eCASE Audit

Recommendation Tracking User Manual

v5.15.0

July 2024

eCASE Audit v5.15.0 Recommendation Tracking User Manual

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Contents

1 Introduction

1.1 About Recommendation Tracking

This manual is intended to assist you with using eCASE Audit Recommendation Tracking (RT) folders. Recommendation Tracking provides you with the ability to track Recommendations that arise from Findings added to Audits in eCASE Audit.

The Audit Recommendation Tracking is an optional feature that can be enabled in eCASE Audit.

1.2 Scope

This document is intended as a supplement to the eCASE Audit Management User Manual, and does not include instructions on creating or managing Projects within eCASE Audit Management. This manual features sections capturing the following subjects:

- Getting Started (sign in, create recommendations, search recommendation folders)
- Recommendation Tracking Folder Interface
- Tracking Recommendations
- Recommendation Review and Approval
- Document Approvals

1.3 Using This Manual

The following formatting conventions are used in this manual to highlight important information:

- *Italicized* text indicates a location, for example a particular *Folder*, *Tab*, or *Window*.
- **Bold** text indicates a specific user action, such as clicking a **button**.
- Red text and this symbol **(!!)** are used in Notes to **bring attention to crucial information**.

2 Getting Started

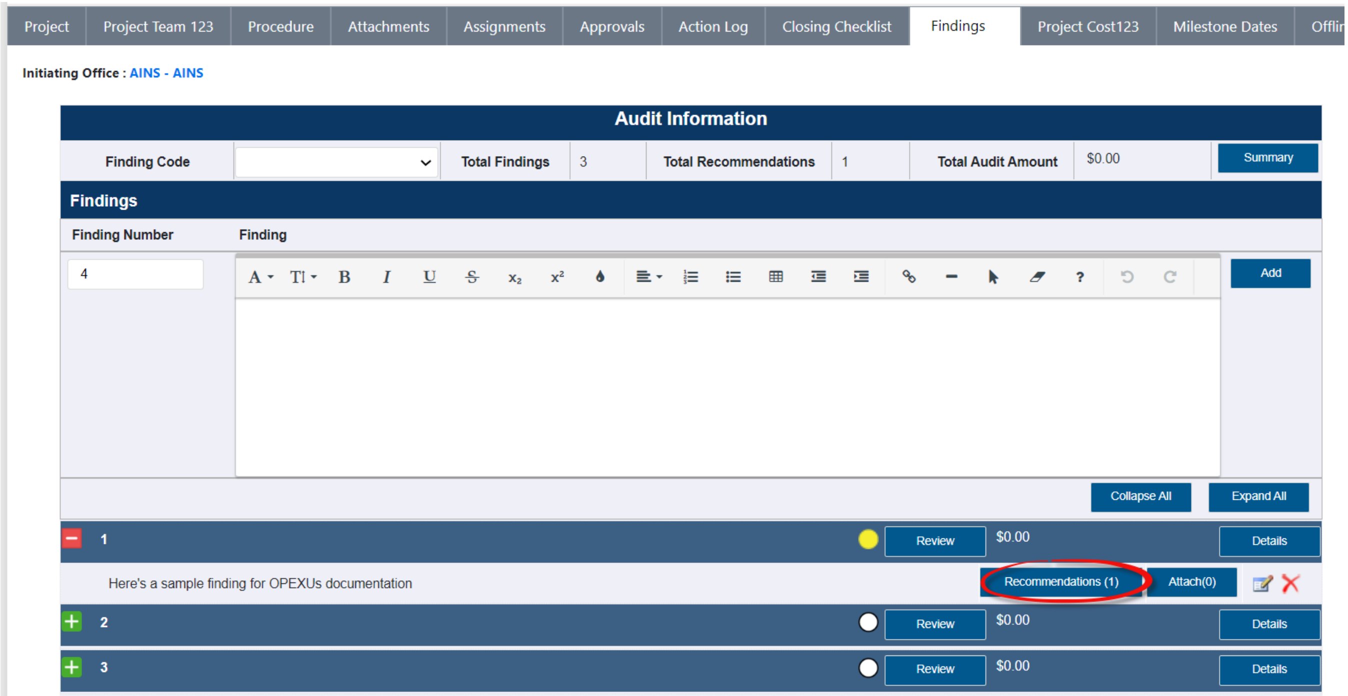
2.1 Sign In to eCASE

To sign in to eCASE, navigate to the *eCASE sign in screen*. Your system administrator will provide you a hyperlink to access the *eCASE Sign In screen* after your account is created. Enter your **(1) Username** and **(2) Password** in the *Sign In screen* and click **(3) Sign In**.

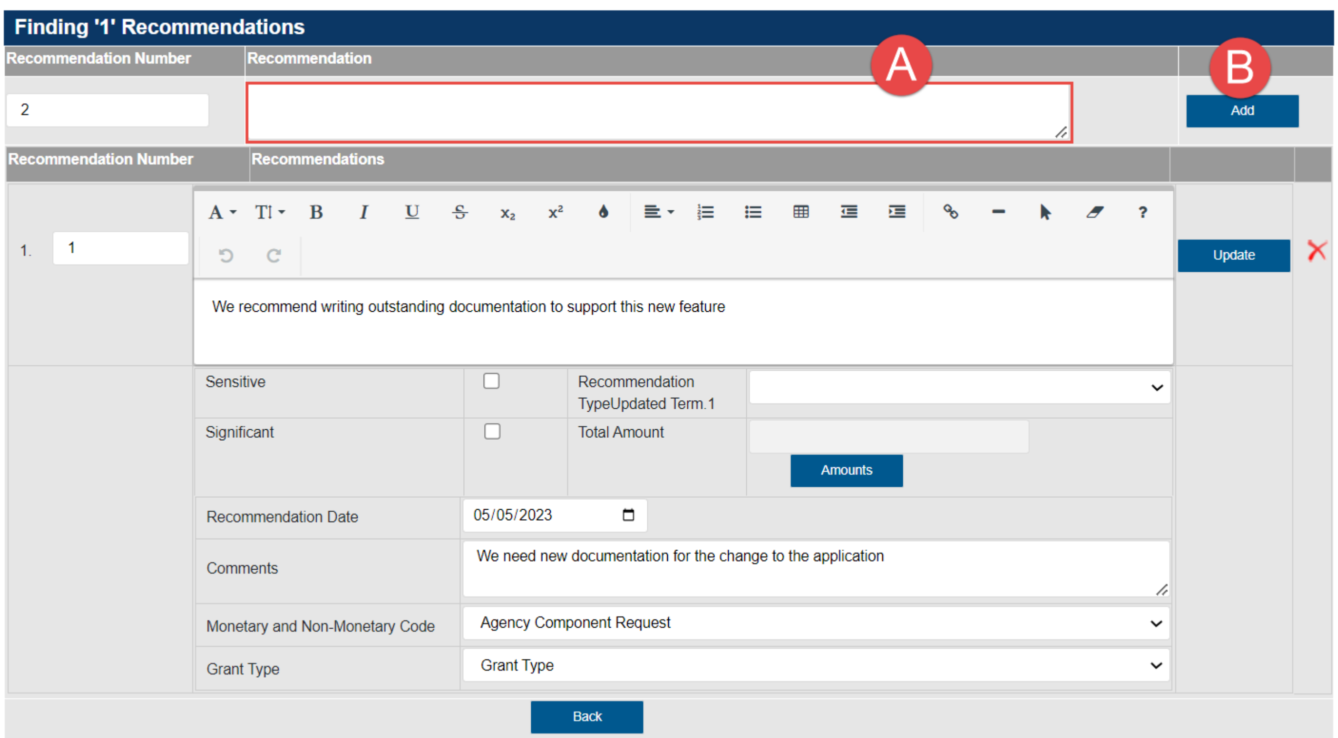
2.2 Create Recommendations in Projects

Follow the steps below to create a Recommendation under a parent project. Once the project is closed, each Recommendation is retained as a separate Recommendation Tracking folder.

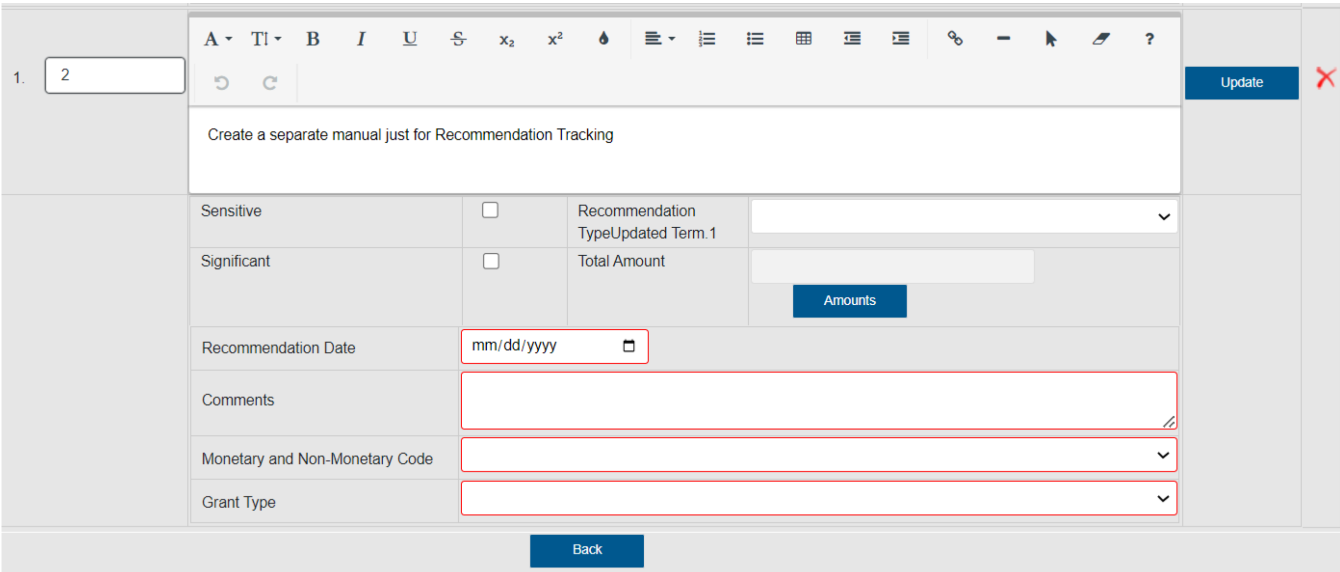
1. Open a *Project*, and navigate to the *Findings* tab.
2. Expand the *Finding*, then click **Recommendations**:



3. Enter the details in the **(A)** *Recommendation* field, then click **(B) Add**:



4. Additional fields appear to capture required details about the Recommendation. First, select the *Recommendation Date:*



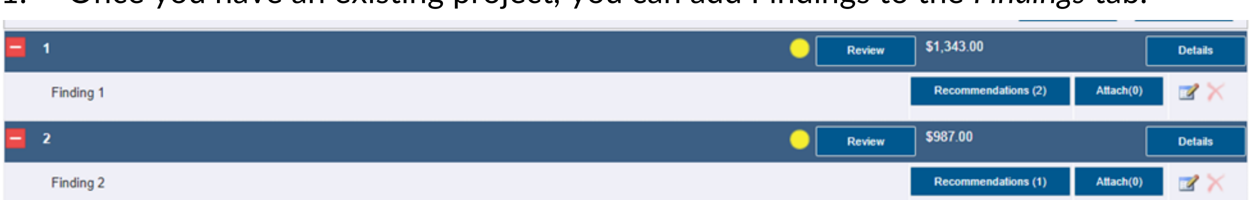
5. Enter *Comments* in the field provided.
6. Use the dropdowns to select the *Monetary and Non-Monetary Code* as well as the *Grant Type*.
7. Click **Update** to save the details.
8. Once the Project is closed, the Recommendation details automatically transfer to new Recommendation Tracking folders.

