

# eCASE

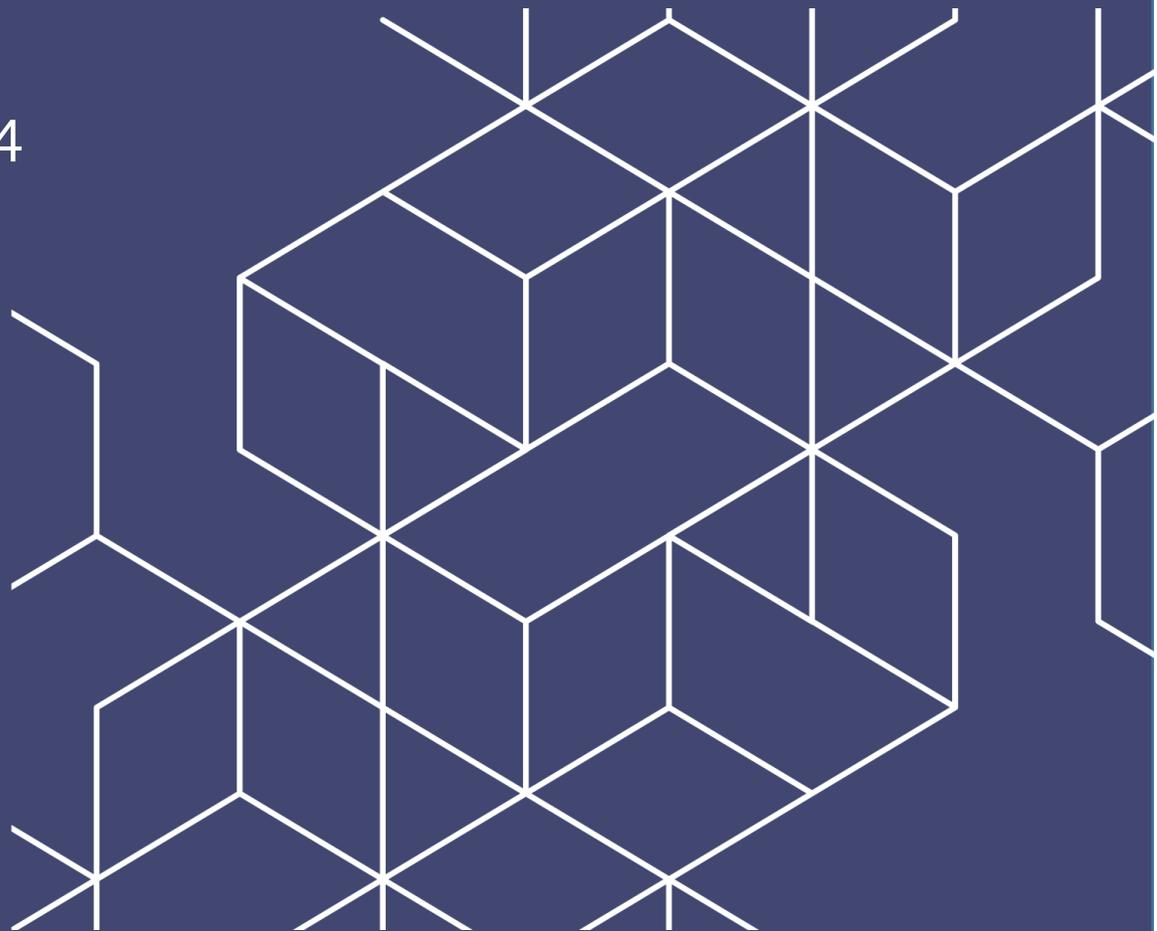
Audit



## Recommendation Tracking User Manual

v5.15.0

July 2024



# eCASE Audit v5.15.0 Recommendation Tracking User Manual

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# 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:

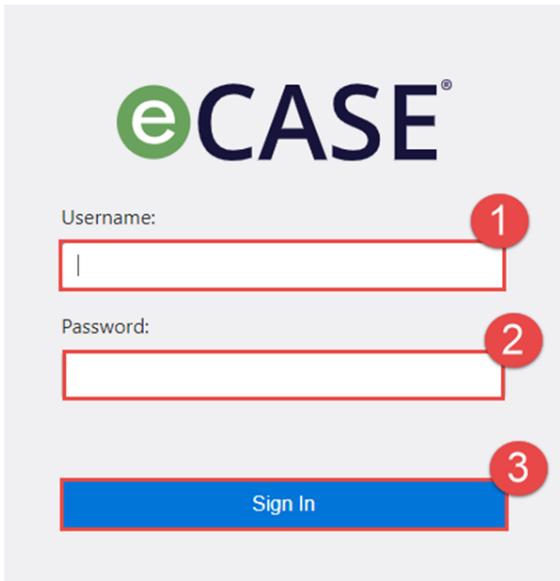
- *Italicized* text indicates a location, for example a particular *Folder*, *Tab*, or *Window*.
- **Bold** text indicates a specific user action, such as clicking a **button**.
- **Red** text and this symbol (!!) are used in Notes to **bring attention to crucial information**.



## 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**.



The screenshot shows the eCASE sign-in interface. At the top is the eCASE logo. Below it, there are three main components: a 'Username:' label followed by a text input field (marked with a red circle '1'), a 'Password:' label followed by a password input field (marked with a red circle '2'), and a blue 'Sign In' button (marked with a red circle '3').

