
FSA

eZ-Audit
UC 29 Resolve Exemption/Waiver Request

Version 2.2

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UC 29 Resolve Exemption/Waiver Request	Date: March 10, 2004
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Revision History

Date	Version	Description	Author
September 9, 2002	1.0	Initial version created based on Impact Analysis	Seth Sinclair
May 14, 2003	2.0	Revisions throughout to reflect Release 1.0 functionality	Andre Sakaluk
May 23, 2003	2.1	Revised to incorporate requirements for Release 1.01	Melanie Greiner
March 10, 2004	2.2	Revised to incorporate requirements for Release 2.0, including: changes to basic flow, changes to alternate flow, and requirements	Ben Lopez

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UC 29 Resolve Exemption/Waiver Request

1. Resolve Exemption/Waiver Requests

1.1 Brief Description

When an Institution submits an Exemption or Waiver Request through the eZ-Audit system, a Case Team User will need to view the request and record if it should be approved or denied. For an A-133 institution, approval of an "Exemption Request" permits the institution to submit only un-audited financial statements. For a FSA institution, approval of a "Waiver Request" permits the institution to defer submissions.

2. Flow of Events

2.1 Basic Flow

2.1.1 *Resolve Waiver Request*

1) Case User Actor Selects a Waiver Request Record (for Exemptions see Basic Flow 2.1.2)

The ARS actor selects to access a Waiver Request by clicking on the "Institution Name" within the submission record.

2) System Displays the Waiver Request Record

The System displays the waiver request page. The left-navigation bar provides links to Waiver/Exemption Request, Correspondence Log, and Notes. The page's main content area contains the following:

- Institution Name (read-only)
- OPEID (read-only)
- Link to the Institution's attached Waiver Request Submission
- Determination Box
- Save function

3) Case User Selects to View Attachment

The Case User selects the link to view the Institution's submitted Waiver Request.

4) System Opens Attachment

The system opens and displays the PDF attachment in a separate window.

5) Case User Selects to Approve and Save

The Case User selects "Approve" in the Determination dropdown box and selects "Save".

6) System Refreshes Page for Approve

The System refreshes the Waiver Resolution page. Institution name and OPEID are displayed at the top of the page. The following fields are displayed in the first section on the page:

- Determination (Dropdown; Set to Approved)
- User Name (Pre-populated)
- Date (Pre-populated)
- Notes

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- Fiscal Year End 1 (Dropdown w/current and next fiscal year available)
- Fiscal Year End 2
- Fiscal Year End 3
- Next Due Date

There is another section with fields to capture:

- Rescinded (Date Field)
- User Name
- Date

There is a Save option, a Cancel option, and a Resolution Complete option.

7) Case User Selects Year

The Case User enters any desired notes and selects a Fiscal Year in the “Fiscal Year End 1” field.

8) System Presents Page with Dates Displayed

The System displays the page with the value selected for Fiscal Year 1. Upon selecting save, values in the Fiscal Year End 2, Fiscal Year End 3, and Next Due Date fields are displayed based on the selection made in the Fiscal Year End 1 field.

9) Case User Selects to Complete the Resolution

The Case User selects the Resolution Complete option.

10) System Archives the Record and Updates Submission Pages

The System displays the Case User’s Home page. The Waiver Request record is no longer displayed in the User’s Queue. The system makes appropriate updates to the Institution’s submission pages (See Post-Conditions).

2.1.2 Exemption Request

1) Case User Actor Selects an Exemption Request Record (for Waivers see Basic Flow 2.1.1)

The ARS actor selects to access an Exemption Request by clicking on the “Institution Name” within the submission record.

2) System Displays the Exemption Request Record

The System displays the exemption request page. The left-navigation bar provides links to Waiver/Exemption Request, Correspondence Log, and Notes. The page’s main content area contains the following:

- Institution Name (read-only)
- OPEID (read-only)
- Link to the Institution’s attached Waiver Request Submission
- Determination Box
- Save function

3) Case User Selects to View Attachment

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The Case User selects the link to view the Institution's submitted Exemption Request.

4) System Opens Attachment

The system opens and displays the PDF attachment in a separate window.

5) Case User Selects to Approve and Save

The Case User selects "Approve" in the Determination dropdown box and selects "Save".

6) System Refreshes Page for Approve

The System refreshes the Exemption Resolution page. Institution name and OPEID are displayed at the top of the page. The following fields are displayed in the first section on the page:

- Determination (Dropdown; Set to Approved)
- User Name (Pre-populated)
- Date (Pre-populated)
- Notes
- Fiscal Year End (Dropdown w/current and next fiscal year available)
- Next Due Date

There is another section with fields to capture:

- Rescinded (Date Field)
- User Name
- Date

There is a Save option, a Cancel option, and a Resolution Complete option.

7) Case User Selects Year

The Case User enters any desired notes and selects a Fiscal Year in the "Fiscal Year End" field.

8) System Presents Page with Dates Displayed

The System displays the page with the value selected for the Fiscal Year. Value in the Next Due Date field is displayed based on the selection made in the Fiscal Year End field.

9) Case User Selects to Complete the Resolution

The Case User selects the Resolution Complete option.

10) System Archives the Record and Updates Submission Pages

The System displays the Case User's Home page. The Exemption Request record is no longer displayed in the User's Queue. The system makes appropriate updates to the Institution's submission pages (See Post-Conditions).

2.2 Alternative Flows

2.2.1 User Selects to Deny Waiver or Exemption Request

From Step 8 of the Basic Flow, the Case User chooses Deny.

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1) Case User Selects the Deny Option

The Case User selects the “Denied” Option from the Determination Dropdown list.

