

eZ-Audit
Use-Case Specification 15: Select an Institution

Version 2.4

eZ-Audit	Version: 2.4
Use-Case Specification 15: Select an Institution	Date: March 9, 2004
UC 15	

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	Revised version created for deliverable re-submission	Seth Sinclair
August 28, 2002	1.2	Section 2, Step 2 – Renamed “Date of Submission” to “Received Date” Section 2, Step 4 – Noted that Institution Name is a link to the Institution Profile Page Section 2, Step 4 – Updated left navigation link from “View Uploaded Documents” to “View Institution’s Attachments.”	Seth Sinclair
September 5, 2002	1.3	Section 2, Step 4 – Updated fields displayed to include (1) Completeness Status, (2) Pre-Screener, and (3) Screen Date.	Matt Williamson
September 10, 2002	1.4	Section 3, Added 3.3 to address possible values for Submission Status in the Case User’s queue.	Seth Sinclair
May 8, 2003	2.0	Revised version created.	Andre Sakaluk
May 11, 2003	2.1	R1.01 Initial modifications	Brian Cannavan
January 16, 2004	2.2	Revised to reflect R2.0 requirements. Specifically, a resubmission field has been added to the Submission Summary page for ARS and FA users	Ben Lopez
January 22, 2004	2.3	Revised to address the requirements pertaining to the incomplete report contained in Release 2.0	Kevin Rowland
March 9, 2004	2.4	Revised to reflect R2.0 requirements regarding School Group submissions on Case side. Changes made to Special Requirements	Ben Lopez

eZ-Audit	Version: 2.4
Use-Case Specification 15: Select an Institution	Date: March 9, 2004
UC 15	

Table of Contents

1.	Select an Institution	4
1.1	Brief Description	4
2.	Flow of Events	4
2.1	Basic Flow	4
2.2	Alternative Flows	6
2.2.1	FA Logs into the System	6
3.	Special Requirements	8
3.1	Case User Selects Institution Submission with Type other than Annual, Resubmission, or Stub	8
3.2	Additional Information Submitted	10
	Submission Status	10
3.3		10
3.4	School Group Submissions	11
3.4.1	School Group Name	11
3.4.2	Viewing School Group Submissions by Assignee	11
3.5	Handling Incomplete Submissions	11
4.	Preconditions	11
4.1	ARS User Assigned System Role of “Audit Resolution Specialist”	11
4.2	FA User Assigned System Role of “Financial Analyst”	11
5.	Postconditions	11
5.1	User Ability to Navigate Institution Record	11
6.	Extension Points	11
6.1	Use Case 3 “Login to System”	11
6.2	Use Case 4 “Maintain User Profile”	12
6.3	Use Case 7 “Query”	12
6.4	Use Case 9 “Create Submission”	12
6.5	Use Case 13 “Assign Submissions”	12
6.6	Use Case 16 “Upload PADL”	12
6.7	Use Case 17 “Send to Co-Team Leader for Approval”	12
6.8	Use Case 18 “Correspondence Log”	12
6.9	Use Case 19 “Upload FAD”	12
6.10	Use Case 20 “Complete DDIF”	12
6.11	Use Case 21 “Complete ACD”	12
6.12	Use Case 22 “Recalculate Composite Scores and Ratios”	12
6.13	Use Case 23 “Create Determination for Financial Statement”	12
6.14	Use Case 26 “Team Queue”	12
6.15	Use Case 27 “Logout”	12
6.16	Use Case 28 “Manage Users”	12
7.	Requirements	12
7.1	Release 1.0	12
7.2	Release 1.01	13
7.3	Release 2.0	13

eZ-Audit	Version: 2.4
Use-Case Specification 15: Select an Institution	Date: March 9, 2004
UC 15	

Use-Case Specification 15: Select an Institution

1. Select an Institution

1.1 Brief Description

When a Case Team User (Audit Resolution Specialist (ARS) or Financial Analyst (FA)) logs in, the System will present to them a queue of all submissions assigned to them for resolution. These are assigned to them by their Co-Team Leader, see extension point Use Case 13 - "Assign Submissions" for details on how submissions are assigned to a Case Team Member. From this queue, the Case Team user can select a specific institution record and then have access to functions such as viewing the submission, uploading any necessary letters, performing a Completeness Review and completing any other resolution tasks. This Use Case focuses on the Case Team User's ability to see their assigned queue and select an institution record.