### 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**:



## Getting Started

Project | Project Team 123 | Procedure | Attachments | Assignments | Approvals | Action Log | Closing Checklist | Findings | Project Cost123 | Milestone Dates | Offir

Initiating Office : AINS - AINS

### Audit Information

Finding Code	<input type="text"/>	Total Findings	3	Total Recommendations	1	Total Audit Amount	\$0.00	Summary
--------------	----------------------	----------------	---	-----------------------	---	--------------------	--------	---------

### Findings

Finding Number	Finding
4	<div style="border: 1px solid #ccc; padding: 5px;"><p>A - T   B I U S x<sub>2</sub> x<sup>2</sup> [Rich Text Editor Icons]</p></div>
1	Here's a sample finding for OPEXUs documentation
2	
3	

Buttons: Collapse All, Expand All, Review, Attach(0), Details

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

### Finding '1' Recommendations

Recommendation Number	Recommendation	
2	<div style="border: 2px solid red; padding: 5px;">[Empty Field]</div>	<b>B</b> Add

### Recommendation Details

Recommendation Number	Recommendations									
1. 1	<div style="border: 1px solid #ccc; padding: 5px;"><p>[Rich Text Editor]</p><p>We recommend writing outstanding documentation to support this new feature</p></div>	Update								
	<table border="1"><tr><td>Sensitive</td><td><input type="checkbox"/></td><td>Recommendation Type</td><td>Updated Term.1</td></tr><tr><td>Significant</td><td><input type="checkbox"/></td><td>Total Amount</td><td><input type="text"/></td></tr></table> <p>Amounts</p>	Sensitive	<input type="checkbox"/>	Recommendation Type	Updated Term.1	Significant	<input type="checkbox"/>	Total Amount	<input type="text"/>	
Sensitive	<input type="checkbox"/>	Recommendation Type	Updated Term.1							
Significant	<input type="checkbox"/>	Total Amount	<input type="text"/>							
	Recommendation Date	05/05/2023								
	Comments	We need new documentation for the change to the application								
	Monetary and Non-Monetary Code	Agency Component Request								
	Grant Type	Grant Type								

Back

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



## Getting Started

1. 2

Create a separate manual just for Recommendation Tracking

Sensitive	<input type="checkbox"/>	Recommendation Type	Updated Term. 1
Significant	<input type="checkbox"/>	Total Amount	Amounts
Recommendation Date	mm/dd/yyyy		
Comments			
Monetary and Non-Monetary Code			
Grant Type			

Update

Back

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.

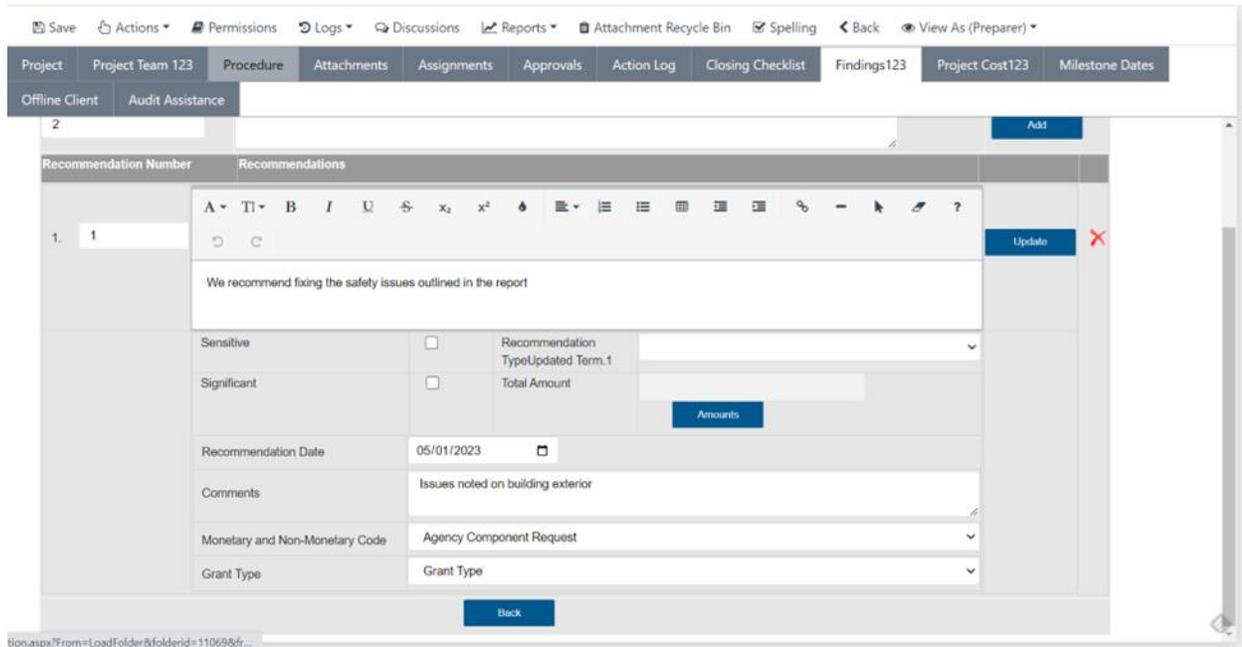
The following steps outline how to create Recommendation Tracking folders to track recommendations stemming from audit findings.

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

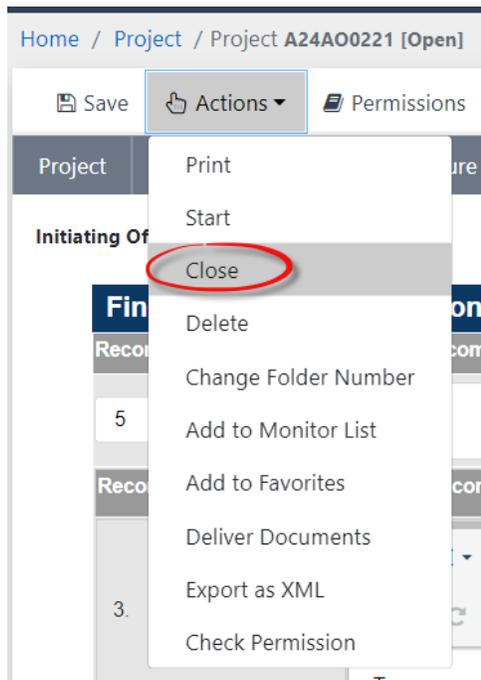
1	Review	\$1,343.00	Details
Finding 1	Recommendations (2)	Attach(0)	
2	Review	\$987.00	Details
Finding 2	Recommendations (1)	Attach(0)	