2.3 Create Recommendation Tracking Folders (Close Project)

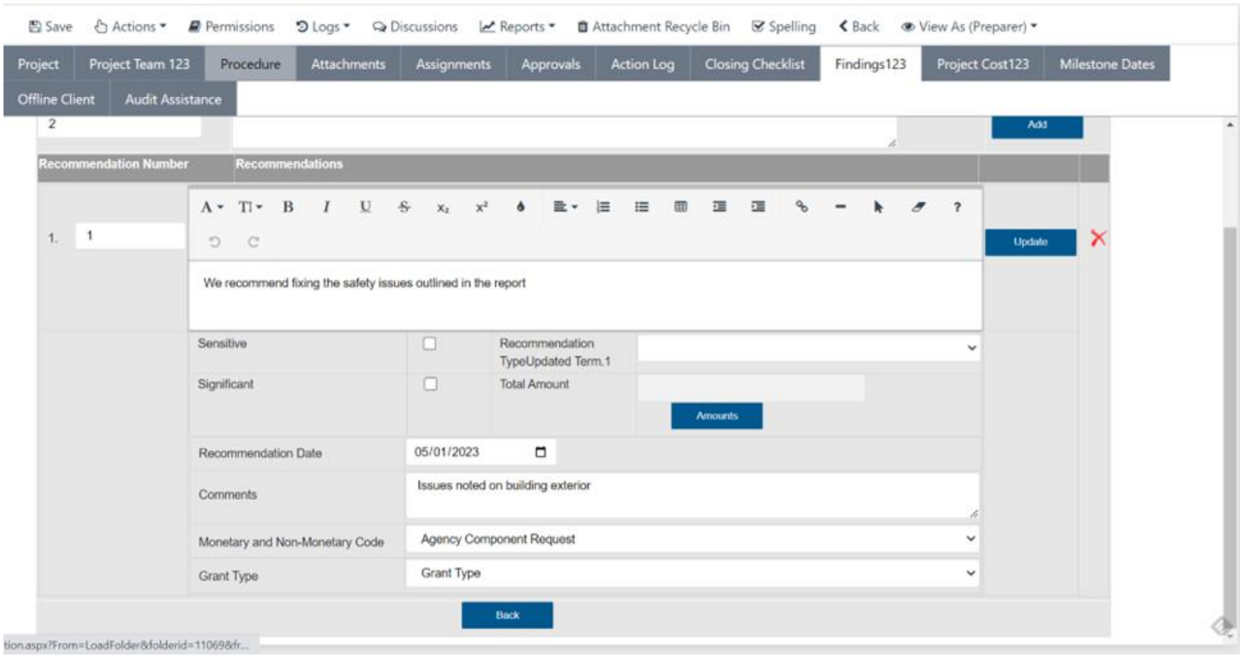
Before you can begin tracking Recommendations, you will first need to close the parent Project folder. Any Recommendations that exist prior to closing the Project will be filed into its own RT folder, which can be accessed via the *Quick Search* bar or using the *Track Recommendations* tab within the parent Project.

The following steps outline how to create Recommendation Tracking folders to track recommendations stemming from audit findings.

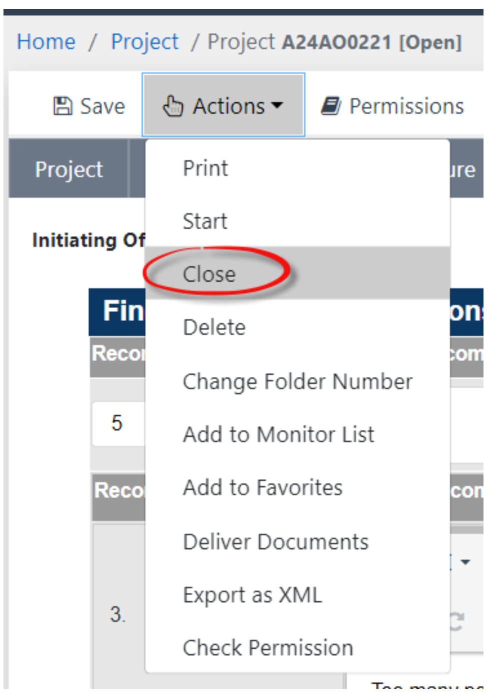
1. Once you have an existing project, you can add Findings to the *Findings* tab.



2. Under each *Finding*, add at least one *Recommendation*.

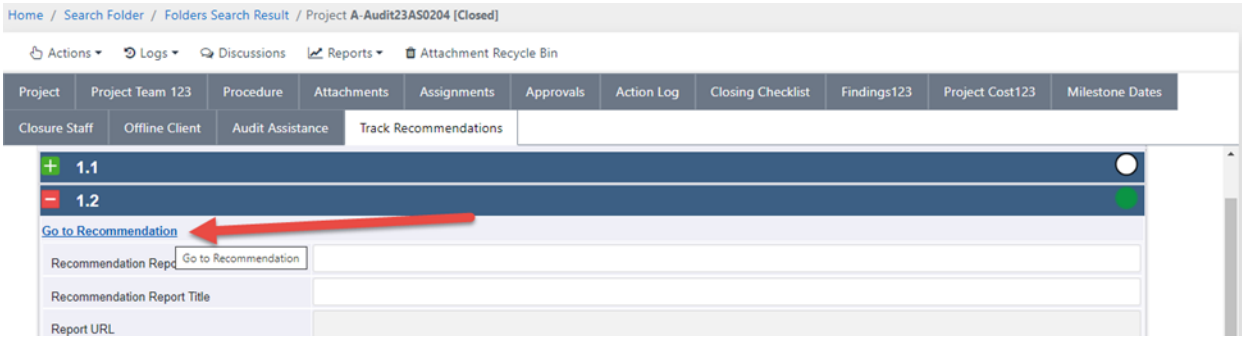


3. Close the Audit Project (**Actions > Close**).



(!!) Note: Some actions may be required prior to be allows to close the Project, for example delivering documents. The application will prompt to complete these actions before closing the folder.

4. After the project is closed, the *Track Recommendations* tab appears in the project folder interface. Each Recommendation is now tracked as a separate RT folder.

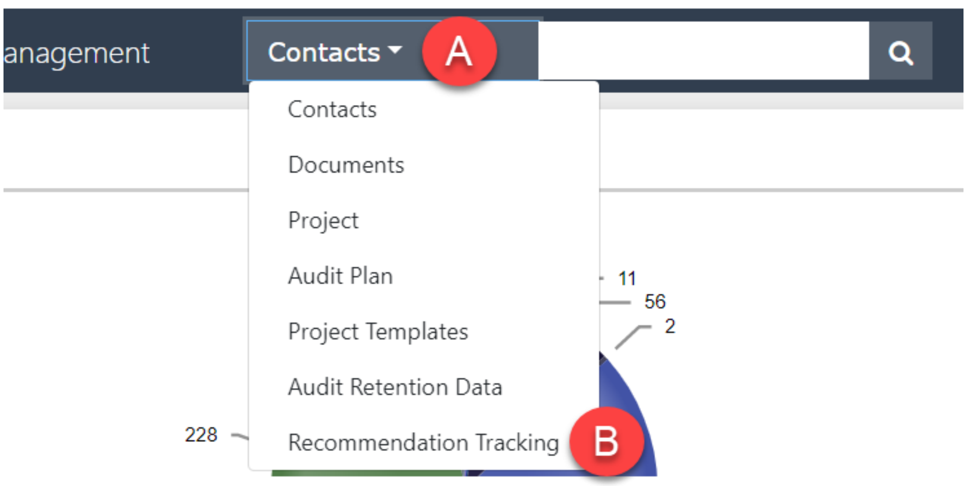


5. From *Track Recommendation* tab, click **Go to Recommendation** to open the *Recommendation Tracking* folder for that Recommendation.

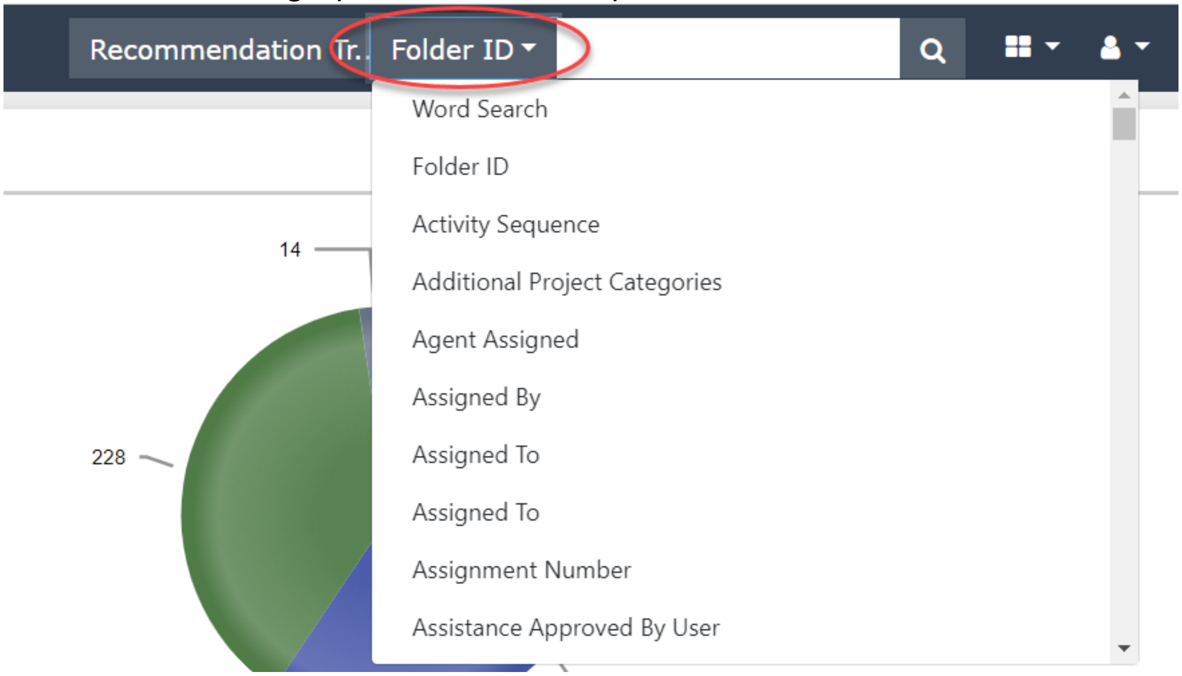
2.4 Search Recommendation Tracking Folders

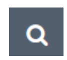
You can use the *Quick Search* bar to easily locate a Recommendation Tracking folder.

1. In the *Quick Search* bar at the **(A)** *drop-down menu*, select **(B) Recommendation Tracking**.



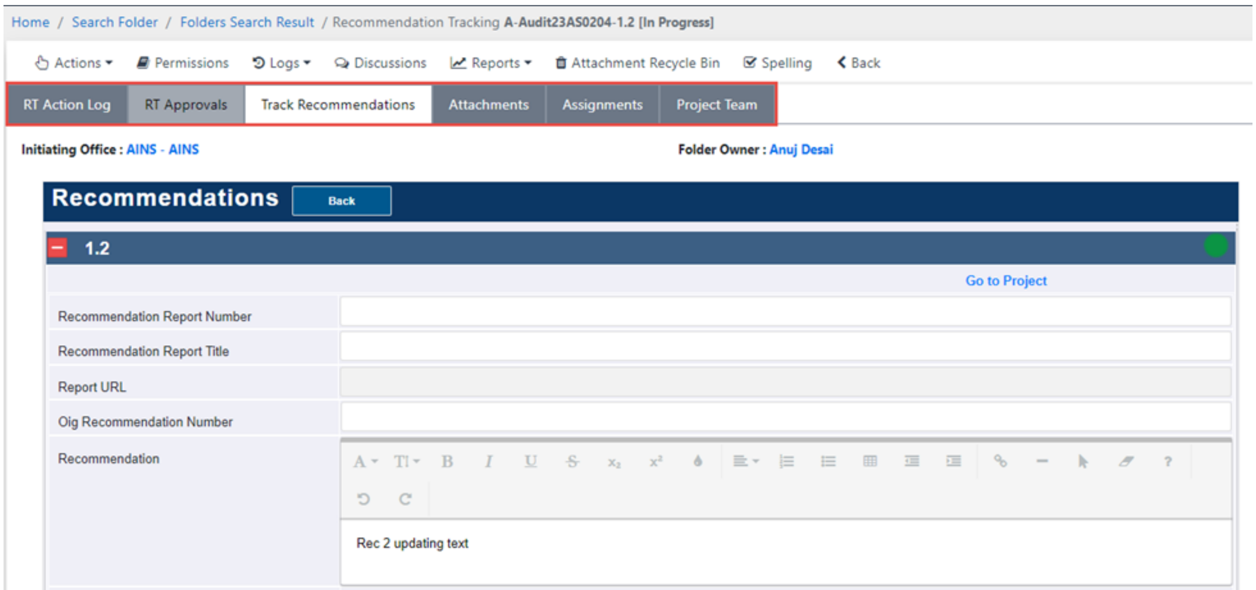
2. Select a search category from the next drop-down menu.



