

DEPARTMENT OF EDUCATION-FSA  
FMS INTEGRATION PARTNER  
PROGRAM FUNCTIONAL DESIGN



AMENDED ANNUAL FORM 2000 ENHANCEMENT  
TO 130 – FORM 2000 ENHANCEMENTS

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Prepared By: Kim Hsu	Date: March 12, 2003	Subject: Amended Annual Form 2000 Enhancement FD
		TO 130- Amended Annual Form 2000 Enhancement
		Version: 1.0

## TABLE OF CONTENTS

<b>DOCUMENT CHANGE CONTROL</b>	<b>3</b>
<b>APPROVAL</b>	<b>3</b>
<b>SPECIFICATION</b>	<b>4</b>
<b>GENERAL REQUIREMENTS</b>	<b>5</b>
BUSINESS OBJECTIVE:	5
COMPONENT DESCRIPTION:	5
COMPONENT RISKS:	5
DEVELOPMENT COMPLEXITY:	5
EXISTING ANNUAL FORM 2000 ASSUMPTION:	6
AMENDED ANNUAL FORM 2000 ASSUMPTIONS:	6
<b>DESIGN</b>	<b>7</b>
ANNUAL FORM 2000 LAYOUT MODIFICATIONS:	7
DETAILED DESCRIPTION OF NEW/CHANGES TO EXISTING PROGRAM:	13
DATABASE OBJECTS TO BE MODIFIED/CREATED:	15
<b>DEPENDENCIES</b>	<b>19</b>
DEPENDENCIES ON OTHER RICE COMPONENTS:	19
DEPENDENCIES ON OTHER BUSINESS COMPONENTS:	19
DESIGN CONSTRAINTS:	19
PERFORMANCE CONSIDERATIONS:	19
IMPLEMENTATION CONSIDERATIONS:	19
OTHER DEPENDENCIES/SPECIAL CONCERNS:	19
<b>ERROR HANDLING</b>	<b>20</b>
<b>TESTING REQUIREMENTS</b>	<b>20</b>
<b>ISSUES AND ADDITIONAL CONSIDERATIONS</b>	<b>23</b>



Subject: Amended Annual Form 2000 Enhancement FD
TO 130- Amended Annual Form 2000 Enhancement
Version: 1.0

Prepared By: Kim Hsu	Date: March 12, 2003
----------------------	-------------------------

## Document Change Control

Date	Author	Version	Change Reference
03/12/03	Kim Hsu	1.0	Initial Creation
04/16/03	Kim Hsu	1.1	1. Updated design with button text to be in mixed case instead of all caps. 2. Added FP viewable records order and status to assumptions and detailed design.

## Approval

<b>Created By:</b>	Kim Hsu	312-693-4395	<b>Creation Date:</b> 03/12/2003
<b>Team Lead Sign Off:</b>	Joanna Zieba	312-693-3414	<b>Sign Off Date:</b> 04/11/2003
<b>Project Lead Sign Off:</b>	Jen Alden	202-962-0682	<b>Sign Off Date:</b> 04/15/2003
<b>FSA Representative Sign Off:</b>	Matt Fontana	202-377-3005	<b>Sign Off Date:</b>



		Subject: Amended Annual Form 2000 Enhancement FD
		TO 130- Amended Annual Form 2000 Enhancement
Prepared By: Kim Hsu	Date: March 12, 2003	Version: 1.0

## Specification

<b>Program Name:</b>	FMS Amended Annual Form 2000 Enhancement
<b>Functional Design Document ID &amp; Title:</b>	AMENDED_ANNUAL_FORM2000_FD
<b>Application:</b>	FMS Annual Form 2000
<b>Priority:</b>	High
<b>Estimated Production Date:</b>	July 2003
<b>Other Affected Applications:</b>	FMS Oracle GL
<b>Comments:</b>	This enhancement may also be referred to as the Annual Form Resubmit Enhancement



		Subject: Amended Annual Form 2000 Enhancement FD
		TO 130- Amended Annual Form 2000 Enhancement
Prepared By: Kim Hsu	Date: March 12, 2003	Version: 1.0

## General Requirements

### Business Objective:

As part of TO 130, FMS has been tasked with enhancing the Annual Form 2000 to enable the Guaranty Agencies (GAs) to create amended Annual entries. Currently, the GAs only have the ability to submit the Annual entries once and are not able to resubmit data on this form for the same fiscal year.

The objective of the Amended Annual Form 2000 enhancement is to allow the GA's to submit an amended Annual Form 2000 after the original Annual Form 2000 has been accepted by the Financial Partner (FP) for a fiscal year. The GAs will have the ability to submit the amended Annual Form 2000 for a prior fiscal year an unlimited number of times until the next fiscal year is entered.

### Component Description:

The Annual Form 2000 report allows the GAs and the FPs to process annual financial information. The information captured in this form corresponds to entries AR-1 through AR-57 on Form 2000 and is saved within the FFELGA\_ANNUAL\_REPORTS and FFELGA\_ANNUAL\_ITEMS tables. The GA user submits the Annual Form 2000 to the FPs for acceptance.

To fulfill the Business Objective, the Amended Annual Form 2000 requirements will be built into the original Annual Form 2000 functionality. The GA's will be able to query existing Annual Form 2000 records and amendments, and will be able to create an amendment on the most recent record by selecting the new Amend button and then modifying the Amount/CY Actual fields. When an amended Annual Form 2000 is submitted, the amendment data will be saved as a new record. The original record will not be over-written.

Two new physical enhancements will be added to the Annual Form 2000. The Amendment Date and an Amend button will be displayed in the header of the form. The Amendment Date field will be populated with the creation date of the amendment if the record is an amendment. The Amend button will be displayed if the record is the most updated record, and has a status of "Accepted". Records that have a status of "Accepted" will not be updateable unless the record is the most current record and the Amend button is displayed. When the Amend button is selected, the GA Comments field and the current year amount fields will be enabled for users to edit. However, the projection amount fields will remain disabled. The Submit button will be displayed and enabled only for GA managers to submit the amendment to the FPs.

### Component Risks:

None

### Development Complexity:

Medium



Subject: Amended Annual Form 2000 Enhancement FD
TO 130- Amended Annual Form 2000 Enhancement
Version: 1.0

Prepared By: Kim Hsu	Date: March 12, 2003
----------------------	-------------------------

**Existing Annual Form 2000 Assumption:**

(The following assumptions are also applicable to the Amended Annual Form 2000 Enhancements)

1. An Annual Form 2000 record may have one of the following statuses: New, In Process, Submitted, Accepted, and Rejected.
2. A record is never saved with a status of "New". If a record has a status of "New" in the form, it will be saved with a status of "In Process" in the database.
3. GAs are only able to delete "In Process" records.
4. The layout of the form when entering a "New" record will not be modified. This means that the Amendment Date and the Amend button will not be displayed.
5. If a record has a status of "Submitted", no fields will be updateable, and all buttons will be disabled. No amendments or changes will be allowed until the record is accepted or rejected by the FP.
6. When saving changes made to records that are amendments with a status of "Rejected" or "In Process", the record will be updated, not inserted, in the database.
7. When a GA is creating a new record, the GA Code, Status, Source, and GA Name are display only fields and will automatically be populated. The ED Comments field will be grayed out and disabled.
8. An Annual Form 2000 record for a fiscal year will not be entered until all Annual Form 2000 records from the prior fiscal year have a status of "Accepted".
9. When a GA is creating a new record, the Submit button will only be displayed and enabled if the GA is a manager.
10. FPs are only able to view records that have a status of "Submitted", "Accepted", or "Rejected."