2. Flow of Events

2.1 Basic Flow

1) ARS actor logs into the system

The System verifies the user's role of "ARS" through the Log-In Process. See Extension Point - Use Case 3 "Log in to System" for details of the Log In Process.

2) System presents the ARS Home Page with "My Queue" Displayed

The system presents a queue to the ARS Actor listing any submissions assigned to them for resolution. For each institution record appearing in the queue, the following data is displayed

- Institution Name (link, displays Institution Profile Page)
- OPEID
- Fiscal Year End
- Received Date
- Resolution Due Date
- Submission Type

- Reason for Referral to Case (pulled from the screening determination)
- Submission Status

The system presents to the ARS actor the option of accessing an individual institution record from the queue. At the top of the page, there are navigation options available to access "Home", "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) ARS Actor Selects an Annual Submission / Annual Resubmission / Stub Audit Institution Record

The ARS actor selects to access an institution record with "Submission Type" set to Annual Submission, Annual Resubmission, or Stub Audit by clicking on the "Institution Name" within the submission record.

4) System Displays the Institution Record

The System displays the Submission Summary Page. There is a left-navigation bar and a content area. In

eZ-Audit	Version: 2.4
Use-Case Specification 15: Select an Institution	Date: March 9, 2004
UC 15	

the content area there are fields at the top of the page displaying

- Institution Name (link to Institution Profile Page)
- OPEID
- DUNS

- ACN
- Fiscal Year
- Date Submission Received
- Resubmission Date (if applicable)
- Title IV Eligibility Status
- All Submissions Current
- Missing Submissions

There is a section called “Financial Statement” with fields displaying

- Financial Analyst
- Resolution Due Date
- Reason For Flagging
- Years on Zone: Total
- Years on Zone: Consecutive
- eZ-Audit Composite Score
- ED Composite Score
- Determination
- Determination Date
- Completeness Status
- Pre-Screener
- Screen Date

There is a section called “Compliance Audit” with fields displaying

- Compliance Audit Specialist
- Resolution Due Date
- Reason for Referral
- Completeness Status
- Pre-Screener
- Screen Date

There is left navigation bar providing the ability to navigate through information for the selected institution’s submission and access or view tasks. These links include:

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 Attachments	Displays a page where the Case User Can Access any Attachments

eZ-Audit	Version: 2.4
Use-Case Specification 15: Select an Institution	Date: March 9, 2004
UC 15	

	uploaded as part of the Institution Submission – See Extension Point Use Case 9 “Create Submission”
Manage Auditor Information	Displays the Manage Auditor Information Page – See Extension Point Use Case 28
Send to Co-Team Leader	Displays the “Submit to Co-Team Leader for Approval Page” – See extension 17
Complete PADL	Displays the PADL Page – See Extension Point Use Case 16 “Upload PADL”
Complete FAD	Displays the FAD Page – See Extension Point Use Case 19 “Upload FAD”
Complete ACD	Displays the ACD Page – See Extension Point Use Case 21 “Complete ACD”
Complete DDIF	Displays the DDIF Page – See Extension Point Use Case 20 “Complete DDIF”
Finding Codes	Displays a page where the ARS can manipulate finding codes assigned by the Screener – See Extension Point Use Case 10 “Code Findings”
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”
	Displays resolution summary page – See Extension Point Use Case 25 “Resolution Tracking”
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 “Correspondence Log”
Notes	Displays the Notes Page

2.2 Alternative Flows

2.2.1 FA Logs into the System

From Step 1 of the Basic Flow, the system identifies the user as having the role of Financial Analyst.

