

eZ-Audit
Use-Case Specification 25: Resolution Tracking

Version 1.1

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Revision History

Date	Version	Description	Author
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Use-Case Specification 25: Resolution Tracking

1. Resolution Tracking

1.1 Brief Description

After an Audit Resolution Specialist (ARS) or Financial Analyst (FA) has reached a final determination, completed a resolution package, and received Co-Team approval, they will need to record information regarding an institution's response to the determination. This information is required to complete the resolution process and includes data elements such as dates that responses are received from an institution or key LOC data values. The purpose of this Use Case is to explain the ARS's or FA's ability to track these dates and complete the resolution process in the eZ-Audit system.

2. Flow of Events

2.1 Basic Flow

1) ARS Actor Selects to View an Approved Resolution Package

The ARS selects to view an approved Resolution package (status displayed as "approved") from their "Assigned" Queue. See Extension Point - Use Case 15 "Select and Institution" for details on the queue page. At this point the Co-Team Leader has already reviewed and approved the Resolution package.

2) System Displays the Resolution Tracking Page

The System displays the "Resolution Tracking Page." There is left navigation providing access to the resolution package – See Extension Point - Use Case 15 "Select and Institution" for the left navigation options. Name, OPEID, Fiscal Year End Date, and ACN are displayed at the top of the content area. There is a section for tracking resolution of the compliance audit with the following fields displayed:

Field	Type	Source
PADL Date Sent	Read-Only	Correspondence Log (if applicable)
PADL Certified Mail Receipt Date	Read-Only	Resolution Tracking Page Pre-Approval(if applicable)
PADL Reply Due Date	Read-Only	PADL Upload Page, Calculated from Time to Respond (if applicable)
PADL Date Response Received	Read-Only	Correspondence Log (if applicable)
FAD Date Sent	Editable	Correspondence Log
FAD Certified Mail Receipt Date	Editable	ARS Data Entry
FAD Reply Due Date	Editable	ARS Data Entry
FAD Date Response Received	Editable	Correspondence Log

There is a link to view the FAD and a link to view the PADL (if applicable). There is a "Save" option and a "Complete Resolution" option. There is a read-only view of the Financial Statements Resolution Tracking fields, including the following:

Field	Type	Source
Determination	Read-Only	FS Determination
Date Determination is Made	Read-Only	FS Determination

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Request for LOC Date Sent	Read-Only	FA Data Entry
Request for LOC Certified Mail Receipt Date	Read-Only	FA Data Entry
Request for LOC Due Date	Read-Only	FS Determination
Request for LOC Amount	Read-Only	FS Determination
Request for LOC % Funding	Read-Only	FS Determination
Request for LOC Request Date	Read-Only	FS Determination
Request for LOC Reason Requested	Read-Only	FS Determination
Request for LOC Extension Due Date	Read-Only	FA Data Entry
Request for LOC Reason Extension Granted	Read-Only	FA Data Entry
LOC Date LOC Received	Read-Only	FA Data Entry
LOC Issue Date	Read-Only	FA Data Entry
LOC Expiration Date	Read-Only	FA Data Entry
LOC Release Date	Read-Only	FA Data Entry
LOC Number	Read-Only	FA Data Entry
LOC Amendment to LOC	Read-Only	FA Data Entry
LOC Bank Name	Read-Only	FA Data Entry
LOC Contact Person Name	Read-Only	FA Data Entry
LOC Phone Number	Read-Only	FA Data Entry
LOC Address (City and State)	Read-Only	FA Data Entry
Zone Letter Date Sent	Read-Only	FA Data Entry
Zone Letter Certified Mail Receipt Date	Read-Only	FA Data Entry
Zone Letter Reply Due Date	Read-Only	FA Data Entry
Zone Letter Date Response Received	Read-Only	FA Data Entry

3) ARS Enters Values for FAD and Selects to Complete Resolution

ARS enters values into the FAD Tracking Date fields and selects the “Complete Resolution” option.

4) System Archives Institution Record

The system returns the ARS to their home/queue page, archives the Compliance Audit portion of the Institution record, and removes the record from the ARS’s assigned queue.