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



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

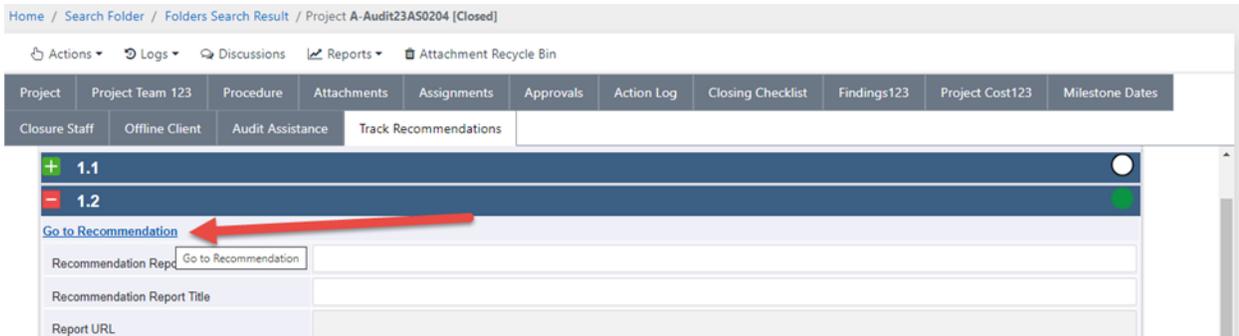


**(!!) Note: Some actions may be required prior to be allows to close the Project, for example delivering documents. The application will prompt to complete these actions before closing the folder.**

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.



## Getting Started

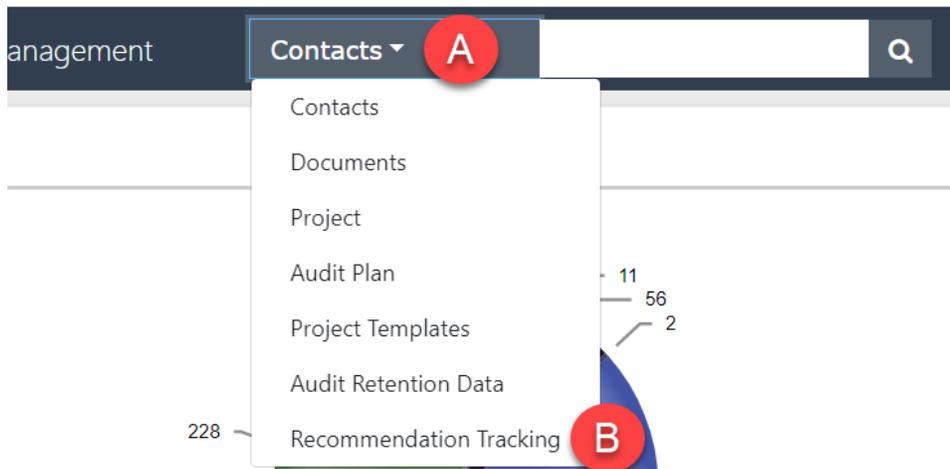


5. From *Track Recommendation* tab, click **Go to Recommendation** to open the *Recommendation Tracking* folder for that Recommendation.

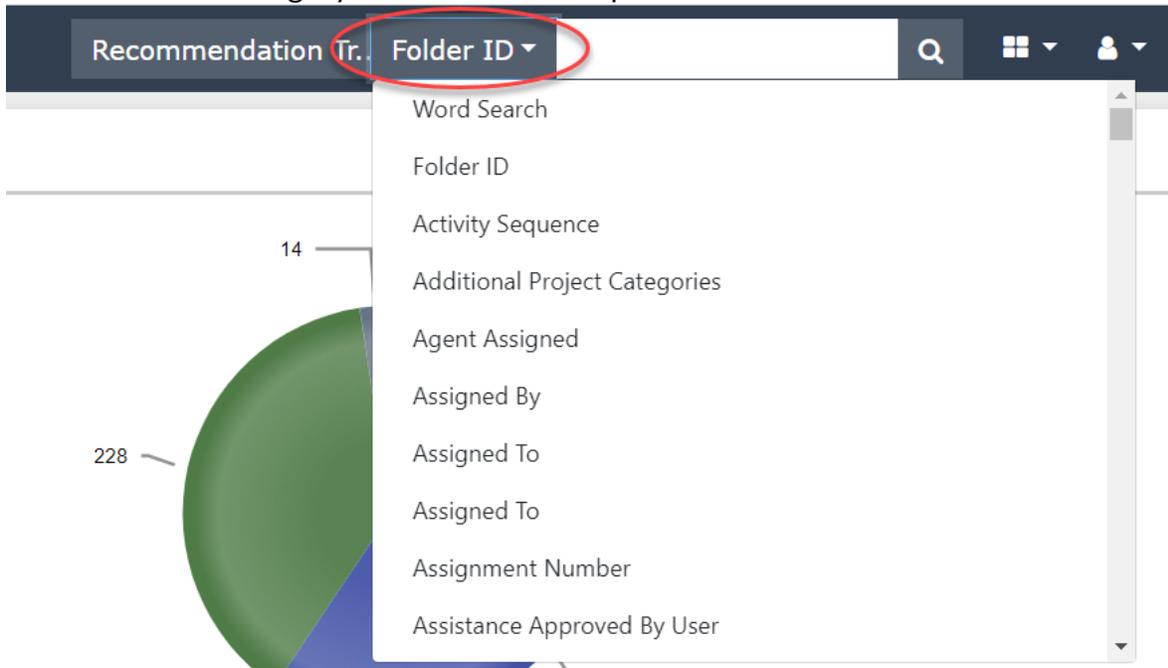
## 2.4 Search Recommendation Tracking Folders

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.

