displayed

- Institution Name (link)
- OPEID
- Fiscal Year End
- Date of Submission
- Resolution Due Date
- Submission Type
- Submission Status
- Completeness Status
- Reason for Referral to Case
- Assigned To
- Date Assigned
- Date Submitted for Approval

For each package appearing in the queue, the system presents to the Co-Team Leader actor the option of viewing the resolution package (by selecting the "Institution Name" link), approving the package (by selecting an "Approve" button), or returning the package to the analyst for further work (by selecting "Return" button).

There are five links next to the Pending Approval queue. They are: "Sort by Institution Name," "Sort by

Record Type," "Sort by Submisssion Type," "Sort by Oldest," and "Sort by Most Recent," each of which provides the functionality to sort the Pending Approval queue. "Sort by Institution Name" will sort both Pending Assignment and Pending Approval queues by the Name of the Institution associated with each record. "Sort by Record Type" will sort both Pending Assignment and Pending Approval queues by record type alphabetically (i.e. Compliance Audit, then Financial Statement). "Sort by Submission Type" will sort both Pending Assignment and Pending Approval queues by type alphabetically (i.e. Annual, Closeout, etc.) Secondary criterion for sorting by Institution Name, Record Type, and Submission Type will be submit date (oldest to most recent). "Sort by Oldest" will sort both Pending Assignment and Pending Approval queues by the oldest record submitted to the newest record submitted. "Sort by Most Recent" will sort both Pending Assignment and Pending Approval queues by the most recent record submitted to the oldest record submitted.

There is a second queue on the page for assigning submissions, see Extension Point – Use Case 13 "Assign Submissions" for details on this queue.

3) Co-Team Leader actor Selects to view the resolution "package"

The Co-Team Leader actor selects to view the resolution package by clicking on the "Institution Name" link within the submission record.

4) System presents the Resolution Package

A navigation-driven page is presented to the Co-Team leader with the Institution Summary displayed in the content area. See Extension Point - Use Case 15 "Select Institution" for details of the Summary Page. The navigation provides the ability to view all of the information for the selected institution's resolution package. For an Annual Submission or Stub Audit Submission, this includes links to access:

Link	Destination
Submission Summary	Returns User to Page described above.
Financial Statements Information	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"
Program and Audit Information	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 Institution's 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"
View PADL	Displays a read-only version of the PADL Page – See Extension Point Use Case 16 "Upload PADL"
View FAD	Displays a read-only version of the FAD Page – See Extension Point Use Case 19 "Upload FAD"
View ACD	Displays a read-only version of the ACD Page – See Extension Point Use Case 21 "Complete ACD"
View DDIF	Displays a read-only version of the DDIF Page – See Extension Point Use Case 20 "Complete DDIF"
View Finding Codes	Displays a read-only version of the page where the ARS can manipulate finding codes assigned by the Screener – See Extension Point Use Case 10 "Code Findings"

Manage Auditor Information	Displays the "Manage Auditor Information" page – See Extension Point Use Case 28 "Manage Auditor Information"
View Determination for Financial Statement	Displays a read-only version of the Financial Statement determination – See Extension Point Use Case 23 "Create Determination for Financial Statement"
View Score Calculation	Displays a read-only version of the Composite Score Page – See Extension Point Use Case 22 "Recalculate Scores and Ratios"
Manage Auditor Information	Displays the "Manage Auditor Information" page – See Extension Point Use Case 28 "Manage Auditor Information"
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	Returns User to the Submission Summary page.
Program and Audit Information	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 Institution's 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"
View PADL	Displays a read-only version of the PADL Page – See Extension Point Use Case 16 "Upload PADL"
View FAD	Displays a read-only version of the FAD Page – See Extension Point Use Case 19 "Upload FAD"
View ACD	Displays a read-only version of the ACD Page – See Extension Point Use Case 21 "Complete ACD"
View DDIF	Displays a read-only version of the DDIF Page – See Extension Point Use Case 20 "Complete DDIF"
View Finding Codes	Displays a read-only version of the page where the ARS can manipulate finding codes assigned by the Screener – 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	Returns User to page described above.
Financial Statements Information	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 Institution's 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"
View Determination for Financial Statement	Displays a read-only version of the Financial Statement determination page – See Extension Point Use Case 23 "Create Determination for Financial Statement"
View Score Calculation	Displays a read-only version of the Composite Score and Ratios – See Extension Point Use Case 22 "Recalculate Scores and Ratios"
Manage Auditor Information	Displays the "Manage Auditor Information" Page – See Extension Point Use Case 28 "Manage Auditor Information"
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	Returns User to page described above.
Financial Statements Information	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 Institution's 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"
View Determination for Financial Statement	Displays a read-only version of the Financial Statement determination page – See Extension Point Use Case 23 "Create Determination for Financial Statement"
View Score Calculation	Displays a read-only version of the Composite Score and Ratios – See Extension Point Use Case 22 "Recalculate Scores and Ratios"
Manage Auditor Information	Displays the "Manage Auditor Information" Page – See Extension Point Use Case 28 "Manage Auditor Information"
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 "Correspondence Log"
Notes	Displays the Notes Page

