

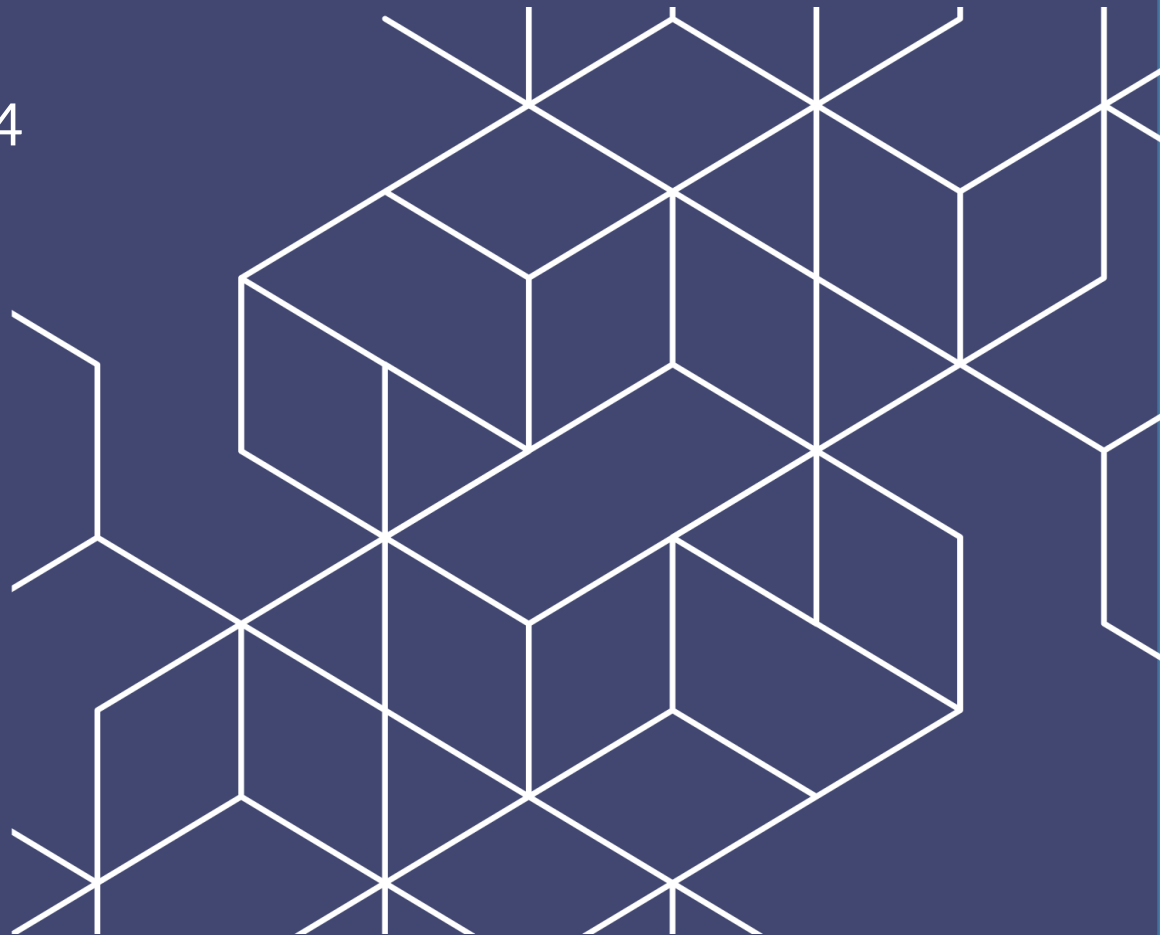


Audit Management User Manual

Version 3.0

v5.15.0

July 2024



eCASE Audit v5.15.0 Audit Management User Manual

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Version History

Version	Date	Revision Summary
1.0	11/17/2023	<p>We've added or revised the following for v5.11.0:</p> <ul style="list-style-type: none">• Added a section on <i>Procedure Notes</i>, covering the new option to Reply directly to notes and assign to other users. See section 3.4.4 for details.• Added steps to send multiple procedures for review at once (Bulk Review). See Section 3.5.2.2 for bulk review steps.• Updated the <i>Approving Procedures</i> section (3.5.3) to note that the Send for Further Review action can now be taken multiple times, with no limit to the number of reviews. Previously this could only be done once.• Added note to the <i>Attaching Documents</i> section (3.6.1) noting the 190-character limit for attachment names.• Updated the <i>Adding Findings</i> section (3.8.1) to note the new <i>Finding URL</i> included in each Finding, along with the Copy Finding URL button.
2.0	5/24/2024	Versioned for v5.14.0; no functional changes.
3.0	7/16/2024	Versioned for v5.15.0; no functional changes.



