



UC05 – Determine and Deliver WAP Benefits Use Case Specification  
**State of MN - eHEAT Phase III**  
Version 1.1





## Revision History

Date	Version	Description	Author
02/10/2004	DRAFT	Initial Version	Ramu Srinivasan
2/19/2004	1.0	Peer Review complete with Narayan Srinivasan and submitted for sign off	Ramu Srinivasan
03/25/2004	1.1	Updated/Rewritten use case with NEAT Audit tool changes	Ramu Srinivasan
04/23/2004	1.2	Made updates to Business Rule – NEAT upload due to changes in NEAT Technical Interface Spec.	Ramu Srinivasan
05/07/2004	1.3	Fixed typo in section 4.1.3 Maintaining WAP Event  Modified Pre-Condition ( application status should be complete or approved and WAP eligible), Dwelling eligibility	Ramu Srinivasan
05/21/2004	1.4	Made updates based on NEAT meeting on 5/20/2004 – Updated WAP event status rules	



## Table of Contents

<u>1.</u>	<u><a href="#">Brief Description</a></u> .....	4
<u>2.</u>	<u><a href="#">Actors</a></u> .....	4
<u>3.</u>	<u><a href="#">Activity Diagram</a></u> .....	4
<u>4.</u>	<u><a href="#">Flow of Events</a></u> .....	6
	<u><a href="#">4.1 Basic Flow</a></u> .....	6
	<u><a href="#">4.2 Alternate Flow</a></u> .....	7
<u>5.</u>	<u><a href="#">Special Requirements</a></u> .....	7
<u>6.</u>	<u><a href="#">Preconditions</a></u> .....	8
<u>7.</u>	<u><a href="#">Post conditions</a></u> .....	8
<u>8.</u>	<u><a href="#">Business Rules</a></u> .....	8
	<u><a href="#">Security</a></u> .....	8
	<u><a href="#">WAP Event</a></u> .....	8
	<u><a href="#">WAP Measure Maintenance</a></u> .....	9
	<u><a href="#">Export to Audit Tool</a></u> .....	11
	<u><a href="#">Import from Audit Tool</a></u> .....	12



---

## Determine and Deliver WAP Benefits

### 1. Brief Description

This use case provides a way to Determine and Deliver WAP Benefits.

