

eZ-Audits
Use-Case Specification 20:
Complete Deficiency Data Input Form (DDIF)

Version 2.2

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Complete Deficiency Data Input Form	Date: 03/04/2004
Use Case 20	

Revision History

Date	Version	Description	Author
07-17-2002	1.0	Final version created for 7/17 Deliverable Submission	Maja Dragnic
08-05-2002	1.1	Revised version created for deliverable re-submission	Matt Portolese
09-03-2002	1.2	Added "Clear Form" button on the data entry page. Name of the institution is a link to the institution profile page. Added FAC ACN to the top of each page. Removed all data entered at the bottom half of DDIF (information captured in Correspondence Log)	Maja Dragnic
10-01-2002	Changes not made yet in the text of the Use Case	Clear Form button will clear everything on the page. Delete Entry button will be replaced with Edit Entry button. When Edit button is selected, there is going to be Delete button next to the Add Entry button. Delete button will erase text entered in the Add Entry section. There is no need for the Save button on the generated DDIF page. The message: "The Amount Receivable on the ACD does not equal to the values entered in the Specialist Liability fields on DDIF" will be presented on the generated DDIF page.	Maja Dragnic
05-13-2003	2.0	Revised version to incorporate requirements for Release 1.0	Andre Sakaluk
05-16-2003	2.1	Revised version to incorporate requirements for Release 1.01	Melanie Greiner
03-04-2004	2.2	Revised to reflect Release 2.0 requirements regarding the creation of multiple DDIFs. Added to Alternate Flows and Special Requirements.	Ben Lopez

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Use-Case Specification: Complete Deficiency Data Input Form (DDIF)

1. Complete Deficiency Data Input Form (DDIF)

1.1 Brief Description

Audit Resolution Specialist creates Deficiency Data Input Form (DDIF) when resolving a compliance audit. Audit Resolution Specialist uses the DDIF to record audit liabilities by deficiency code, changes, deletions, and additions to deficiency codes assigned to findings. The DDIF is one of the two documents that officially close the audit report (the other document is Audit Clearance Document).

The information on the DDIF is the source of critical information retained for risk and other analysis of the institution's performance. The detailed information on liabilities also supports, and must reconcile to, the liabilities reported on the ACD.

When the Audit Resolution Specialist completes DDIF, he/she sends DDIF (together with Final Audit Determination and Audit Clearance Document) to the Co-Team Leader for approval.

2. Flow of Events

2.1 Basic Flow

1) Audit Resolution Specialist actor logs into the system

The System verifies the user's role of "Audit Resolution Specialist" through the Log In process. See Extension Point – Use Case 3 for details of the Log In process.

2) System displays Audit Resolution Specialist Home Page

See Extension Point – Use Case 15 for details of the Audit Resolution Specialist Home Page.

3) Audit Resolution Specialist actor selects to view a compliance audit

See Extension Point – Use Case 15 for details of the selecting a particular institutional record.

4) System displays information for the selected compliance audit

See Extension Point – Use Case 15 for details of the selecting a particular institutional record.

5) Audit Resolution Specialist actor selects "Complete DDIF" function

Audit Resolution Specialist actor selects "Complete DDIF" function

6) System displays data entry page for DDIF

System displays data entry page for DDIF.

On the top of the page, the following are displayed: Institution's Name (which is a link to the Institution Profile Page), OPEID, ACN, and FYE Date.

There is a Review Begin Date field.

In order to add each entry, the actor must enter or select values in the following fields:

- Type of Entry (drop-down box);
- Original Code # (drop-down box);

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Revised Code #;
Specialist Liability;
Repayment Method (drop-down box).

There is an Add Entry button. Upon selecting this button, table gets populated with the information entered/selected above.

Table has eight columns, the names of which are:

Type of Entry
Original Code Number
Revised Code Number
Specialist Liability
Repayment Method
Specialist Liability
Repayment Method
Delete Entry

There are three buttons on the bottom of the page: “Clear Form”, “Save”, and “Generate DDIF”.