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1 Audit Management Overview

This section provides an overview of the Audit Management application.

1.1 About Audit Management

The Audit Management application allows executives to track, assign, and prioritize programs, program areas, and activities for audit engagements in the upcoming fiscal year. The system allows Audit Directors and executives to assign engagements based upon the skillset of specific auditors within their organization. After assigning resources to engagements, the system allows the users to create an engagement plan and generate the plan document.

Once the executives have approved a written plan, the system allows Audit Teams to conduct their engagements and track work papers associated with the different steps in the audit engagement. After completing the engagement, the system allows the users to generate the draft final report and exchange the document until executive level approval has been granted.

1.2 Home Screen

The eCASE Audit Management Home Screen is shown below, with annotations on notable features:

The screenshot shows the eCASE Audit Management Home Screen. The interface includes a top navigation bar with the eCASE logo, 'Audit Management' text, a 'Contacts' dropdown menu, a search bar, and user profile icons. A left sidebar contains a 'Main Menu' with links to 'Inbox', 'Contacts', 'Reports', 'Mass Mailing', 'Settings', and 'TimeXpress'. The main content area is divided into sections: 'Fiscal Year Plan' (with a table of folders), 'Projects' (with a table of assignments), 'Documents' (with a table of documents), and 'Miscellaneous'. Annotations 1 through 5 point to specific features: 1 points to the 'eCASE Audit Management' header, 2 points to the 'Contacts' dropdown, 3 points to the user profile icons, 4 points to the 'Main Menu' sidebar, and 5 points to the 'Fiscal Year Plan' section.

Folder Number	Fiscal Year
2019-FYP-00011	2025
2019-FYP-00018	2023
2021-FYP-00002	2030

Reference	Assignment Number	Project Title	Target Date	Status	Activity Name
A.1	A97AT0022	sds		Conduct of Field Work	Migration Procedure - Prepared
B.2	A97AT0022	sds		Conduct of Field Work	New Procedure - Escalated

Doc ID	Case Number	Document Name	Status	Target Date	Activity Name
3.0	A97AT0022	3_Audit functions.txt	●	6/20/2020 1:40:48 PM	Submit For Review

1. Click the **Application Title** to return to the home screen from any page in the application.
2. Use the **Quick Search** bar to perform quick searches on Documents, Projects, Project Templates, or Audit Plans using a word search or an attribute search.



3. Select an application through the **Application Selector** icon, view your **User Profile**, and explore **Help links**.
4. Use the *Launch Pad* to create a new Audit Plan, execute Searches, view the Inbox, and open Reports.
5. The Dashboard displays open case folders and workflow tasks assigned to a user.

This home screen serves as a jump-off point for using the eCASE Audit Management features. For additional information about the general eCASE interface, please refer to the eCASE User Guide, accessible under Help in the upper-right of the eCASE Dashboard.

1.3 How Audit Management Works

The Audit Management system is primarily composed of four major components:

- Plan
- Projects/Audits
- Findings
- Recommendations

All of the actions users can take in the Audit Management application are driven by a Fiscal Year Plan. The Fiscal Year Plan encompasses executive priority of programs, program offices and activities for deeper assessment of a possible engagement. The Fiscal Year Plan addresses Project Plans at a higher level. It is composed of Programs, which are consolidated groups of Projects with a common goal or initiative. A Project is the smallest component of the solution, and it is granular and focused in its objectives. The graphic below illustrates the top-down relationship between Plans, Programs, and Projects in the Audit system.





Put simply, a Fiscal Year Plan is composed of several programs supporting the overall goals of the fiscal year. These programs are made up of any number of supporting audits, called Projects. Using the Audit application, users can create a fiscal year plan, devise objective-driven programs to support that plan, and structure auditing projects to support these program objectives.

1.4 System Roles

The preconfigured system roles within eCASE Audit Management are described in the following table:

Role	Description
Project Administrator	A system level role, provisioned to the primary administrator users of the system who can read and write access to the project tab and view all current projects.
Project Owner	The Project Owner has the same privileges as the Project Administrator, but only for the projects for which they are assigned.