### 2. Actors

Service Provider, DOC User

### 3. Activity Diagram

Space below is intentionally left blank

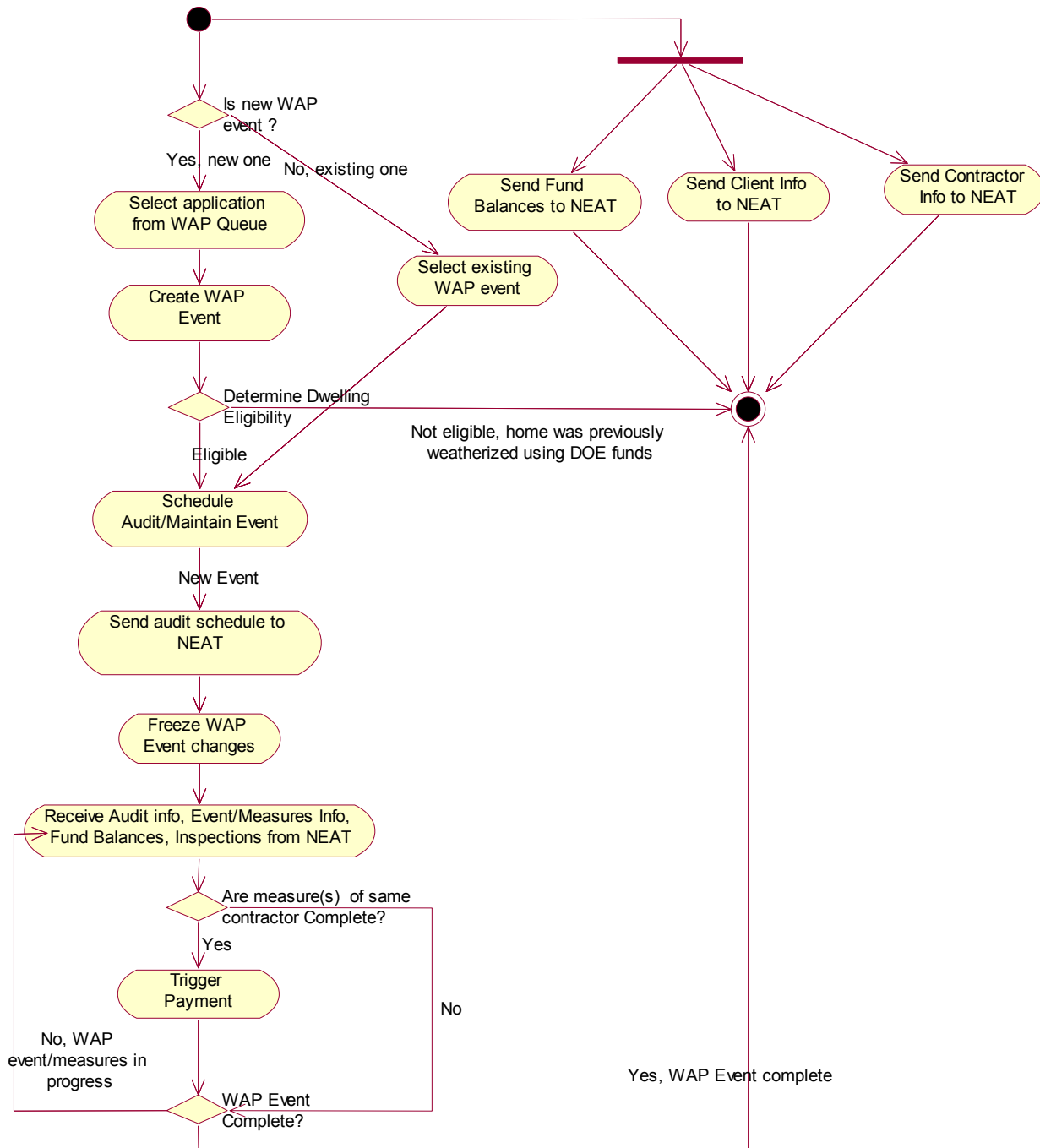


Figure 1: Determine and Deliver WAP Benefits Activity Diagram



---

## 4 Flow of Events

---

### 4.1 Basic Flow

#### 4.1.1 Start of the Use Case

This use case starts when user clicks “WAP Queue” from the WAP Benefits tab from the Client Services menu.

#### 4.1.2 Creating WAP Event from WAP Queue

1. User selects an application from the displayed WAP Queue.
2. On clicking “Create WAP Event” button, system takes the user to WAP event creation screen.
3. User determines and enters dwelling information and clicks “Save” button.
4. If ineligible, system saves the event and use case ends. Otherwise, use case continues with 4.1.3 section.

#### 4.1.3 Maintaining WAP Event

1. User enters scheduling date and call back date if applicable in event screen.
2. Once audit is scheduled, the WAP event with audit schedule information is ready to be picked up the audit tool for further processing.
3. eHEAT receives audited information from Audit tool. This also includes measures sent by audit tool.
4. If client refuses to accept weatherization assistance after event has been created, the user can click on the button “Refuse” after adding some comments (indicating as to why client refused) to notes field.
5. After creating WAP event, local agency can deny WAP assistance from an applicant by clicking on the “Deny” button after adding some comments indicating as to why it was denied.
6. The user saves the information by clicking on “Save” and can come back later to change information.
7. Measures that were imported from audit tool if any will be listed in the next screen after clicking on the “View Measures” button.
8. User can view inspection report by selecting one of the inspections and clicking on the “View” button from Inspection Summary Screen.
9. User will also be able to directly view an inspection report for a measure by clicking on “View Inspection” button while viewing measures on Measure Screen. If there is more than one inspection for that measure, system will present list of inspection summary for that measure and user selects one of the measure and clicks on the “View” button.



### 4.1.3 Use Case Ends

The use case ends on display of the message.

---

## 4.2 Alternate Flow

### 4.2.1 Selecting by WAP Event

1. User clicks “Search by WAP Event” from WAP Benefits tab from Client Services menu.
2. After user enters search criteria the system displays a result based on search criteria.
3. User selects a WAP event and clicks on the button “View WAP Event”.
4. Alternate flow ends here and continues with normal flow 4.1.3.

### 4.2.2 Exporting Information to Audit Tool

1. User clicks “Audit Tool Export/Import” link in the WAP Benefits tab from the Client Services menu.
2. User selects export type and clicks on the “Download” button.
3. Appropriate file is generated depending on the type that was selected and prompts the user to either save to local disk or open from the current location.
4. User selects appropriate option and alternate flow ends here.

### 4.2.2 Importing Information from Audit Tool

1. User clicks “Audit Tool Export/Import” link in the WAP Benefits tab from the Client Services menu.
2. User can either type in the file path and name in the filename text field or locate the file in local machine using the “Browse” button.
3. User clicks on the “Upload” button and file gets uploaded into the system. The files are processed by scheduled batch job.
4. System displays a message indicating success or failure of upload in the message bar section of the same screen.
5. User will be able to check the status of file processing using the same screen.
6. Alternate flow ends here.