There are two buttons on the left side of the table: “Modify” and “Delete”

7) System displays the “Review-Being Date”.

8) Audit Resolution Specialist actor selects value in a field in the “Type of Entry” column

(Fields in the “Type of Entry” column are drop-down boxes. Values that the Audit Resolution Specialist actor can select are:

A – Add Code
C – Change Code
D – Delete Code
E – Establish Liability
U – Update Liability

Audit Resolution Specialist actor can select only one value per a field in “Type of Entry” column.)

Audit Resolution Specialist actor selects “Type of Entry” from a drop-down box.

9) System displays selected value for the Type of Entry

System displays selected value selected by Audit Resolution Specialist actor for the Type of Entry

10) Audit Resolution Specialist actor enters values in other fields in the first table of fields

Audit Resolution Specialist actor enter values into following fields:

	Field Name	Description
9	Original Code Number	This field is a drop-down box. Values that can be selected in this box are populated by the system from the Code Findings screen.
10	Revised Code Number	This is a free text box. (It should allow for an entry of four numeric characters).
11	Specialist Liability	This is a free text box.
12	Repayment Method	This field is a drop-down box. Values that can be selected are:

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	Field Name	Description
		B – Loan Discharge C – Cash Returned to Federal Account at Institution D – Funds to Direct Loan Organization Center E – Education Finance Accounts Receivable L – Not Required to Pay Assessed Liability Amt < \$1000 N – Check to Perkins Loan Fund R – Repayment to FFEL Program S – Repayment to Student T – Fine (Used to AAA) V – Paid to ED (Liability already recovered by ED Finance)
11A	Specialist Liability	Same as 11.
12A	Repayment Method	Same as 12.

11) System displays the value entered by the Audit Resolution Specialist actor

System displays the values that the Audit Resolution Specialist Actor entered into fields in Steps 7, 9, and 11.

12) Audit Resolution Specialist actor selects Add Entry button

14) System populates the table with the information entered/selected by the Audit Resolution Specialist

15) Audit Resolution Specialist actor selects the Save option

Audit Resolution Specialist actor selects the Save option.

13) System saves the values entered by the Audit Resolution Specialist actor

System saves the values entered by the Audit Resolution Specialist actor.

14) Audit Resolution Specialist selects “Generate DDIF” function

Audit Resolution Specialist selects “Generate DDIF” function.

15) System performs edit checks and populates some fields

15.1

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Upon selection of “Generate DDIF” functionality, the System will perform an edit check on the Original Code number field to ensure that the value entered matches one of the codes entered by the Screener during the “Code Findings” process. See extension point Use Case 10 – Code Findings for details on the initial entering and saving of Findings codes.

If the “Type of Entry” selected in step 3.1 is either Add Code or Change Code, the System will need to update the list of codes originally entered by the screener to reflect the “Revised Code Number” entered in field 10.

If the “Type of Entry” selected in step 3.1 is Delete Code, the system will need to remove the code entered in the “Original Code Number” field from the list of codes originally entered by the screener. (note – for delete, the update should not take place until the resolution package is approved by the Co-Team leader).

15.2

System populates the following fields from data entered during the submission process:

State
Revision Begin Date
Audit Control Number
Completion Date
Assign Date
Lead Specialist
Responsible Specialist

15.3

System calculates the total value of the values entered into Specialist Liability fields. System saves that value. (Total value is a sum of all values entered into fields in Specialist Liability columns (columns numbered 11 and 11A))

15.4

System checks if the Audit Clearance Document has been created yet. The Audit Clearance Document has been created at the value in field number 24 (Total Amount Recoverable) on ACD equals to the total of the values entered in Specialist Liability fields on DDIF.

16) System displays DDIF form

System displays DDIF form.