Role	Description
Preparer	This is a staff role, a user who can create and process projects within a Fiscal Year Plan.
Reviewer	This is a staff role, a user who reviews the work submitted or created by Preparer users. In some instances, Reviewers may also have the ability to edit work submitted and created by Preparer users.
Read Only	This is a staff role, a user who only has read access to case folders and cannot edit or submit information.
Sensitive	This is a staff role, a user who has special access permissions to any attachments which are marked as sensitive.
Preparer/Reviewer	This is a staff role, a user who has the permissions of both a Preparer user and a Reviewer user. A Preparer/Reviewer user cannot submit work to themselves to review.

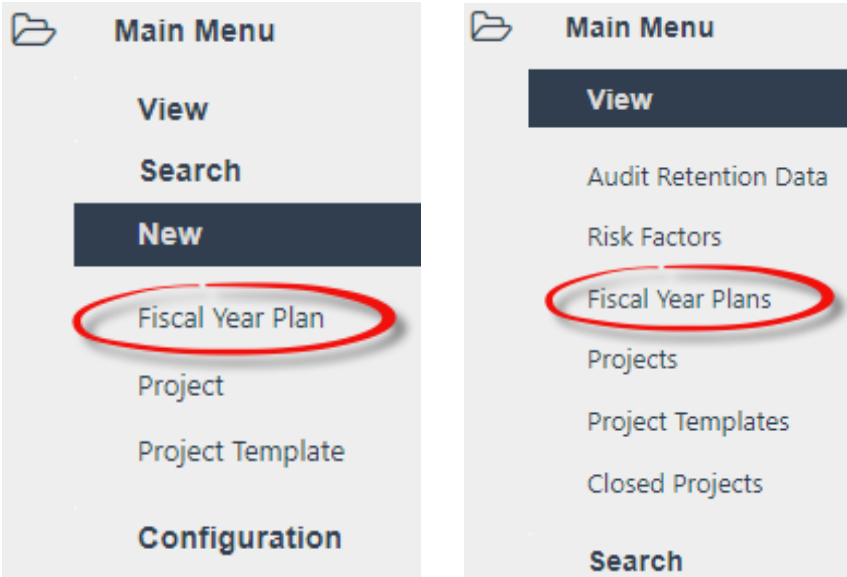


2 Fiscal Year Planning

The subsections below describe how to create a Fiscal Year Plan and the Work Topics used to drive the Fiscal Year Plan.

2.1 Create/Access Fiscal Year Plan

Within the *Launch Pad*, you can create or view a Fiscal Year Plan by selecting either the New or View options, respectively, under the Main Menu.



2.1.1 View a Fiscal Year Plan

To view an existing Fiscal Year Plan:

1. Within the *Launch Pad*, click **Main Menu > View > Fiscal Year Plan**. The application executes a search for all existing Fiscal Year Plans and displays the results in a table view.
2. Select the desired *Fiscal Year Plan* and click **Open**. The Fiscal Year Plan case folder opens, displaying the *Fiscal Year Plan* tab.

The screenshot shows a table with four columns: 'Audit Plan FiscalYear', 'Audit Team', 'Folder ID', and 'Created By'. The row for the year 2024 is highlighted with a dark blue background. Above the table, there are buttons for 'Open' (circled in red), 'Actions', 'Edit Criteria', 'Logs', and 'Back'. There are also dropdown menus for 'Group By' (set to '[None]') and a search filter (set to 'None').

Audit Plan FiscalYear	Audit Team	Folder ID	Created By
2025		2025-FYP-00011	AINS - Admin Admin
2024		2019-FYP-00012	Ryan K
2010		2019-FYP-00014	Ryan K
2007		2019-FYP-00015	Ryan K

(!!) Notes:

- Only one Fiscal Year Plan can exist per calendar year.



- All work topics that have not been completed in prior fiscal years are listed as carry-overs in the Launch Pad.

2.1.2 Create a Fiscal Year Plan

To create a new Fiscal Year Plan:

1. Within the *Launch Pad*, click **Main Menu > New > Fiscal Year Plan**. The *New Fiscal Year Plan* window appears.
2. Select the **year** for the plan from the *Audit Plan Fiscal Year* drop-down list.

(!!) Note: Only one Fiscal Year Plan can exist per calendar year, per Audit Team. If you select a Fiscal Year that already contains a plan, the page refreshes to indicate that “The Fiscal Year Plan already exists.” You can create multiple Fiscal Year Plans for multiple Audit Team. The Audit Team drop-down list is NOT a required field.