**Amended Annual Form 2000 Assumptions:**

11. The GAs will have the ability to submit an amended Annual Form 2000 after the original Annual Form 2000 or after a previous amendment has been accepted by the FPs for a fiscal year.
12. GA users are allowed to view, modify, and save the Amended Annual Form 2000. Only GA Managers are allowed to submit the Amended Annual Form 2000 for the FPs to review.
13. GAs are able to view and submit records only for their own GA code. Therefore, the GA Code is not used to query records.
14. Two new columns will be added to the Annual Form 2000 table. One column will hold the amendment version number and the other will hold the most updated record flag. The amendment version number and the most updated record flag will not be displayed on the form, but the data in these fields will be stored in the database table.
15. The Amended Annual Form 2000 for a prior fiscal year may be submitted an unlimited number of times for each GA code until the Annual Form 2000 for the next fiscal year is entered.
16. The GAs will have the ability to query all existing Annual Form 2000 records and amendments.
17. The Amendment Date field will be displayed in the header of the form and will only be populated if the record is an amendment. The Amendment Date will be the creation date of the amendment.
18. The "Amend" button will be displayed in the header of the form only for the most current record that has a status of "Accepted".
19. In order to make an amendment, the GAs will select the Amend button to enable all updateable fields.
20. The GAs will only have the ability to modify the most updated record, and if there is a modification, the amendment will be saved as a new record.
21. Amendments submitted for records that have a status of "Accepted" will be created as a new record in the database.
22. All original entries for a GA code for a year will be assigned an amendment version number of 0.
23. All records that currently exist in the database will have a null amendment version number.
24. Each itemized line item for items AR-20, AR-25, AR-36, and AR-39 will be linked to each GA Code/ Fiscal year, including amendments, by the AR id in the database tables. Therefore, no columns need to be added to the FFELGA\_ANNUAL\_ITEMS table. This also means that for each record created in the Annual Form 2000, there will be a record created for each itemized line item related to that Annual Form 2000 record.
25. When making amendment updates in the Schedule of Itemized Line Items screen, only the Amt/CY Actual field and the Explanation field will be updateable. The Item No, Sub-Category, Sub-category Flag, and current year projection fields will not be updateable. The user will not be able to delete or add new line items to this screen.



Prepared By: Kim Hsu	Date: March 12, 2003	Subject: Amended Annual Form 2000 Enhancement FD
		TO 130- Amended Annual Form 2000 Enhancement
		Version: 1.0

26. If a GA User has view only privileges, the Amend button will never be displayed. The Amendment Date field will be populated if the record is an amendment.
27. All text in fields that are updateable when entering a new record, but NOT updateable when entering in amendments will be displayed in gray when creating or updating amendments.
28. For an amendment that has a status of "In Process", the Fiscal Year field will not be updateable.
29. GA's that submit via file transfer will need to complete amendments on line.

## Design

### Annual Form 2000 Layout Modifications:

(The following layouts are sample layouts. Existing and future Annual Form 2000 Layouts may appear slightly different.)

#### Layout 1

GA (Manager View) Annual Form 2000 layout for a "New" record (no changes made to this form):

The screenshot shows a web-based application window titled "SFA GA Annual Financial Report". The window has a menu bar with "Action", "Edit", "Query", "Go", "Folder", "Special", and "Help". Below the menu bar, there are several input fields for record information:

- GA Code: 708
- Status: New
- Source: Form
- Fiscal Year: 1
- GA Name: Colorado Student Loan Program
- GA Comments: (empty text area)
- ED Comments: (empty text area)

Below these fields is a table with the following columns: Item No, Category Detail, Amount/ CY Actual, CY + 1 Projection, CY + 2 Projection, CY + 3 Projection, CY + 4 Projection, and CY + 5 Projection. The table is titled "Loans in Repayment" and contains 8 rows of data, all with a value of 0 in the "Amount/ CY Actual" column.

Item No	Category Detail	Amount/ CY Actual	CY + 1 Projection	CY + 2 Projection	CY + 3 Projection	CY + 4 Projection	CY + 5 Projection
AR-1	Loans Guaranteed (	0					
AR-2	All Loans Canceled	0					
AR-3	Federal Consolidati	0					
AR-4	Federal Consolitati	0					
AR-5	Uninsured Loans	0					
AR-6	Loans Transferred I	0					
AR-7	Loans Tranferred O	0					
AR-8	Default Claims Paid	0					

A "Submit" button is located at the bottom right of the window.



Subject: Amended Annual Form 2000 Enhancement FD
TO 130- Amended Annual Form 2000 Enhancement
Version: 1.0

Prepared By: Kim Hsu	Date: March 12, 2003
----------------------	-------------------------

### Layout 2

GA (Manager View) Amended Annual Form 2000 layout for the most current, to-be-amended record. The following displays a record that is the initial entry for a fiscal year:

The screenshot shows the 'SFA GA Annual Financial Report' window. At the top, there are fields for GA Code (708), Status (Accepted), Source (Farm), and Fiscal Year (2002). The GA Name is 'Colorado Student Loan Program'. Below these are empty fields for GA Comments, ED Comments, and Amendment Date. An 'Amend' button is visible next to the Amendment Date field. The main part of the window is a table with columns for Item No, Category Detail, Amount/ CY Actual, and CY + 1 through CY + 5 Projections. The table is titled 'Federal Fund' and contains rows for various categories like Beginning Balance, Investment Earnings, Reinsurance from E, Collections of Default, Insurance Premiums, Other Revenues, Claims Expensed to, and Recall of Federal Fu.

Item No	Category Detail	Amount/ CY Actual	CY + 1 Projection	CY + 2 Projection	CY + 3 Projection	CY + 4 Projection	CY + 5 Projection
AR-15	Beginning Balance (	3,690,264	1,057,432	1,049,190	2,250,057	3,403,135	4,670,456
AR-16	Investment Earnings	21,996	21,149	20,984	45,001	68,063	93,409
AR-17	Reinsurance from E	28,715,724	30,591,664	35,036,126	30,990,928	44,903,907	49,289,510
AR-18	Collections of Default	93,458	106,679	122,680	141,082	162,245	186,582
AR-19	Insurance Premiums	408,636	1,305,000	2,764,137	3,040,551	3,344,606	3,679,067
AR-20	Other Revenues	9,944	15,000	15,000	15,000	15,000	15,000
AR-21	Claims Expensed to	29,264,164	31,215,985	35,934,487	41,227,761	46,292,688	51,077,212
AR-22	Recall of Federal Fu	676,905	0	0	0	0	0

Attributes to Note:

- The enabled Amend button signifies that amendments can be made to this record.
- The blank Amendment Date field that is displayed in the form signifies that this is an original submission.

### Layout 3a

GA (Manager View) Amended Annual Form 2000 layout for the most current, to-be-amended record. The following displays a record that is already an amendment:

The screenshot shows the 'SFA GA Annual Financial Report' window. The fields for GA Code (708), Status (Accepted), Source (Form), and Fiscal Year (2002) are the same as in Layout 2. The GA Name is 'Colorado Student Loan Program'. The Amendment Date field is now populated with '27-JAN-03 10:35:45'. The 'Amend' button is still visible. The table structure and data are identical to the one in Layout 2.

