



State of Minnesota – eHEAT Phase III

UC29 – Payment Processing – Viewing Payments and Processing Refunds Use Case Specification

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Refunds Use Case Specification

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Version 1.2



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Revision History

Date	Version	Description	Author
03/16/2004	DRAFT	Initial Version	Ramu Srinivasan
03/22/2004	1.0	Reviewed by Siva Ramanathan. Peer Review Complete with Narayan Srinivasan. Submitted for sign off.	Ramu Srinivasan
03/28/2004	1.1	Added Supplemental Benefit Refund processing	Ramu Srinivasan
05/25/2004	1.2	Added Refund Processing from UC25	Ramu Srinivasan



State of Minnesota – eHEAT Phase III

UC29 – Payment Processing – Viewing Payments and Processing Refunds Use Case Specification

Table of Contents

1. [Brief Description](#)4

2. [Actors](#)4

3. [Activity Diagram](#)5

4. [Flow of Events](#)6

 4.1 [Basic Flow](#)6

 4.2 [Alternate Flow](#)6

 4.2.1 [Viewing Payment Details for Individual Applicant](#)6

 4.2.2 [Handling Refunds by Vendors](#)7

 4.2.3 [Handling Refunds by State Fiscal User](#)7

 4.2.3 [Refund Processing](#)8

 4.2.4 [Requesting Correction from Service Provider](#)9

 4.2.5 [Notifying Correction to State Fiscal](#)9

 4.2.6 [Voiding Payments](#)9

 4.2.7 [Payment Re-issue](#)9

5. [Special Requirements](#)9

6. [Preconditions](#)9

7. [Post conditions](#)9

8. [Cross References](#)9

9. [Business Rules](#)10



State of Minnesota – eHEAT Phase III

UC29 – Payment Processing – Viewing Payments and Processing Refunds Use Case Specification

Payment Processing - Refunds

1. Brief Description

This use case specifies handling of refunds in eHEAT system.