3. Select the **Audit Team** from the drop-down list.
4. Click **Next**. The *New Fiscal Year Plan* window appears.

Initiating Office : [AINS - AINS](#)

Folder Owner : [Josh Moyer](#)

5. Complete the required fields and click **Save** to create the new Fiscal Year Plan.

2.1.3 Add a Work Topic to the Fiscal Year Plan

To add a new work topic to the fiscal year plan:

1. Within the *Fiscal Year* tab, enter the **Name** of the work topic in the *Work Topic* field.



2. Select the **category** from the *Category* drop-down list.
3. Click **Add to Plan**. The page refreshes and displays an expanded *Fiscal Year Plan* tab.

FY 2028

Launch Pad

Work Topic	Testing Topic Documentation	Work Topic Category	Information Technology	Add to Plan
------------	-----------------------------	---------------------	------------------------	--------------------

2.2 Interacting with Work Topics

Certain fields can be used within the elements of a work topic to drive priority. Work topic elements include:

- Profile
- Risk
- Objectives
- Projects


At any time within these element screens, users can navigate back to the Launch Pad by clicking **Back to Launch Pad**.






Summary

Assignment Number	Project Title	Status
Back to Launch Pad		

2.2.1 Work Topic Profile

To manage the work topic profile:

1. Navigate to the desired Work Topic and ensure the work topic has been added to the fiscal year.
2. Within the *Fiscal Year Plan* tab, click Profile  in the *Profile* column in the desired work topic to create and edit the profile. The tab refreshes to display the *Profile* workspace.

Unique Id	Project Title	Risk Factor	Attachments	Profile	Risk	Objectives (TESTING)	Project	Category	Status	High Risk
E20390001	Testing the weighted risk factor	Very Low	Attach					State and Loc	Ongoing	

3. Enter a **Description** of the Work Topic in the *Description* field.



Fiscal Year Planning

Initiating Office : [AINS - AINS](#)

Folder Owner : [Josh Moyer](#)

FY 2028		TestingDocumentation1 - Profile	
Work Topic TestingDocumentation1	Work Topic Risk Factor Very High	Description	This is an example description for documentation purposes.
		Initial Objectives	These are our initial Audit Objectives.
		Provision of Law	This is the relevant provision of law.
		Scope	This is the extent of the scope.
		Justification	This is our justification for this audit.

4. Enter any **Initial Objectives** in the field, if applicable.
5. Enter the **Provision of Law** in the field, if applicable.
6. Enter the **Scope** in the field, if applicable.
7. Enter the **Work Topic Justification** in the field, if applicable.
8. Select the **Management Challenge** from the drop-down list, if applicable.
9. Select the **Strategic Challenges** from the drop-down list, if applicable.
10. Select the **Signification Impact** from the drop-down list, if applicable.
11. Select the **High Risk** from the drop-down list, if applicable.
12. After making any changes, click **Save and Go to Risk** to proceed to the next section.
13. Alternatively, click **Save** to save the current section and postpone proceeding to the next session.



Work Topic Justification

Management Challenge

Strategic Challenges

Significant Impact

High Risk

Contacts

Project Contact

Insert

Back to Launch Pad

Save

2.2.2 Manage Work Topic Contacts

The work topic *Profile* page also allows users to track the contacts associated with agency programs relating to the work topic. To track contacts:

1. Open the work topic and navigate to the *Contacts* section of the Profile page. Click **Insert**.

Contacts

Project Contact

Insert

2. After clicking Insert, the workspace refreshes to display a blank *Project Contact* lookup field. Click the **Contacts** lookup.

Contacts

Project Contact

Insert

3. The *Search for Contact* window appears. Enter the contact search criteria in the applicable fields and click **Search**.
4. Alternatively, click **Search** to return search results listing all application contacts.



Fiscal Year Planning

Q Search + New ✓ Select Criteria Save Criteria

Contact Type Agency Employee ▾

Contact Information

First Name

Last Name

Email

Address (Primary)

Organization Name

Department

ADDRESS 1

ADDRESS 2

5. The window refreshes to display a set of search results matching the selected criteria. Click the desired user and click **Select**.

+ New Actions Copy Contact to individual Copy Contact to organization **Select** View Folders View Data Changes Back Close


Full Name	Primary Address	Secondary Address	Notes	Contact Type	Category	Created By	Created Date
test org	806 W DIAMOND AVE, GAITHERSBURG 20878	806 W DIAMOND AVE, GAITHERSBURG 20878		Organization	Organization	James Choi	07/02/2021
Jane Test				Individual	Individual	James Choi	07/02/2021
James Han	806 W DIAMOND AVE, GAITHERSBURG 20878	806 W DIAMOND AVE, GAITHERSBURG 20878		Individual	Individual	James Choi	06/29/2021
John Test	806 W DIAMOND AVE, GAITHERSBURG 20878	806 W DIAMOND AVE, GAITHERSBURG 20878		Individual	Individual	James Choi	04/30/2021

6. The search window closes. The selected contact appears in the *Project Contact* field.

(!!) Note: Multiple contacts can be selected for a Fiscal Year Plan.