3. Enter the search term in the **(C)** *text box*, then click the **search icon**  to run the search.

3 Recommendation Tracking Folder Interface

A sample Recommendation Tracking folder is shown below:



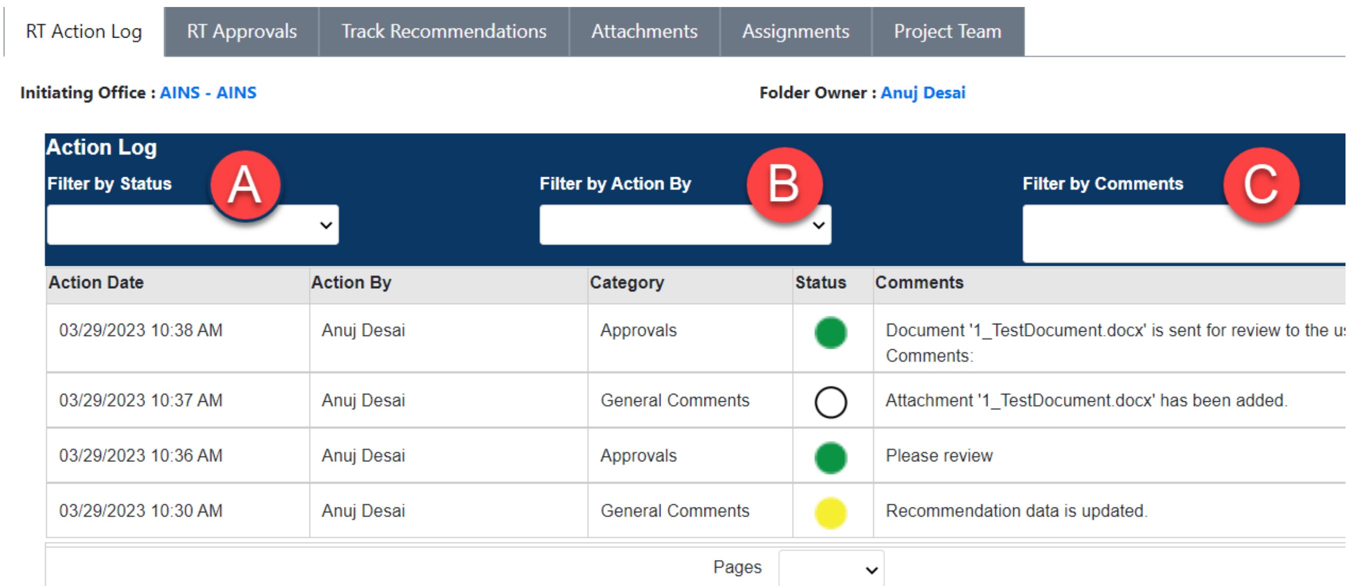
The Recommendation folder features the following tabs:

- **RT Action Log**: A log of actions taken on this Recommendation, including updates made to the tracked fields from the *Track Recommendations* tab, as well as overall Recommendation approvals.
- **RT Approvals**: View pending Recommendation and Document approvals. If the review is not assigned to you, the actions will be grayed out and cannot be selected.
- **Track Recommendations**: View and update Recommendation information. This includes many fields with tracking for each update, including who made the change and any associated comments about the update.
- **Attachments**: Documents relevant to the Recommendation are uploaded and maintained here. Document approvals are also assigned via the Attachments tab.
- **Assignments**: See all Tasks associated with the Recommendation, add new Tasks, and view Workflow History.
- **Project Team**: View, add, and remove Users and Groups associated with the Recommendation. Only users with a Preparer role can assign a Recommendation for approval, and only a Reviewer can be assigned an approval.

The following subsections go into further detail about the functionalities of each tab.

3.1 RT Action Log Tab

eCASE Audit Management stores information on all actions taken on a Recommendation. The *RT Action Log* tab displays these actions, along with the associated Date, User, Category, Status, and Comments.

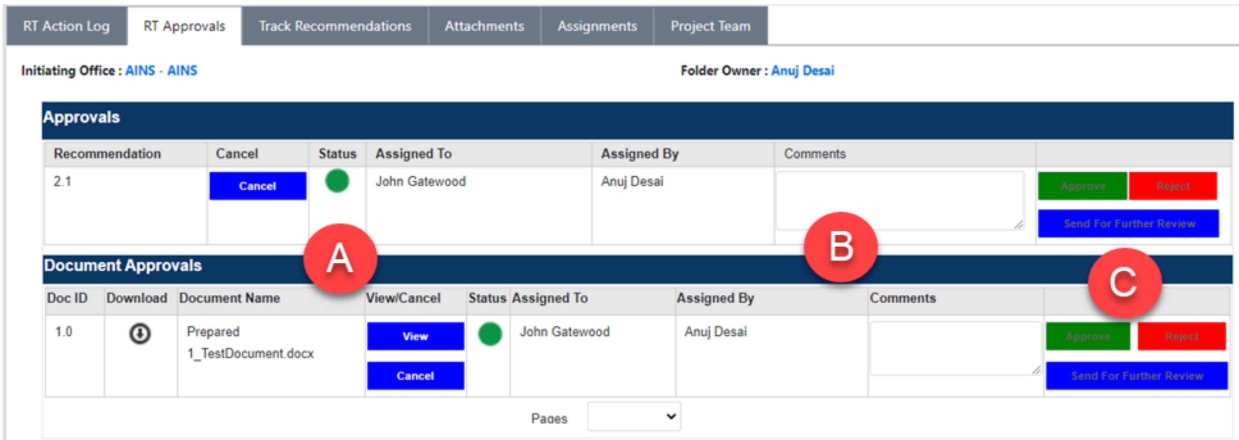


You can also use the filters to locate specific actions by Status, User, or Comment.

To **(A) Filter by Status**, use the drop-down menu to select the desired status. You can also use the **(B) Filter by Action By** to select a user associated with the action. To **(C) Filter by Comments**, enter the search term in the text field, then click anywhere outside the field to run the filter.

3.2 RT Approvals Tab

Approval actions and settings are configured within the *RT Approvals* tab. On this page, you can log Recommendation updates including Approvals and Document Approvals.

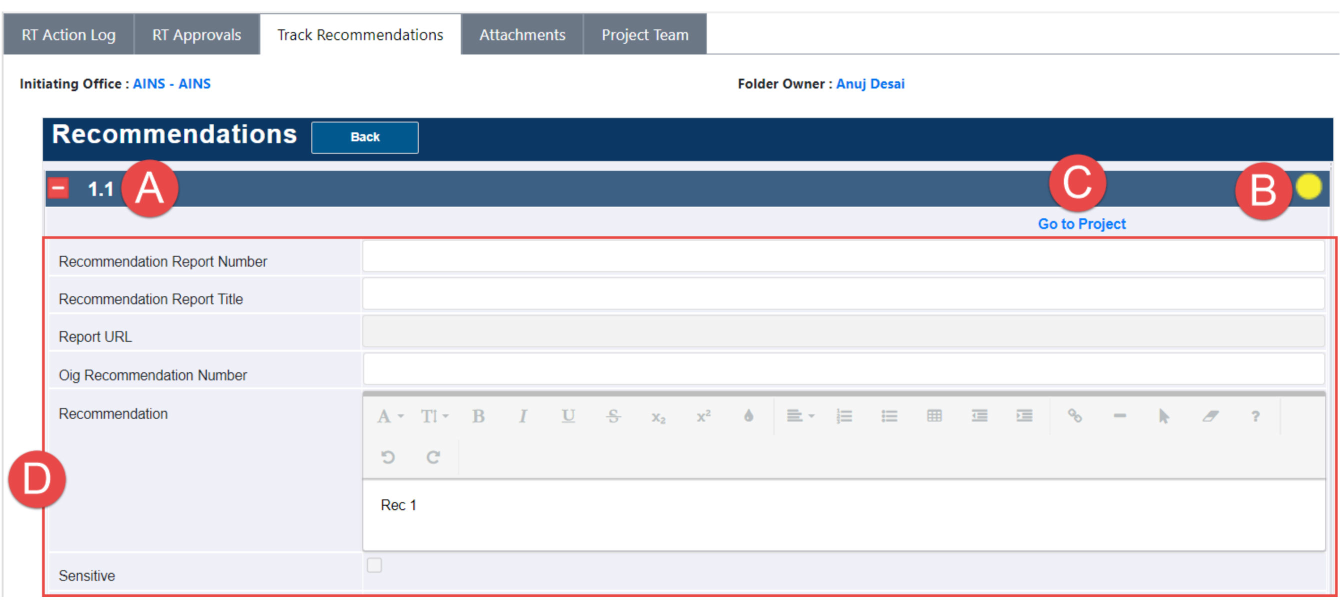


To make an update, locate the Recommendation you'd like to edit. Recommendations are listed according to their Recommendation number or Document ID. Click **(A) View or Cancel** to view the document or cancel the Recommendation.

You can also Approve, Reject, or Send For Further Review from this tab. Once you've identified the Recommendation you need to update, you can add a comment in the *(B) Comments* box. Then, use the **(C) Approve, Reject,** and **Send For Further Review** buttons to complete the appropriate action.

3.3 Track Recommendations Tab

On the *Track Recommendations* tab, you can view and update Recommendation information.



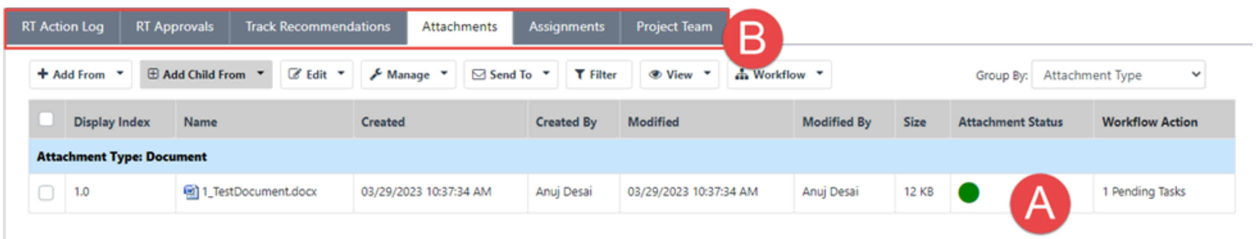
You can click to expand each numbered **(A)** *Recommendation* to view the details, view the current **(B)** *Status*, or click **(C) Go to Project** to view the parent Project folder.

The (**D**) *data* fields tracked for each recommendation display when you click to expand the view. You can use these fields to track various status changes and important dates related to the recommendation. See the Tracking Recommendations section for details on working within this tab.

3.4 Attachments Tab

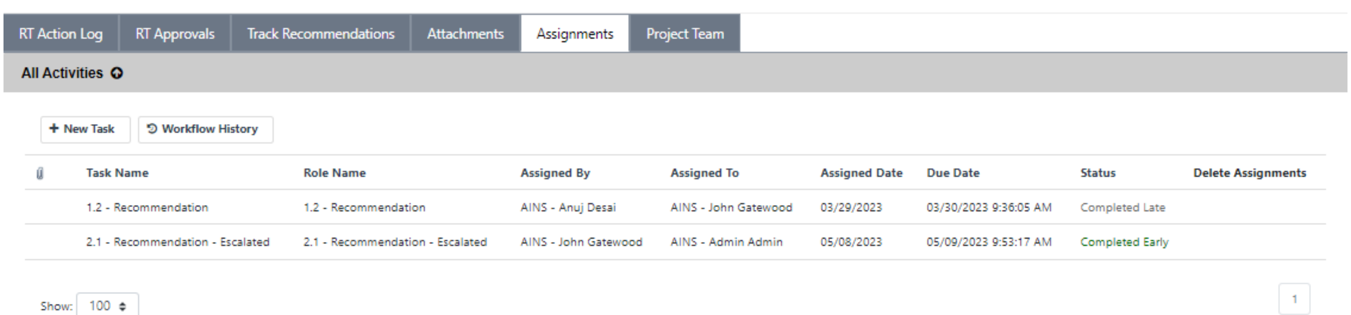
Attachments included as part of the RT folder are managed within the *Attachments* tab. The *Attachments* tab includes a list of all attachments associated with the case, with options for adding, editing, and managing attachments.

Attachments are managed in the *(A) Attachments* workspace. There are **(B) Actions** you can take on this tab, including using the **Add From** and **Add Child From** buttons to add parent and child attachments, respectively.



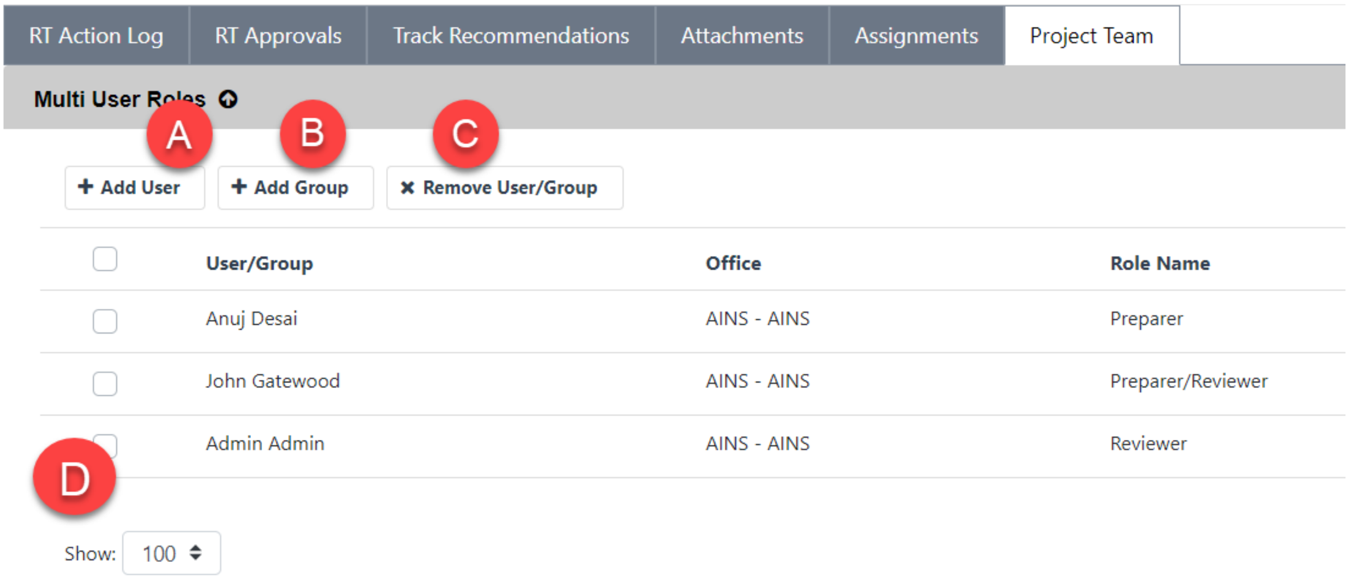
3.5 Assignments Tab

The *Assignments* tab logs all Assignments related to the Recommendation. Click on this tab to view an overview of relevant Assignments, including the Task Name, Assignees, and Status. You can also add a *New Task* and view *Workflow History*.