The first section of the form displays general information and contains the following fields:

Field Number	Field Name	Description
	State	System populated field based on the submission data
	Revision Begin Date	System populated field based on the submission data
	Audit Control Number	System populated field based on the submission data
	Completion Date	System populated field

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Field Number	Field Name	Description
	Assign Date	System populated field based on the assign compliance audit process
	Lead Specialist	System populated field based on the assign compliance audit process
	Responsible Specialist	System populated field based on the assign compliance audit process
	Lead Specialist	System populated field based on the assign compliance audit process

Next is displayed first table of fields that is described in Step 6. All displayed values were entered by the Audit Resolution Specialist. Under the first table of fields there is following text:

“ Type of Entry:

A – Add Code

C -- Change Code

D -- Delete Code

E – Establish Liability

U -- Update Liability

Note: Enter only new codes, revised codes, or codes that have an established or updated liability”

Then is displayed second table of fields that is described in Step 6. Fields in this table are populated by Audit Resolution Specialist’s input as described in Alternative flow 2.2.1.

Following text is displayed at the bottom of the page:

“**Repayment Methods:**

B – Load Discharge

C – Cash Returned to Federal Account at Institution

D – Funds to Direct Loan Organization Center

E – Education Finance Accounts Receivable

L – Not Required to Pay Assessed Liability Amt < \$1000

N – Check to Perkins Loan Fund

R – Repayment to FFEL Program

S – Repayment to Student

T – Fine (Used to AAA)

V – Paid to ED (Liability already recovered by ED Finance)”

17) Audit Resolution Specialist selects Save option

Audit Resolution Specialist selects Save option.

18) System saves created DDIF and sets a flag

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System saves created DDIF and sets a flag indicating that the DDIF has been created.

2.2 Alternative Flows

2.2.1 *Audit Resolution Specialist actor needs to save entered information before generating DDIF*

(Audit Resolution Specialist actor might need to enter some information on the Data Entry Page for DDIF (described in Step 6 of the Basic Flow) and then exit the screen without generating the form. For this reason there should be a “Save” option on the Data Entry Page for DDIF).

- 1) Audit Resolution Specialist actor enters some of the information described in the Basic Flow and/or Alternative Flow 2.2.1. Audit Resolution Specialist actor then selects “Save” option and exits the screen.
- 2) System saves all entered information.

2.2.2 *Audit Resolution Specialist actor needs to modify generated DDIF*

(Audit Resolution Specialist actor might need to modify information on DDIF after he/she generated DDIF. Audit Resolution Specialist actor should be able to make any modification he/she likes until DDIF is sent to the Co-Team leader for approval. That is why on the Generated DDIF screen there should be Edit option. Audit Resolution Specialist actor should not be able to make any modifications, however, when DDIF is sent to Co-Team leader for approval).

Steps 1 – 17 are same as in the Basic Flow.

18) Audit Resolution Specialist actor selects Edit option

Audit Resolution Specialist actor selects Edit option

19) System displays Data Entry Page for DDIF

System again displays Data Entry Page for DDIF described in Step 6 in the Basic Flow.

All fields are editable.

19) Audit Resolution Specialist actor makes change on Data Entry Page for DDIF

Audit Resolution Specialist actor makes changes on the Data Entry Page for DDIF,

The rest of the steps are the same as Steps 12 – 18 in the Basic Flow.

2.2.3 *Amounts on the DDIF and ACD are different (value in the field 24 on the ACD does not equal to the total value of the amounts entered into Specialist Liability fields on the DDIF)*

Steps 1 – 15.4 are same as in the Basic Flow.

15.4) System checks if the Audit Clearance Document has been created yet. The Audit Clearance Document has been created and the value in field number 24 (Total Amount Recoverable) on ACD does not equal to the total of the values entered in Specialist Liability fields on DDIF. System displays error message to the Audit Resolution Specialist stating that the two values do not equal to each other.