5) Co-Team Leader actor Selects to return to the Home Page

The Co-Team Leader actor selects the option to return to the "Home"/Co-Team Leader Pending Approval Queue.

6) System presents the Co-Team Leader Home Page with "Submissions Pending Approval" Queue

The system presents a queue to the Co-Team Leader Actor containing all reviewed submissions pending approval. See step #2 for details of the Home Page.

7) Co-Team Leader actor Selects to approve a resolution package

The Co-Team Leader actor selects to approve the resolution package by selecting the "Approve" option for the record.

8) System removes the record from the queue and routes it to ARS/FA or to Archive

The system removes the institution record from the pending approval queue and either archives the record or, in the case of a Request for Letter of Credit, returns the record to the FA queue for final date tracking and archival. The date of approval is tracked and displayed with the record.

2.2 Alternative Flows

2.2.1 Co-Team Leader Chooses To Return the Submission Package

From Step 2 of the Basic Flow, the Co-Team Leader actor chooses to return the submission to the Case Member for further work/analysis.

1) Co-Team Leader Actor selects to return the resolution package

The Co-Team Leader actor selects to return the package by selecting the "Return" option.

2) System presents the "Notes" Page

The system presents a "Notes" page to the user with a list of all comments made on the record, including username and timestamp for each entry. There is a blank text box for entering a new note/comment. There is a return option and a cancel option.

3) Co-Team Leader Actor enters a note/comment

The Co-Team Leader enters a note/comment in the blank text box and selects the "Return" option.

4) System returns the resolution package

The system saves the Co-Team Leader's comment in the institution record's notes page. The system removes the institution record from the Pending Approval queue and returns it to the queue of the responsible ARS or FA.

3. Special Requirements

3.1 Submission Status

The submission status field will reflect the resolution item that is pending approval. Possible statuses include:

- FAD Pending Approval
- Request for LOC Pending Approval
- Cash Monitoring 1 Pending Approval
- Cash Monitoring 2 Pending Approval

- Reimbursement Pending Approval
- Without Condition Pending Approval
- AAA Referral Pending Approval
- Denied – Pending Approval

4. Preconditions

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

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

5. Postconditions

5.1 Institution Record Returned to Case Team Member

From both the Basic Flow and Alternate Flow, the Institution Record is either returned to the ARS or FA for final tracking (Req for LOC) or archived directly (all others).

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 15 "Select an Institution"

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

6.4 Use Case 16 "Upload PADL"

Defines the process behind attaching and tracking the PADL letter.

6.5 Use Case 17 "Send to Co-Team Leader for Approval"

Outlines a Case Team User's ability to send a resolution package to a Co-Team leader for approval.

6.6 Use Case 18 "Correspondence Log"

Allows Case Team Users to track key dates for sending and receiving correspondence.

6.7 Use Case 19 "Upload FAD"

Defines the process behind attaching and tracking the FAD letter.

6.8 Use Case 20 "Complete DDIF"

Defines the process behind completing and saving the DDIF form.

6.9 Use Case 21 "Complete ACD"

Defines the process behind completing and saving the ACD form.

6.10 Use Case 22 "Recalculate Composite Scores and Ratios"

Covers the Financial Analyst's ability to perform recalculations on submitted data.

6.11 Use Case 23 "Create Determination for Financial Statement"

Explains the FA's process for selecting a resolutions and uploading any needed letters.

7. Requirements

GEN892 The system will track the date that the Co-Team leader approves the resolution of the audit (ACD, FAD, DDIF - must all have same date).

GEN1154 The system will queue the Audit Clearance Document (ACD) for Co-Team approval upon submission by ARS.

GEN 1155 The system will queue the Deficiency Data Input Form (DDIF) for Co-Team approval upon submission by ARS.

GEN1156 The system will queue the Final Audit Determination (FAD) for Co-Team approval upon submission by ARS.

7.1 Release 2.0

RES CO-TEAM LEAD R20461 – The system will allow a Co-Team leader to perform a sort on the Co-Team Leader queues (Assign and Approve) by submission /record.