Item No	Category Detail	Amount/ CY Actual	CY + 1 Projection	CY + 2 Projection	CY + 3 Projection	CY + 4 Projection	CY + 5 Projection
AR-15	Beginning Balance (	3,690,264	1,057,432	1,049,190	2,250,057	3,403,135	4,670,456
AR-16	Investment Earnings	21,996	21,149	20,984	45,001	68,063	93,409
AR-17	Reinsurance from E	28,715,724	30,591,664	35,036,126	39,990,928	44,903,907	49,289,510
AR-18	Collections of Default	93,458	106,679	122,680	141,082	162,245	186,582
AR-19	Insurance Premiums	408,636	1,305,000	2,764,137	3,040,551	3,344,606	3,679,067
AR-20	Other Revenues	9,944	15,000	15,000	15,000	15,000	15,000
AR-21	Claims Expensed to	29,264,164	31,215,985	35,934,487	41,227,761	46,292,688	51,077,212
AR-22	Recall of Federal Fu	676,905	0	0	0	0	0

Attributes to Note:

- The enabled Amend button signifies that amendments can be made to this record.
- The populated Amendment Date field signifies that the original submission was amended.



Subject: Amended Annual Form 2000 Enhancement FD
TO 130- Amended Annual Form 2000 Enhancement
Version: 1.0

Prepared By: Kim Hsu	Date: March 12, 2003
----------------------	-------------------------

**Layout 3b**

GA (Manager View) Amended Annual Form 2000 Schedule of Itemized Line Items layout for the most current, to-be-amended record. The following displays the Schedule of Itemized Line Items screen when the AR 20 Button is selected on the Amended Annual Form 2000 (no changes have been made to this form):

Item No	Sub-category	Sub-category Flag	Amt/ CY Actual	CY + 1 Proj	CY + 2 Proj	CY + 3 Proj	CY + 4 Proj	CY + 5 Proj	Explanation
AR-20	Claim Recor	FFEL	81710	84000	86000	88000	90000	92000	Claim Explanator
AR-20	Adjust for F	FFEL	4015000	0	0	0	0	0	
AR-20	Federal Rec	FFEL	1716104	1680000	1170000	1150000	1150000	1100000	
AR-20	Adjustment	FFEL	3211372	0	0	0	0	0	Adjustment Exple
AR-20	Other	FFEL	70023	0	0	0	0	0	
Total:			9094209	1764000	1256000	1238000	1240000	1192000	

**Layout 4a**

GA (Manager View) Amended Annual Form 2000 layout after the Amend button is selected:

GA Code: 708    Status: Accepted    Source: Form    Fiscal Year: 2002  
 GA Name: Colorado Student Loan Program  
 GA Comments: |  
 ED Comments:  
 Amendment Date: 27-JAN-03 10:35:45    Amend

Item No	Category Detail	Amount/ CY Actual	CY + 1 Projection	CY + 2 Projection	CY + 3 Projection	CY + 4 Projection	CY + 5 Projection
AR-15	Beginning Balance (	3,690,264	1,057,432	1,049,190	2,250,057	3,403,136	4,670,456
AR-16	Investment Earnings	21,996	21,149	20,984	45,001	68,063	93,409
AR-17	Reinsurance from E	28,715,724	30,591,664	35,036,126	39,990,928	44,903,907	49,289,510
AR-18	Collections of Defaul	93,458	106,679	122,600	141,082	162,245	186,562
AR-19	Insurance Premiums	408,636	1,305,000	2,764,137	3,040,551	3,344,606	3,679,067
AR-20	Other Revenues	9,944	15,000	15,000	15,000	15,000	15,000
AR-21	Claims Expensed to	29,264,164	31,215,985	35,934,487	41,227,761	46,292,608	51,077,212
AR-22	Recall of Federal Fu	676,905	0	0	0	0	0

Attributes to Note:

- The cursor is set in the GA Comments field.
- The Amend button is disabled.
- The text in the current year projection fields is displayed in gray, which signifies that these fields are not updateable.
- The Submit button is enabled.



Subject: Amended Annual Form 2000 Enhancement FD
TO 130- Amended Annual Form 2000 Enhancement
Version: 1.0

Prepared By: Kim Hsu	Date: March 12, 2003
----------------------	-------------------------

**Layout 4b**

GA (Manager View) Amended Annual Form 2000 Schedule of Itemized Line Items layout for a record being amended. The following displays the Schedule of Itemized Line Items screen when the AR 20 Button is selected on the Amended Annual Form 2000 after the Amend button is selected:

Item No	Sub-category	Sub-category Flag	Amt/ CY Actual	CY + 1 Proj	CY + 2 Proj	CY + 3 Proj	CY + 4 Proj	CY + 5 Proj	Explanation
AR-20	Claim Recor	FFEL	81710	84000	86000	88000	90000	92000	Claim Explanation
AR-20	Adjust for F	FFEL	4015000	0	0	0	0	0	
AR-20	Federal Rec	FFEL	1716104	1690000	1170000	1150000	1150000	1100000	
AR-20	Adjustment	FFEL	3211372	0	0	0	0	0	Adjustment Exple
AR-20	Other	FFEL	70023	0	0	0	0	0	
<b>Total:</b>			<b>9094209</b>	<b>1764000</b>	<b>1256000</b>	<b>1238000</b>	<b>1240000</b>	<b>1192000</b>	

Attributes to Note:

- The text in the Item No, Sub-category, Sub-category Flag, CY + 1 Proj, CY + 2 Proj, CY + 3 Proj, CY + 4 Proj, and CY + 5 Proj fields are displayed in gray, which signifies that these fields are not updateable.
- The Save button is enabled.

**Layout 5**

GA (Manager View) Annual Form 2000 Layout when the record is not the most updated amended record:

Item No	Category Detail	Amount/ CY Actual	CY + 1 Projection	CY + 2 Projection	CY + 3 Projection	CY + 4 Projection	CY + 5 Projection
AR-15	Beginning Balance (	3,690,264	1,057,432	1,049,190	2,250,057	3,403,135	4,670,456
AR-16	Investment Earnings	21,996	21,149	20,984	45,001	68,063	93,409
AR-17	Reinsurance from E	26,715,724	30,591,664	35,036,126	39,990,928	44,903,907	49,289,510
AR-18	Collections of Defaul	93,458	106,679	122,680	141,082	162,245	186,582
AR-19	Insurance Premiums	408,636	1,305,000	2,764,137	3,040,551	3,344,606	3,679,067
AR-20	Other Revenues	9,944	15,000	15,000	15,000	15,000	15,000
AR-21	Claims Expensed to	29,264,164	31,215,985	35,934,487	41,227,761	46,292,688	51,077,212
AR-22	Recall of Federal Fu	676,905	0	0	0	0	0

Attributes to Note:

- The hidden Amend button signifies that no amendments can be made to this record.
- The Submit button is disabled.