2. Actors

Vendor, Authorized Service Provider, State Fiscal User

3. Activity Diagram

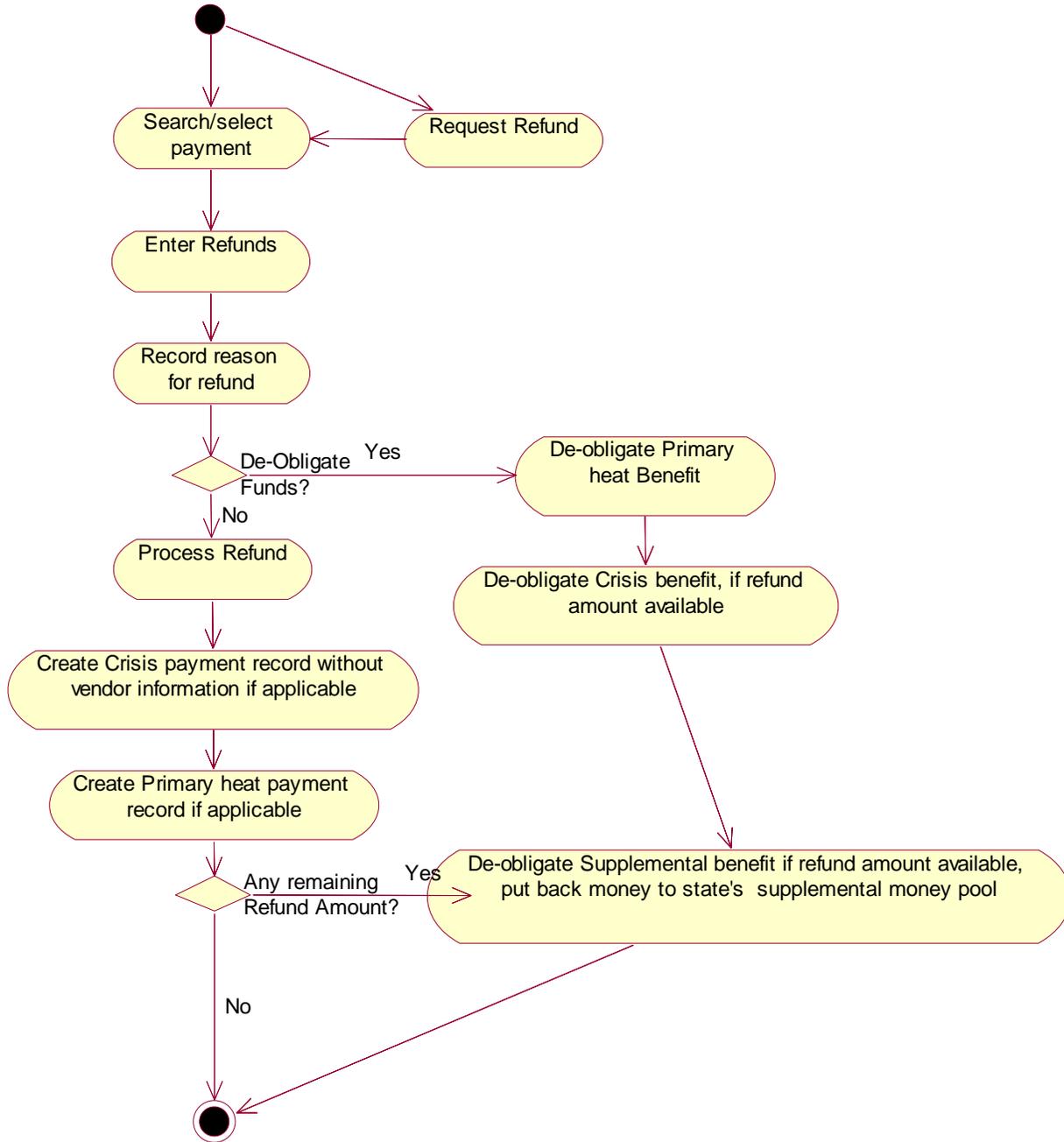


Figure 1: Viewing Payments and Refund Processing Activity Diagram



4 Flow of Events

4.1 Basic Flow

4.1.1 Start of the Use Case

This use case starts when the user clicks on “Payments” tab from Payment Services menu.

4.1.2 Viewing Payments

1. User enters one or more search criteria.
2. If warrant/EFT number is known, all payment details corresponding to that warrant/EFT number can be searched.
3. The system searches by one or all of the following payment statuses
 - Payable
 - Payment In Progress
 - Paid
 - Refund
4. If records are found, the system displays the search results as a list. If no records are found the system displays a message “No results found. Please select different search criteria”.
5. The user will be able to download the payments to a lowest common denominator ASCII file with fields delimited by a delimiter. This can be accomplished by clicking on the “Download” button. The technical details such as delimiter will be determined during technical design.

4.1.3 Use Case Ends

The use case ends on display of the search results.

4.2 Alternate Flow

4.2.1 Viewing Payment Details for Individual Applicant

1. This alternate flow starts when the user clicks on “Client Services” menu, “Application” TAB and “Vendor Application Search” sub-link.
2. The user selects an application from the search results and clicks on the “View Payment Details” button.
3. The system displays information about all the payments transaction including refunds of the selected application for that vendor.
4. The system will also display other vendors’ limited payment information of the selected applicant if any.



5. This alternative flow ends here.

4.2.2 Handling Refunds by Vendors

1. This alternative flow starts after flow 4.1.1 when the vendor selects an application and clicks “Refund” button.
2. System will display a list of previously entered refunds for the selected applicant if any.
3. The user can add more refunds by clicking “Add” button.
4. User enters refund amount and refund reason.
5. The user can enter one refund amount for both primary heat and crisis payment and system will handle the distribution of this refund amount to primary heat and crisis payment during refund processing.
6. The user can also edit existing unprocessed refunds.
7. When the user hits “Save” button the information is saved to database and a message is displayed in the top of the same screen in the message bar section indicating success or failure.
8. Rows added in the screen can be removed by clicking “Remove” button. But once saved to the database, it cannot be removed.
9. This alternative flow ends here.