7. To view full contact details, click the **contact lookup icon** to open *Contact View* in a new tab.


Project Contact

James Han X 

8. Click **Save and Go to Risk**. Alternatively, click **Save** to only save the update.

2.2.3 Work Topic Risks

To manage risk associated with a work topic:

1. Navigate to the desired Work Topic and click the **Risk icon**  in the *Risk* column of the *Launch Pad*.



- The workspace refreshes to display the *Risk* screen. The *Risk* workspace displays the risk factors which are auto populated based on the system level metrics. In this screen, you can determine the likelihood and impact of each factor by choosing the corresponding number of check marks, with a range of 1-5.

FYTest 2028 **TestingDocumentation1 - Risk**

☐ Not Applicable

Risk Factor: **Very Low**

Project Risk Factor	Likelihood	Impact	Comments	Weight %	
The size of the program	✓✓✓✓✓	✓✓✓✓✓		1	✗
Age of the program	✓✓✓✓✓	✓✓✓✓✓		1	✗
Time since last audit	✓✓✓✓✓	✓✓✓✓✓		1	✗
Amount of budget money allocated	✓✓✓✓✓	✓✓✓✓✓		1	✗
New Risk Factor	✓✓✓✓✓	✓✓✓✓✓		1	✗
Example Risk Factor	✓✓✓✓✓	✓✓✓✓✓		1	✗

Insert **Back to Launch Pad** **Save**

- Additionally, users can add custom risk factors into the work topic by clicking **Insert** below the last risk factor row. After clicking Insert, the page refreshes to display a new blank row at the base of the table. Enter a name for the new **Risk factor** in the blank field within the *Project Risk Factor* column.

Insert ✓✓✓✓✓ ✓✓✓✓✓


- Choose the likelihood and impact of the custom factor by clicking the desired checkbox (X/5) for each column.
- Add **Comments** in the field.
- Complete the **Weight %** field.

(!!) Note: Risk weights are calculated as percentages, so the sum of all risk weights must equal 100.

- When finished, click **Save**.
- To return to the *Launch Pad*, click **Back to Launch Pad**.

2.2.4 Work Topic Objectives

To manage the objectives, scope, and justification of a work topic:

- Navigate to the desired Work Topic and click **Objectives**  in the *Objectives* column of the *Launch Pad*.
- The *Objectives* screen appears. Enter the **Objectives** in the field.



3. Enter the **Objective Scope** in the field.
4. Enter the **Objective Justification** in the field.

FY 2028
TestingDocumentation1 - Objectives

Objectives

Determine what the example objective is for the User Manual

Objective Scope

Determine only the Objective, Objective Scope, and the Objective Justification.

Objective Justification

This is an example Objective Justification.


Back to Launch Pad

Save and Go to Project

5. When finished, click **Save**.
6. To return to the *Launch Pad*, click **Back to Launch Pad**.

2.2.5 Add a Project

The final work topic element is to create projects. Users can add multiple projects to work topics. To add a project:

1. Navigate to the desired Work Topic and click **Project**  in the *Objectives* column of the *Launch Pad*.

FY 2012
Testing Work Topic - Project

Project Title *

Assignment Number

Project Type *

▼

Custom Audit Template *

▼

Management Challenge *

▼

Region - JA *

▼

Service Code *

▼

Project Description

Add Project

Filter By Status

▼

Summary

Assignment Number	Project Title	Status

Back to Launch Pad

2. Fill out the **Project Title** and **Project Description**.
3. Use the drop-down lists to select a **Project Type**, **Management Challenge**, **Region**, and **Service Code**.





4. Select the **Custom Audit Template** from the drop-down list. See Section 4.1 - *Create New Templates* for more details.
5. Click **Add Project**. The workspace refreshes and the new Project Entry appears in the *Project Summary* list.

(!!) **Note:** Users are not able to modify the audit template used in the project after it is created. The audit project folder is built based on the template name chosen at this stage.

