

**eZ-Audit**  
**Use-Case Specification 2: View Submissions**  
**Version 1.1**

eZ-Audit	Version: 1.1
Use-Case Specification 2: View Submissions	Date: 08/07/2002
Use Case 2	

## Revision History

Date	Version	Description	Author
07/17/2002	1.0	Final version created for 7/17 Deliverable Submission	Cody Winter
08/07/2002	1.1	Revised version created for deliverable re-submission	Bobbi Beach

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# Use-Case Specification 2: View Submissions

## 1. View Submissions

### 1.1 Brief Description

This Use Case describes the Institution Actor creating new submissions and viewing archived submissions. This is done through the use of the Institution Home Page and the Historical Submissions Page. In general, the Institution Home Page is where the Institution Actor selects to create all types of new submissions, both annual and non-annual. Once a submission has been made, a read-only copy can be viewed from the Notifications section of the Home Page. Once a new submission period has begun, all prior period submissions are accessed via the Historical Submissions Page.

## 2. Flow of Events

### 2.1 Basic Flow

#### 1) System Presents Home Page to Institution Actor

The Home Page contains links to allow the Institutional user to complete their annual submission. It is typical that an institution will only be performing one annual submission at a given time, but in the case where an annual submission is not completed before the next submission period begins, the Institutional Actor may create a submission for more than one Fiscal Year. To accommodate this, the link to create the annual submission will be of the format 'Create your FY [MM/DD/YYYY] Submission'. Once the submission has been created and submitted, this link will be grayed and the user will be unable to select it.

Non-annual submissions will also be available from the home page. These will include:

- Create Merger/Change in Ownership Submission
- Create Reinstatement Submission
- Create Initial Application Submission
- Create Stub Audit Submission
- Create Change in Fiscal Year End Date
- Create Closeout Audit Submission
- Create Waiver Request

The Home Page also contains the 'Self Service' area. This is where a variety of notifications are presented to the Institution Actor. These notifications consist of the following:

Status of Annual Submission (one of these three will be presented):

- Before the Annual Submission has been sent, and if the current date is prior to the due date the message will say 'Your Annual Submission is due MM/DD/YYYY'.
- After the Annual Submission has been sent and if the current date is after the due date the following message and link will be shown as 'Your Annual Submission was received on MM/DD/YYYY.'
- Before the Annual Submission has been sent, and if the current date is after the due date, the message will say 'Your annual submission is overdue'.

If the FAD has been sent to the institution, a notice will appear that says 'Your Final Audit Determination was sent on MM/DD/YY'

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If a Request for a Letter of Credit was sent to the institution, one of the following notices will appear:

- A Request for a Letter of Credit has been sent to your institution. The Letter of Credit is due by MM/DD/YY.
- Your Letter of Credit was received on MM/DD/YY.

If a non-annual submission has been made, a notice will appear with a link to the submission. The possible notices are:

- A Merger/Change in Ownership was submitted on MM/DD/YYYY.
- A Reinstatement Submission was submitted on MM/DD/YYYY.
- An Initial Application was submitted on MM/DD/YYYY.
- A Waiver Request was submitted on MM/DD/YYYY.
- A Stub Audit Submission was submitted on MM/DD/YYYY.
- A Change in Fiscal Year End Date was submitted on MM/DD/YYYY.
- A Closeout Audit was submitted on MM/DD/YYYY.

## 2) User selects 'View Historical Submissions'.

This link is not available if there are no Prior Year Submissions on record.

### 3) The system presents the Historical Submissions Page.

The Historical Submissions Page contains a record of prior year submissions. The submissions are organized by Fiscal Year. If an institution has submitted multiple times for the same submission (i.e. has re-submitted their annual submission), they will have view access to only the most recently submitted version. All submissions for that fiscal year are links to the information. The non-annual submissions (Change in Ownership, Waiver Request, etc.) are grouped under the fiscal year in which it was submitted. The possible links are:

- Annual Submission (required)
- Merger/Change in Ownership
- Waiver Request
- Initial Application
- Closeout Audit
- Stub Audit
- Reinstatement Submission
- Change in Fiscal Year End

## 2.2 Alternative Flows

### 2.2.1 *More than one Submission Open*

In the rare event that a submission has not been archived before the next one is to start, the home page will accommodate this. A separate link to create the annual submission will be available from the home page for each fiscal year.

There is also a section for each open year in the Self-Service area. These sections will be separated and headed by the Fiscal Year, most recent year on top.

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### 3. Special Requirements

There are no Special Requirements for this Use Case.

### 4. Preconditions

#### 4.1 User logged in as Institutional User

The user must be logged in as an institutional user for this use case to apply.

#### 4.2 Submission time period must be defined for the institution.

The Institution Home Page is dependent on the submission time period for each institution. The Home Page is designed to present submission information for the current submission time period. Once that submission is complete and archived, it is no longer viewable on the home page and must be accessed as in Steps 2 and 3 of the Basic Flow. When the submission is archived, submission information for the next fiscal year is displayed on the home page. This is the case even if the Fiscal Year has not ended and the institution is not yet allowed to submit.

#### 4.3 Submissions must be on record to be viewed.

For any annual or non-annual submissions to be viewed, they must be present in the eZ-Audit database.

### 5. Postconditions

As a result of this Use Case specification, the Institution Actor will be able to accomplish one of three postconditions.

#### 5.1 Create Submission

The Institution Actor will be able to create an Annual or Non-Annual submission. This is a link from the Home Page.

#### 5.2 View Current Submission

A current submission has been submitted and is due during the current submission period, regardless of whether or not it has been archived. Each current submission will be a link from the Self-Service Area of the Home Page.

#### 5.3 View Historical Submission

The Institution Actor will be able to view submissions which have been archived in the system. The 'View Historical Submissions' link is located on the Home Page.

### 6. Extension Points

#### 6.1 Requirements in this Use Case

GEN30 The System will support the administration of "read" access rights for Institution Users to their own institution data.

GEN159 The System will post an audit completeness status to the website for the institution to view.

GEN160 The System will post a financial completeness status to the website for the institution to view.

GEN849 The system will prevent institutions from re-submitting a compliance audit after a submission has been received by the department.

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GEN1171 The system will allow institution users to view only the most recent financial statement and compliance audit submission for any fiscal year.

Acceptance of the Use Case as written will require modification and CCB Review of the Following Requirements:

*GEN946 The System will post FAD to a self-service area.*

*GEN948 The System will store the date when the FAD is posted on the self-service area.*

*GEN949 The System will record the date when the institution views FAD on the self-service area.*