4.2.3 Handling Refunds by State Fiscal User

1. This alternative flow starts after flow 4.1.1 when the state fiscal user selects an application and clicks “Refund” button.
2. The state user will be able to search by both vendor and service provider.
3. System will display a list of previously entered refunds for the selected applicant if any.
4. The user will be able to enter warrant/EFT number in addition to other fields.
5. The user can add more refunds by clicking “Add” button.
6. Even though one refund check may be sent for several applicants, state fiscal manually determines the refund amount for each applicant (which may be available in refund check detail list) and enters same warrant/EFT number and payment date for every application with a refund amount and reason.
7. The user can enter one refund amount for both primary heat and crisis payment and system will handle the distribution of this refund amount to primary heat and crisis payment during refund processing.



8. The user can also edit existing unprocessed refunds and those processed refunds for which there is no warrant/EFT number.
9. When the user hits “Save” button the information is saved to database and a message is displayed in the top of the same screen in the message bar section indicating success or failure.
10. Rows added in the screen can be removed by clicking “Remove” button. But once saved to the database, it cannot be removed.
11. This alternative flow ends here.

4.2.3 Refund Processing

1. This alternative flow starts when the service provider clicks “Refunds” TAB from “Payment Services Menu”.
2. The user enters one or more search criteria and hits search. The user will have ability to search by vendor and also by refund statuses.
3. The user can select only those refunds with the status ‘Un-Processed’ and can either de-obligate by clicking the button “De-obligate” or again reprocess them for payments by clicking the button “Payment”.
4. Refunds can be received for either crisis or primary heat or both and they are applied to crisis first if there was one and then any remaining refund amount towards primary heat benefit.
5. When the user clicks “De-obligate”, one or two payment refund records (either crisis or primary heat or both) are created and the paid benefit amount that was refunded is de-obligated from the system. A message indicating success or failure is displayed on the top of the same screen in the message header section.
6. When the user clicks “Payment”, one or two payment refund records (either crisis or primary heat or both) are created and one or two new payment records (for crisis or primary heat or both) are created with no vendor information. A message indicating success or failure is displayed on the top of the same screen in the message header section.
7. If vendor entered refund, warrant/EFT number is blank and will be populated by payment batch process. This will contain the same warrant/EFT number from which payment was netted. If state user entered refund, warrant/EFT number is populated from the screen input.
8. New payment records will be flagged as ‘Refund Payments’ and will be sent to payment certification list. The details of how these new payments will be processed are described in UC20 and UC21 use case documents.
9. Special rules apply during agency transfer process during which refunds may occur, which is described in UC01 use case document.
10. This flow ends with the display of message.



4.2.4 Requesting Correction from Service Provider

1. State receives a bounced check due to in-correct household address.
2. This alternative flow starts after flow 4.1.1 when the state user selects an application from the payment list and clicks “Request Correction from Service Provider” button.
3. Clicking on the button

4.2.5 Notifying Correction to State Fiscal

1. Service provider user sees the work queue and selects it for making correct to address.
2. After making necessary updates to household address, service provider user notifies state fiscal user manually or thru Work queue.

4.2.6 Voiding Payments

1. This alternative flow starts after flow 4.1.1 when the state user selects a payment from the payment list and clicks “Void Payment” button.
2. Payment status is either changed to ‘Void’ and displays a message indicating success or displays an error message in the message bar section while the payment status remains the same.

4.2.7 Payment Re-issue

1. This alternative flow starts after flow 4.1.1 when the state user selects a voided payment from the payment list and clicks “Re-issue Payment” button.
2. This changes the payment status to ‘Payment-Reissue’ and gets queued for payment.
3. A message indicating success or failure will be displayed in message section of the same screen.

5 Special Requirements

None

6 Preconditions

None

7 Post conditions

None

8 Cross References

- UC01 - Handle Energy Assistance Request UC Specification.doc
- UC10 - Payment Processing - Scheduling and Certifying Primary Heat Payments UC Specification.doc
- UC20 - Payment Processing - Payment Certification UC Specification.doc



- UC21 - Payment Processing - Payment Process UC Specification.doc

9 Business Rules

Security

- Vendors with read-only privilege will have read-only access to payment/refund screens.
- Vendors with all privilege, but refund will have access to all payment view screens except refund.
- Vendors with all privilege will have read/write access to all payment view screens including refund.
- Service providers will have access to payment screen except refund and will be the only user to have access to refund process screen. This user will not have access to vendor application search.
- State user will have complete access to payment/refund screen.