6. Click the **Edit** icon in the Summary Column to open the corresponding Project Case Folder in a new tab.

(!!) **Notes:**

- There can be more than one project associated with a work topic. Additionally, there can be multiple work topics within a Fiscal Year Plan.
- Click the Edit button in the left column to open the project.



Summary		
	Assignment Number	Project Title
	K25DP0216	ProjectTitle2
	A25AS0401	Test

3 Audit Management

The subsections below describe the actions, requirements, and responsibilities typical to a conventional audit and how they intersect with the eCASE Audit Management Solution.

3.1 Project Set Up

After a Project is created within a Fiscal Year Plan, it must be populated with content to progress through the workflow to completion. To set up a Project:

- 1. Open the Fiscal Year Plan and click **Project**  for the desired work topic.
- 2. The page refreshes to display the Project workspace in the *Fiscal Year* tab. Click **Edit**  to launch the project.

FY 2028

TestingDocumentation1 - Project

Project Title *

Assignment Number

280213

Project Type*

Custom Audit Template *

Management Challenge *

Region - JA *

Service Code *

Project Description

Add Project

Filter By Status

Summary

Assignment Number	Project Title	Status
A28Atlanta0210	Example Project Documentation	Brand New

- 3. The *Project Set Up* window appears in a new tab, containing additional required fields which were not populated during the fiscal year planning phase. Complete these new required fields.
- 4. Within the Project form, there are two sections: *Initiation* and *Project Information*. The Initiation section includes the information provided upon the project creation from the Fiscal Year Plan Launch Pad. The *Audit Information* section includes various fields that provide details and useful information pertaining to the project.



Audit Management

Project Set Up

Initiation

Assignment Number

970066

Project: Assisting Region

Q

Project Title

Short Title

Project: Report Number

Funding

Sequence Number

Project: Status

New

Project: Region - JA

Project: Service Code

Project Description

Project Information

Project: Source

Project Type

Sub Type

Custom Audit Template

Audit Plan FiscalYear 123

1997

Next Milestone

Performed By

Program Name or Alternate ID

Q

Milestone Metrics Applicable

Lead Auditor

Q

Primary Department Office - For Department Monthly Report

Q

Subject to Performance Metric 1 Year Entrance to Draft Report

Hold Date

mm/dd/yyyy

Period Audited Start

mm/dd/yyyy

Entity Code

Additional Program Offices

Q

Project work topic

Ryan1997

Project: Management Challenge

Sensitive

☐

Include in Quarterly Reports

Days to Next Milestone

Category for Department Quarterly Update

Program Category or Alternate ID

Q

Basis for Milestones Counted as Not Applicable

Audit Manager

Q

Co-Lead or Contributing Office - For Department Monthly Report

Q

Project on Hold

Resume Date

mm/dd/yyyy

Period Audited End

mm/dd/yyyy

Audit Scope

Save



5. Complete the required fields.

(!!) Notes:

- Required fields are indicated with a red border or red exclamation mark.
- The fields Project: Region and Project: Assisting Region cannot contain the same value.
- Users and User Groups who are authorized to edit the Project tab are determined during configuration.

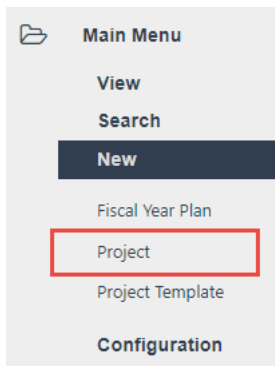
6. Click **Save**.

(!!) Notes:

- As the remaining Project required fields are completed, the status of the project automatically updates. The status progresses from “New” to “Conduct of Field Work” after an authorized user completes any remaining required fields and saves the updated case folder.
- Based on the configured required fields, if all fields are completed upon initial creation of a project, then the project skips the “New” phase and automatically moves into “Conduct Field Work.”

3.1.1 Alternative Project Set Up/Creation

- Typically, new Projects are created directly within the Fiscal Year Plan case folder, however, users can also use the *Launch Pad* to create new Projects.
- Click **Main Menu > New > Project**.



- The *New Project* form appears. Use the drop-down list to select the **Fiscal Year** to which the Project corresponds. The workspace refreshes and the *Existing Fiscal Year Work Topics* lookup field appears.



Save Spell...

New Project

Project Fiscal Year
2028

Existing Fiscal Year Work Topics

Next

(!!) Note: The Fiscal Year chosen must contain a pre-existing plan/work topic. If not, the user is prompted to create a plan with at least one work topic in order to add the project through this method.