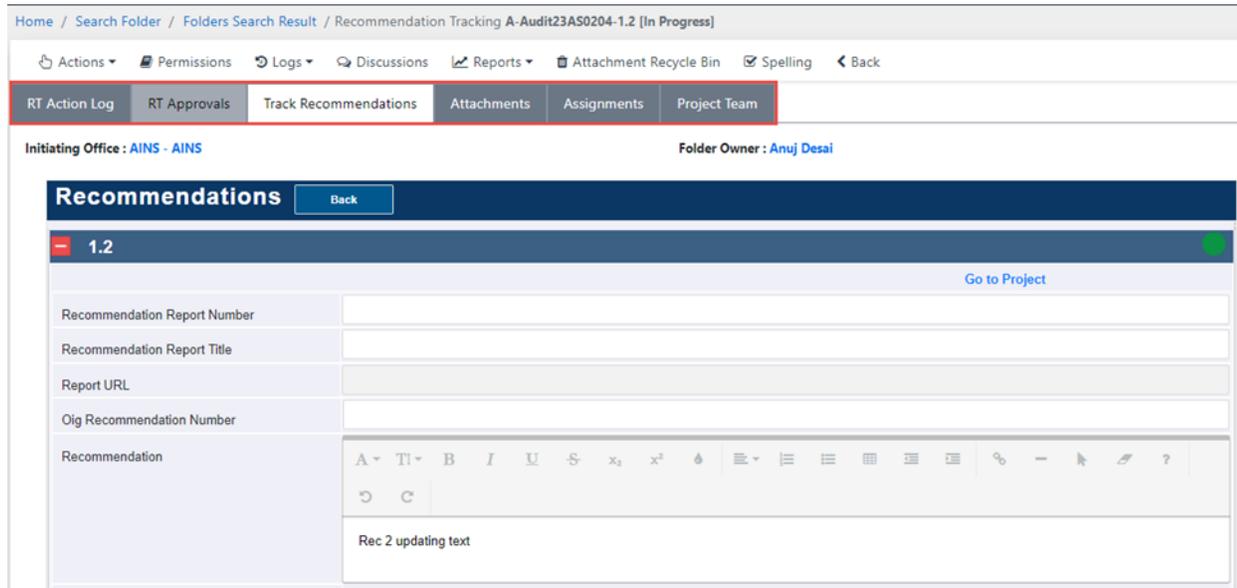


3. Enter the search term in the (C) text box, then click the search icon  to run the search.



# 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.

RT Action Log | RT Approvals | Track Recommendations | Attachments | Assignments | Project Team

Initiating Office : AINS - AINS | Folder Owner : Anuj Desai

**Action Log**

Filter by Status **(A)** | Filter by Action By **(B)** | Filter by Comments **(C)**

Action Date	Action By	Category	Status	Comments
03/29/2023 10:38 AM	Anuj Desai	Approvals		Document '1_TestDocument.docx' is sent for review to the u Comments:
03/29/2023 10:37 AM	Anuj Desai	General Comments		Attachment '1_TestDocument.docx' has been added.
03/29/2023 10:36 AM	Anuj Desai	Approvals		Please review
03/29/2023 10:30 AM	Anuj Desai	General Comments		Recommendation data is updated.

Pages

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.



## Recommendation Tracking Folder Interface

The screenshot shows the 'RT Approvals' tab with the following data:

Recommendation	Cancel	Status	Assigned To	Assigned By	Comments	Approve	Reject	Send For Further Review
2.1	Cancel	●	John Gatewood	Anuj Desai		Approve	Reject	Send For Further Review

Doc ID	Download	Document Name	View/Cancel	Status	Assigned To	Assigned By	Comments	Approve	Reject	Send For Further Review
1.0	📎	Prepared 1_TestDocument.docx	View Cancel	●	John Gatewood	Anuj Desai		Approve	Reject	Send For Further Review

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.

The screenshot shows the 'Track Recommendations' tab with the following details for Recommendation 1.1:

- (A)** Expand/Collapse icon
- (B)** Status icon (yellow)
- (C)** Go to Project button
- (D)** Recommendation details form:

Recommendation Report Number	
Recommendation Report Title	
Report URL	
Oig Recommendation Number	
Recommendation	<p>Rec 1</p>
Sensitive	<input type="checkbox"/>

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.

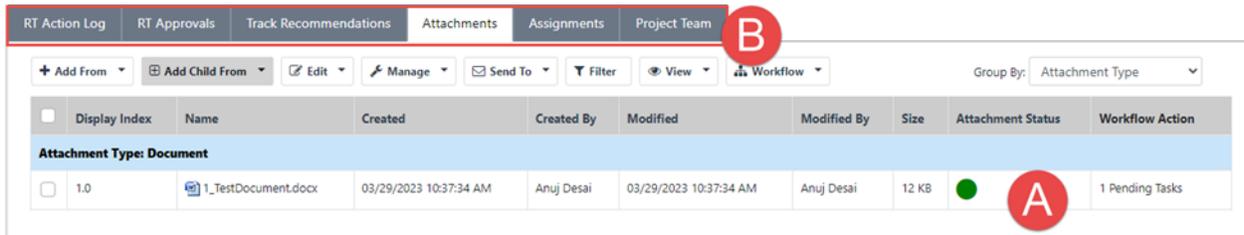


The **(D)** *data* fields tracked for each recommendation display when you click to expand the view. You can use these fields to track various status changes and important dates related to the recommendation. See the Tracking Recommendations section for details on working within this tab.