Subject: Amended Annual Form 2000 Enhancement FD
TO 130- Amended Annual Form 2000 Enhancement
Version: 1.0

Prepared By: Kim Hsu	Date: March 12, 2003
----------------------	-------------------------

**Layout 6**

FP Annual Form 2000 Layout for an amendment that will be either accepted or rejected upon review:

**SFA GA Annual Financial Report** [X]

Action Edit Query Go Folder Special Help

GA Code: 708    Status: Accepted    Source: Form    Fiscal Year: 2002

GA Name: Colorado Student Loan Program

GA Comments: [ ]

ED Comments: [ ]

Amendment Date: 27-JAN-03 10:35:45

Item No	Category Detail	Amount/ CY Actual	CY + 1 Projection	CY + 2 Projection	CY + 3 Projection	CY + 4 Projection	CY + 5 Projection
Loans in Repayment							
AR-1	Loans Guaranteed (	2,300,600					
AR-2	All Loans Canceled	222,333					
AR-3	Federal Consolidati	0					
AR-4	Federal Consolitati	111,222					
AR-5	Uninsured Loans	0					
AR-6	Loans Transferred I	0					
AR-7	Loans Transferred O	22,444					
AR-8	Default Claims Paid	0					

Attributes to Note:

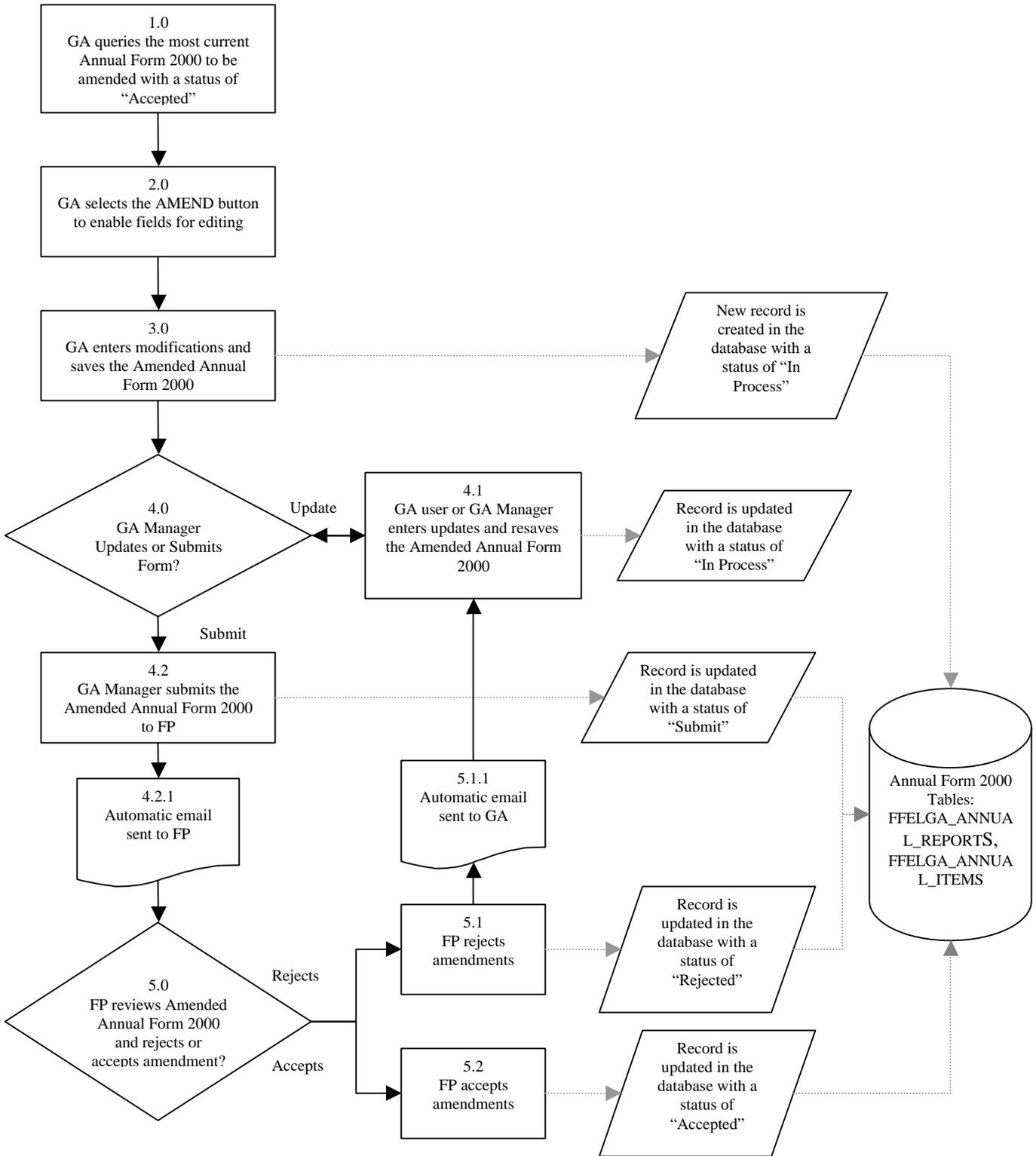
- The Amendment Date field is populated when the record is an amendment.
- Amend button is not displayed.



Subject: Amended Annual Form 2000 Enhancement FD
TO 130- Amended Annual Form 2000 Enhancement
Version: 1.0

Prepared By: Kim Hsu	Date: March 12, 2003
----------------------	-------------------------

Process Flow Diagram:





		Subject: Amended Annual Form 2000 Enhancement FD
		TO 130- Amended Annual Form 2000 Enhancement
Prepared By: Kim Hsu	Date: March 12, 2003	Version: 1.0

**Detailed Description of New/Changes to Existing Program:**

1.0 When a GA needs to make a change to an Annual Form 2000 that has already been accepted for a specific fiscal year, the GA will query on the fiscal year for the most recent record.

The following are EXISTING attributes and requirements when querying the Amended Annual Form 2000:

- a. GAs will be able to query all records, including amendments, for all fiscal years with their GA Code.
- b. No fields will be updateable for all queried records.
- c. The item buttons, AR 20, AR 25, AR 36, and AR 39 will be enabled to view the Schedule of Itemized Line Items window.
- d. All fields in the Schedule of Itemized Line Items window will not be updateable. The SAVE button will be disabled, but the RETURN button will be enabled.

The following are NEW attributes and requirements when querying the Amended Annual Form 2000 (See Layouts 2, 3a, 3b, and 5 in the Design section for examples):

- e. When querying records for a fiscal year, the most updated record will be displayed first. The order of the queried records will be based upon the amendment version number, where the record with the greatest amendment version number will be displayed first and the record with the smallest amendment version number will be displayed last.
- f. The Amend button will be displayed on the most updated record for the most current fiscal year with a status of "Accepted". All other records will have the Amend button hidden. This means that an Amended Annual Form 2000 for a fiscal year may be submitted, or modified, an unlimited number of times until the Annual Form 2000 for the next fiscal year is saved. Also, GAs will have the ability to submit an amended Annual Form 2000 only after the original Annual Form 2000 has been accepted by the FP for a fiscal year.
- g. The Amendment Date will only display if the record is an amended record. A blank Amendment Date will indicate that the record is the initial record.
- h. The Amendment Date will display the date and time in the following format: DD-MON-YY HH:MM:SS
- i. The Amendment Date will not be updateable. This field will be for display purposes only.

2.0 The GA will select the Amend button when changes need to be made to a form.

The following are NEW attributes and requirements after selecting the Amend button in the Amended Annual Form 2000 (See Layouts 4a and 4b in the Design section for examples):

- a. The Amend button will be disabled to prevent the GAs from selecting the button again.
- b. The GA Comments field will be the only updateable field in the header. The cursor will be set to this field first when a record becomes updateable.
- c. The Amount/CY Actual fields will be updateable.
- d. All projection fields will not be updateable and the text in these fields will be displayed in gray.
- e. The Submit button will only be enabled and displayed if the GA is a manager. This is existing functionality, but it is considered new functionality because it is enabled after the Amend button is selected.
- f. The Amendment Date field is populated for the most current record, and the field will remain populated to show that an amendment is being amended. When the new amendment is saved, the date and time the new record is saved will be inserted into the creation date column for the amendment record in the database.
- g. The Amt/CY Actual fields and the Explanation field in the Schedule of Itemized Line Items window will be updateable. All other fields will not be updateable and the text in these fields will be displayed in gray. The SAVE button and the RETURN button will be enabled.