16) Audit Resolution Specialist actor selects Modify option

Audit Resolution Specialist actor selects Modify option

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17) System displays Data Entry Page for DDIF

System again displays Data Entry Page for DDIF described in Step 6 in the Basic Flow. Values previously entered are retained. All fields are editable.

18) Audit Resolution Specialist actor makes change on Data Entry Page for DDIF

Audit Resolution Specialist actor makes changes on the Data Entry Page for DDIF,

The rest of the steps are the same as Steps 12 – 18 in the Basic Flow.

2.2.4 ACD was not created before DDIF

Steps 1 – 15.4 are same as in the Basic Flow.

15.4) System checks if the Audit Clearance Document is created yet. The Audit Clearance Document is not created yet.

Steps 16 – 18 are same as in the Basic Flow.

2.2.5 Creating Amended DDIFs

2.2.5.1 User needs to create an Amended DDIF for the First time (corresponding Amended ACD already created)

1) From the top navigation bar, user selects the Search button

The system displays the Search page.

2) User enters criteria to search for the Original DDIF and selects the Search button on the page

The system re-displays the search page with all entries matching the criteria entered.

3) User locates and selects the Original DDIF.

The generated view of the Original DDIF appears. At the bottom of the screen an “Amend DDIF” button appears.

4) User selects the “Amend DDIF” button.

The system displays the DDIF Data Entry Page as in Step 6 of the Basic Flow.

5) User completes Basic Flow steps 8-14, as required, to complete the new DDIF.

The system will display the amended generated DDIF screen, with “save” and “modify” buttons. If the user accepts the changes, he will select the “accept” button. If changes must be made, then the user should select the “modify” button, and he will be returned to the DDIF data entry page.

6) User selects the “save” button

The system displays the DDIF List page, which shows the history of all DDIFs created for this Submission. The system will show the Original DDIF and all subsequent DDIFs created, each with its own date/time stamp stating when it was created, submitted to Co-Team Lead, and

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approved by Co-Team Lead. The system checks to see if a corresponding Amended ACD has been created for the Amended DDIF.

7) User selects the “Send to Co-Team Lead” button

The system redisplay the DDIF List page, with a new date/time stamp for the most current DDIF, showing that it has just been submitted to Co-Team Lead for Approval

2.2.5.2 User needs to create a Second Amended DDIF (Amended ACD already created)

1) User repeats steps 1-3 as in Alternate Flow 2.2.5

The system displays the DDIF List page, with the history of all DDIFs created for this Submission. The List page is displayed because there has been more than one DDIF created for this submission.

2) User selects the most recent DDIF from the list.

The system displays the Generated page of the DDIF, with an “Amended DDIF” button at the bottom of the page.

3) Repeat steps 4-7 of Alternate Flow 2.2.5 to complete the Amended DDIF

The system redisplay the DDIF List page, with a new date/time stamp for the most current DDIF, showing that it has just been submitted to Co-Team Lead for approval

2.2.5.3 User needs to create an Amended DDIF for the First Time (no corresponding Amended ACD has been created)

1) Repeat steps 1-6 as in Alternate Flow 2.2.5 to complete the Amended DDIF

The system displays the DDIF List page with the complete DDIF history. The systems checks to see if a corresponding Amended ACD (by version number) has been created yet.

2) The system creates a Flag to mark that an Amended DDIF has been created

3) User selects the “Send to Co-Team Lead” link from the left navigation bar
User selects the Send to Co-Team to send the Amended Audit Resolution Package.

3) System displays an error message that the ACD has not yet been created

The system will display an error message that a corresponding ACD has not yet been created for the DDIF, and the user cannot send to the Co-Team Lead until an ACD is completed. A link to the ACD is displayed.

4) User selects the “ACD” link from the page (or the left navigation bar) to complete the Amended Audit Resolution Package.

Extension Point – See UC 21 “Complete ACD,” Alternate Flows section to complete the Resolution Package

2.2.5.4 User needs to create a Second Amended DDIF (no corresponding Amended ACD has been created)

User repeats steps 1-3 as in Alternate Flow 2.2.5

The system displays the DDIF List page, with the history of all DDIFs created for this Submission. The List page is displayed because there has been more than one DDIF created for this submission.

