

eZ-Audit
Use-Case Specification 10: Code Findings

Version 1.1

eZ-Audit	Version: 1.1
Use-Case Specification 10: Code Findings	Date: 08/07/02
Use Case 10	

Revision History

Date	Version	Description	Author
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eZ-Audit	Version: 1.1
Use-Case Specification 10: Code Findings	Date: 08/07/02
Use Case 10	

Table of Contents

1.	Code Findings	4
1.1	Brief Description	4
2.	Flow of Events	4
2.1	Basic Flow	4
2.2	Alternative Flows	5
2.2.1	Save Coded Findings Prior to Calculation of Deficiency Indicator	5
2.2.2	Cancel Prior to Calculation of Deficiency Indicator	5
2.2.3	Modify Findings	5
2.2.4	Delete Findings	5
2.2.5	Case Team Update Findings	5
3.	Special Requirements	6
4.	Preconditions	6
4.1	ED Screener user must be logged into eZ-Audit system.	6
4.2	ED Screener user must have compliance audits with findings in their queue.	6
5.	Postconditions	6
5.1	Calculate Deficiency Indicator	6
5.2	Issue Date	6
5.3	Route Coded Compliance Audits	6
6.	Extension Points	7
6.1	Use Case 9 “Create Submission”	7
7.	Requirements	7

eZ-Audit	Version: 1.1
Use-Case Specification 10: Code Findings	Date: 08/07/02
Use Case 10	

Use-Case Specification 10: Code Findings

1. Code Findings

1.1 Brief Description

The Screener Actor will review Compliance Audits that contain findings and for each finding enter the following data: a four digit deficiency code, questioned costs, number of errors, sample size, school group information (if applicable), and sample expansion information. The system will then calculate a deficiency indicator for the Compliance Audit.

2. Flow of Events

2.1 Basic Flow

1. Screener Actor selects institution from their home page.

The Screener Actor will select an Institution from their home page.

2. The system gives the Screener actor view access to the institutions submission, including attachments.

The system will display the submitted audit information (including attachments that can be opened and viewed) for the selected institution. The Screener actor has view access to the data entered by the institution and the ability to download and view or view the attached compliance audit.

3. The Screener Actor selects the “Code Findings” function.

The Screener Actor selects the “Code Findings” function.

4. The system displays the code findings page with pre-populated deficiency codes if the following condition(s) exist:

The system displays the code findings page and will pre-populate the findings table with the deficiency code and description fields (no other fields are required) for deficiencies if the following condition exists in the audit:

- Opinion type of qualified, disclaimer or adverse

5. Screener Actor enters the following data elements for each finding:

The Screener Actor will enter the following data elements for each finding in the audit based on their review of the submitted compliance audit:

- Deficiency code
- Number of errors
- Sample size
- Original questioned cost
- School (if group audit)
- If sample was expanded to evaluate statistically the projected error rate (Yes, No, N/A, Waive)
- For samples that were expanded, are the following included (Yes, No):
 - i. Sampling methodology
 - ii. Confidence level

eZ-Audit	Version: 1.1
Use-Case Specification 10: Code Findings	Date: 08/07/02
Use Case 10	

- iii. Precision
- iv. Expected rate of occurrence
- v. Estimated disallowance to the population including point estimate and lower and upper limits
 - For findings where the sample was not expanded, was the error rate less than 10% or was the finding considered to be non-material (Yes, No, N/A)

6. The Screener Actor selects “add finding”.

The Screener Actor selects the “Add Finding” function. The system displays the finding information entered in a table on screen.

7. Screener actor codes additional findings.

If there are additional findings, the Screener Actor repeats Use Case steps 5 & 6 until all findings have been coded.

8. The Screener Actor selects “Calculate Deficiency Indicator” function once all findings have been coded

Once all findings have been coded, the Screener Actor selects the “Calculate Deficiency Indicator” function and is returned to their home page.

2.2 Alternative Flows

2.2.1 Save Coded Findings Prior to Calculation of Deficiency Indicator

The Screener Actor has the ability to save their work prior to calculating the deficiency indicator by selecting the “Save” function.

2.2.2 Cancel Prior to Calculation of Deficiency Indicator

The Screener Actor has the ability to cancel their work prior to calculating the deficiency indicator by selecting the “Cancel” function. If “Cancel” is selected, the system will not save any finding codes entered unless “Save” was previously selected.