2.2 Alternative Flows

2.2.1 ARS Accesses Resolution Tracking Page to Track PADL Dates

During the process of creating the resolution package (before Co-Team approval) the ARS will access the Resolution Tracking page to record responses to the PADL. Note – the PADL is not a required part of the Resolution Package and may not be needed for the process. This flow assumes that a PADL was necessary and has been uploaded. If a PADL was not uploaded, these fields will be read-only. See Extension Point – Use Case 16 “Upload PADL” for details on the PADL creation process.

1) ARS Actor Selects to View a Resolution Package

The ARS selects to view a Resolution package (status displayed as “assigned”) from their “Assigned”

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Queue. See Extension Point - Use Case 15 “Select and Institution” for details on the queue page. At this point the package has not yet been sent to a Co-Team Leader for approval.

2) System Displays Institution Record

The system displays the institution record. There is a left navigation bar with options to navigate through the resolution package, including a link to the Resolution Tracking page. See Extension Point - Use Case 15 “Select and Institution” for details on left navigation options.

3) ARS Selects “Resolution Tracking” Link

The ARS Actor selects the “Resolution Tracking” Link from the Left Navigation Bar.

4) System Displays Resolution Tracking Page

System presents the Resolution Tracking Page. There is a link to view the PADL. There are fields to track dates related to the PADL Process including:

Field	Type	Source
PADL Date Sent	Editable	Correspondence Log
PADL Certified Mail Receipt Date	Editable	ARS Data Entry
PADL Reply Due Date	Read-Only	Calculated based on Time to Respond
PADL Date Response Received	Editable	Correspondence Log

There is a save option. There is a read-only view of the remaining Resolution Tracking Fields that are not available until after Co-Team Lead approval, including:

Field	Type	Source
FAD Date Sent	Read-Only	ARS Data Entry
FAD Certified Mail Receipt Date	Read-Only	ARS Data Entry
FAD Reply Due Date	Read-Only	ARS Data Entry
FAD Date Response Received	Read-Only	ARS Data Entry
Determination	Read-Only	FS Determination
Date Determination is Made	Read-Only	FS Determination
Request for LOC Date Sent	Read-Only	FA Data Entry
Request for LOC Certified Mail Receipt Date	Read-Only	FA Data Entry
Request for LOC Due Date	Read-Only	FS Determination
Request for LOC Amount	Read-Only	FS Determination
Request for LOC % Funding	Read-Only	FS Determination
Request for LOC Request Date	Read-Only	FS Determination
Request for LOC Reason Requested	Read-Only	FS Determination
Request for LOC Extension Due Date	Read-Only	FA Data Entry
Request for LOC Reason Extension Granted	Read-Only	FA Data Entry
LOC Date LOC Received	Read-Only	FA Data Entry

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LOC Issue Date	Read-Only	FA Data Entry
LOC Expiration Date	Read-Only	FA Data Entry
LOC Release Date	Read-Only	FA Data Entry
LOC Number	Read-Only	FA Data Entry
LOC Amendment to LOC	Read-Only	FA Data Entry
LOC Bank Name	Read-Only	FA Data Entry
LOC Contact Person Name	Read-Only	FA Data Entry
LOC Phone Number	Read-Only	FA Data Entry
LOC Address (City and State)	Read-Only	FA Data Entry
Zone Letter Date Sent	Read-Only	FA Data Entry
Zone Letter Certified Mail Receipt Date	Read-Only	FA Data Entry
Zone Letter Reply Due Date	Read-Only	FA Data Entry
Zone Letter Date Response Received	Read-Only	FA Data Entry

5) ARS Enters Tracking Dates for the PADL and Saves

The ARS enters values in the PADL tracking fields and selects the save option.

6) System Saves Values

The system saves the values and re-displays the page. The values are displayed as read-only. There is a modify option.

2.2.2 Case User Tracks Resolution of a Letter of Credit or Zone Letter

If a Financial Analyst makes a determination of “LOC” or “Zone Letter” for an Annual Submission, Reinstatement Submission, Initial Application Submission, Merger/CIO Submission, or Proprietary Waiver request, they will need to access the Resolution Tracking page to track the institution’s response. This functionality will be available after Co-Team Leader approval of the initial determination.