3.6 Project Team Tab

You can see all users associated with a project on the *Project Team* tab. As seen below, you can also view User/Group names, Offices, and Role Names.



You can conduct the following operations from this tab: Add User, Add Group, or Remove User/Group.

- **To add a User**: Click **(A) Add User** and the *Add User* menu opens. Select the appropriate Role and search for the User's name. Click **Add.**
- **To add a Group**: Click **(B) Add Group** and the *Add Group* menu opens. Select the appropriate Role and search for the Group name. Click **Add.**
- **To Remove a User/Group:** Check the **(D) checkbox** of the user or group you want to remove. Then, click **(C) Remove User/Group**.

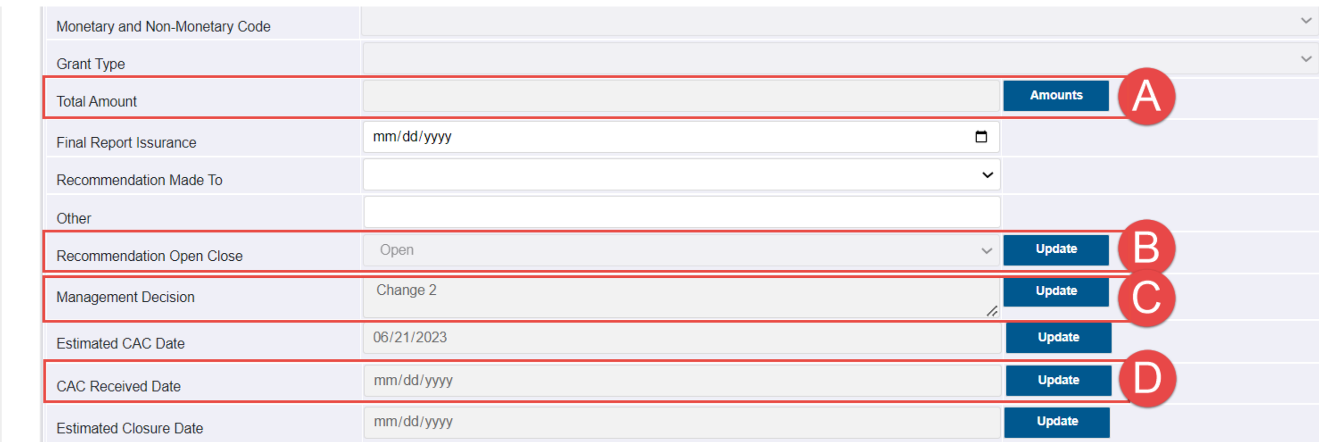
4 Tracking Recommendations

4.1 Track Recommendations Actions

Recommendation tracking employs an ad hoc workflow, allowing users to log updates and changes to the recommendation details at any stage in the process.

(!!) Note: The fields displayed in your environment depend on your configuration, and you may not see all fields listed here in your instance of eCASE Audit.

In addition to standard fields you'll fill in with text or using the date picker, there are also fields that are tracked individually, with comments and dates saved for each change made to this field. There are four types of fields which have a unique process to make updates:



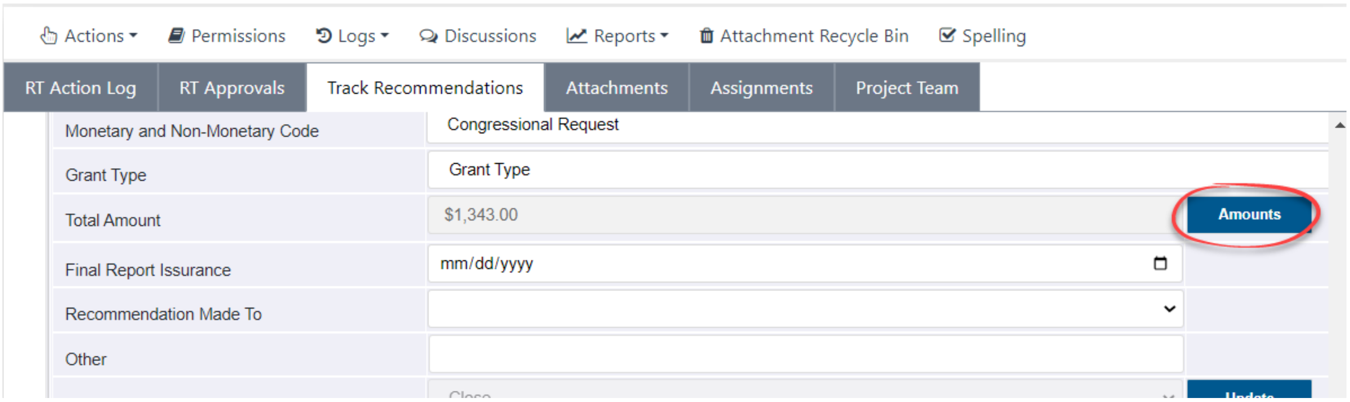
A	Update Amounts
B	Update Status
C	Update Management Decision
D	Update Date

Each of these processes is detailed in the following sections.

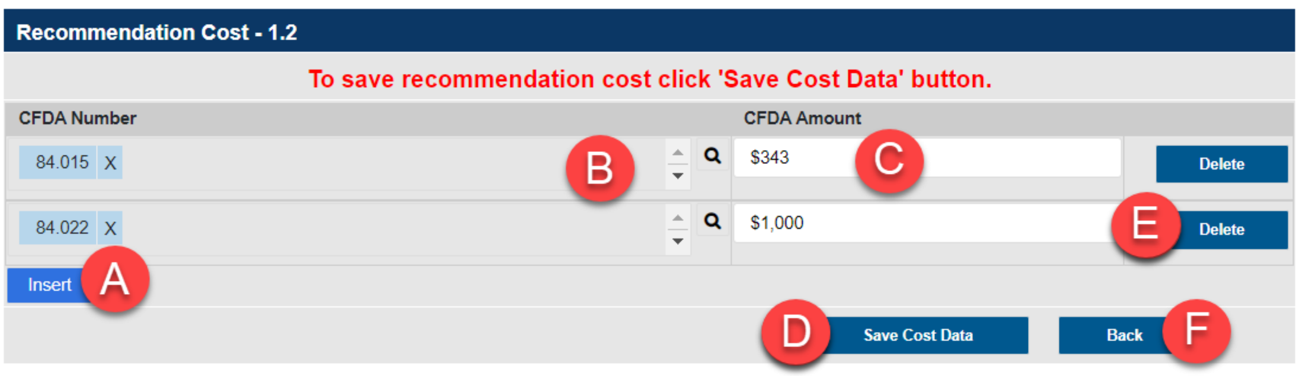
4.2 Update Recommendation Amount

To update an Amount within the Recommendation:

1. Open the Recommendation to the *Track Recommendations* tab, then click **Amounts**.



2. The Recommendation Cost window opens, as shown below.



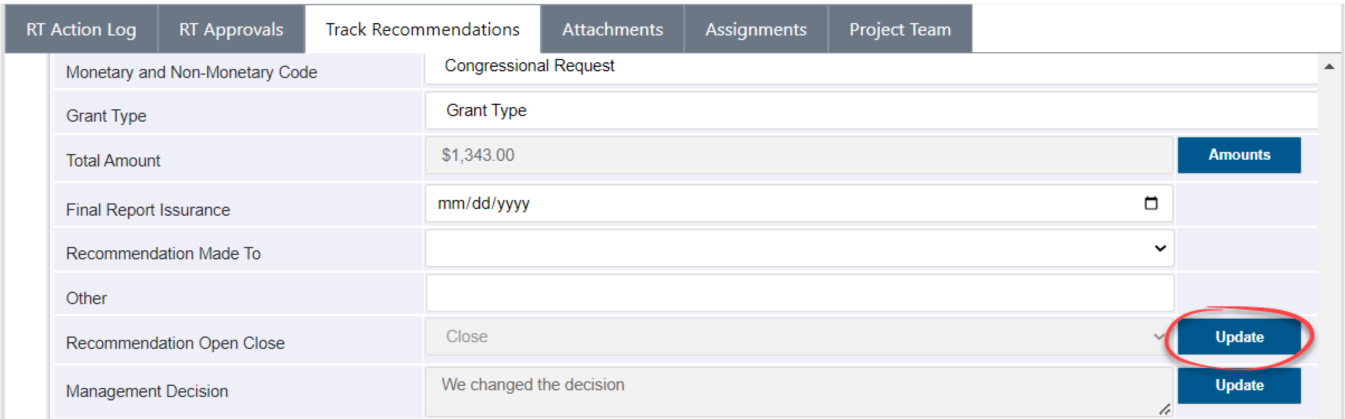
3. Click **(A) Insert** to add a new data row; you can add as many rows as you need.
4. Next click the lookup icon to add a **(B) CDFA Number**
5. Enter the **(C)** *CDFA Amount* in the text field.
6. When you're finished, click **(D) Save Cost Data** to save the information. Alternatively, if you need to delete a row click **(E) Delete**, or click **(F) Back** to go back to the previous screen.

(!!) Note: Changes made to Amounts are not tracked in the Action Log.

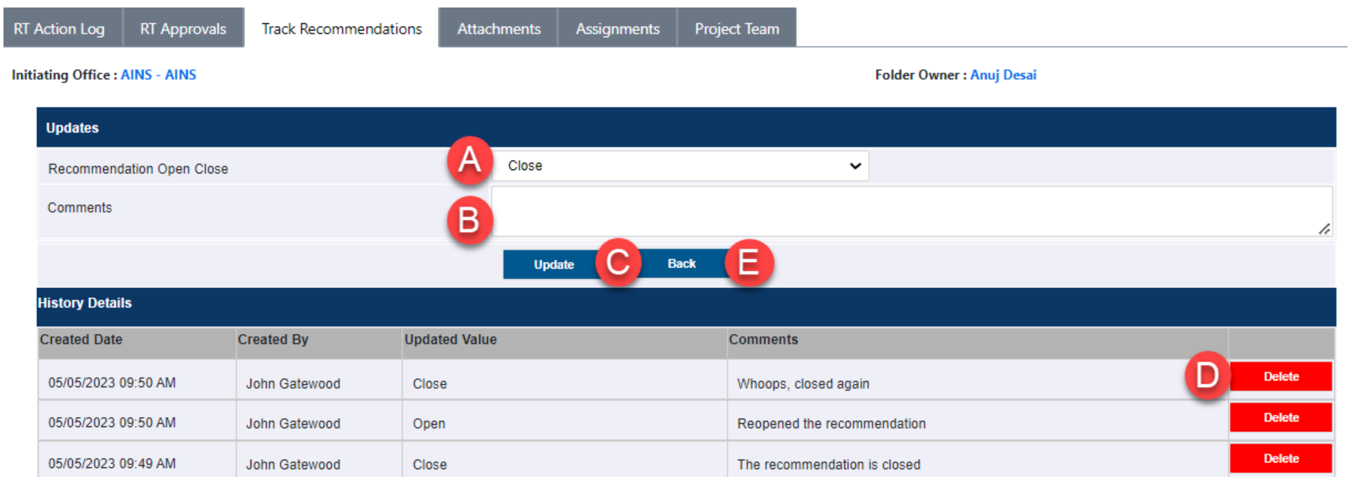
4.3 Update Recommendation Status

To add or change a Status within the Recommendation:

1. Open the Recommendation to the *Track Recommendations* tab, then locate the *Status* field you'd like to update and click **Update**:



2. The Updates window opens, as shown below. Use the **(A)** *drop down menu* to select the correct status.



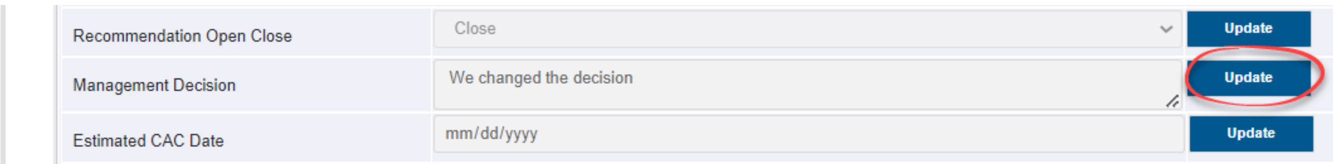
3. Enter any comments in the **(B)** *Comments box*.
4. When you're finished, click **(C) Update** save the information.
5. To delete an update, click **(D) Delete**. You can also click **(E) Back** to go back to the previous page.