1) System presents the FA Home Page with “My Queue” Displayed

The system presents a queue to the FA Actor listing any submissions assigned to them for resolution. For each institution record appearing in the queue, the following data is displayed

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

The system presents to the FA actor the option of accessing an individual institution record from the queue. At the top of the page, there are navigation options available to access “Audit Home”, “Update My User

eZ-Audit	Version: 2.4
Use-Case Specification 15: Select an Institution	Date: March 9, 2004
UC 15	

Profile,” “Search,” “Team Queue,” “Reports,” “Manage Users”, “Logout.”

2) FA Actor Selects an Annual Submission / Annual Resubmission / Stub Audit Institution Record

The FA actor selects to access an institution record with “Submission Type” set to either Annual Submission, Annual Resubmission, or Stub Audit by clicking on the “Institution Name” within the submission record.

3) System Displays the Institution Record

The System displays the Institution Summary Page. There is a left-navigation bar and a content area. In the content area there are fields at the top of the page displaying

- Institution Name (link to Institution Profile Page)
- OPEID
- DUNS
- ACN
- Fiscal Year End
- Date Submissions Received
- Resubmission Date (if applicable)
- Title IV Eligibility Status
- “All Submissions Current”
- Missing Submissions

There is a section called “Financial Statement” with fields displaying

- Financial Analyst
- Resolution Due Date
- Reason For Flagging
- Years on Zone: Total
- Years on Zone: Consecutive
- eZ-Audit Composite Score
- ED Composite Score
- Determination
- Determination Date
- Completeness Status
- Pre-Screener
- Screen Date

There is a section called “Compliance Audit” with fields displaying

- Compliance Audit Specialist
- Resolution Due Date
- Reason for Referral
- Completeness Status
- Pre-Screener
- Screen Date

There is left navigation bar providing the ability to navigate through information for the selected institution’s submission and access or view tasks. These links include:

Link	Destination
Submission Summary	Returns User to page described above.
Financial Statements	Displays a read-only version of the Financial Statements

eZ-Audit	Version: 2.4
Use-Case Specification 15: Select an Institution	Date: March 9, 2004
UC 15	

	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”
Complete Determination for Financial Statement	Displays a the Financial Statement determination page – See Extension Point Use Case 23 “Create Determination for Financial Statement”
Complete Score Calculation	Displays the Composite Score and Ratios – See Extension Point Use Case 22 “Recalculate Scores and Ratios”
Complete Manage Auditor Information	Displays the Manage Auditor Information Page – See Extension 28
Send to Co-Team Leader for Approval	Displays the “Submit to Co-Team Leader for Approval Page” – See Extension Point Use Case 17 “Send to Co-Team Leader for Approval”
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 Findings Codes	Displays a page where the ARS can manipulate finding codes assigned by the Screener – See Extension Point Use Case 10 “Code Findings”
View Manage Auditor Information	Displays the Manage Auditor Information Page – See Extension 28
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 “Correspondence Log”
Notes	Displays the Notes Page

3. Special Requirements

3.1 Case User Selects Institution Submission with Type other than Annual, Resubmission, or Stub

From Step 2 of the Basic flow, the Case Users selects to view a submission with Submission Type of “Closeout.” The following left navigation options are presented:

Link	Destination

eZ-Audit	Version: 2.4
Use-Case Specification 15: Select an Institution	Date: March 9, 2004
UC 15	