		Subject: Amended Annual Form 2000 Enhancement FD
		TO 130- Amended Annual Form 2000 Enhancement
Prepared By: Kim Hsu	Date: March 12, 2003	Version: 1.0

### 3.0 GA enters modifications and saves the Amended Annual Form 2000

The following are NEW attributes and requirements when saving the Amended Annual Form:

- a. When modifying a record that has status of “Accepted”, a new record will be inserted into the Annual Form 2000 tables, FFELGA\_ANNUAL\_REPORTS and FFELGA\_ANNUAL\_ITEMS.
- b. The status inserted into the table for the record will be “In Process”.
- c. A sequence number will be assigned to the amendment in the AMENDMENT\_VERSION\_NUMBER column. For example, if the previous record had an amendment sequence number of 1, the new record will have an amendment sequence number of 2. The initial entry of a record will have an AMENDMENT\_VERSION\_NUMBER of 0. The Amendment Version Number will not be displayed on the form.
- d. The MOST\_UPDATED\_RECORD\_FLAG column will be set to “Y” for the new record. Only one Annual Form 2000 record for a GA can have the MOST\_UPDATED\_RECORD\_FLAG column set to “Y”.
- e. The previous record that had the MOST\_UPDATED\_RECORD\_FLAG set to “Y” will be updated to “N”.
- f. A check will be performed to make sure that a change has been made to the record, before saving it as an amendment. This check will prevent saving an amendment that has the same exact data as the original record. If no changes have been detected, the user should not be allowed to save and a warning message will display: “No changes have been made to this record. This record cannot be saved unless a change has been made.”

### 4.0 GA Manager either updates the Annual Form 2000, or submits the form to the FP.

#### 4.1 If there are updates that need to be made, either a GA user or a GA manager will make the updates.

The following are EXISTING attributes and requirements to the form for updating and saving records that have an “In Process” status:

- a. The Amt/CY Actual fields, current year projection fields, and the GA comment field will be updateable for records that are not amendments.
- b. In the header, GA Code, Status, Source, and GA name will be display only fields.
- c. Modifications made to “In Process” records will update the record in the database.

The following are NEW attributes and requirements to the form for updating and saving records that have an “In Process” status:

- d. If the record is an amendment, the Amendment Date will display the date the record was created in the header. If the record to-be-amended is the initial entry, the field will be blank.
- e. If the record is an amendment, the Fiscal Year field will not be updateable.
- f. For records that are amendments, the Amount/CY Actual fields and GA comment field will be updateable. The current year projection fields, including the fields with calculations, will not be updateable and the text in these fields will be displayed in gray.
- g. In the Schedule of Itemized Line Items screen, the Amount/CY Actual fields and the Explanation field will be updateable for records that are amendments. All other fields, including the current year projection total fields, will not be updateable and will be displayed in gray text.

#### 4.2 No more updates need to be made to the form. The GA Manager submits the Annual Form 2000 to the FP.

The following are EXISTING attributes and requirements to the form when submitting records to the FP:

- a. The status of the record will be updated from “In Process” to “Submitted”.
- b. If the form has not been saved yet, selecting the Submit button will save the form.

#### 4.2.1 An automatic email will be sent to the FP to notify the GA has submitted the Amended Annual Form 2000. (This is existing functionality.)



		Subject: Amended Annual Form 2000 Enhancement FD
		TO 130- Amended Annual Form 2000 Enhancement
Prepared By: Kim Hsu	Date: March 12, 2003	Version: 1.0

5.0 The FP will review the Amended Annual Form 2000 and will either Accept or Reject the form.

The following are EXISTING attributes and requirements to the form when viewing the form as an FP, and before the FP accepts or rejects the form:

- a. The Accept and Reject buttons are enabled and displayed.
- b. Only the ED Comment field is updateable. All other fields are not updateable.
- c. The Submit button is not displayed.
- d. FPs are only able to view records that have a status of “Submitted”, “Accepted”, or “Rejected.”

The following are NEW attributes and requirements to the form when viewing the form as an FP and before the FP accepts or rejects the form (See Layout 6 in the Design section for an example):

- e. The Amend button is not displayed.
- f. If the record is an amendment, the Amendment Date is displayed.
- g. The queried records will be ordered by GA Code, fiscal year with the most updated first, and then amendment version number with the most updated first.

5.1 If the FP rejects the amendments, the status of the record will be updated from “Submitted” to “Rejected” in the database.

5.1.1 An automatic email will be sent to the GA to notify the user that the Amended Annual Form 2000 has been rejected. (This is existing functionality.)

5.1.2 (This is process 4.1 in the Process Flow diagram)

The GA user or manager will need to make adjustments to the rejected form and save the changes. The changes will be updated (NOT inserted) for the record in the database, and the status for the record will be updated to “In Process”. When the GA manager submits the record to the FP, the status for the record will be updated to “Submitted”.

5.2 If the FP accepts the amendments, the status for the record will be updated from “Submitted” to “Accepted” in the database.

**Menu:**

n/a

**Database Objects to be modified/created:**

Database Object Name	Object Type	Oracle Application	Comments
FFELGA_ANNUAL_REPORTS.AMENDMENT_VERSION_NUMBER	Table Column Name	FFELGA	Need to add this column to the existing custom FFELGA_ANNUAL_REPORTS table
FFELGA_ANNUAL_REPORTS.MOST_UPDATED_RECORD_FLAG	Table Column Name	FFELGA	Need to add this column to the existing custom FFELGA_ANNUAL_REPORTS table. This column will be populated with either “Y” or “N”
FFELGA_ANNUAL_REPORTS_V.AMENDMENT_VERSION_NUMBER	View Column Name	FFELGA	Need to add this column name to the existing custom FFELGA_ANNUAL_REPORTS_V view
FFELGA_ANNUAL_REPORTS_V.MOST_UPDATED_RECORD_FLAG	View Column Name	FFELGA	Need to add this column to the existing custom FFELGA_ANNUAL_REPORTS_V view. This column will be populated with either “Y” or “N”



Subject: Amended Annual Form 2000 Enhancement FD
TO 130- Amended Annual Form 2000 Enhancement
Version: 1.0

Prepared By: Kim Hsu	Date: March 12, 2003
----------------------	-------------------------