(!!) Note: Status updates, including comments and deletions, are tracked. They are stored and can be viewed in the RT Action Log tab.

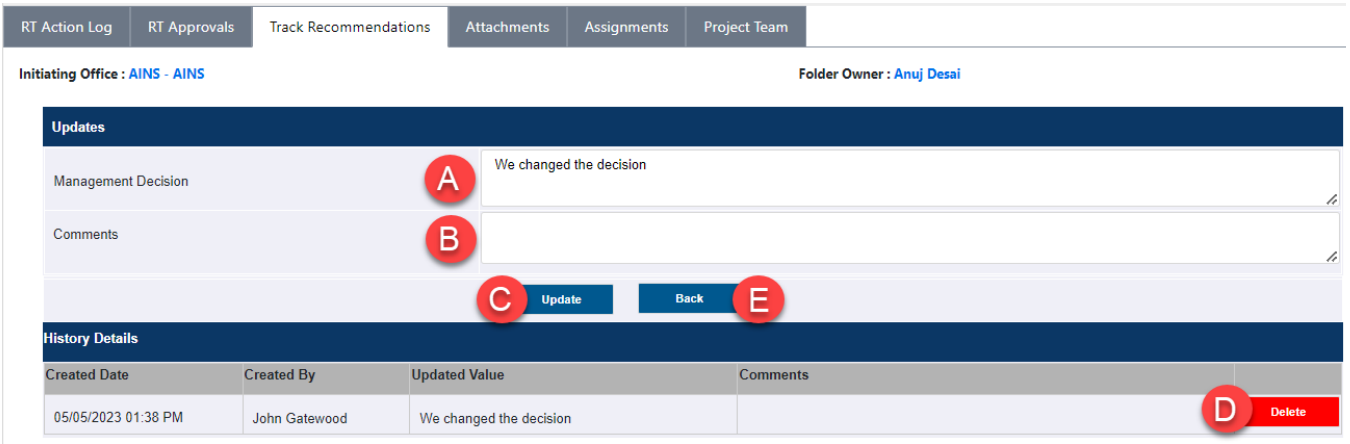
4.4 Update Management Decision

To edit a Management Decision to the Recommendation:

1. Open the Recommendation to the *Track Recommendations* tab, then locate the *Management Decision* field and click **Update**.



2. The Updates window opens, as shown below. Fill out the **(A)** *Management Decision* text box:



3. Enter comments, if applicable, in the **(B)** *Comments* field.
4. When you're finished, click **(C) Update** save the information.
5. To delete an update from History Details, click **(D) Delete.** To return to the previous screen, click **(E) Back**.

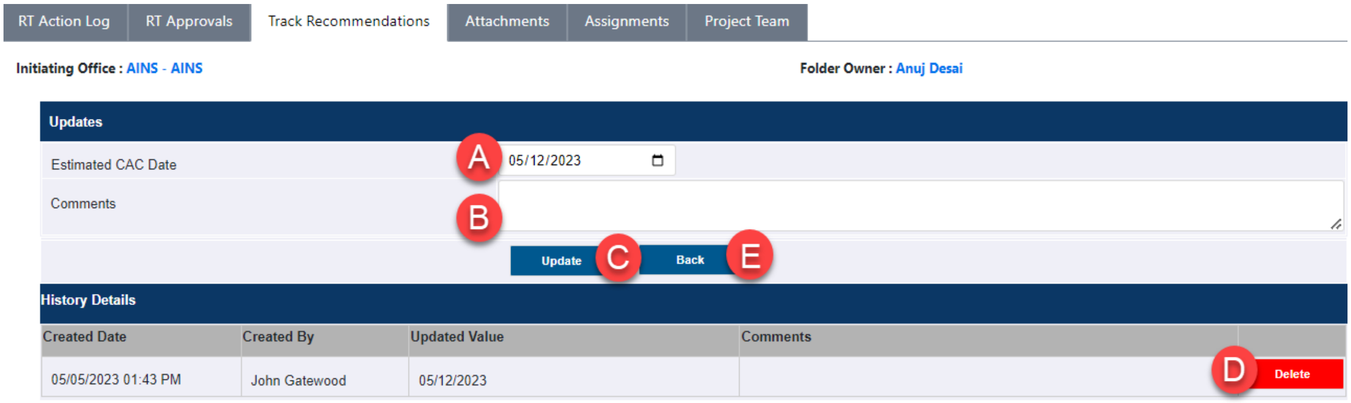
(!!) Note: Management Decision updates, including comments and deletions, are tracked. They are stored in the RT Action Log tab.

4.5 Update Recommendation Date

To add or change a Date within the Recommendation:

1. Open the Recommendation to the *Track Recommendations* tab, then locate the date you'd like to change and click **Update**.

2. The *Updates* window opens, as shown below. Use the **(A)** calendar drop down menu to fill in the appropriate date:



3. Enter any comments in the **(B)** *Comments* field.
4. When you're finished, click **(C) Update** save your information.
5. To delete an update from History Details, click **(D) Delete.** Click **(E) Back** to return to the previous screen.

(!!) Note: Recommendation Date updates, including comments and deletions, are tracked. They are stored in the RT Action Log tab.

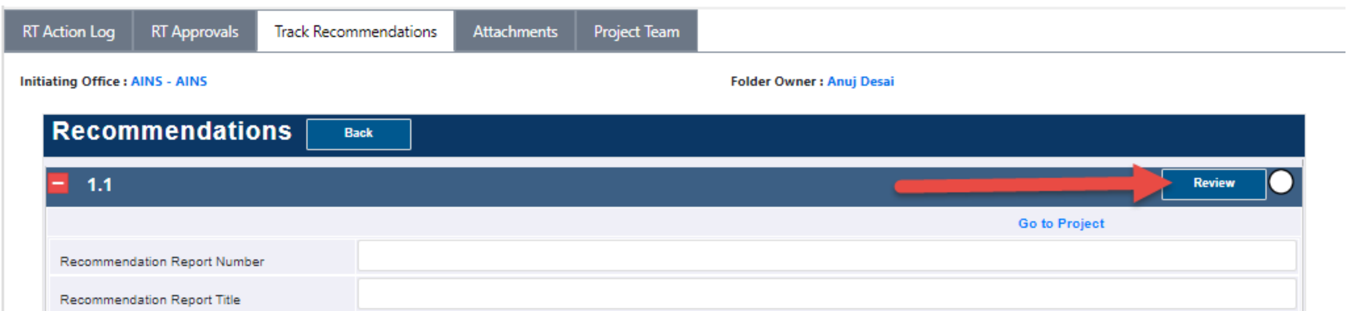
5 Recommendation Review and Approval

5.1 Send Recommendations for Approval Review

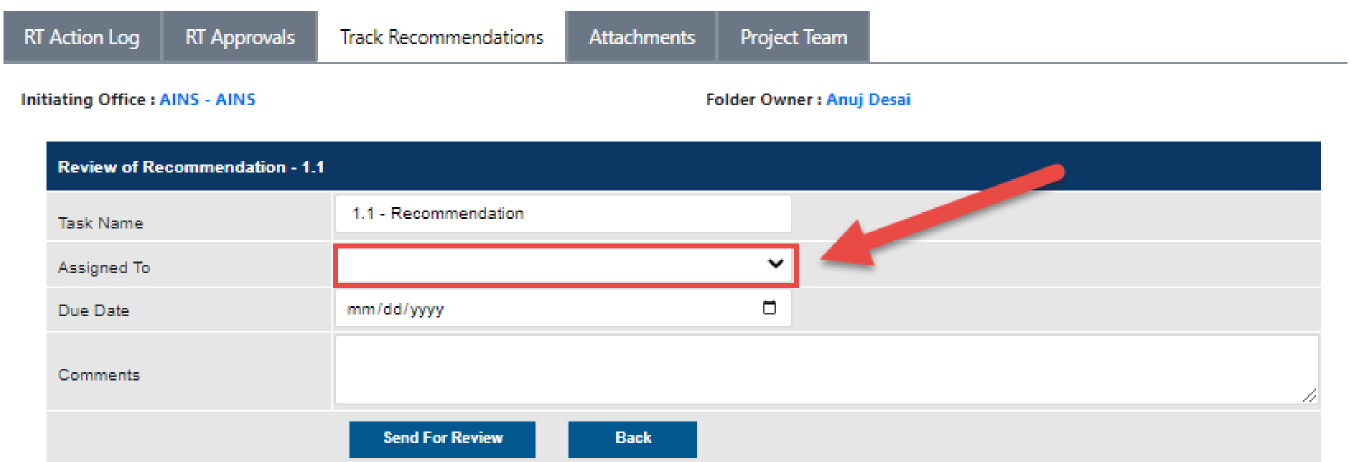
Follow the steps below to send a Recommendation to a Reviewer for approval review:

(!!) Note: Only users with a Preparer role can assign Recommendations for review.

1. Navigate to the Recommendation folder, and select the *Track Recommendations* tab.
2. Click the **Review** button at the top of the Recommendation:

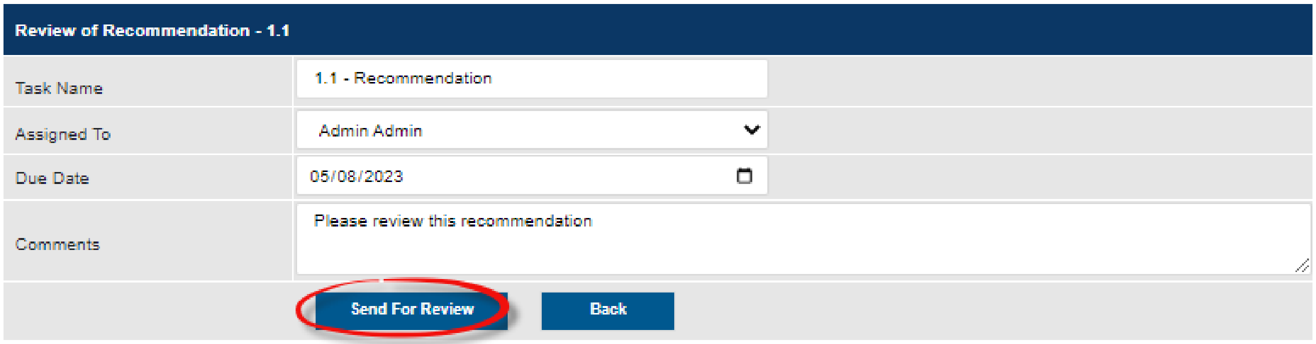


3. The *Review of Recommendation* screen appears. Use the *Assigned To* field to select a user to assign this request.



(!!) Note: There must be at least one other Reviewer added under the Project Team tab to assign this review.

4. Select the *Due Date* using the date picker.
5. Add any *Comments* in the field provided.
6. Click **Send For Review**:



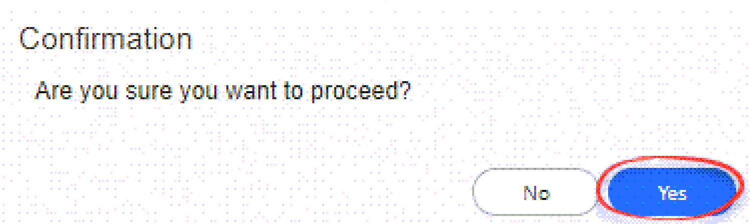
7. The assignee is notified and will now see this approval review under the RT Approvals tab when they access this Recommendation folder.

5.2 Approve Recommendation

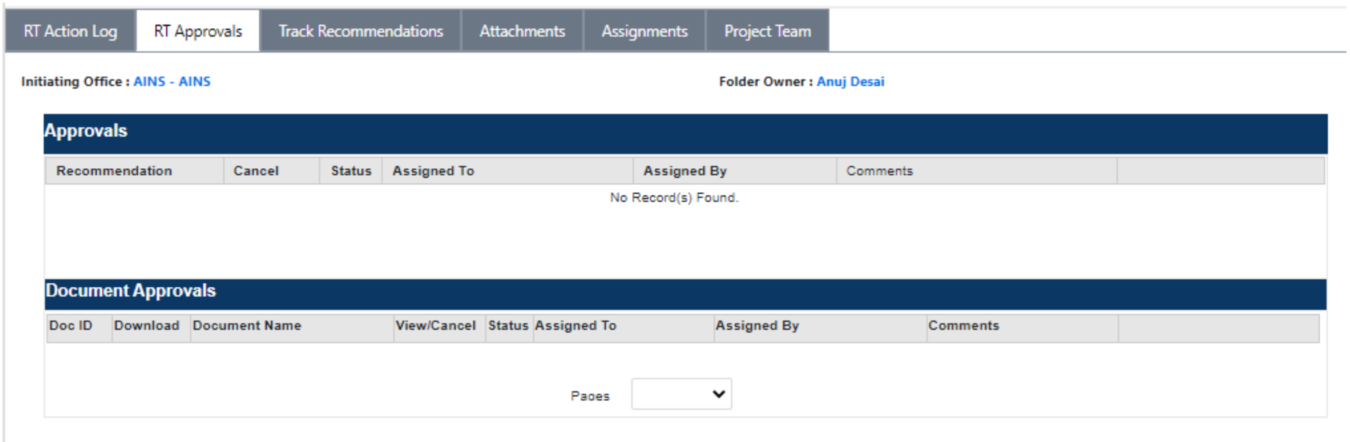
Follow the steps below to approve a Recommendation sent for approval review.

