FSA

eZ-Audit
Use-Case Specification 13: Assign Submissions

Version 1.1

Revision History

Date	Version	Description	Author
July 17, 2002	1.0	Final version created for 7/17 Deliverable Submission.	Seth Sinclair
August 6, 2002	1.1	Updated to allow the system to handle assignment of multiple submission types. 2.1 Basic Flow- Step 2 – Consolidated queues and added ability to handle multiple submission types. Added Submission Type and Status as values in the queue. 2.2.1 – Step 2 – Added in left navigation options for all submission types. 2.2.2 – Added section to account for review of Change in FY End submission. 3.2 – Provided explanation for multiple Co-Team Leaders assigning submissions. Revised version created for deliverable re-submission	Seth Sinclair

Table of Contents

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1. Assign Submissions

1.1 Brief Description

When an institution creates a submission that the system "Screener" determines needs to be reviewed by the Case team, the eZ-Audit system will route these the submissions to a Co-Team Leader. Part of the Co-Team leader's responsibility is to assign these submissions to an Audit Resolution Specialist or Financial Analyst for review and resolution. The purpose of this Use Case is to address the Co-Team Leader's ability to view submissions and assign them to an appropriate Case Team Member.

2. Flow of Events

2.1 Basic Flow

1) Co-Team Leader actor logs into the system

The System verifies the user's role of "Co-Team Leader" through the Login Process. See Extension Point - Use Case 3 "Login to System" for details of the Login Process.

2) System presents the Co-Team Leader Home Page with "Pending Assignment" Queue

The system presents a queue to the Co-Team Leader Actor containing all submissions requiring review (as determined by the system through the screening and routing processes). See Extension Point – Use Case 9 "Create Submission" for details of the Financial Statement routing process and Extension Point – Use Case 10 "Code Findings" for details of the Compliance Audit routing process. Other submissions types, including Closeout, Stub, Reinstatement/Initial Application, Change in Ownership, and Change in Fiscal Year end will automatically be routed to the Co-Team Leader. For each institution record appearing in the queue, the following data is displayed

- Institution Name
- OPEID
- Fiscal Year End
- Date of Submission
- Submission Type
- Submission Status (set to "Unassigned")
- Resolution Due Date
- Reason for Referral to Case (pulled from the screening determination)
- "Assign To" (dropdown box with list of potential assignees, based on region/team)

The system presents to the Co-Team Leader actor the option of assigning the submission to a team member or viewing the submission for each record. There is a second queue on the page for submissions "Pending Approval." See Extension Point – Use Case 14 "Approve Resolution Documents" for details on this queue. There is top navigation with links to My Profile, Team Queue, Search, and Reports.

3) Co-Team Leader actor Selects to assign the submission

The Co-Team Leader actor selects a Case Team Member name from the "Assign To" dropdown list and selects to "Assign" the submission.

4) System routes the Submission to the selected case team member

The system routes the Submission to the "Assigned" queue of the selected case team member and displays the record in the Case User's assigned queue with a status of "Assigned" See Extension Point – Use Case 15 "Select an Institution" for an explanation of the Case User queue.

2.2 Alternative Flows

2.2.1 View Submission Data

From Step 2 of the Basic Flow, the Co-Team Leader actor chooses to view the submission before assigning it to a team member.

1) Co-Team Leader Actor selects to view the submission

The Co-Team Leader actor selects to view the submission by clicking on the "Institution Name" within the submission record.

2) System presents the Institution submission

A navigation-driven page is presented to the Co-Team leader providing the ability to view all of the information for the selected institution's submission. For an annual submission, annual resubmission, or stub audit submission, this includes links to access the:

Link	Destination
eZ-Audit Home	Returns Co-Team User to "Pending Assignment" Page
Financial Statements Information	Displays a read-only version of the Financial Statements Information Page Submitted by the Institution (w/links to the Financial Statements) – See Extension Point Use Case 9 "Create Submission"
Program and Audit Information	Displays a read-only version of the Program and Audit Statements Information Page Submitted by the Institution – See Extension Point Use Case 9 "Create Submission"
Completeness Checklist	Displays a read-only version of the Completeness Checklist Page Submitted by the Institution – See Extension Point Use Case 9 "Create Submission"
View Uploaded Documents	Displays a page where the Case User Can Access any Attachments uploaded as part of the Institution Submission – See Extension Point Use Case 9 "Create Submission"

For a Closeout submission, this includes links to access the:

Link	Destination
eZ-Audit Home	Returns Co-Team User to "Pending Assignment" Page
Program and Audit Information	Displays a read-only version of the Program and Audit Statements Information Page Submitted by the Institution – See Extension Point Use Case 9 "Create Submission"
Completeness Checklist	Displays a read-only version of the Completeness Checklist Page Submitted by the Institution – See Extension Point Use Case 9 "Create Submission"
View Uploaded Documents	Displays a page where the Case User Can Access any Attachments uploaded as part of the Institution Submission – See Extension Point Use Case 9 "Create Submission"

For a Reinstatement or Initial Application submission, this includes links to access the:

Link	Destination
eZ-Audit Home	Returns Co-Team User to “Pending Assignment” Page
Financial Statements Information	Displays a read-only version of the Financial Statements Information Page Submitted by the Institution (w/links to the Financial Statements) – See Extension Point Use Case 9 “Create Submission”
Completeness Checklist	Displays a read-only version of the Completeness Checklist Page Submitted by the Institution – See Extension Point Use Case 9 “Create Submission”
View Uploaded Documents	Displays a page where the Case User Can Access any Attachments uploaded as part of the Institution Submission – See Extension Point Use Case 9 “Create Submission”

For a Change in Ownership submission, this includes links to access the:

Link	Destination
eZ-Audit Home	Returns Co-Team User to “Pending Assignment” Page
Financial Statements Information	Displays a read-only version of the Financial Statements Information Page Submitted by the Institution (w/links to the Financial Statements) – See Extension Point Use Case 9 “Create Submission”
View Uploaded Documents	Displays a page where the Case User Can Access any Attachments uploaded as part of the Institution Submission – See Extension Point Use Case 9 “Create Submission”

3) Co-Team Leader Actor selects to return to the Home Page

The Co-Team Leader actor selects to return to the Home Page by selecting the “Home” navigation option.

4) System presents the Co-Team Leader Home Page with “Pending Assignment” Queue

The system presents the “Pending Assignment” queue described in Step 2 of the basic flow.

2.2.2 Change in Fiscal Year End Submission

From Step 2 of the Basic Flow, the Co-Team Leader actor chooses to review a Change in Fiscal Year End submission.

1) Co-Team Leader Actor selects to view the Change in Fiscal Year End Submission

The Co-Team Leader actor selects to view the submission by clicking on the “Institution Name” within the submission record for a record with type “Change in FY End.”

2) System Presents Change in Fiscal Year End Submission

The system presents the Change in Fiscal Year End Page submitted by the Institution. There is a read-only view of the month and day values entered by the institution. There is an “Archive” button.

3) Co-Team Leader Actor Selects to Archive

The Co-Team Leader actor selects the “Archive” button.

4) System Updates Institution's Fiscal Year

The system displays the Co-Team Leader home page. The Change in Fiscal Year End submission is no longer displayed in the queue. The system updates the institution's Fiscal Year End.

3. Special Requirements

3.1 Page Refresh

The Pending Assignment queue page will refresh upon page entry or upon action taken on the screen. This includes each time the Co-Team user selects the "Assign" button. The assigned submission will leave the queue and any new submissions for assignment will appear.

3.2 Multiple Co-Team Users

Incoming submissions may appear in the queue of multiple users designated with the role of Co-Team Leader. Once one Co-Team user assigns a submission, it will leave the "Pending Assignment" queue of any other Co-Team leaders who also received the submission.

4. Preconditions

4.1 Co-Team User Assigned System Role of "Co-Team Leader"

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

5. Postconditions

5.1 Assignments Routed to Selected Case Team Member

The system routes the Submission to the "Assigned" queue of the selected case team member.

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 9 "Create Submission"

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

6.3 Use Case 10 "Code Findings"

Defines the process of a Screener User assigning a deficiency code to submitted findings.

6.4 Use Case 14 "Approve Resolution Documents"

Defines the process of a Co-Team Leader approving a resolution package.

6.5 Use Case 15 "Select Institution"

Explains the Case Team User's ability to see their assigned queue and select an institution.

7. Requirements

GEN891 The system will provide the Co-Team leader the ability to assign audits to case team member.

GEN 893 The system will provide Co-Team leader the ability to assign financial statements to a case team member.

GEN 1141 The system will have a mechanism for queuing flagged/deficient compliance audits and financial statements to a Case Team Co-Team Leader for assignment to case team members.

GEN 1275 The system will queue for Co-Team Leader assignment, by Case Team, all submitted financial statements that have a composite score in the zone, that were flagged, or that have a failed composite score.

GEN 1276 The system will queue for Co-Team Leader assignment, by Case Team, all submitted compliance audits that are flagged or deficient.