**Data/Control Objects to be modified/created:**

Block Name/Region Name	Field/Button Name	Object Name	Object Properties	Dependencies (Data and Control)	Table Name/ Column Name	Functional Notes / Calculations / Translations	Comments
SFAANN - Block	GA Comments field	WHEN-BUTTON-PRESSED	Trigger on the Amend button	Already a procedure in the SFA_ANN_SET_PRO package body	FFELGA_A NNUAL_RE PORTS/ GA_COMM ENTS	Updateable.  Cursor should be set to this field first.	
SFAANN - Block	Amt/CY Actual for AR 1 to AR 57 Excluding the following calculated item fields: AR 15, AR 20, AR 25, AR 26, AR 28, AR 36, AR 39, AR 40, AR 47, and AR 57	WHEN-BUTTON-PRESSED	Trigger on the Amend button	Create a procedure in SFA_ANN_SET_PRO package body	FFELGA_A NNUAL_RE PORTS/ AR1_CY, AR2_CY, AR3_CY, etc.	Updateable	
SFAANN - Block	Amend button	WHEN-BUTTON-PRESSED	Trigger on the Amend button	Create a procedure in SFA_ANN_SET_PRO package body	n/a	Disable	
SFAANN - Block	Amendment Version Number field	WHEN-BUTTON-PRESSED	Trigger on the Amend button	n/a	n/a	Set Amendment Version Number field (hidden) to previous amendment version number + 1.	
SFAANN - Block	All CY + 1 Projection, CY + 2 Projection, CY + 3 Projection, CY + 4 Projection, and CY +5 Projection fields	WHEN-BUTTON-PRESSED	Trigger on the Amend button	Create a procedure in SFA_ANN_SET_PRO package body	FFELGA_A NNUAL_RE PORTS/ AR15_CY1, AR15_CY2, AR15_CY3, etc.	Not Updateable, Foreground color = "gray"	The text fields will not be updateable in the form, but the projection values will still be saved in the database.
SFAANN - Block	Submit button	WHEN-BUTTON-PRESSED	Trigger on the Amend button	Already a procedure in SFA_ANN_SET_PRO package body	n/a	Enable if the GA user is a manager. Else, disable	
SFAANN - Block	AR 20, AR 25, AR 36, and AR 39 buttons	WHEN-BUTTON-PRESSED	Trigger on the Amend button	Already a procedure in SFA_ANN_SET_PRO package body	n/a	These buttons will remain Enabled.	
SFAANN - Block	AR 20, AR 25, AR 36, and AR 39 buttons	WHEN-BUTTON-PRESSED	Trigger on the AR 20, AR 25, AR 36, and AR 39 buttons	n/a	n/a	If the user has not saved the record yet, and the record has a status of "Accepted", prompt the user: "Please save the record before you navigate to detail screen."	



Subject: Amended Annual Form 2000 Enhancement FD
TO 130- Amended Annual Form 2000 Enhancement
Version: 1.0

Prepared By: Kim Hsu	Date: March 12, 2003
----------------------	-------------------------

SFAANN , LINES -- Block	Subcategory Amt/CY Actual, and Explanation fields	WHEN- BUTTON- PRESSED	Trigger on the AR 20, AR 25, AR 36, and AR 39 buttons	Create a procedure in ANN_LINES package body	FFELGA_A NNUAL_IT EMS/ AMT_CY	Updateable when making an amendment.	These fields will be updateable after the Amend button is selected on the Annual Form 2000.
SFAANN, LINES -- Block	Item No, Sub-category, Sub-category Flag, CY + 1 Proj, CY + 2 Proj, CY + 3 Proj, CY + 4 Proj, and CY + 5 Proj fields	WHEN- BUTTON- PRESSED	Trigger on the AR 20, AR 25, AR 36, and AR 39 buttons	Create a procedure in ANN_LINES package body	FFELGA_A NNUAL_IT EMS/ AMT_CY	Not Updateable when making an amendment, Foreground color = "gray"	The text fields will not be updateable in the form, but the projection values will still be saved in the database.  Also, these fields will not be updateable after the Amend button is selected on the Annual Form 2000.
SFAANN, LINES -- Block	SAVE button	WHEN- BUTTON- PRESSED	Trigger on the AR 20, AR 25, AR 36, and AR 39 buttons	Already a procedure in ANN_LINES package body	n/a	Enable when making an amendment.	This button will be enabled after the Amend button is selected on the Annual Form 2000.
SFAANN, LINES -- Block	RETURN button	WHEN- BUTTON- PRESSED	Trigger on the AR 20, AR 25, AR 36, and AR 39 buttons	Already a procedure in ANN_LINES package body	n/a	Enable when making an amendment.	This button will be enabled after the Amend button is selected on the Annual Form 2000.
SFAANN - Block	Amendment Date field	Format Mask	Property Palette	n/a	FFELGA_A NNUAL_RE PORTS/ CREATION _DATE	Format Mask should be set to DD-MON- YY HH:MM:SS	
SFAANN- Block	Amendment Version Number	BEG_BAL	Program Unit	Must make updates in program units	FFELGA_A NNUAL_RE PORTS/ AMENDME NT_VERSI ON_NUMB ER	Amendment_Version_ Number will need to be added to the where clause of the following query: SELECT AR26_CY, AR40_CY, AR47_CY INTO :SFAANN.AR15_CY, :SFAANN.AR29_CY, :SFAANN.AR43_CY FROM ffelga_annual_reports WHERE f_year = v_yr AND ga_code =:SFAANN.ga_code;	
SFAANN -- Block	Amendment Version Number	ORDER BY clause	Property Palette	n/a	FFELGA_A NNUAL_RE PORTS/ AMENDME NT_VERSI ON_NUMB ER	Records will be ordered by Fiscal Year, and then by Descending Amendment Version Number	



Subject: Amended Annual Form 2000 Enhancement FD
TO 130- Amended Annual Form 2000 Enhancement
Version: 1.0

Prepared By: Kim Hsu	Date: March 12, 2003
----------------------	-------------------------

SFAANN – Block	Amend button	WHEN-NEW-BLOCK-INSTANCE	Trigger on the SFAANN Block	Create a procedure in SFA_ANN_SET_PRO package body	n/a	Display and Enable the Amend button when the record is the most updated record and the status of the record is “Accepted”	This button will never display for users that have View Only privileges, and the button will never display when the FP is viewing this form.
SFAANN-Block	Amendment Date field	WHEN-NEW-BLOCK-INSTANCE	Trigger on the SFAANN Block	Create a procedure in SFA_ANN_SET_PRO package body	FFELGA_A NNUAL_RE PORTS/ CREATION _DATE	Populate field only if the record is an amendment, or when amendment version number >= 1	
SFAANN - Block	All CY + 1 Projection, CY + 2 Projection, CY + 3 Projection, CY + 4 Projection, and CY +5 Projection fields	WHEN-NEW-BLOCK-INSTANCE	Trigger on the SFAANN Block	Already-created custom procedure in SFA_ANN_SET_PRO package body	FFELGA_A NNUAL_RE PORTS/ AR15_CY1, AR15_CY2, AR15_CY3, etc.	Not Updateable, Foreground color = “gray” when the status = “In Process” or “Rejected” and the amendment version number >= 1	The text fields will not be updateable in the form, but the projection values will still be saved in the database.
LINES -- Block	Item No, Sub-category, Sub-category Flag, CY + 1 Proj, CY + 2 Proj, CY + 3 Proj, CY + 4 Proj, and CY + 5 Proj fields	WHEN-NEW-BLOCK-INSTANCE	Trigger on the LINES Block	Already-created custom procedure in ANN_LINES package body	FFELGA_A NNUAL_IT EMS/ AMT_CY	Not Updateable when making an amendment, Foreground color = “gray” when the status = “In Process” or “Rejected” and the amendment version number >=1	
SFAANN-Block	All fields	PRE-INSERT, PRE-UPDATE	Trigger on the SFAANN Block	n/a	n/a	When creating an amendment, a new record will be created. This record must not be updated.	
SFAANN-Block	All updateable fields	ON-INSERT	Trigger on the SFAANN Block	Create procedures in SFA_ANN_CHECK package body	FFELGA_A NNUAL_RE PORTS	1. Verify that the to-be saved amendment contains different data as the previous record. If no changes are made, the user will be prompted with a warning message that changes need to be made before saving the amendment.  2. Prompt user: “Do you really want to create a new amendment?”	