1. Navigate to the Recommendation folder, and review the contents of the *Track Recommendations* tab.
2. If you are ready to approve the Recommendation, select the **RT Approvals** tab, locate the Recommendation pending approval, and click **Approve**:

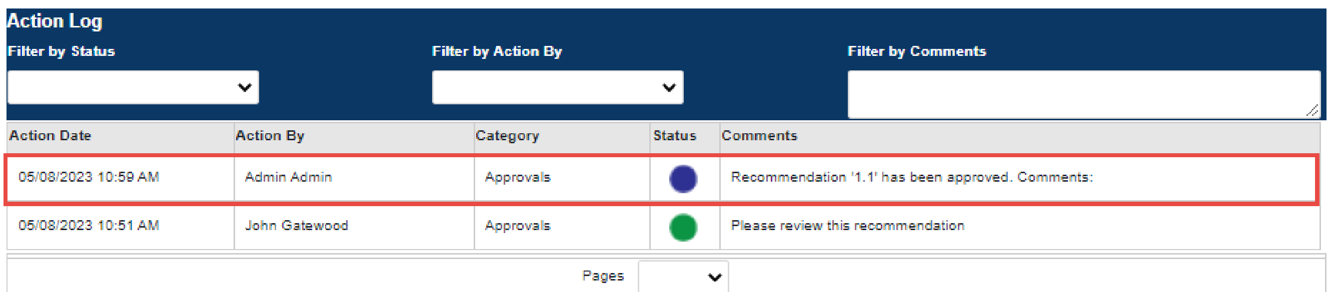
3. A confirmation message appears. Click **Yes** to confirm the approval:



4. After clicking **Yes**, the screen refreshes and the approval is removed from the Approvals workspace:



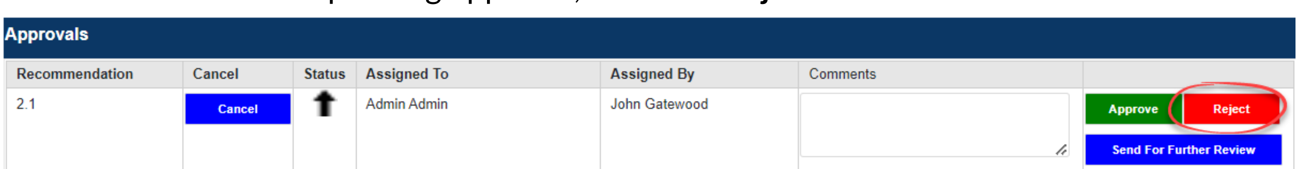
5. You can navigate to the *Action Log* to view the approval activity:



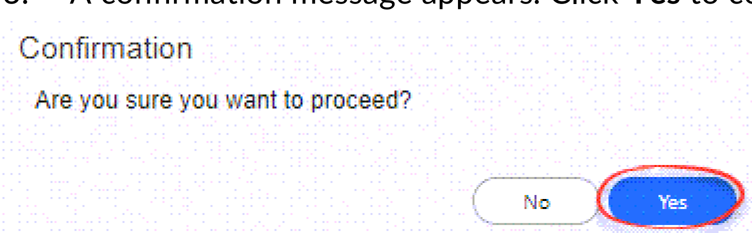
5.3 Reject Recommendation

Follow the steps below to reject a Recommendation sent for approval review.

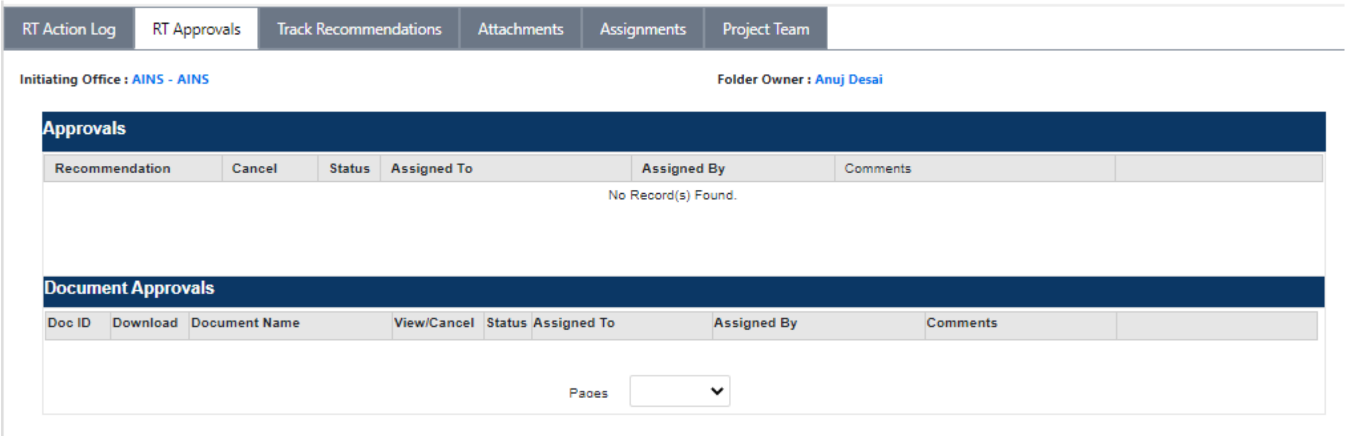
1. Navigate to the Recommendation folder, and review the contents of the *Track Recommendations* tab.
2. If you are ready to reject the Recommendation, select the **RT Approvals** tab, locate the Recommendation pending approval, and click **Reject**:



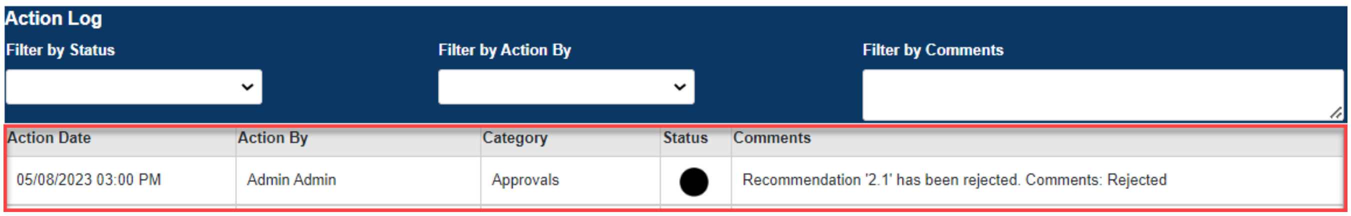
3. A confirmation message appears. Click **Yes** to confirm the approval:



4. After clicking **Yes**, the screen refreshes and the approval is removed from the Approvals workspace:



5. You can navigate to the *Action Log* to view the rejection activity:

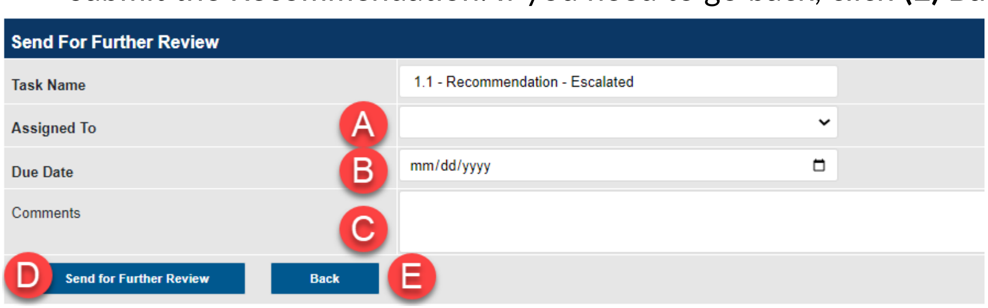


5.4 Send Recommendation for Further Review

Follow the steps below to send a Recommendation for further review.

1. Navigate to the Recommendation folder, and select the **RT Approvals** tab.
2. Locate the Recommendation pending approval, and click **Send for Further Review**:

3. The *Send for Further Review* window appears. Select an **(A)** *Assigned To* user, **(B)** *Due Date*, and add any **(C)** *Comments*. Click **(D) Send for Further Review** when you're ready to submit the Recommendation. If you need to go back, click **(E) Back.**



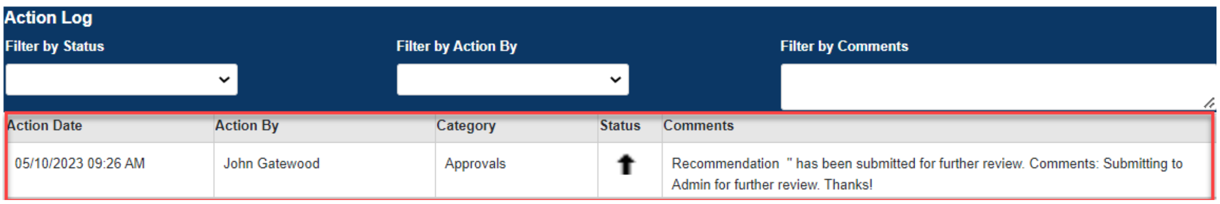
(!!) Note: There must be at least one other Reviewer added under the Project Team tab to re-assign this review.

4. After clicking **Yes**, the screen refreshes to the Approvals workspace. The Recommendation will reflect the escalated status:

Approvals

Recommendation	Cancel	Status	Assigned To	Assigned By	Comments	
1.1	Cancel	⬆	Admin Admin	John Gatewood		Approve Reject Send For Further Review

5. You can navigate to the *Action Log* to view the escalation activity:



Action Log

Filter by Status | Filter by Action By | Filter by Comments

Action Date	Action By	Category	Status	Comments
05/10/2023 09:26 AM	John Gatewood	Approvals	⬆	Recommendation '' has been submitted for further review. Comments: Submitting to Admin for further review. Thanks!

5.5 Cancel Recommendation Approval

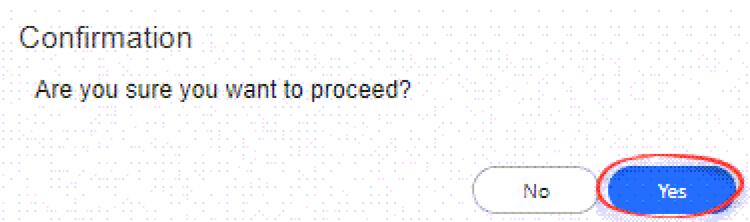
Follow the steps below to cancel a Recommendation approval.

1. Navigate to the Recommendation folder, and review the contents of the *Track Recommendations* tab.
2. If you would like to cancel the Recommendation approval, select the **RT Approvals** tab, locate the Recommendation pending approval, and click **Cancel**:

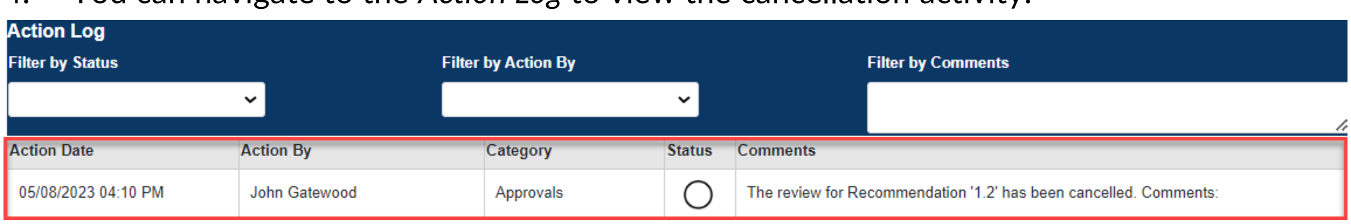
Approvals

Recommendation	Cancel	Status	Assigned To	Assigned By	Comments	
1.2	Cancel	●	John Gatewood	Admin Admin		Approve Reject Send For Further Review

3. A confirmation message appears. Click **Yes** to confirm the cancellation:



4. You can navigate to the *Action Log* to view the cancellation activity:



Action Log

Filter by Status | Filter by Action By | Filter by Comments

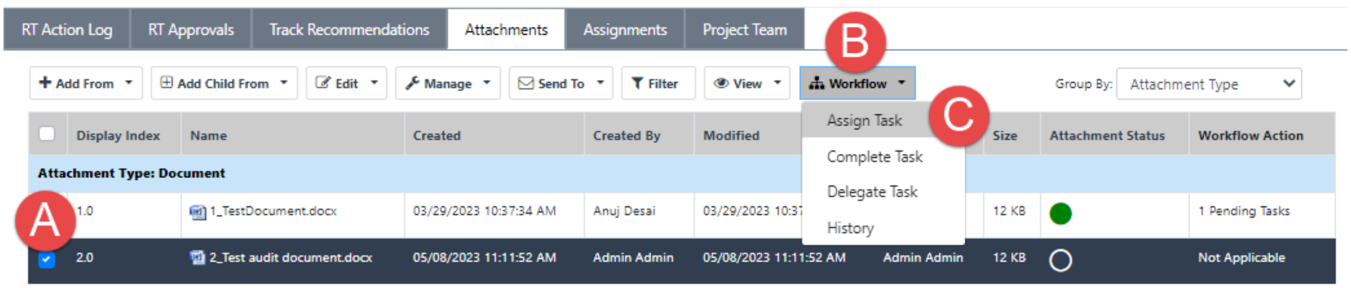
Action Date	Action By	Category	Status	Comments
05/08/2023 04:10 PM	John Gatewood	Approvals	○	The review for Recommendation '1.2' has been cancelled. Comments:

6 Document Approvals

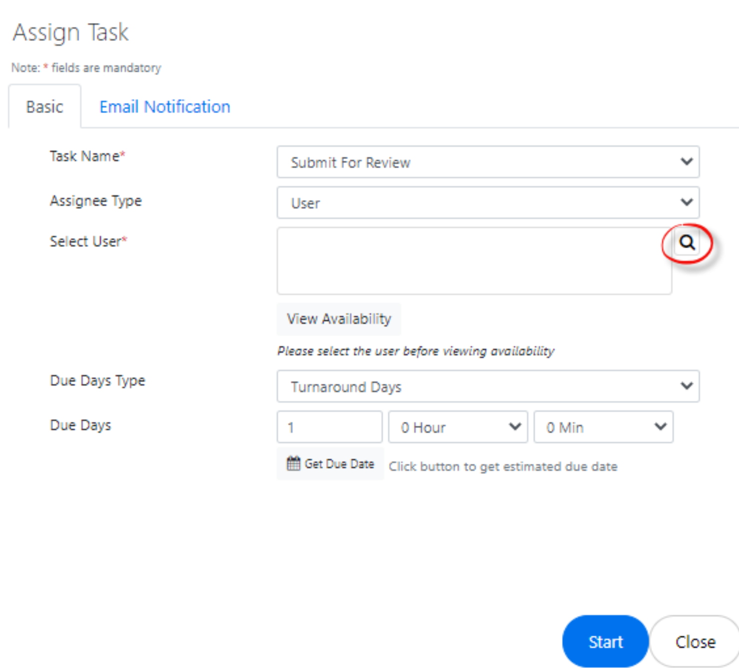
6.1 Send Recommendation Document for Approval Review

Follow the steps below to send a Recommendation Document for approval review.

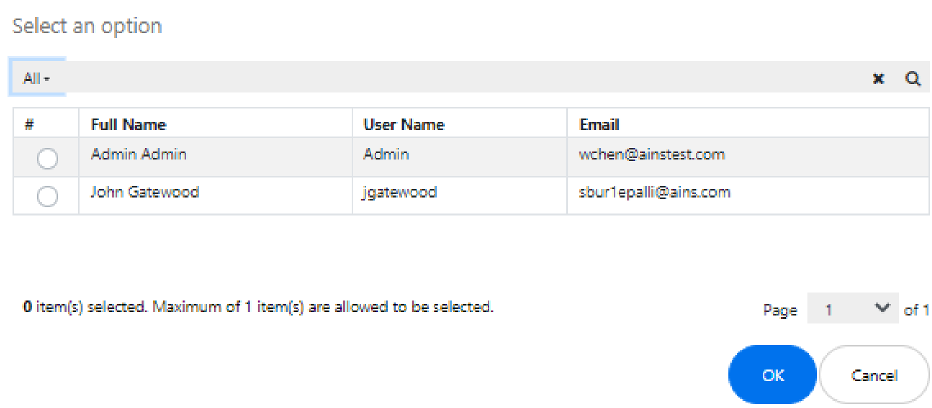
1. Navigate to the *Recommendation* folder, and select the *Assignments* tab.
2. Select the **(A) Document** to be sent for approval, then select **(B) Workflow > (C) Assign Task**:



3. The *Assign Task* screen appears. Use the *Select User* Lookup to select a user to assign this document review:

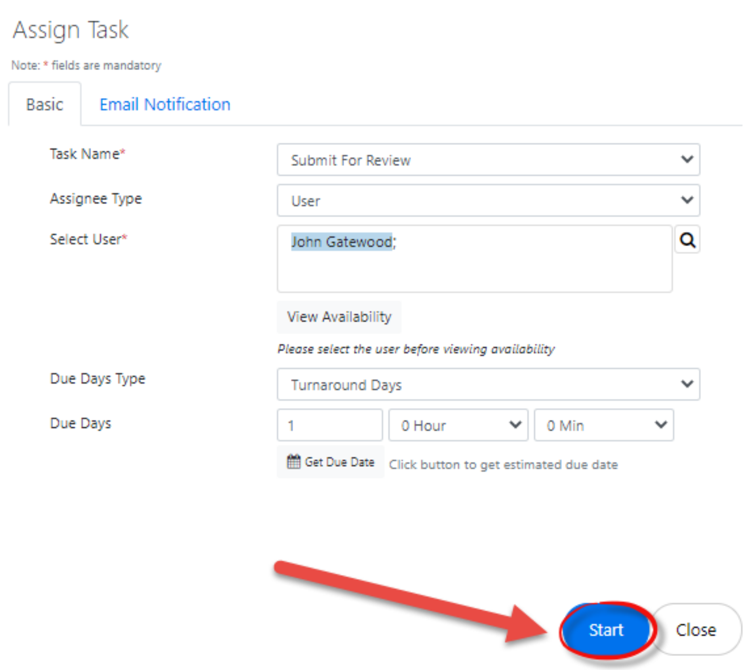


4. Select from the available users, then click **OK**:

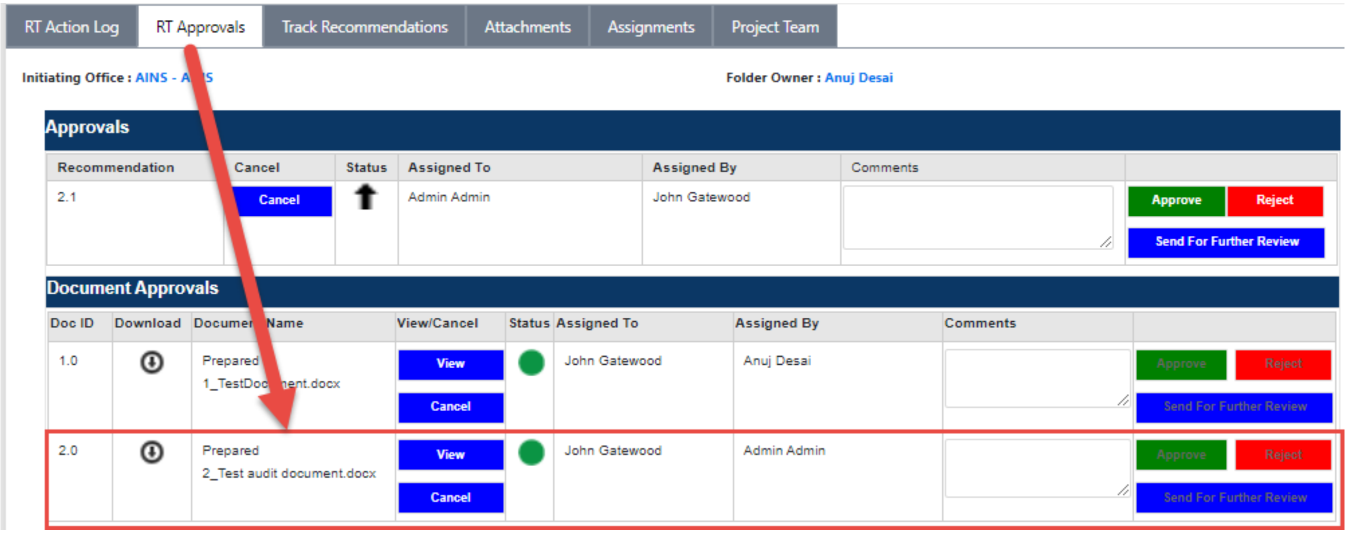


(!!) Note: There must be a Reviewer added to the Project Team tab, and you cannot assign this review to yourself.

5. Complete the rest of the details on the *Assign Task* screen, then click **Start**.



6. Navigate to the *RT Approvals* tab. You'll see the assignment reflected in the *Document Approvals* section:

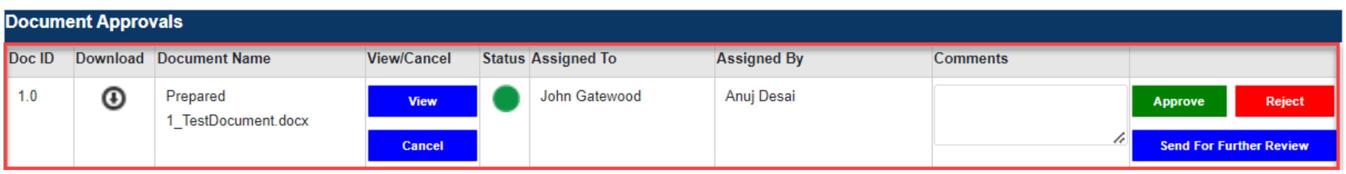


(!!) Note: You can View or Cancel this approval, but only the assigned reviewer can take approval actions.

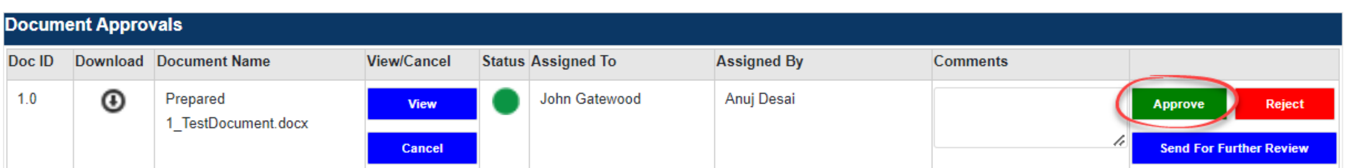
6.2 Recommendation Document Approvals

Follow the steps below to approve a Document sent for review.

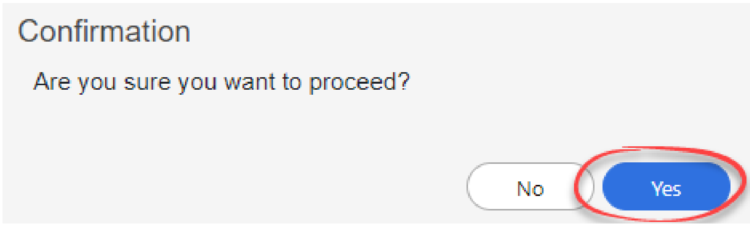
1. Navigate to the *RT Approvals* tab and locate the Document you'd like to review.



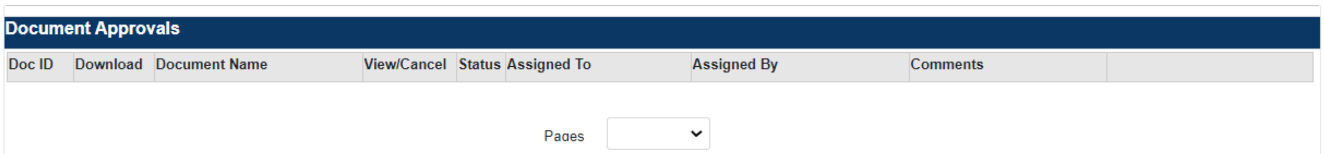
2. Click **View.** The Document will open in a new tab.
3. Once you've reviewed the Document and are ready to approve it, navigate back to the *RT Approvals* screen.
4. Add any comments to the *Comments* field. Then, click **Approve** to approve the Document.



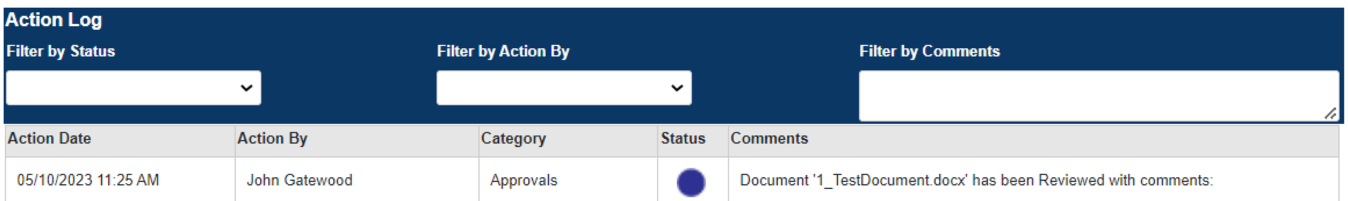
5. A confirmation message appears. Click **Yes** to confirm the approval:



6. The screen refreshes and the Document is removed from the *Document Approvals* list.



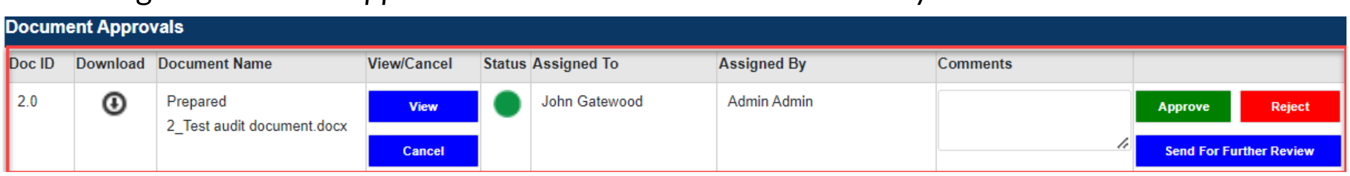
7. You can navigate to the *RT Action Log* to view the approval activity:



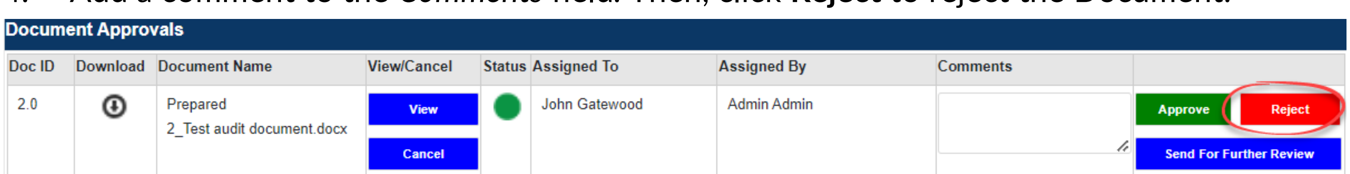
6.3 Recommendation Document Rejection

Follow the steps below to reject a Document sent for review.

