

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

**Version 1.1**

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Complete Deficiency Data Input Form	Date: 08/05/2002
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## Revision History

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07-17-2002	1.0	Final version created for 7/17 Deliverable Submission	Maja Dragnic
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# Use-Case Specification: Complete Deficiency Data Input Form (DDIF)

## 1. Complete Deficiency Data Input Form (DDIF)

### 1.1 Brief Description

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

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

Groups other than Case Team also use this form for their purposes (that is why it is important to preserve this form in eZ-Audits system).

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

## 2. Flow of Events

### 2.1 Basic Flow

**1) Audit Resolution Specialist actor logs into the system**

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

**2) System displays Audit Resolution Specialist Home Page**

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

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

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

**4) System displays information for the selected compliance audit**

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

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

Audit Resolution Specialist actor selects "Complete DDIF" function

**6) System displays data entry page for DDIF**

System displays data entry page for DDIF.

This page consists of a field for Review-Begin-Date (field number 5A on DDIF) and two tables of fields, in all of which Audit Resolution Specialist actor needs to enter values.

First table of fields has seven columns and five rows. Names of the columns are:

- Type of Entry
- Original Code Number
- Revised Code Number

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Specialist Liability  
Repayment Method  
Specialist Liability  
Repayment Method

Second table of fields has seven columns and two rows. Names of the columns are:

Correspondence Type  
Sender Date  
Sender Organization  
Receiver Date  
Receiver Organization  
Reply Due date  
ACN

System first lists five blank rows for the first table of fields and two blank rows for the second table of fields, and gives the user option of adding more if needed.

**7) Audit Resolution Specialist actor enter value in the “Review-Begin-Date” field**

Audit Resolution Specialist actor enters value in the “Review-Begin-Date” field.

**8) System displays the value entered by the Audit Resolution Specialist actor**

System displays the value that the Audit Resolution Specialist actor entered into “Review-Begin-Date” field

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

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

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

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

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

**10) System displays selected value for the Type of Entry**

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

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

Audit Resolution Specialist actor enter values into following fields:

Field Number (as stated on the paper copy of DDIF) <sup>1</sup>	Field Name	Description
9	Original Code Number	This field is a drop-down box. Values that can be selected in this box are populated by the system from the Code Findings screen.
10	Revised Code Number	This is a free text box. (It should allow for an entry of four numeric characters).

<sup>1</sup> Field numbers stated in this Use Case correspond to the numbers on paper copy of DDIF.

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Field Number (as stated on the paper copy of DDIF) <sup>1</sup>	Field Name	Description
11	Specialist Liability	This is a free text box.
12	Repayment Method	This field is a drop-down box. Values that can be selected are:  C – Cash Returned to Federal Account at Institution  D – Funds to Direct Loan Organization Center  E – Education Finance Accounts Receivable  L – Not Required to Pay Assessed Liability Amt < \$1000  N – Check to Perkins Loan Fund  R – Repayment to FFEL Program  S – Repayment to Student  T – Fine (Used to AAA)  V – Paid to ED (Liability already recovered by ED Finance)
11A	Specialist Liability	Same as 11.
12A	Repayment Method	Same as 12.

**12) System displays the value entered by the Audit Resolution Specialist actor**

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

**13) Audit Resolution Specialist actor selects Save option**

Audit Resolution Specialist actor selects Save option.

**14) System saves the values entered by the Audit Resolution Specialist actor**

System saves the values entered by the Audit Resolution Specialist actor in Steps 7, 9, and 11.

**15) Audit Resolution Specialist selects “Generate DDIF” function**

Audit Resolution Specialist selects “Generate DDIF” function.

**16) System performs edit checks and populates some fields**

16.1

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

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

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

#### 16.2

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

Field Number	Field Name
1	Institution
2	State
3	OPEID
4	Audit Control Number
5	Assign Date
5 A	Review Begin Date
6	Completion Date
7	Lead Specialist
7 A	Responsible Specialist

#### 16.3

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

#### 16.4

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

### 17) System displays DDIF form

System displays DDIF form.