Subject: Amended Annual Form 2000 Enhancement FD
TO 130- Amended Annual Form 2000 Enhancement
Version: 1.0

Prepared By: Kim Hsu	Date: March 12, 2003
----------------------	-------------------------

SFAANN-Block	All fields	ON-INSERT	Trigger on the SFAANN Block	Create procedure in SFA_ANN package body	FFELGA_ANNUAL_REPORTS	<p>Insert new records for all fields populated on Amended Annual 2000 Form.</p> <p>Insert the next sequence number for the Amendment Version Number column.</p> <p>Insert "Y" into the Most Updated Record Flag column.</p> <p>Update the previous record's Most Updated Record Flag column to "N".</p>	
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## Dependencies

### Dependencies on Other RICE Components:

None

### Dependencies on Other Business Components:

None

### Design Constraints:

N/A

### Performance Considerations:

Querying and processing records may take longer if there is a considerable amount of amendment records for each year per GA code.

### Implementation Considerations:

The 2 new columns that will hold the amendment version number and the most updated record flag will affect the Annual Form 2000 GL interface, the Annual Form 2000 Datamart interface, and the existing Annual Form 2000 custom reports: SFA GA Annual Financial Report, SFA Ed Annual Financial Report, and SFA GA Annual Composite Report.

### Other Dependencies/Special Concerns:

2 new columns: AMENDMENT\_VERSION\_NUMBER and MOST\_UPDATED\_RECORD\_FLAG will need to be added to the FFELGA\_ANNUAL\_REPORTS table and the FFELGA\_ANNUAL\_REPORTS\_V view.

All code (program units, triggers, etc.) will need to be reviewed thoroughly to make sure that the new amendment functionality is coded wherever necessary, and also modifications will be made to the existing code to make sure the existing functionality stays the same.



		Subject: Amended Annual Form 2000 Enhancement FD
		TO 130- Amended Annual Form 2000 Enhancement
Prepared By: Kim Hsu	Date: March 12, 2003	Version: 1.0

## Error Handling

Potential Errors	Possible Reasons	Solution Strategy
User may try to save form without making any changes. This will result in having 2 records in the database containing the same annual form 2000 data.	User may think that they have made amendments and try to save, but really have not made any changes.	Perform a check to make sure that a value in the form has changed before saving, or committing.
User may try to close form without saving after making amendments. This would cause the user to lose all information that was entered.	User may forget to save and will close the form after making the changes.	Prompt the user to save changes or close form.
Before entering amendments, all Amendment Version Numbers and the Most Updated Record Flag for existing records will have a null value. Therefore, the Amend button for the most updated record will not be enabled for amendments.	Records that already exist in the custom FFELGA_ANNUAL_REPORTS table will not have an Amendment Version Number or a Most Updated Flag value.	Include logic to handle historic records that do not have an Amendment Version Number.
The new amendment functionality may cause the form to error.	There are many program units called in the triggers that the new functionality will affect. For example, in the SFA_ANN.INSERT_ROW procedure, it selects a record based off of the GA Code and Fiscal Year. These two fields will no longer make a record unique. Amendment Version Number, GA Code, and Fiscal Year will make a record unique.	Code will need to be added wherever necessary to all program units, triggers, etc. to ensure that all existing functionality of the form will not change.

## Testing Requirements

No.	Test Condition	Expected Results	Requirements Matrix Reference
1	Validate that when a GA queries an Annual Form 2000 record by F_YEAR, all records for that year and GA Code will be queried and displayed. (This is existing functionality, but needs to be tested to query the amendments)	The initial Annual Form as well as all amendment forms are queried and displayed.	2.8
2	Validate that when a record is queried for a fiscal year, the records are displayed by the amendment version number where the greatest amendment version number, or the most recent record, will be displayed first.	Records will be displayed in a descending order of amendment version number. The record with the greatest amendment number, or the most updated record, will be displayed first.	n/a
3	Validate that for all queried records that have a status of "Accepted", no fields will be updateable. (This is existing functionality, but needs to be tested to verify that the functionality has not been affected by the new changes)	No fields will be updateable for queried records of "Accepted".	n/a
4	Validate that for all queried records, the buttons: AR 20, AR 25, AR 36, and AR 39 will be enabled to view the Schedule of Itemized Line Items screen.	The buttons will be enabled for all queried records.	n/a
5	Validate that for all queried records that have a status of "Accepted", no fields in the Schedule of Itemized Line Items screen will be updateable. Also, validate that the SAVE button will be disabled, but the RETURN button will be enabled.	No fields in the Schedule of Itemized Line Items screen will be updateable when the Annual Form 2000 record status is "Accepted". The SAVE button will be disabled and the RETURN button will be enabled.	n/a
6	Validate that when the GA queries the most current Annual Form 2000 record with the status "Accepted", the Amend button will be displayed and enabled, but no fields will be updateable.	The Amend button will be displayed and enabled. No fields will be updateable. (This means that the fields are viewable, but cannot be changed. The color of the fields will be black text with a white background)	2.9
7	Validate that the Amend button will not be displayed for all	Amend button will only display on the record that is the most	2.9



Subject: Amended Annual Form 2000 Enhancement FD
TO 130- Amended Annual Form 2000 Enhancement
Version: 1.0

Prepared By: Kim Hsu	Date: March 12, 2003
----------------------	-------------------------