## 5 Special Requirements

- Contractor Maintenance screen that will allow service providers to maintain their own list of contractor ids and contractor names with two flags one to indicate “Active” / “In Active” status and other to indicate whether contractor is a crew.



- A Fund table containing list of funds that will be used for WAP benefits with a flag to indicate accounting/non-accounting fund.

## 6 Preconditions

Applications status should be approved and WAP eligible.

## 7 Post conditions

A WAP Event might be created.

## 8 Business Rules

### Security:

- State user has read only access to all the transaction screens. In other words state user will not be able to create or modify WAP events and measures. In addition, state user will have a privilege to select any service provider/agency from the agency drop down list in application search.
- Authorized Service providers will have complete access to all WAP screens.
- All other service provider users will have read only access to all the transaction screens.

### WAP Event:

- System will maintain a date indicating when an event was created which might be used for tracking purposes.
- A second new WAP event can be created for an application if and only if existing WAP event is closed.
- System will allow audits be scheduled only for those applicants who are dwelling eligible. So, if a house was weatherized using DOE funds in the last 5 years, the applicant becomes ineligible.
- An event can have 0 to many measures. Measures can be added only in audit tool.
- WAP event updates are received from audit tool.
- The system keeps track of event statuses and a history of status each time when it changes along with date. The following table lists event statuses and the source that drives it.

Event Status	Source Driven	When / Rules
New	System	<ul style="list-style-type: none"> <li>• First time when an event is created and no action is taken.</li> <li>• This implies that audit schedule has not been</li> </ul>





## State of Minnesota – eHEAT Phase III

UC05 – Determine and Deliver WAP Benefits Use Case Specification



		done.
Scheduled	System	<ul style="list-style-type: none"> <li>When an audit schedule date is entered or changed. Once status is “Scheduled”, these events will be picked up by audit tool for further processing.</li> </ul>
Denied	User / Audit Tool	<ul style="list-style-type: none"> <li>When user decides that an event needs to be denied.</li> <li>An event can be denied only when statuses of all measures are either “Cancelled” or “In Progress” or mix match of both or there are no measures attached to that event.</li> <li>Any measures with obligated fund for that event will be de-obligated.</li> <li>A reason for denial can be added to “Notes” field.</li> </ul>
Refused	User / Audit Tool	<ul style="list-style-type: none"> <li>When client refuses Weatherization assistance.</li> <li>An event can be refused only when measure status of that event is either “Cancelled” or there are no measures attached to that event.</li> <li>Any measures with obligated fund for that event will be de-obligated.</li> <li>A reason for refusal can be added to “Notes” field.</li> </ul>
Downloaded	System	<ul style="list-style-type: none"> <li>When the audit schedule information is downloaded from eHEAT for further processing in audit tool.</li> </ul>
On Hold	User / Audit Tool	<ul style="list-style-type: none"> <li>When user decides this entire WAP event will be on hold for certain reason.</li> <li>All the measures will be frozen and cannot be edited if entire WAP event is on hold. Once set to on Hold, the “Hold” button will be replaced with “Resume” button and an event can be resumed by clicking on that button.</li> </ul>
WAP In Progress	System	<ul style="list-style-type: none"> <li>When measures are added and statuses of one or more measures are in progress.</li> </ul>
Complete	System	<ul style="list-style-type: none"> <li>When all the measures for the event are either complete or cancelled or a mix match of both.</li> </ul>

- WAP events with status ‘Scheduled’ will be included in WAP event schedule download. Once downloaded, the status is changed to ‘Audit In Progress’.
- The download file also includes ‘Audit In Progress’ events.

### **WAP Measure Maintenance:**

Measures:

- Estimate/Bid Amount and Final Amount should be a positive value and may contain 0.
- Having 0 for estimated/Bid Amount field will allow all the measures of a contractor or crew allowing them to have only one estimate for all of their measures.

- All measures information will be provided by audit tool
- The following table defines possible values for measure status, source that drives and when it can happen. System will also maintain a history of measure status changes and date when it was changed.

Measure Status	Source Driven	When / Rules
No Action	Audit Tool	This is the default status for Audit tool recommended measures and new user defined measures.
In Progress	Audit Tool	When contractors are assigned to measures and estimated / bid Amount is entered. When a user decides that a measure is not complete (may be after inspection) though the measure status was changed to “Complete”.
Complete	Audit Tool	When user determines that a measure is complete.
Denied	Audit Tool	When user decides this measure needs to be denied. Obligated funds if any will be de-obligated.
Hold	Audit Tool	When there is a health and safety issue or for any other reason, user can set a measure’s status to hold. Obligated funds if any will remain obligated.