2) System Presents Page for Deny

The System refreshes the Waiver/Exemption Resolution page. Institution name and OPEID are displayed at the top of the page. The following fields are displayed in the first section on the page:

- Determination (Dropdown; Set to Denied)
- User Name (Pre-populated)
- Date (Pre-populated)
- Notes

There is another section with fields to capture:

- Rescinded (Date Field)
- User Name
- Date

There is a Save option, a Cancel option, and a Resolution Complete option.

3) Case User Selects to Complete the Resolution

The Case User enters any desired notes and selects the Resolution Complete option.

4) System Archives the Record

The System displays the Case User’s Home page. The Waiver Request record is no longer displayed in the User’s Queue.

2.2.2 User Selects to Rescind Waiver/Exemption

At any point during the basic flow or after archival, the User may find that the Waiver/Exemption Request has been rescinded. The User may access the record through their queue or through query.

1) Case User Selects to View Record

The User selects the Institution Record from their queue or through a search.

2) System Displays the Record

The System displays a page providing fields to capture resolution of the Waiver/Exemption Request. Institution name and OPEID are displayed at the top of the page. The following fields are displayed in the first section on the page:

- Determination
- User Name (read-only)
- Date (read-only)
- Notes

There is another section with fields to capture

- Rescinded (Date field)
- User Name (read-only, blank)

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- Date (read-only, blank)

Any previously saved values are displayed. There is a Save option, a Cancel option, and a Resolution Complete option.

3) Case User Selects to Rescind the Waiver/Exemption

The Case User enters the date the waiver/exemption will be rescinded in the Date Field, and selects “Save”.

4) System Presents Page w/Rescinded

The System refreshes the Waiver Resolution page. Institution name and OPEID are displayed at the top of the page. Any previously saved values are displayed at the top of the page.

There is another section with fields to capture:

- Rescinded (Date Field)
- User Name (Pre-populated)
- Date (Pre-populated)

There is a Save option, a Cancel option, and a Resolution Complete option.

5) Case User Selects to Complete the Resolution

The Case User enters any desired notes and selects the Resolution Complete option.

6) System Archives the Record

The System displays the Case User’s Home page. The Exemption/Waiver Request record is no longer displayed in the User’s Queue. If Rescinded is selected after an Exemption/Waiver request was already approved, the system will return the Institution submission pages to the standard version that requires annual submission.

7) System displays appropriate Submission links on Institution Home Pages

The system will display the appropriate submission links on the Rescinded Institution’s Home Page. If an exemption is rescinded, the Institution Home Page displays an Annual Submission link that contains both Financial Statement and Compliance Audit data. If a waiver is rescinded, the system will display the link to the oldest Annual Submission that is due because of the rescinded waiver. Once the Institution submits that submission, the system will display the next oldest Annual Submission link, etc., until the Institution has submitted all Submissions the rescinded waiver applied to.

3. Special Requirements

3.1 Notes Auto Update

Entries into the Notes field will result in automatic updates to the Notes tracking page upon selection of Save or Resolution Complete options.

3.2 Save/Cancel Functionality

Selection of Save will result in the system saving the entered information and will update any calculated values on the page. The record will remain in the User’s queue. Updates to the Institution Submission

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screens will not occur until the User selects the Resolution Complete option. The Cancel option will reset the page to any previously saved values.

4. Preconditions

4.1 Exemption/Waiver Request Submitted

An institution has submitted an Exemption/Waiver Request through the system. See Extension Point Use Case 9 – “Create Submissions.”

4.2 Exemption/Waiver Request Assigned

The submitted request was routed to a Co-Team leader for assignment. The Co-Team leader selected to assign the submission to a Case Team User for resolution. See Extension Point Use Case 13 – “Assign Submissions.”

4.3 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.

4.4 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 Updates Made to Institution Submission Pages

For an approved A-133 Exemption, the Institution Submission pages will update to allow the Institution to submit un-audited financial statements

For an approved FSA Waiver request, the Institution Submission pages will update to display a message explaining that no submission is required until the end of the Waiver period.

For any approved waiver that is later Expired or Withdrawn, the Institution Submission pages will update to display the annual submission pages.

5.2 Record Available for Query

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.

6.2 Use Case 7 “Query”

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

6.3 Use Case 9 “Create Submission”

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

6.4 Use Case 13 “Assign Submissions”

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

7. Requirements

7.1 Release 1.0

The Use Case developed for Release 1.0 pertains to navigation functionality created as a result of system design analysis. This does not map to specific requirements.

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GENXXXX The system will provide a screen to track the resolution of an FSA waiver/A-1333 exemption request, including fields to capture approval status, FY End dates, and next due date.

GENXXXX The system will update an institution's submission screens to capture only un-audited financial statements when an A-133 institution's waiver status is set to approved.

GENXXXX The system will update an institution's submission screens to display a message that no submission is required when an FSA school's waiver status is set to approved.

GENXXXX The system will allow an ED user to indicate that a waiver request has been withdrawn or expired.

GEN XXXX The system will adjust an institution's submission screens to provide access to the standard annual submission process screens when the institution's waiver status is set to withdrawn or cancelled.

7.2 Release 1.01

The system will provide fields to capture Exemption information on the Waiver Resolution page.

7.3 Release 2.0

R20477 The system will provide a field on the Waiver Exemption Resolution page to capture the date the Waiver is withdrawn.

R20478 Remove the "Expired" field.

R20479 The system will provide a field on the Waiver Exemption Resolution page to allow the resolution user to indicate a Waiver Exemption has been Rescinded.