2.2.3 Modify Findings

The Screener Actor has the ability to modify finding codes that have been entered. Each line (finding) in the findings table will have a “Modify” function which allows the Screener Actor to modify that finding. When the Screener Actor selects the “Modify” function for a specific finding, the system will populate the data entry area of the code findings page with data for that finding. The Screener Actor will have write access to all fields that were previously entered in Basic Flow step 5. Once changes have been made, the Screener Actor will select the “Update Finding” function. The system will then update the findings table with the new data.

2.2.4 Delete Findings

The Screener Actor has the ability to delete finding codes that have been entered. Each line (finding) in the findings table will have a “Delete” function which allows the Screener Actor the delete that finding. When the Screener Actor selects the “Delete” function for a specific finding, the system will display a pop-up box with the following text: “You are about to delete a finding. Do you wish to continue?”. The pop-up box display two buttons (Yes, No). If “Yes” is selected the finding is deleted. If “No” is selected the finding is not deleted. The Screener Actor is then returned to the Code Findings Page.

2.2.5 Case Team Update Findings

Case Team members (ARS) assigned Compliance Audits for resolution have the ability to add/update/delete finding codes. The ARS will access the Code Findings Page by selecting the “Update Findings” link from the left nav once they have accessed an institution record. Once the ARS has access

eZ-Audit	Version: 1.1
Use-Case Specification 10: Code Findings	Date: 08/07/02
Use Case 10	

the Code Findings Page, they will have the ability to perform all actions described in the Basic Flow and Alternate Flows 2.2.1 through 2.2.4. After all changes have been made, the ARS will select “Calculate Deficiency Indicator” function to update the system.

3. Special Requirements

No special requirements for this use case.

4. Preconditions

4.1 ED Screener user must be logged into eZ-Audit system.

4.2 ED Screener user must have compliance audits with findings in their queue.

5. Postconditions

5.1 Calculate Deficiency Indicator

The system calculates the deficiency indicator for the audit based on the coding of the findings. Deficiency indicators are as follows:

- 1 – Deficient (if any of the following conditions is present)
 - o Questioned costs >\$10,000 total for significant findings,
 - o Error rate >= 10% associated with any one significant finding,
 - o Presence of automatic deficiency codes,
 - o Closeout audit, or
 - o Opinion type other than unqualified
- 2 – Non-Deficient
 - o All audits with findings that do not meet the criteria for deficiency indicator 1

5.2 Issue Date

The system records the audit issue date as the date that the initial deficiency determination is made and is forwarded to the case team.

5.3 Route Coded Compliance Audits

The system will route the audit to the appropriate Co-Team Leader if any of the following conditions are present when the initial deficiency determination is made:

- Deficiency indicator of 1 (determined in Postcondition 1 above)
- Flagged for Pell Adjustment present (determined in Postcondition 5.3 of Create Submission Use Case)
- Flagged for Prior year submission missing (past performance) (determined in Postcondition 5.3 of Create Submission Use Case)
- Flagged for the Presence of a refund finding with an error rate greater than 5% and more than 1 error
- Flagged for Being a Resubmission (determined in Postcondition 5.3 of Create Submission Use Case)

eZ-Audit	Version: 1.1
Use-Case Specification 10: Code Findings	Date: 08/07/02
Use Case 10	

All other audit submissions are routed to be archived.

6. Extension Points

6.1 Use Case 9 “Create Submission”

7. Requirements

The following requirements apply to this use case:

- GEN166 The System will provide appropriate ED Users the ability to apply deficiency codes to the findings for submitted audits.
- GEN167 The system will allow for each finding code to be assigned to the appropriate institution within the school group.
- GEN168 The system will provide appropriate ED Users the ability to assign questioned costs per finding.
- GEN169 The system will allow for each questioned costs to be assigned to the appropriate institution within the school group.
- GEN170 The System will determine deficiency indicator based on the finding codes.
- GEN171 The System will calculate the error rate (based on # of noncompliant items/sample size)
- GEN172 The system will designate an audit as deficient when there is a deficiency indicator of 1 based on coding of the findings.
- GEN173 The system will designate an audit as deficient when the audit is a closeout audit.
- GEN174 The system will designate an audit as deficient when there is an opinion other than unqualified.
- GEN175 The system will flag audits if the following condition is present: Pell Adjustment.
- GEN176 The system will flag audits if the following condition is present: Prior year submissions missing (past performance).
- GEN177 The system will flag audits if the following condition is present: Presence of a refund finding with an error rate greater than 5% and more that 1 error.
- GEN178 The system will flag audits if the following condition is present: Resubmissions.
- GEN528 The system will provide a checkbox for the user to indicate if the expansion of the sample was necessary for each audit finding with read/write privileges based on user type.
- GEN1157 The system will determine the appropriate Case Team region for financial statements and compliance audits submissions based on the institution.