1) FA Actor Selects to View an Approved Resolution Package

The FA selects to view an approved Resolution package (status displayed as “approved”) from their “Assigned” Queue. See Extension Point - Use Case 15 “Select and Institution” for details on the queue page. At this point the Co-Team Leader has already reviewed and selected to approve the Resolution package.

2) System Displays the Resolution Package

The System displays the “Resolution Tracking Page.” There is left navigation providing access to the resolution package – See Extension Point - Use Case 15 “Select and Institution” for the left navigation options. Name, OPEID, Fiscal Year End Date, and ACN are displayed at the top of the content area. There is a section for tracking resolution of the financial statements with the following fields displayed:

Field	Type	Source
Determination	Editable	FS Determination
Date Determination is Made	Read-Only	FS Determination
Request for LOC Date Sent	Editable	FA Data Entry
Request for LOC Certified Mail Receipt Date	Editable	FA Data Entry

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Request for LOC Due Date	Read-Only	FS Determination
Request for LOC Amount	Read-Only	FS Determination
Request for LOC % Funding	Read-Only	FS Determination
Request for LOC Request Date	Read-Only	FS Determination
Request for LOC Reason Requested	Read-Only	FS Determination
Request for LOC Extension Due Date	Editable	FA Data Entry
Request for LOC Reason Extension Granted	Editable	FA Data Entry
LOC Date LOC Received	Editable	FA Data Entry
LOC Issue Date	Editable	FA Data Entry
LOC Expiration Date	Editable	FA Data Entry
LOC Release Date	Editable	FA Data Entry
LOC Number	Editable	FA Data Entry
LOC Amendment to LOC	Editable	FA Data Entry
LOC Bank Name	Editable	FA Data Entry
LOC Contact Person Name	Editable	FA Data Entry
LOC Phone Number	Editable	FA Data Entry
LOC Address (City and State)	Editable	FA Data Entry
Zone Letter Date Sent	Editable	FA Data Entry
Zone Letter Certified Mail Receipt Date	Editable	FA Data Entry
Zone Letter Reply Due Date	Editable	FA Data Entry
Zone Letter Date Response Received	Editable	FA Data Entry

There is a link to view the Request for LOC Letter or Zone Letter. There is a “Save” option and an option to “Complete the Resolution.” There is a read-only view of the Compliance Audit Resolution Tracking fields, including the following:

Field	Type	Source
PADL Date Sent	Read-Only	PADL Upload Page (if applicable)
PADL Certified Mail Receipt Date	Read-Only	PADL Upload Page (if applicable)
PADL Time to Respond	Read-Only	PADL Upload Page (if applicable)
PADL Reply Due Date	Read-Only	PADL Upload Page (if applicable)
PADL Date Response Received	Read-Only	PADL Upload Page (if applicable)
FAD Date Sent	Read-Only	ARS Data Entry
FAD Certified Mail Receipt Date	Read-Only	ARS Data Entry
FAD Reply Due Date	Read-Only	ARS Data Entry
FAD Date Response Received	Read-Only	ARS Data Entry

3) FA Enters Values for LOC/Zone Letter and Selects to Complete Resolution

The FA enters values into the LOC or Zone Letter Tracking Date fields and selects the “Complete Resolution” option.

4) System Archives Institution Record

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The system returns the FA to their home/queue page, archives the Financial Statement portion of the Institution record, and removes the record from the FA's assigned queue.

2.2.3 *Case User Changes Determination from Resolution Tracking Page*

In the circumstance where Case makes an initial determination of LOC or Zone Letter and the institution does not respond in the required timeframe, the Case User will change the determination to either Denied or AAA Referral on the Resolution Tracking Page.

1) **FA Actor Selects to View an Approved Resolution Package**

The FA selects to view an approved Resolution package (status displayed as "approved") from their "Assigned" Queue. See Extension Point - Use Case 15 "Select and Institution" for details on the queue page. At this point the Co-Team Leader has already reviewed and selected to approve the Resolution package.