### 3.4 Attachments Tab

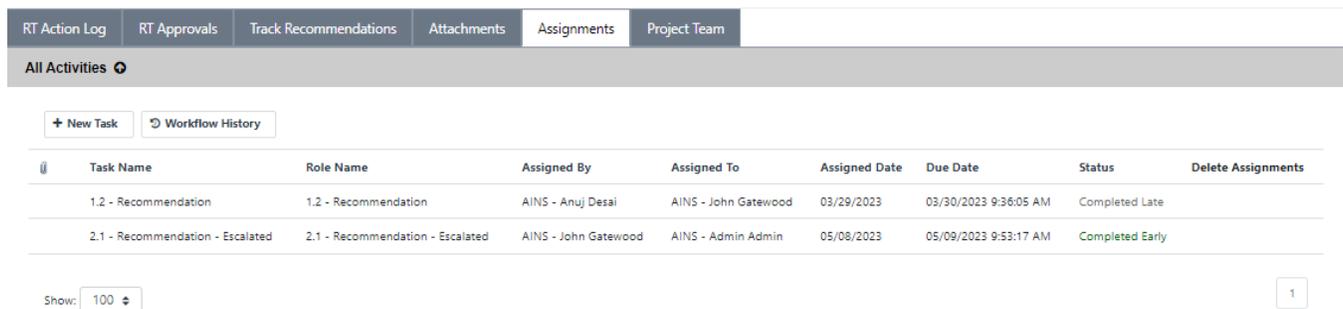
Attachments included as part of the RT folder are managed within the *Attachments* tab. The *Attachments* tab includes a list of all attachments associated with the case, with options for adding, editing, and managing attachments.

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.



## Recommendation Tracking Folder Interface

<input type="checkbox"/>	User/Group	Office	Role Name
<input type="checkbox"/>	Anuj Desai	AINS - AINS	Preparer
<input type="checkbox"/>	John Gatewood	AINS - AINS	Preparer/Reviewer
<input checked="" type="checkbox"/>	Admin Admin	AINS - AINS	Reviewer

Show: 100

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:

Monetary and Non-Monetary Code			
Grant Type			
Total Amount		Amounts	A
Final Report Issurance	mm/dd/yyyy	<input type="checkbox"/>	
Recommendation Made To			
Other			
Recommendation Open Close	Open	Update	B
Management Decision	Change 2	Update	C
Estimated CAC Date	06/21/2023	Update	
CAC Received Date	mm/dd/yyyy	Update	D
Estimated Closure Date	mm/dd/yyyy	Update	

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**.

The screenshot shows the 'Track Recommendations' tab in a software interface. The 'Amounts' button is circled in red. The form displays the following information:

Monetary and Non-Monetary Code	Congressional Request
Grant Type	Grant Type
Total Amount	\$1,343.00
Final Report Issuance	mm/dd/yyyy
Recommendation Made To	
Other	

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

The screenshot shows the 'Recommendation Cost - 1.2' window. A red banner at the top reads: "To save recommendation cost click 'Save Cost Data' button." The window contains a table with the following data:

CFDA Number	CFDA Amount
84.015 X	\$343
84.022 X	\$1,000

Callouts A-F are placed on the interface: (A) on the 'Insert' button, (B) on the lookup icon, (C) on the CFDA Amount text field, (D) on the 'Save Cost Data' button, (E) on the 'Delete' button, and (F) on the 'Back' button.

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) CFDA Number**
5. Enter the **(C) CFDA 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**:



## Tracking Recommendations

RT Action Log	RT Approvals	Track Recommendations	Attachments	Assignments	Project Team
Monetary and Non-Monetary Code	Congressional Request				
Grant Type	Grant Type				
Total Amount	\$1,343.00				Amounts
Final Report Issurance	mm/dd/yyyy				
Recommendation Made To					
Other					
Recommendation Open Close	Close				Update
Management Decision	We changed the decision				
					Update

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

RT Action Log	RT Approvals	Track Recommendations	Attachments	Assignments	Project Team
Initiating Office : AINS - AINS		Folder Owner : Anuj Desai			
<b>Updates</b>					
Recommendation Open Close		A Close			
Comments		B			
		C Update		E Back	
<b>History Details</b>					
Created Date	Created By	Updated Value	Comments		
05/05/2023 09:50 AM	John Gatewood	Close	D Whoops, closed again		
05/05/2023 09:50 AM	John Gatewood	Open	Delete Reopened the recommendation		
05/05/2023 09:49 AM	John Gatewood	Close	Delete The recommendation is closed		

- Enter any comments in the (B) Comments box.
- When you're finished, click (C) Update save the information.
- 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:

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



## Tracking Recommendations

Recommendation Open Close	Close	<input type="button" value="Update"/>
Management Decision	We changed the decision	<input type="button" value="Update"/>
Estimated CAC Date	mm/dd/yyyy	<input type="button" value="Update"/>

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

RT Action Log | RT Approvals | **Track Recommendations** | Attachments | Assignments | Project Team

Initiating Office : AINS - AINS | Folder Owner : Anuj Desai

### Updates

Management Decision	<b>A</b> We changed the decision
Comments	<b>B</b>
	<b>C</b> <input type="button" value="Update"/> <input type="button" value="Back"/> <b>E</b>

### History Details

Created Date	Created By	Updated Value	Comments
05/05/2023 01:38 PM	John Gatewood	We changed the decision	<b>D</b> <input type="button" value="Delete"/>

- Enter comments, if applicable, in the **(B)** *Comments* field.
- When you're finished, click **(C)** **Update** save the information.
- 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:

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

Recommendation Open Close	Close	<input type="button" value="Update"/>
Management Decision	We changed the decision	<input type="button" value="Update"/>
Estimated CAC Date	mm/dd/yyyy	<input type="button" value="Update"/>
CAC Received Date	mm/dd/yyyy	<input type="button" value="Update"/>

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



## Tracking Recommendations

RT Action Log RT Approvals Track Recommendations Attachments Assignments Project Team

Initiating Office : AINS - AINS Folder Owner : Anuj Desai

**Updates**

Estimated CAC Date **A** 05/12/2023

Comments **B**

**C** Update **E** Back

**History Details**

Created Date	Created By	Updated Value	Comments
05/05/2023 01:43 PM	John Gatewood	05/12/2023	<b>D</b> Delete