- Click the **Existing Fiscal Year Work Topics** lookup. The *Select Item* pop-up window appears.
- Select the desired **Work Topic** radio button and click **OK**.

Select Item

Filter By Name |

Use wildcard (*) to perform full text search in Name field (i.e., *administrator, administrator*, or *administrator*)

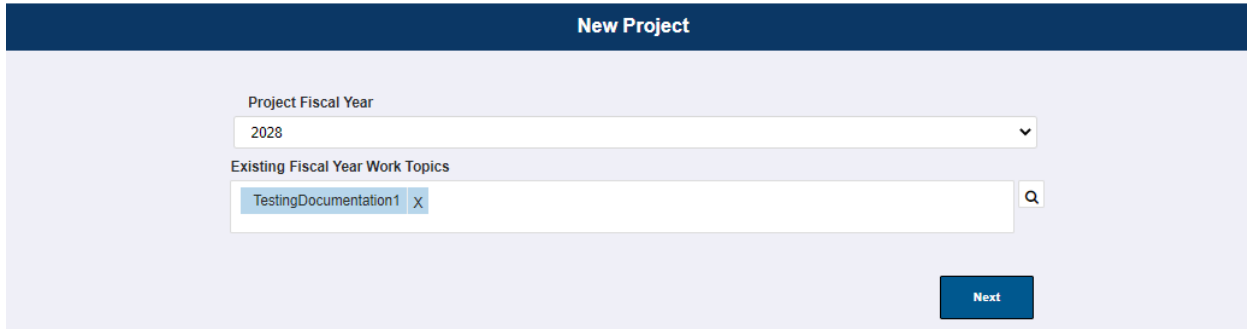
	Name
<input type="radio"/>	Testing SP7 - Information Technology
<input type="radio"/>	Test - Information Technology

OK Cancel

- The pop-up window closes, and the selected work topic appears in the *Existing Fiscal Year Work Topics* field. Click **Next**.