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 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”
Complete PADL	Displays the PADL Page – See Extension Point Use Case 16 “Upload PADL”
Complete Upload FAD	Displays the FAD Page – See Extension Point Use Case 19 “Upload FAD”
Complete ACD	Displays the ACD Page – See Extension Point Use Case 21 “Complete ACD”
Complete DDIF	Displays the DDIF Page – See Extension Point Use Case 20 “Complete DDIF”
Complete Manage Auditor Information	Displays the “Manage Auditor Information Page” – See Extension Point Use Case 28
Adjust Finding Codes	Displays the “Code Findings Page” – See Extension Point Use Case 10
Send to Co-Team Leader for Approval	Displays the “Submit to Co-Team Leader for Approval Page” – See Extension Point Use Case 17 “Send to Co-Team Leader for Approval”
Resolution Tracking	Displays resolution summary page – See Extension Point Use Case 25 “Resolution Tracking”
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 “Correspondence Log”
Notes	Displays the Notes Page

For a Submission Type of “Reinstatement,” the following left navigation options are presented:

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”
Complete Determination for Financial Statement	Displays a the Financial Statement determination page – See Extension Point Use Case 23 “Create Determination for Financial Statement”
Complete Score Calculation	Displays the Composite Score and Ratios – See Extension Point

eZ-Audit	Version: 2.4
Use-Case Specification 15: Select an Institution	Date: March 9, 2004
UC 15	

	Use Case 22 “Recalculate Scores and Ratios”
Complete Manage Auditor Information	Displays the “Manage Auditor Information Page” – See Extension Point Use Case 28
Send to Co-Team Leader for Approval	Displays the “Submit to Co-Team Leader for Approval Page” – See Extension Point Use Case 17 “Send to Co-Team Leader for Approval”
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 “Correspondence Log”
Notes	Displays the Notes Page

For a Submission Type of “Change in Ownership,” the following left navigation options are presented:

Link	Destination
Submission Summary	Returns User to page described above.
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”
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”
Complete Determination for Financial Statement	Displays a the Financial Statement determination page – See Extension Point Use Case 23 “Create Determination for Financial Statement”
Complete Manage Auditor Information	Displays the “Manage Auditor Information Page” – See Extension Point Use Case 28
Complete Score Calculation	Displays the Composite Score and Ratios – See Extension Point Use Case 22 “Recalculate Scores and Ratios”
Send to Co-Team Leader for Approval	Displays the “Submit to Co-Team Leader for Approval Page” – See Extension Point Use Case 17 “Send to Co-Team Leader for Approval”
Resolution Tracking	Displays resolution summary page – See Extension Point Use Case 25 “Resolution Tracking”
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 “Correspondence Log”
Notes	Displays the Notes Page

3.2 Additional Information Submitted

When an institution submits additional information for any previously made submission, the system will present a link on the left navigation bar of the institution record. This page will allow the Case User to view the additional information submitted.

3.3 Submission Status

The following are possible values for Submission Status in the Case User queue:

- Review Not Started (Default until Case User selects Institution Name link from queue to access record)
- Review in Progress (Displays after Case User selects Institution Name link)

eZ-Audit	Version: 2.4
Use-Case Specification 15: Select an Institution	Date: March 9, 2004
UC 15	

- Pending Receipt of LOC (Displays after a determination of Request for LOC is approved by a Co-Team Leader and returned to the Case User's queue)
- Returned (Displays after a Co-Team leader has returned a record for further review)

3.4 School Group Submissions

The system will allow Case Users to access all related attachments when viewing any portion of a Consolidated/Unconsolidated School Group Submission.

3.4.1 School Group Name

If a Case User is viewing a School Group Submission, the School Group "Name" will appear at the top of the page, in the heading with OPEID, FYE, and ACN #. School Group "Name" data will be pulled from PEPS.

3.4.2 Viewing School Group Submissions by Assignee

If a Case User is viewing a School Group Submission, a link will appear on the Submission Summary Page named "School Group Assignments." This link will display a page titled "School Group Assignments" that will display a grid with all Institutions in a School Group. The grid will include each Institution's OPEID, Name, type of submission submitted (Financial Statement, Compliance Audit, etc.) and the name of the Case User assigned to complete for resolution, and the Case Team name of the Case User assigned to the record.