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.**



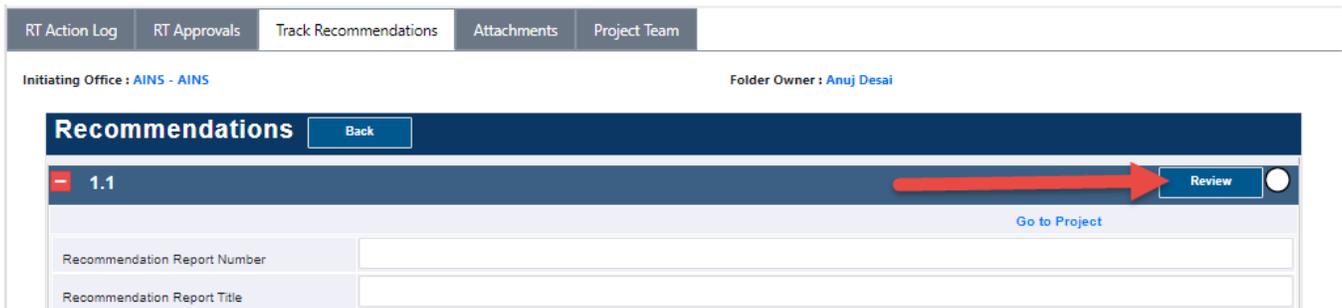
# 5 Recommendation Review and Approval

## 5.1 Send Recommendations for Approval Review

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

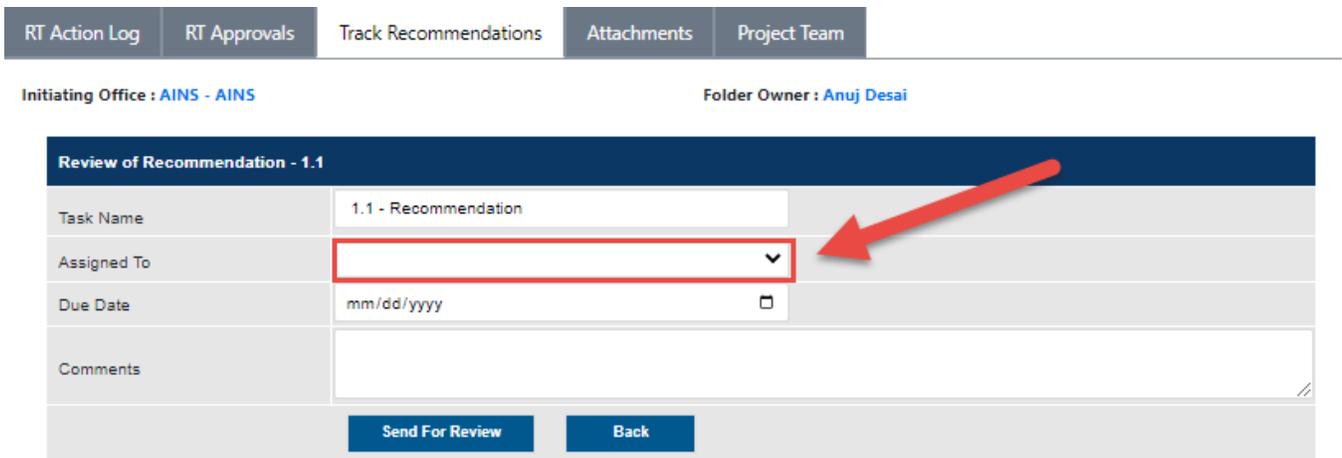
**(!!) Note: Only users with a Preparer role can assign Recommendations for review.**

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



The screenshot shows a navigation bar with tabs: RT Action Log, RT Approvals, Track Recommendations (selected), Attachments, and Project Team. Below the navigation bar, it displays 'Initiating Office : AINS - AINS' and 'Folder Owner : Anuj Desai'. The main content area is titled 'Recommendations' and contains a list item '1.1'. A red arrow points to the 'Review' button located at the top right of the recommendation entry. Below the list item, there are input fields for 'Recommendation Report Number' and 'Recommendation Report Title', and a 'Go to Project' link.

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



The screenshot shows the 'Review of Recommendation - 1.1' screen. It has a navigation bar with tabs: RT Action Log, RT Approvals, Track Recommendations (selected), Attachments, and Project Team. Below the navigation bar, it displays 'Initiating Office : AINS - AINS' and 'Folder Owner : Anuj Desai'. The main content area is titled 'Review of Recommendation - 1.1' and contains a form with the following fields: 'Task Name' (1.1 - Recommendation), 'Assigned To' (a dropdown menu highlighted with a red arrow), 'Due Date' (mm/dd/yyyy), and 'Comments'. At the bottom of the form, there are two buttons: 'Send For Review' and 'Back'.

**(!!) 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**:



**Review of Recommendation - 1.1**

Task Name	1.1 - Recommendation
Assigned To	Admin Admin
Due Date	05/08/2023
Comments	Please review this recommendation

- 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.

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

**Approvals**

Recommendation	Cancel	Status	Assigned To	Assigned By	Comments	
1.1	<input type="button" value="Cancel"/>	<span style="color: green;">●</span>	Admin Admin	John Gatewood		<input type="button" value="Approve"/> <input type="button" value="Reject"/> <input type="button" value="Send For Further Review"/>

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

**Confirmation**

Are you sure you want to proceed?

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



# Recommendation Review and Approval

The screenshot shows the 'RT Approvals' tab in a software interface. At the top, there are navigation tabs: 'RT Action Log', 'RT Approvals', 'Track Recommendations', 'Attachments', 'Assignments', and 'Project Team'. Below these, it says 'Initiating Office : AINS - AINS' and 'Folder Owner : Anuj Desai'. The main content area is titled 'Approvals' and contains a table with columns: 'Recommendation', 'Cancel', 'Status', 'Assigned To', 'Assigned By', and 'Comments'. Below this table, it says 'No Record(s) Found.'. Below that is another section titled 'Document Approvals' with a table with columns: 'Doc ID', 'Download', 'Document Name', 'View/Cancel', 'Status', 'Assigned To', 'Assigned By', and 'Comments'. At the bottom of this section, there is a 'Pages' dropdown menu.