2) **FA Actor Selects to View an Approved Resolution Package**

The System displays the "Resolution Tracking Page." There is left navigation providing access to the resolution package – See Extension Point - Use Case 15 "Select and Institution" for the left navigation options. Name, OPEID, Fiscal Year End Date, and ACN are displayed at the top of the content area. There is a section for tracking resolution of the financial statements (see step 2 of alternate flow 2.2.2 for the list of fields). The "Determination" field drop-down box is pre-populated with the determination of "LOC" or "Zone Letter" as it was recorded on the Financial Statement Resolution page. There is a "Save" option and a "Complete Resolution" option.

3) **FA Selects New Determination**

The FA selects either "Denied" or "AAA Referral" in the Determination field and selects "Save."

4) **System Updates Determination**

The System redisplay the page with the selected determination displayed in the Determination field. A new field is displayed pre-populated with the date of the amended resolution.

5) **FA Selects to Complete Resolution**

The FA selects the "Complete Resolution" option.

6) **System Archives Institution Record**

The system returns the FA to their home/queue page, archives the Financial Statement portion of the Institution record, and removes the record from the FA's assigned queue.

2.2.4 *Case User Selects to Save on the Resolution Tracking Page*

When a Case User accesses the Resolution Tracking Page after Co-Team approval of the Resolution package, enters values in Tracking fields, and then selects the Save option, the System will save the values and remain on the Resolution Tracking page. If the User leaves the page and then returns before selecting that the package is complete, the values will be displayed.

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2.2.5 *Determination of “Without Condition” or “Reimbursement” Made During FS Resolution*

In the circumstance where Case makes an initial determination of “Without Condition” or “Reimbursement” on submitted Financial Statements, the system will archive the Financial Statement portion of the Institution record and remove the record from the FA’s assigned queue after Co-Team approval. The Resolution Tracking process will not apply.

3. **Special Requirements**

No Special Requirements for this Use Case.

4. **Preconditions**

4.1 **ARS User Assigned System Role of “Audit Resolution Specialist”**

The ARS User’s profile was created/saved as the ARS Role in the User Management Area of eZ-Audit.

4.2 **FA User Assigned System Role of “Financial Analyst”**

The FA User’s profile was created/saved as the FA Role in the User Management Area of eZ-Audit.

5. **Postconditions**

5.1 **Resolution Process Complete**

After the “Resolution Complete” option is selected, the system will archive the institution record and remove it from the Case User’s assigned queue. The record can then be accessed through search functionality.

6. **Extension Points**

6.1 **Use Case 15 “Select Institution”**

Outlines a Case User’s ability to view their assigned queue and select an Institution record.

6.2 **Use Case 16 “Upload PADL”**

Defines the process behind attaching and tracking the PADL letter.

7. **Requirements**

GEN904 The system will pre-populate Fiscal Year End date in the Request for LOC sections.

GEN910 The system will provide a field for the case team member to enter Extended Due Date in the Request for LOC sections.

GEN911 The system will provide a field for the case team member to enter Reason Extension Granted in the Request for LOC sections.

GEN912 The system will provide a field for the case team member to enter Issue Date in the Record of Receipt of LOC section.

GEN913 The system will provide a field for the case team member to enter Expiration Date in the Record of Receipt of LOC section.

GEN914 The system will provide a field for the case team member to enter Release Date in the Record of Receipt of LOC section.

GEN915 The system will provide a field for the case team member to enter LOC Number in LOC section.

GEN916 The system will provide a field for the case team member to enter Amended LOC in LOC section.

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GEN919 The system will provide a field for the case team member to enter Bank Account Information in LOC section.

GEN920 The system will provide a field for the case team member to enter Bank's Contact Person Name as part of the information collected for a Letter of Credit.

GEN921 The system will provide a field for the case team member to enter Bank's Phone Number as part of the information collected for a Letter of Credit.

GEN922 The system will provide a field for the case team member to enter Bank's Address as part of the information collected for a Letter of Credit.

GEN923 The system will provide notes in LOC section.

GEN934 The system will track the receipt date of the Letter of Credit (LOC).

GEN949 The System will record the date when the institution views FAD on the self-service area. (Needs to be rewritten)