3.5 Handling Incomplete Submissions

In the case where a submission is marked incomplete, the submission summary page will be modified. The system will provide a page similar to the one described in item 4 of the Basic Flow but will identify to the Case User the incomplete status of the submission along with a link to the actual Incomplete Letter Report.

In the page header of the submission summary page the "Submission Status:" of the submission will be marked "Incomplete." Also in the page header, a link "Link to Incomplete Letter" will be provided by the system that will allow the Case user to view the Incomplete Letter. When the user selects this link found on the submission summary page, the system will return the Incomplete Letter in a viewable format.

4. Preconditions

4.1 ARS User Assigned System Role of "Audit Resolution Specialist"

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

4.2 FA User Assigned System Role of "Financial Analyst"

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

5. Postconditions

5.1 User Ability to Navigate Institution Record

The ARS or Financial Analyst will have the ability to access the institution submission, resolution tasks, and return to their Home queue.

6. Extension Points

6.1 Use Case 3 "Login to System"

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

eZ-Audit	Version: 2.4
Use-Case Specification 15: Select an Institution	Date: March 9, 2004
UC 15	

6.2 Use Case 4 “Maintain User Profile”

Explains the User Profile Page and how this data is managed.

6.3 Use Case 7 “Query”

Defines the functions of the Archive page and how records are retrieved.

6.4 Use Case 9 “Create Submission”

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

6.5 Use Case 13 “Assign Submissions”

Explains Co-Team Leader’s ability to assign submissions to a Case Team member.

6.6 Use Case 16 “Upload PADL”

Defines the process behind attaching and tracking the PADL letter.

6.7 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.

6.8 Use Case 18 “Correspondence Log”

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

6.9 Use Case 19 “Upload FAD”

Defines the process behind attaching and tracking the FAD letter.

6.10 Use Case 20 “Complete DDIF”

Defines the process behind completing and saving the DDIF form.

6.11 Use Case 21 “Complete ACD”

Defines the process behind completing and saving the ACD form.

6.12 Use Case 22 “Recalculate Composite Scores and Ratios”

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

6.13 Use Case 23 “Create Determination for Financial Statement”

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

6.14 Use Case 26 “Team Queue”

Describes the Team Queue page. The Team Queue displays a list of all assignments and their status per team.

6.15 Use Case 27 “Logout”

Describes the system’s logout functionality.

6.16 Use Case 28 “Manage Users”

Describes the system functionality provided for adding/deleting users.

7. Requirements

7.1 Release 1.0

This Use Case pertains to navigation functionality created as a result of system design analysis. This does not map to specific requirements.

GEN1244 The system will allow ED Users to enter their "analysis" regarding the resolution of compliance

eZ-Audit	Version: 2.4
Use-Case Specification 15: Select an Institution	Date: March 9, 2004
UC 15	

audits.

GEN1245 The system will allow ED Users to enter their "analysis" regarding the resolution of financial statements.

7.2 Release 1.01

The system will display both the eZ-Audit and ED Composite Scores on the Submission Summary page.

7.3 Release 2.0

RES R20286 The system will display a "Resubmission Date" on the Submission Summary Page

SCH GRP R20288 The system will allow Case Users to access all related attachments when viewing any portion of a CUC School Group submission.

R20202 The system will allow Case Users to view an Incomplete Letter.

R20203 The system will provide an "Incomplete" label in the Page Header of all incomplete submissions for Case view.

R20205 The system will allow case users to access an incomplete letter directly from Submission Summary.

R20462 The system will allow Resolution users to view "School Group name" when viewing a school group submission.

R20632 The system will Case Users the ability to view who all records in a School Group submission are assigned to for resolution.

SCH GRP The system will display "Case Team" as a column on the School Group Assignment page