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

The screenshot shows the 'Action Log' section. It has three filter dropdowns: 'Filter by Status', 'Filter by Action By', and 'Filter by Comments'. Below these is a table with columns: 'Action Date', 'Action By', 'Category', 'Status', and 'Comments'. The first row is highlighted with a red border and shows: '05/08/2023 10:59 AM', 'Admin Admin', 'Approvals', a blue status icon, and 'Recommendation '1.1' has been approved. Comments:'. The second row shows: '05/08/2023 10:51 AM', 'John Gatewood', 'Approvals', a green status icon, and 'Please review this recommendation'. At the bottom, there is a 'Pages' dropdown menu.

## 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**:

The screenshot shows the 'Approvals' tab with a table. The first row has 'Recommendation' 2.1, a 'Cancel' button, a status icon (upward arrow), 'Assigned To' Admin Admin, 'Assigned By' John Gatewood, and 'Comments'. To the right of the table are three buttons: 'Approve' (green), 'Reject' (red, circled in red), and 'Send For Further Review' (blue).

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

The screenshot shows a confirmation dialog box with the title 'Confirmation' and the text 'Are you sure you want to proceed?'. At the bottom, there are two buttons: 'No' and 'Yes' (circled in red).

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



## Recommendation Review and Approval

RT Action Log | **RT Approvals** | Track Recommendations | Attachments | Assignments | Project Team

Initiating Office : AINS - AINS Folder Owner : Anuj Desai

**Approvals**

Recommendation	Cancel	Status	Assigned To	Assigned By	Comments
No Record(s) Found.					

**Document Approvals**

Doc ID	Download	Document Name	View/Cancel	Status	Assigned To	Assigned By	Comments
Pages <input type="text" value="1"/> <span style="float: right;">▼</span>							

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

**Action Log**

Filter by Status Filter by Action By Filter by Comments

Action Date	Action By	Category	Status	Comments
05/08/2023 03:00 PM	Admin Admin	Approvals	●	Recommendation '2.1' has been rejected. Comments: Rejected

## 5.4 Send Recommendation for Further Review

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

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

**Approvals**

Recommendation	Cancel	Status	Assigned To	Assigned By	Comments	
1.1	<a href="#">Cancel</a>	●	John Gatewood	William Chen		<div style="display: flex; justify-content: space-between;"> <span style="background-color: green; color: white; padding: 2px 5px;">Approve</span> <span style="background-color: red; color: white; padding: 2px 5px;">Reject</span> </div> <div style="background-color: blue; color: white; padding: 2px 5px; border: 2px solid red; border-radius: 50%; display: inline-block;">Send For Further Review</div>

- 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**.

**Send For Further Review**

Task Name	1.1 - Recommendation - Escalated		
Assigned To	<b>A</b>	<input type="text" value=""/>	
Due Date	<b>B</b>	<input type="text" value="mm/dd/yyyy"/>	
Comments	<b>C</b>	<input type="text" value=""/>	
<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="background-color: blue; color: white; padding: 5px 15px; border-radius: 5px;"><b>D</b> Send for Further Review</div> <div style="background-color: #ccc; padding: 5px 15px; border-radius: 5px;"><b>E</b> Back</div> </div>			



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

- 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	<a href="#">Cancel</a>	↑	Admin Admin	John Gatewood		<a href="#">Approve</a> <a href="#">Reject</a> <a href="#">Send For Further Review</a>

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

Action Log				
Filter by Status	Filter by Action By	Filter by Comments		
<input type="text"/>	<input type="text"/>	<input type="text"/>		
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.

- Navigate to the Recommendation folder, and review the contents of the *Track Recommendations* tab.
- 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	<a href="#">Cancel</a>	●	John Gatewood	Admin Admin		<a href="#">Approve</a> <a href="#">Reject</a> <a href="#">Send For Further Review</a>

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

Confirmation

Are you sure you want to proceed?

[No](#) [Yes](#)

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

Action Log				
Filter by Status	Filter by Action By	Filter by Comments		
<input type="text"/>	<input type="text"/>	<input type="text"/>		
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:

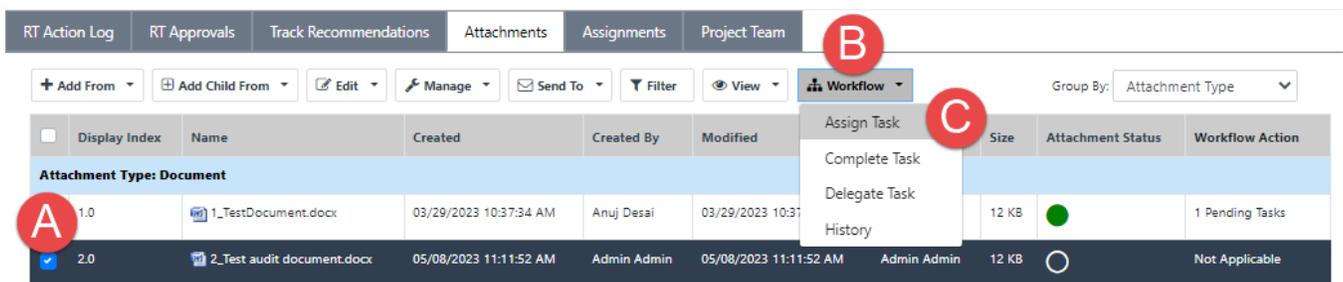


# 6 Document Approvals

## 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:

Assign Task

Note: \* fields are mandatory

Basic | Email Notification

Task Name\*

Assignee Type

Select User\*

Please select the user before viewing availability

Due Days Type

Due Days

Click button to get estimated due date

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



## Document Approvals

Select an option

#	Full Name	User Name	Email
<input type="radio"/>	Admin Admin	Admin	wchen@ainstest.com
<input type="radio"/>	John Gatewood	jgatewood	sbur1epalli@ains.com

0 item(s) selected. Maximum of 1 item(s) are allowed to be selected.