**Contractor list:**

- Payments cannot be made directly to household.
- New Measures can be assigned to only active contractors or crew. Same rule applies if contractor id is changed for existing measure.
- If crew is used for performing work, then funds are not obligated as crews are paid thru payroll.
- eHEAT will not process a record sent by audit tool that has different contractor id that does not exist in the system.
- Contractor information is always sent from the system to the audit tool and not vice versa.

**Obligation:**

- Audit tool handles the obligation process. ‘Obligated’ statuses are sent by audit tool.
- Fund changes to measures are received from audit tool. If there is any difference in the previous and current amount, corresponding difference is obligated/de-obligated accordingly.



Payments:

- A rule will be imposed such that payment process will pick all the measures of a contractor only if they are complete. This will prevent payments to contractor until all of his work is done. This rule is only within a contractor and not across contractor. So, a contractor doing mechanical work can get paid when his/her measures are complete while building shell contractor’s work can be still in progress for that event.
- When there is no fund, system/Audit tool will set a no fund indicator to the WAP measure.
- Payment status is tied to its measure’s status and can be one of the following values. It also describes the source that drives it and when it can occur. Like other statuses, histories of payment status changes are also maintained along with date indicating when it was changed.

Payment Status	Source Driven	When / Rules
n/a	Audit Tool	This is the default status for any new measure. When a non-accounting fund is used. When crew is used, instead of contractors, to perform work.
Obligated	Audit Tool	When audit tool uses an accounting fund for one or more measures and funds need to be set a side.
Certifiable	System	When a measure is marked as “Complete” indicating that this transaction may be ready for payment certification.
Payable	System	When user certifies/approves a payment transaction.
Payment In Progress	System	When Payment process has picked up certified payment transactions.
Paid	System	When payment information has been received from Agency AP after payment has been made to contractors.

Others:

- System maintains date created and date modified for all events and measures.
- Measures can be updated thru audit tool as long as payment status is not “Payment in progress” or “Paid”. System will not process measure updates when audit tool sends update for a paid measure.
- When the user clicks “Quit” button, the system will take the user to previous screen or search screen (if any in that section) or home page of that tab which ever is appropriate. Clicking “Quit” button will not save any changes made (provided they haven’t been saved before) and will ask for confirmation before proceeding further.

**Export to Audit Tool:**

- eHEAT provides the following four types of information that can be exported to audit tool.
  - Client Information

- Fund Balance
- Contractor Information
- WAP Event Schedules

- Client Information – All the client information that has been selected to perform WAP is included in the download file. Attached file captures the fields that will be included in the download file.

ClientInformation-Download.txt

- Fund Balance Information – All funds balances used for WAP will be available in download. The download file will contain fund transaction that adds up to the total available balance. Attached is a sample file which captures the fields that will be included in the download file.

Fund-Balances-Download.txt

- Contractor Information – Contractor information available in eHEAT will be included in the download. Attached is the sample file which captures the fields that will be included in the download file.

  
ContractorInformation-Download.txt

- WAP Event Schedules – WAP Event with information that are with status ‘Scheduled’ will be included in the download file. Attached file captures the fields that will be included in the download file.

WAP-EventSchedule-Download.txt

- Once WAP event schedules are downloaded, WAP event status will be changed to ‘Audit in Progress’ and all event information will be frozen in eHEAT. All WAP event canceling/holding/client refusals will be handled in audit tool.

### **Import from Audit Tool:**

- The system will import the following four types of information from Audit tool
  - WAP Event
  - WAP Measures
  - WAP Inspections
- They will be differentiated using record type which will be the first column of each row. Attached file captures the fields that will be included in the import file.

NEAT-Upload.txt



## State of Minnesota – eHEAT Phase III

UC05 – Determine and Deliver WAP Benefits Use Case Specification



- Current fund balances will not be imported Audit tool; instead fund balances will be derived using the fund amount and obligation status that is received from Audit tool for each measure. Batch process will update the fund obligation in the system based on the measure information received from Audit tool.
- If there is an update to previously sent estimated/bid amount or actual amount, the difference if any is obligated or de-obligated accordingly. The update will fail if there is no fund available. State user will need to allocate money and the file will have to be uploaded again for re-processing.
- Once audit tool indicates completion of a measure thru upload, the system updates that measure and the record gets frozen in the system. Any further updates to that measure will not be allowed.
- Inspections can be only added, but not updated.
- Once audit tool indicates completion of a WAP event thru upload, the system updates that event. The system also freezes that event and all its associated measures. Any further additions or updates to event, measures and inspection will not be allowed.
- System will provide a way to view records that were not processed due to errors.