First section of the form displays some general information. In this section there are following fields:

Field Number	Field Name	Description
1	Institution	System populated field based on the submission data
2	State	System populated field based on the submission data

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Field Number	Field Name	Description
		submission data
3	OPEID	System populated field based on the submission data
4	Audit Control Number	System populated field based on the submission data
5	Assign Date	System populated field based on the assign compliance audit process
5A	Review-Begin-Date	Value displayed in this field was entered by Audit Resolution Specialist
6	Completion Date	System populated field
7	Lead Specialist	System populated field based on the assign compliance audit process
7A	Responsible Specialist	System populated field based on the assign compliance audit process

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

“ Type of Entry:

A – Add Code

C -- Change Code

D -- Delete Code

E – Establish Liability

U -- Update Liability

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

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

Following text is displayed at the bottom of the page:

“**Repayment Methods:**

C – Cash Returned to Federal Account at Institution

D – Funds to Direct Loan Organization Center

E – Education Finance Accounts Receivable

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

N – Check to Perkins Loan Fund

R – Repayment to FFEL Program

S – Repayment to Student

T – Fine (Used to AAA)

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

**“Correspondence Type:**

- A – Additional Information
- C – Closure (w/TR/PADL)
- I – Institutional Response
- O – Missing Close Out Audit Report Letter
- R – Appeal Resolution
- S – Special (i.e. Congressionals)
- T – Transmittal/PADL
- X – Closure (no TR/PADL)
- Z – Solicit 3070 Documents
- Q – Denied 3070 Request
- P – Approved 3070 Request
- 6 – Telephone Call”

**18) Audit Resolution Specialist selects Save option**

Audit Resolution Specialist selects Save option.

**19) System saves created DDIF and sets a flag**

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

**2.2 Alternative Flows**

**2.2.1 Audit Resolution Specialist actor records correspondence with an institution on DDIF**

**Steps 1 – 6 are same as in the Basic Flow.**

**7) Audit Resolution Specialist actor enters values in the second table of fields**

(Audit Resolution Specialist might enter information regarding correspondence into DDIF. Audit Resolution Specialist might do that before entering any other information (before completed steps 7 through 11) – for instance when he/she wants to record that Preliminary Audit Determination Letter (PADL) was sent out. Or, Audit Resolution Specialist might enter this information after completing steps 7 through 11)

Audit Resolution Specialist enters values into following fields in the second table of fields:

Field Number	Field Name	Description
13	Correspondence Type	This is a drop-down box. Values that can be selected are:  A – Additional Information

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Field Number	Field Name	Description
		C – Closure (w/TR/PADL) I – Institutional Response O – Missing Close Out Audit Report Letter R – Appeal Resolution S – Special (i.e. Congressionals) T – Transmittal/PADL X – Closure (no TR/PADL) Z – Solicit 3070 Documents Q – Denied 3070 Request P – Approved 3070 Request 6 – Telephone Call
14	Sender Date	Free text box.
15	Sender Organization	Free text box.
16	Receiver Date	Free text box.
17	Receiver Organization	Free text box.
18	Reply Due Date	Free text box.
19	ACN	Free text box.

**8) System displays the values entered by the Audit Resolution actor**

System displays the values entered by the Audit Resolution actor.

**9) Audit Resolution Specialist selects Save function**

Audit Resolution Specialist actor selects Save function.

**10) System saves the values entered by the Audit Resolution actor**

System saves the values entered by the Audit Resolution actor in Step 7 of this Alternative Flow.

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

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

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

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### 2.2.3 *Audit Resolution Specialist actor needs to modify generated DDIF*

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

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

#### **18) Audit Resolution Specialist actor selects Modify option**

Audit Resolution Specialist actor selects Modify option

#### **19) System displays Data Entry Page for DDIF**

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

#### **20) Audit Resolution Specialist actor makes change on Data Entry Page for DDIF**

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

**The rest of the steps are the same as Steps 15 – 19 in the Basic Flow.**

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

**Steps 1 – 16.4 are same as in the Basic Flow.**

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

#### **17) Audit Resolution Specialist actor selects Modify option**

Audit Resolution Specialist actor selects Modify option

#### **18) System displays Data Entry Page for DDIF**

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

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

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

**The rest of the steps are the same as Steps 15 – 19 in the Basic Flow.**

### 2.2.5 *ACD was not created before DDIF*

**Steps 1 – 16.4 are same as in the Basic Flow.**

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

**Steps 17 – 19 are same as in the Basic Flow.**

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### 3. Special Requirements

No special requirements for this use case

### 4. Preconditions

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

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

### 5. Postconditions

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

### 6. Extension Points

6.1 List of requirements related to this use case

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

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

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

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

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

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

GEN962: The DDIF will pre-populate OPE ID.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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Closure

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

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

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

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

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

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

GEN1010: The system will track the DDIF liability amounts.

GEN1012: The system will prepopulate field with Lead Specialist.

GEN1013: The system will prepopulate field with Responsible Specialist.

GEN1014: The system will prepopulate field with assign date.

GEN1016: The system will prepopulate field with completion date.

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

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

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

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

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

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

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

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

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

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

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

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**6.2 Use Case 3 “Login to System”**

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

**6.3 Use Case 15 “Select an Institution”**

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