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4) User selects the most recent DDIF from the list.

The system displays the Generated page of the DDIF, with a “New DDIF” button at the bottom of the page.

5) Repeat steps 4-6 of Alternate Flow 2.2.5 to complete the new DDIF

The system displays the DDIF List page with the complete DDIF history. The systems checks to see if a corresponding Amended ACD (by version number) has been created yet. If it has not, the “Send to Co-Team Lead” button will not appear on the left navigation bar.

6) The system creates a flag to mark that a new DDIF has been created.

7) User selects the “ACD” link from the left navigation bar to complete the Amended Audit Resolution Package.

Extension Point – See UC 21 “Complete ACD,” Alternate Flows section to complete the Resolution Package

3. Special Requirements

3.1 In the case of a system generated error, the system will re-display the Data Entry Page for DDIF described in Step 6 in the Basic Flow. Values previously entered will be retained. All fields are editable.

3.2 If a user creates an Amended DDIF for a submission, corresponding Amended ACD must be created before the system will allow a user to send the entire Audit Resolution Package to be sent to the Co-Team Lead.

3.3 The system will not allow an Amended DDIF to be created until the previous DDIF has been approved by a Co-team Lead and archived.

4. Preconditions

4.1 Audit Resolution Specialist actor is logged into eZ-audit system

4.2 Audit Resolution Specialist actor selected the institution/financial statement for which he/she wants to complete DDIF

5. Postconditions

5.1 DDIF is completed and ready to be sent to Co-Team leader for approval

6. Extension Points

6.1 List of requirements related to this use case

6.1.1 Release 1.0

GEN937: The system will allow appropriate ED users the ability to edit finding codes.

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GEN956: The System will allow the ARS to generate a standard DDIF form to be customized with data input for each institution.

GEN957: The System will provide the ability for the Audit Resolution Specialist to record the dollar amount of liability by finding in the repayment method.

GEN959: The System will allow the Audit Resolution Specialist to record the date that the Deficiency Data Input Form (DDIF) was generated for an institution.

GEN960: The DDIF will pre-populate Name of Institution.

GEN961: The DDIF will pre-populate State in which the institution is located.

GEN962: The DDIF will pre-populate OPE ID.

GEN963: The DDIF will pre-populate Audit Control Number.

GEN965: The DDIF will provide a field for the Review Begin Date to be entered.

GEN969: The DDIF will provide a field for a code to be selected for the Type of entry:

GEN970: The system will provide on the DDIF, as one of the types of entry, A- Add a Change Code.

GEN971: The system will provide on the DDIF, as one of the types of entry, C- Change a Code

GEN972: The system will provide on the DDIF, as one of the types of entry, D- Delete a Code

GEN973: The system will provide on the DDIF, as one of the types of entry, E- Establish Liability

GEN974: The system will provide on the DDIF, as one of the types of entry, U- Update a Liability

GEN975: The DDIF will provide a field for the Original Code Number to be selected.

GEN977: The DDIF will provide a field for the Specialist Liability to be entered.

GEN978: The DDIF will provide a field for a code to be selected for the type of Repayment Method:

GEN979: The system will provide on the DDIF, as a one of the repayment method types: B- Loan Discharge

GEN980: The system will provide on the DDIF, as a one of the repayment method types: C- Cash Returned to Federal Account at Institution.