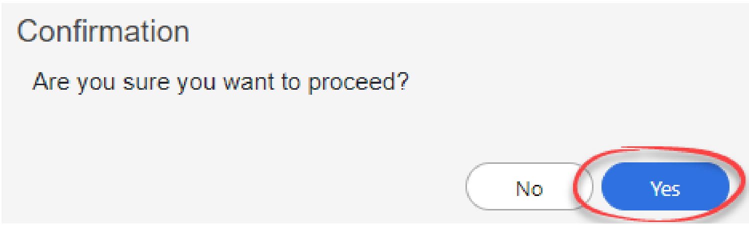
1. Navigate to the *RT Approvals* tab and locate the Document you'd like to review.



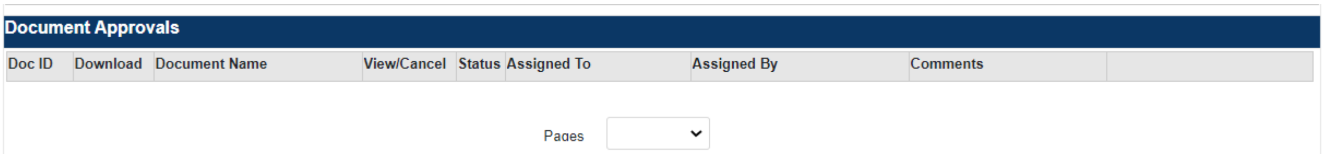
2. Click **View.** The Document will open in a new tab.
3. Once you've reviewed the Document and are ready to reject it, navigate back to the *RT Approvals* screen.
4. Add a comment to the *Comments* field. Then, click **Reject** to reject the Document.



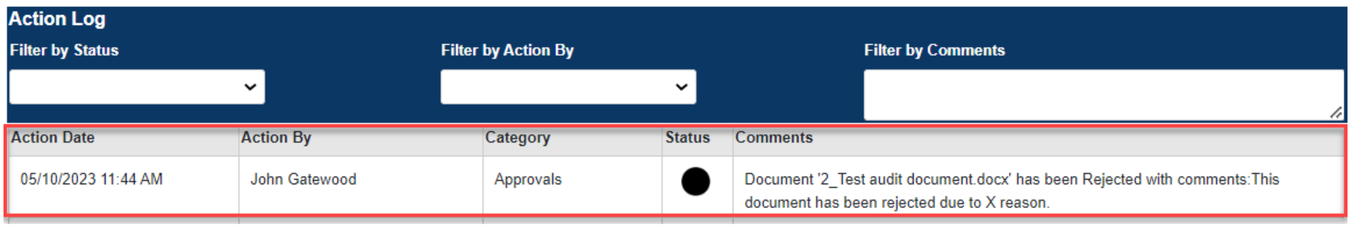
5. A confirmation message appears. Click **Yes** to confirm the rejection:



6. The screen refreshes and the Document is removed from the *Document Approvals* list.



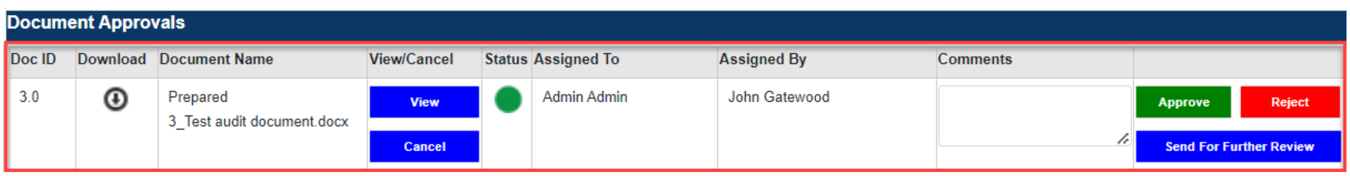
7. You can navigate to the *RT Action Log* to view the rejection activity.



6.4 Send Recommendation Document for Review

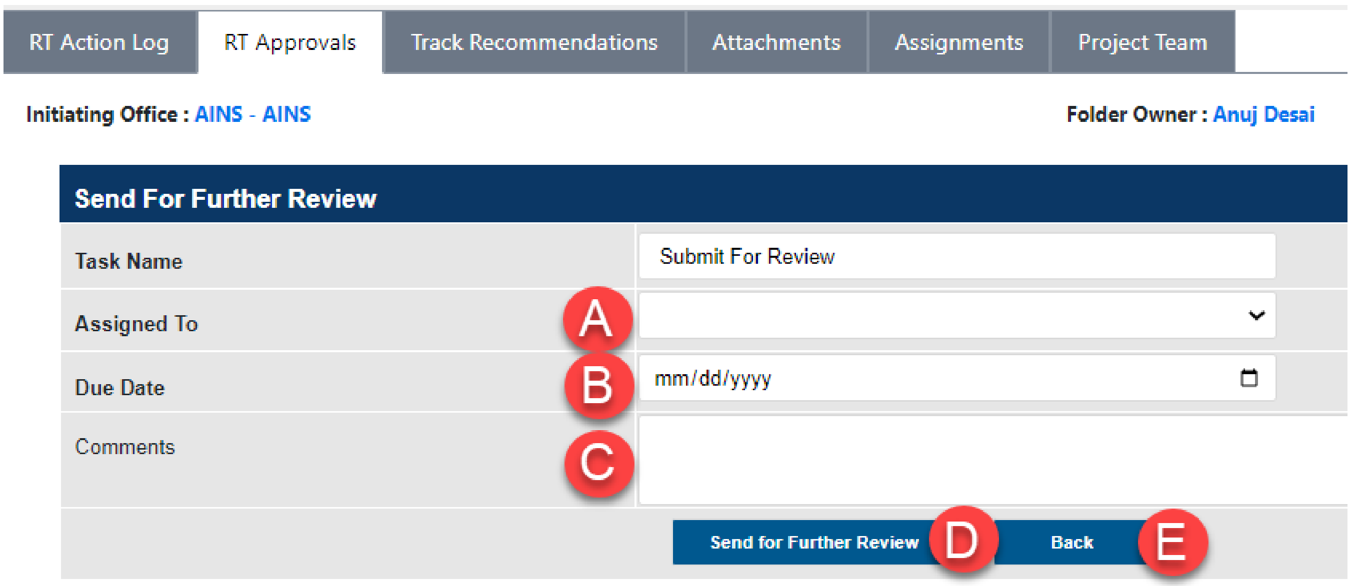
Follow the steps below to send a Document for further review.

1. Navigate to the *RT Approvals* tab and locate the Document you'd like to review.

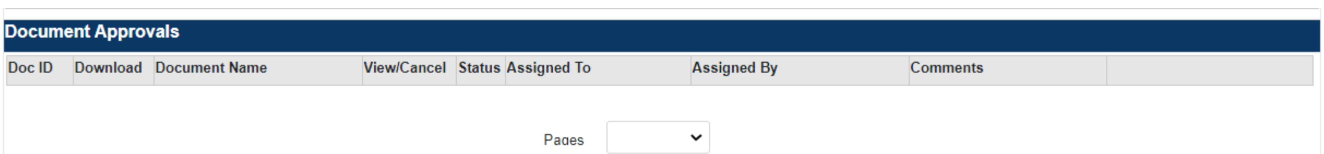


2. Click **View.** The document opens in a new tab.
3. Once you've reviewed the document and are ready to send it for further review, navigate back to the *RT Approvals* screen.
4. Add any comments to the *Comments* field. Then click **Send For Further Review** to send the document for further review.

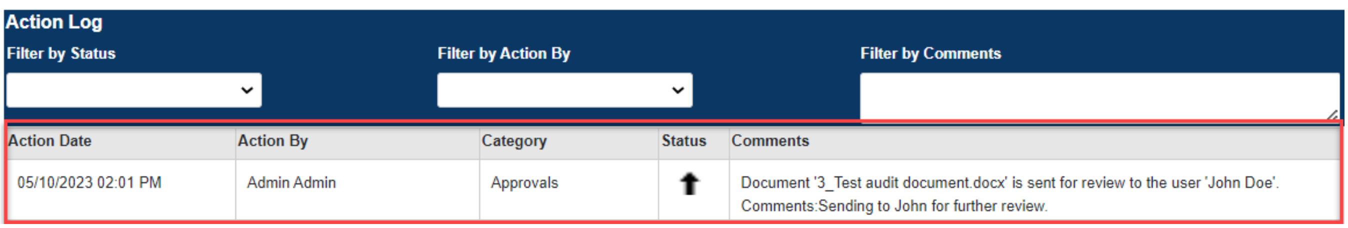
5. The *Send For Further Review* window opens. Select a new **(A) Assigned To** user, set a **(B) Due Date,** and add any **(C) Comments**. Then, click **(D) Send For Further Review.** To return to the previous screen, click **(E) Back.**



6. The screen refreshes and the document is removed from the Document Approvals list.



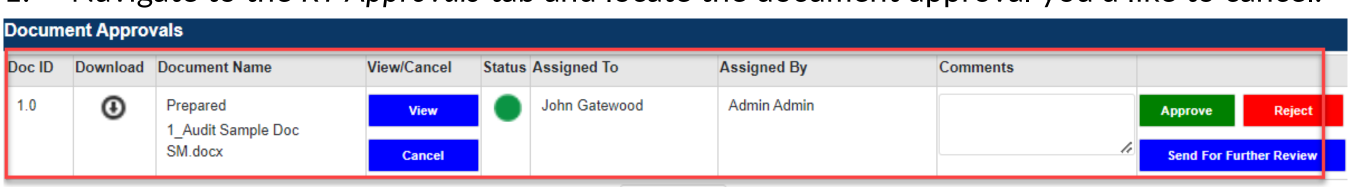
7. You can navigate to the *RT Action Log* to view the escalation activity.



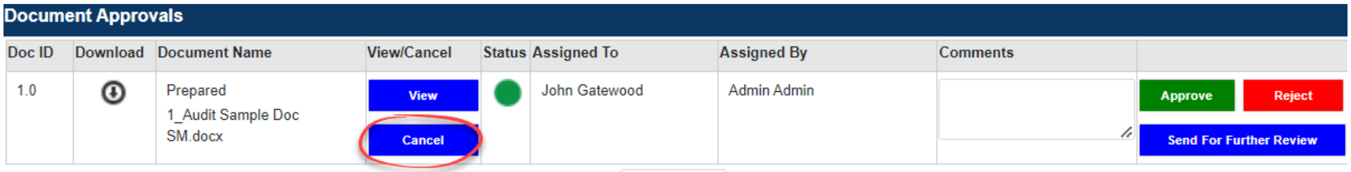
6.5 Cancel Recommendation Document Approval

Follow the steps below to cancel the approval process for a Recommendation Document.

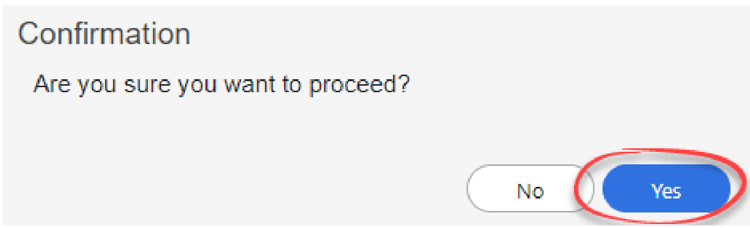
1. Navigate to the *RT Approvals* tab and locate the document approval you'd like to cancel.



2. Click **View.** The documents open in a new tab.
3. Once you've reviewed the document and are ready to cancel the review, navigate back to the *RT Approvals* screen.
4. Click **Cancel** to cancel the document approval.



5. A confirmation message appears. Click **Yes** to confirm the cancellation:



6. The screen refreshes and the document is removed from the Document Approvals list.