Vendor Application Search

- Only primary applicant can be searched. The system will limit the search to only those applicants who have listed the logged in vendor as an energy provider in their applications.
- The system will allow the user to search only those applications with statuses Approved, Complete, Denied, Incomplete, Logged and Void.

Payment Search

- State fiscal user will have ability to select both vendor and service providers in the payment search screen.
- Service Provider will have ability to select only vendor drop down. Service provider drop down will be read-only and will not have access to 'Refund' button.
- Vendor will have the ability to select only service provider drop down. Vendor drop down will be read-only.

Payment List

- If vendor is the actor, the system will not display other vendors' Payment amount / warrant number of the selected applicant if any. However the system will display other payment information such as Event Type, Payment Status and Status date.
- If Service provider is the actor, the payment list will be restricted to payments related to that service provider.
- State fiscal user will be able to view all the payments by both vendor and service provider.

Refunds

- Service providers can also request refunds from vendor thru work queue.



State of Minnesota – eHEAT Phase III

UC29 – Payment Processing – Viewing Payments and Processing Refunds Use Case Specification

- Refunds will be accounted for current program year only. In other words, refunds cannot be entered for previous years.
- Only state fiscal user will have the capability to enter warrant/EFT number and payment date.
- The following are the currently identified reasons –
 - Moved
 - Deceased
 - Payment Error
 - Duplicate Payment
 - Account Closed
- The following are the list of refund statuses, source that drives and rules –

Consumption Info Status	Source Driven	When / Rules
Un-Processed	System	<ul style="list-style-type: none"> • This is the default status. Any refunds entered by the vendor or state fiscal user will have this status.
Processed	System	<ul style="list-style-type: none"> • When the Service provider views all the entered refunds and decides to re-queue for payments or decides to de-obligate the refund amount.

- Refunds entered by state or vendor will not be distributed or de-obligated until service provider processes them.
- During refund process, every refund will generate one or two payment records with payment status 'Refund' and with a negative amount for the applicant to whom refund was applied. If there was a refund that was applied towards both primary heat and crisis payment, there will be two refund payment records; otherwise there will be one refund payment record.
- If the refunded amount is greater than total primary heat and/or crisis, then refund amount is applied towards supplemental benefit. Supplemental Refunds are de-allocated from service provider and the money is put back directly to state's supplemental money pool. If more than one supplemental fund category was used, then system applies the remaining refund to any of the supplemental fund category randomly from which household was paid.
- All refunds from vendor who are actors in the system are netted from their payment. Every refund record will have a warrant/EFT number of a payment from which it was netted. At the end of the year when there is no payment, vendor sends a check to the state instead of entering refunds in the system.
- When vendor is not an actor in the system, state fiscal user enters refund.
- If vendor is an actor in the system and at the end of the year when there is no payment from which refund can be netted,



State of Minnesota – eHEAT Phase III

UC29 – Payment Processing – Viewing Payments and Processing Refunds Use Case Specification

- State fiscal user manually requests refund from the vendor. Refunds are sent to the state and State fiscal user enters the refund information into the system. This refund will not be netted from next year's payment.
- If vendor has already entered refund and also sends a check to the state, state fiscal user has to edit the existing refund transaction and adds warrant/EFT number. This refund will not be netted from next year's payment.

Payment Reconciliation

- State Fiscal user can request for correction on payments that have statuses 'Paid' or 'Void'.
- State Fiscal will be the only user that has access to 'Request Correction from SP', 'Payment Void' and 'Payment Reissue'.
- Payment can be re-issued only when payments have been voided.
- Voiding a payment de-obligates fund from the service provider and gets re-obligated when payment is re-issued.

Others

- 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.