GEN981: The system will provide on the DDIF, as a one of the repayment method types: D- Funds to Direct Loan Origination Center

GEN982: The system will provide on the DDIF, as a one of the repayment method types: E- Education Finance Accounts Receivable

GEN983: The system will provide on the DDIF, as a one of the repayment method types: L- Not Required to Pay Assessed Liability Amount < \$1000

GEN984: The system will provide on the DDIF, as a one of the repayment method types: N- Check to Perkins Loan

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GEN985: The system will provide on the DDIF, as a one of the repayment method types: R- Repayment to FFEL Program

GEN986: The system will provide on the DDIF, as a one of the repayment method types: S- Repayment to Student

GEN987: The system will provide on the DDIF, as a one of the repayment method types: T- Fine

GEN988: The system will provide on the DDIF, as a one of the repayment method types: V- Paid to ED

GEN989: The DDIF will provide a field for a code to be selected for the type of Correspondence Type:

GEN990: The system will provide on DDIF, as a one of the Correspondence Type options: A -- Additional Information

GEN991: The system will provide on DDIF, as a one of the Correspondence Type options: C – Closure

GEN992: The system will provide on DDIF, as a one of the Correspondence Type options: I -- Institutional Response

GEN993: The system will provide on DDIF, as a one of the Correspondence Type options: O -- Assessing Liability for Missing Close-Out Audit

GEN994: The system will provide on DDIF, as a one of the Correspondence Type options: R -- Appeal Resolution

GEN995: The system will provide on DDIF, as a one of the Correspondence Type options: S – Special

GEN996: The system will provide on DDIF, as a one of the Correspondence Type options: T – Transmittal

GEN997: The system will provide on DDIF, as a one of the Correspondence Type options: X -- Transmittal and Closure

GEN998: The system will provide on DDIF, as a one of the Correspondence Type options: Z -- Solicit 3070 Documents

GEN999: The system will provide on DDIF, as a one of the Correspondence Type options: Q -- Denied 3070 Request

GEN1000: The system will provide on DDIF, as a one of the Correspondence Type options: P -- Approved 3070 Request

GEN1004: The system will provide on DDIF, as a one of the Correspondence Type options: 6 -- Phone call

GEN1006: The DDIF will provide a field for the Sender Organization to be entered.

GEN1008: The DDIF will provide a field for the Receiver Organization to be entered.

GEN1010: The system will track the DDIF liability amounts.

GEN1012: The system will prepopulate field with Lead Specialist.

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GEN1013: The system will prepopulate field with Responsible Specialist.

GEN1014: The system will prepopulate field with assign date.

GEN1016: The system will prepopulate field with completion date.

GEN1017: The system will provide Case Team users the ability to edit Deficiency Data Input Form (DDIF).

GEN1019: The system will have edit checks to verify that the amounts entered on the ACD and DDIF are equal.

Acceptance of the Use Case as written will require modification and CCB Review of the following requirements:

GEN964: The DDIF will provide a field for the Date audit was assigned by Co-Team Leader to ARS to be entered.

GEN966: The DDIF will provide a field for the Completion Date to be entered.

GEN967: The DDIF will provide a field for the Name of lead ARS who resolved the audit to be entered.

GEN968: The DDIF will provide a field for Name of the responsible specialist to be entered.

GEN976: The DDIF will provide a field for the Revised Code Number to be selected.

GEN1007: The DDIF will provide a field for the Receiver Date to be selected.

GEN1009: The DDIF will provide a field for the Reply Due Date to be selected.

GEN1015: The system will prepopulate field with review begin date.

6.1.2 Release 1.01

The system will retain all values on the DDIF page when the user encounters a system generated error.

6.1.3 Release 2.0

RES AUDIT R20453 – The system will allow a Resolution user to record multiple DDIFs for a Compliance Audit record.

RES AUDIT R20685 – The system will allow an unlimited number of ACD/DDIF amendments.

RES AUDIT R20688 – The system will allow analysts to create amended ACDs and new DDIFs after an original Audit Package has been archived.

RES AUDIT R20689 – The system will require amended Resolution Packages to be sent to Co-Team Leads for approval before being archived.

6.2 Use Case 3 “Login to System”

This use case provides a detailed explanation of the Login process.

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6.3 Use Case 15 “Select an Institution”

This use case explains the Case Team User’s ability to see their assigned queue and select an institution.