Page 1 of 1

OK

Cancel

**(!!) 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**.

### Assign Task

Note: \* fields are mandatory

Basic Email Notification

Task Name\*

Assignee Type

Select User\*

*Please select the user before viewing availability*

Due Days Type

Due Days

Click button to get estimated due date



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



# Document Approvals

RT Action Log | RT Approvals | Track Recommendations | Attachments | Assignments | Project Team

Initiating Office : AINS - AINS | Folder Owner : Anuj Desai

**Approvals**

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

**Document Approvals**

Doc ID	Download	Document Name	View/Cancel	Status	Assigned To	Assigned By	Comments	Approve	Reject	Send For Further Review
1.0	ⓘ	Prepared 1_TestDocument.docx	View Cancel	●	John Gatewood	Anuj Desai		Approve	Reject	Send For Further Review
2.0	ⓘ	Prepared 2_Test audit document.docx	View Cancel	●	John Gatewood	Admin Admin		Approve	Reject	Send For Further Review

(!!) 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.

**Document Approvals**

Doc ID	Download	Document Name	View/Cancel	Status	Assigned To	Assigned By	Comments	Approve	Reject	Send For Further Review
1.0	ⓘ	Prepared 1_TestDocument.docx	View Cancel	●	John Gatewood	Anuj Desai		Approve	Reject	Send For Further 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.

**Document Approvals**

Doc ID	Download	Document Name	View/Cancel	Status	Assigned To	Assigned By	Comments	Approve	Reject	Send For Further Review
1.0	ⓘ	Prepared 1_TestDocument.docx	View Cancel	●	John Gatewood	Anuj Desai		Approve	Reject	Send For Further Review

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



## Document Approvals

Confirmation

Are you sure you want to proceed?

No Yes

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

Document Approvals							
Doc ID	Download	Document Name	View/Cancel	Status	Assigned To	Assigned By	Comments
Pages <input type="text"/>							

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

Action Log				
Filter by Status	Filter by Action By	Filter by Comments		
<input type="text"/>	<input type="text"/>	<input type="text"/>		
Action Date	Action By	Category	Status	Comments
05/10/2023 11:25 AM	John Gatewood	Approvals		Document '1_TestDocument.docx' has been Reviewed with comments:

## 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.

Document Approvals							
Doc ID	Download	Document Name	View/Cancel	Status	Assigned To	Assigned By	Comments
2.0		Prepared 2_Test audit document.docx	<a href="#">View</a> <a href="#">Cancel</a>		John Gatewood	Admin Admin	<a href="#">Approve</a> <a href="#">Reject</a> <a href="#">Send For Further Review</a>

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.

Document Approvals							
Doc ID	Download	Document Name	View/Cancel	Status	Assigned To	Assigned By	Comments
2.0		Prepared 2_Test audit document.docx	<a href="#">View</a> <a href="#">Cancel</a>		John Gatewood	Admin Admin	<a href="#">Approve</a> <a href="#">Reject</a> <a href="#">Send For Further Review</a>

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



## Document Approvals

Confirmation

Are you sure you want to proceed?

No Yes

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

Document Approvals							
Doc ID	Download	Document Name	View/Cancel	Status	Assigned To	Assigned By	Comments
Pages <input type="text"/>							

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

Action Log				
Filter by Status	Filter by Action By	Filter by Comments		
Action Date	Action By	Category	Status	Comments
05/10/2023 11:44 AM	John Gatewood	Approvals	●	Document '2_Test audit document.docx' has been Rejected with comments:This document has been rejected due to X reason.

## 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.

Document Approvals							
Doc ID	Download	Document Name	View/Cancel	Status	Assigned To	Assigned By	Comments
3.0		Prepared 3_Test audit document.docx	<a href="#">View</a> <a href="#">Cancel</a>		Admin Admin	John Gatewood	<a href="#">Approve</a> <a href="#">Reject</a> <a href="#">Send For Further Review</a>

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.

Document Approvals							
Doc ID	Download	Document Name	View/Cancel	Status	Assigned To	Assigned By	Comments
3.0		Prepared 3_Test audit document.docx	<a href="#">View</a> <a href="#">Cancel</a>		Admin Admin	John Gatewood	<a href="#">Approve</a> <a href="#">Reject</a> <a href="#">Send For Further Review</a>

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**.



## Document Approvals

RT Action Log | RT Approvals | Track Recommendations | Attachments | Assignments | Project Team

Initiating Office : AINS - AINS Folder Owner : Anuj Desai

### Send For Further Review

Task Name	Submit For Review
Assigned To	<input type="text" value="A"/>
Due Date	<input data-bbox="792 541 1409 590" type="text" value="mm/dd/yyyy"/> <input type="calendar"/>
Comments	<input type="text" value="C"/>

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

Document Approvals							
Doc ID	Download	Document Name	View/Cancel	Status	Assigned To	Assigned By	Comments
Pages <input type="text" value=""/>							

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

Action Log					
Filter by Status		Filter by Action By		Filter by Comments	
<input type="text" value=""/>	<input type="text" value=""/>				
Action Date	Action By	Category	Status	Comments	
05/10/2023 02:01 PM	Admin Admin	Approvals		Document '3_Test audit document.docx' is sent for review to the user 'John Doe'. Comments: Sending to John for further review.	

## 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.

Document Approvals							
Doc ID	Download	Document Name	View/Cancel	Status	Assigned To	Assigned By	Comments
1.0		Prepared 1_Audit Sample Doc SM.docx	<input type="button" value="View"/> <input type="button" value="Cancel"/>		John Gatewood	Admin Admin	<input type="button" value="Approve"/> <input type="button" value="Reject"/> <input type="button" value="Send For Further Review"/>

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.



## Document Approvals

Document Approvals								
Doc ID	Download	Document Name	View/Cancel	Status	Assigned To	Assigned By	Comments	
1.0		Prepared 1_Audit Sample Doc SM.docx	<a href="#">View</a> <a href="#">Cancel</a>		John Gatewood	Admin Admin		<a href="#">Approve</a> <a href="#">Reject</a> <a href="#">Send For Further Review</a>

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

**Confirmation**

Are you sure you want to proceed?

[No](#) [Yes](#)

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

Document Approvals								
Doc ID	Download	Document Name	View/Cancel	Status	Assigned To	Assigned By	Comments	
Pages <input type="text"/>								