	records that are not the most updated record.	updated record.	
8	Validate that if a queried record is an amendment, the Amendment Date field will be populated.	The Amendment Date field will be populated if the record is an amendment.	2.7
9	Validate that if a queried record is the initial record for a fiscal year, the Amendment Date field will be null.	The Amendment Date field for the initial record of a fiscal year will be null.	n/a
10	Validate that the Amendment date will not be updateable, and will be in the format: DD-MON-YY HH:MM:SS	The Amendment Date will not be updateable and will be in the format: DD-MON-YY HH:MM:SS	n/a
11	Validate that when the Amend button is selected, the Amend button will become disabled.	When the Amend button is selected, the Amend button will become disabled.	n/a
12	Validate that when the Amend button is selected, the GA Comment field will become updateable and the cursor will be set to the GA Comment field.	The GA Comment field will become updateable and the cursor will be set to this field.	n/a
13	Validate that when the Amend button is selected, the Amount/CY Actual fields that are not calculations will become updateable.	The Amount/CY Actual fields that are not calculations will become updateable.	n/a
14	Validate that when the Amend button is selected, the Current Year Projection fields will remain not updateable and the text in these fields will change from black to gray.	The Current Year Projection fields will not be updateable. Text will be displayed as gray.	2.4
15	Validate that when the Amend button is selected, the Submit button will be displayed and enabled if the GA is a manager.	The Submit button will be displayed and enabled when the GA is a manager.	n/a
16	Validate that when the Amend button is selected, the Submit button will be displayed, but disabled if the GA is a user. (not a manager)	The Submit button will be displayed, but will be disabled when the GA is a user.	n/a
17	Validate that when amending an amendment, the Amendment Date remains displayed when the Amend button is selected. Also validate that when the amendment is saved, the date and time the amendment is saved will be the amendment date, or creation date, saved in the database.	Amendment Date will remain displayed. New amendment date will be saved into the database.	2.7
18	Validate that when the Amend button is selected, the AR 20, AR 25, AR 36, and AR 39 buttons remain enabled. Validate that when one of the buttons is selected, the Schedule of Itemized Line Items screen appears with updateable Amt/CY Actual and Explanation fields. Validate that the Item No, Sub-Category, Sub-category Flag, and current year projection fields will not be updateable, and the text of those fields will be gray.	The buttons will be enabled. The Schedule of Itemized Line Items screen will appear with updateable Amt/CY Actual and Explanation fields. The Item No, Sub-Category, Sub-category Flag, and current year projection fields will not be updateable and the text of those fields will be gray.	n/a
19	Validate that after the GA queries the most current Annual Form 2000 with the status "Accepted", and selects the Amend button, the GA is able to make changes to the record and save. Validate that the new record created in the database will have a status of "In Process".	The GA will be able to select the Amend button, make updates, and save the form. A new record will be created with a status of "In Process" in the database.	2.1, 2.5
20	Validate that when a new amendment is saved into the database, a sequence number is assigned to the AMENDMENT_VERSION_NUMBER column and the MOST_UPDATED_RECORD_FLAG will be set to "Y". Also, validate that the previous most updated record will have the MOST_UPDATED_RECORD_FLAG set to "N".	An amendment version number will be assigned to the new amendment and the most updated record flag will be set to "Y". The most updated record flag from the previous record will be set to "N".	n/a
21	Validate that when the GA queries a record that is not an amendment with a status of "In Process", the Amt/CY Actual fields, the current year projection fields, and the GA Comments field will be updateable. (This is existing functionality, but needs to be tested to verify that the functionality has not been affected by the new changes)	The Amt/CY Actual fields, the current year projection fields, and the GA Comments field will be updateable for records that are not amendments and have a status of "In Process".	n/a
22	Validate that when the GA queries a record that is an amendment with a status of "In Process", the Amt/CY Actual fields and the GA Comments field will be updateable. Validate that the Fiscal Year field will not be updateable.	For a record that is an amendment with a status of "In Process", the Amt/CY Actual fields and the GA Comments field will be updateable for records that are amendments. The Fiscal year field will not be updateable.	n/a
23	Validate that when a GA Manager queries the most updated record that is an amendment with a status of "In Process", the Submit button will be enabled, and the GA Manager will be able to submit the amendments to the FP.	GA Manager will be able to submit records that have a status of "In Process". The status of the record will be updated to "Submitted".	n/a
24	Validate that when a GA Manager queries the most updated record that is an amendment with a status of "In Process", the	Current year projection fields will not be updateable and the text in these fields will be displayed in gray.	n/a



Subject: Amended Annual Form 2000 Enhancement FD
TO 130- Amended Annual Form 2000 Enhancement
Version: 1.0

Prepared By: Kim Hsu	Date: March 12, 2003
----------------------	-------------------------

	current year projection fields will not be updateable and the text in these fields will be displayed in gray.		
25	Validate that when the GA queries a record with a status of "Submitted", the Amend button will not be displayed, and no fields will be updateable.	GA will not be able to update or save a form with the status "Submitted". The Amend button will not be displayed.	n/a
26	Validate that when the GA queries a record that has a status of "In Process", the Amend button will not be displayed.	Amend button will not be displayed.	n/a
27	Validate that when a GA queries the most recent Annual Form 2000 that has the status of "In Process", the GA will be able to update the fields and save the record. Validate that the record will be updated in the database rather than inserted as a new record.	GA will be able to make update and save changes. No new record will be created.	n/a
28	Validate that when a GA queries a record that has a status of "In Process" and the record is an amendment, the Amendment Date field will be populated with the creation date of the amendment.	The Amendment Date field will be populated with the creation date of the amendment when the record has a status of "In Process".	2.7
29	Validate that when a GA queries a record that has a status of "In Process" and the record is the initial record for a fiscal year, the Amendment Date field will be null.	The Amendment Date field will be null for a record that is the initial record for a fiscal year and has a status of "In Process".	n/a
30	Validate that for a record that is an amendment and has a status of "In Process", the Amt/CY fields and the Explanation field will be updateable in the Schedule of Itemized Line Items screen.	The Amt/CY fields and the Explanation field will be updateable in the Schedule of Itemized Line Items screen.	n/a
31	Validate that for a record that is an amendment and has a status of "In Process", the Item No, Sub-Category, Sub-category Flag, and current year projection fields will not be updateable, and the text in these fields will be displayed in gray.	The fields will not be updateable and the text in the fields will be displayed in gray.	n/a
32	Validate that the GA will be able to submit amendments multiple times for the most updated fiscal year entered.	GA will be able to submit amendments an unlimited number of times for the most update fiscal year entered.	2.2
33	Validate that the GA will not be able to submit an amendment for a prior year once a record for the following year has been entered. Also, validate that no fields will be updateable for prior year records when queried.	GA will not be able to submit an amendment for a prior year once a record for the following year has been entered. No fields will be updateable for prior year records.	2.2
34	Validate that when a GA attempts to save without making any changes after selecting the Amend button, the form will display a message and will not allow the user to save the record.	Form display a message and will not allow the user to save.	n/a
35	Validate that when a FP queries the most current Annual Form 2000 record with a status of "Submitted", the Accept and Reject buttons are enabled and displayed. (This is existing functionality, but needs to be tested to verify that the functionality has not been affected by the new changes)	Accept and Reject buttons will be displayed and enabled.	n/a
36	Validate that when a FP queries the most current Annual Form 2000 record with a status of "Submitted", the ED Comment field will be updateable and all other fields will not be updateable. (This is existing functionality, but needs to be tested to verify that the functionality has not been affected by the new changes)	The ED Comment field will be updateable and all other fields will not be updateable.	n/a
37	Validate that when a FP queries the most current Annual Form 2000 record with a status of "Submitted", the Submit button is not displayed. (This is existing functionality, but needs to be tested to verify that the functionality has not been affected by the new changes)	The Submit button will not be displayed.	n/a
38	Validate that when a FP queries the most current Annual Form 2000 record with a status of "Submitted", the Amend button is not displayed.	The Amend button will not be displayed.	n/a
39	Validate that when a FP queries the most current Annual Form 2000 record that is an amendment with a status of "Submitted", the Amendment Date field will be populated.	The Amendment Date field will be populated with the creation date of the amendment.	2.7
40	Validate that when a FP queries the most current Annual Form 2000 record that is the initial record of a fiscal year and has a status of "Submitted", the Amendment Date field will be null.	The Amendment Date field will be null for a record that is the initial record of a fiscal year and has a status of "Submitted".	n/a
41	Validate that if the FP rejects the record, the status of the record	Status of the record will be updated to "Rejected".	n/a



Subject: Amended Annual Form 2000 Enhancement FD
TO 130- Amended Annual Form 2000 Enhancement
Version: 1.0

Prepared By: Kim Hsu	Date: March 12, 2003
----------------------	-------------------------

	is updated to "Rejected" in the database. (This is existing functionality, but needs to be tested to verify that the functionality has not been affected by the new changes)		
42	Validate that when a GA queries the most recent Annual Form 2000 that has the status of "Rejected", the GA will be able to update the fields and save the record. Validate that the record will be updated in the database rather than inserted in a new record.	GA will be able to make and save changes. No new record is created. Status of the record will be updated to "In Process".	n/a
43	Validate that if the FP accepts the record, the status of the record is updated to "Accepted" in the database. (This is existing functionality, but needs to be tested to verify that the functionality has not been affected by the new changes)	Status of the record will be update to "Accepted".	n/a

## Issues and Additional Considerations

The following Issues were defined during Functional Design:

Issue	Raised By / Date Needed	Resolution/Answer	Resolved By / Date Completed