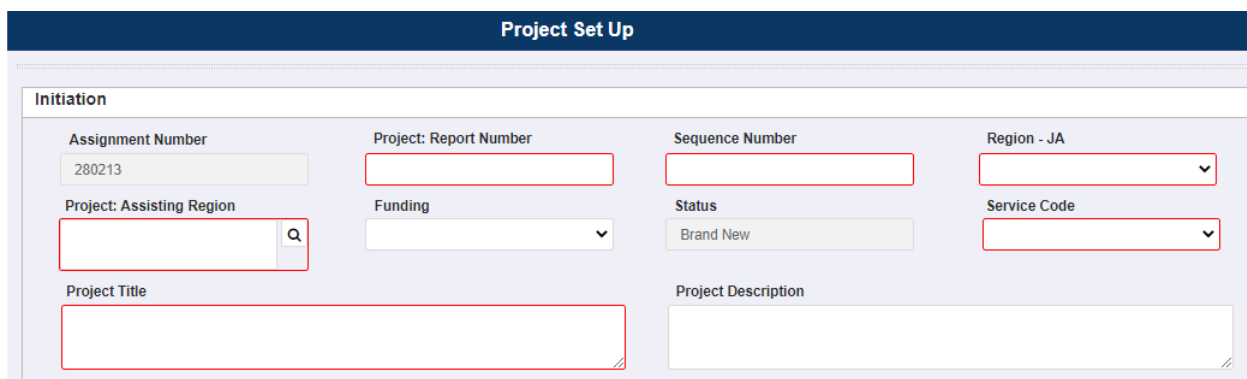


Audit Management



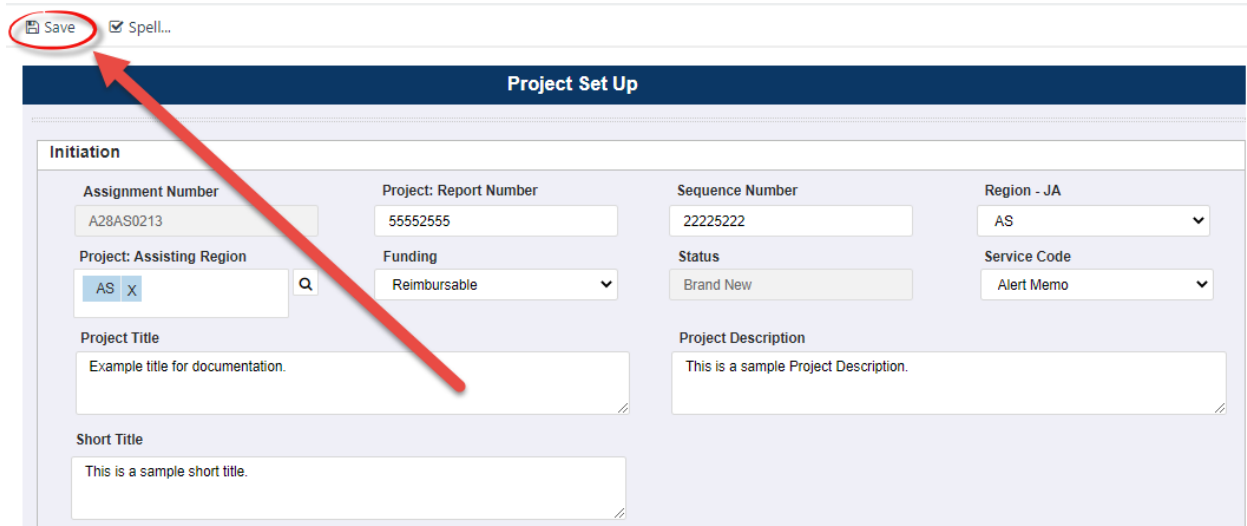
The 'New Project' form is displayed with a dark blue header. It contains two main sections. The first section has a 'Project Fiscal Year' dropdown menu set to '2028'. Below it is a search bar for 'Existing Fiscal Year Work Topics' with the text 'TestingDocumentation1' and a magnifying glass icon. The second section is a 'Next' button.

- The workspace refreshes, and the *Project Set Up* form appears, which includes the *Initiation* and *Audit Information* sections described in the [Project Set Up](#) section. Complete all required fields (indicated by a red border).



The 'Project Set Up' form has a dark blue header. The 'Initiation' section is highlighted. It contains several fields with red borders indicating they are required: 'Assignment Number' (280213), 'Project: Report Number', 'Sequence Number', 'Region - JA' (dropdown), 'Project: Assisting Region' (with a magnifying glass icon), 'Funding' (dropdown), 'Status' (Brand New), 'Service Code' (dropdown), 'Project Title', and 'Project Description'.

- Click **Save**.



The 'Project Set Up' form is shown with the 'Save' button highlighted by a red circle and a red arrow. The 'Initiation' section is filled with sample data: 'Assignment Number' (A28AS0213), 'Project: Report Number' (55552555), 'Sequence Number' (22225222), 'Region - JA' (AS), 'Project: Assisting Region' (AS), 'Funding' (Reimbursable), 'Status' (Brand New), 'Service Code' (Alert Memo), 'Project Title' (Example title for documentation.), 'Project Description' (This is a sample Project Description.), and 'Short Title' (This is a sample short title.).

- The workspace refreshes and displays the newly created Project case folder, with the *Project* tab displayed.



Project | Staff | Procedure | Attachments | Assignments | Approvals | Action Log | Closing Checklist | Findings | Project Cost | Milestone Dates | Closure Staff

Initiating Office : AINS - AINS Folder Owner : Damien Tran

Project Set Up Attach

Submitted for Cancellation Cancel Project Open Work Plan

Initiation

Assignment Number A19AS0040	Project: Report Number 201	Sequence Number 132	Project: Region - JA123 AS
Project: Assisting Region Atlanta X	Funding123	Project: Status Submitted for Cancellation	Project: Service Code Alert Memo

3.2 Project Milestone Dates

Each Project has its own set of associated *Milestone Dates*. These dates are specific to the Project and are recorded on the *Project Milestone Dates* tab. It is important to note that just like the main *Project* form/tab, only users with the *Project Administrator* or *Project Owner* role are allowed to edit/update this set of dates.

3.2.1 Adding Milestone Dates

1. The Project Administrator or Project Owner must open a project and click the **Milestone Dates** tab.
2. Click **Add**.

Milestone Dates Add Import Milestone Dates

Next Milestone Days to Next Milestone 0

Order	Dates	Planned	Revised	Actual	Comments	Review Comments
1	Project Start Cancel History	03/09/2022	03/10/2022	03/21/2022		Review Comments Delete

3. The workspace refreshes and displays the *Add Date Workspace*. Enter the **Date Name** in the field.

Add Date

Date Name

Save Back

4. Click **Save**. The workspace refreshes to display the full *Milestone Dates* workspace, including the newly added Milestone Date.



Milestone Dates						
					Add	Import Milestone Dates
Next Milestone			Days to Next Milestone			
			0			
Dates	Planned	Revised	Actual	Comments		
Date Name 1	mm/dd/yyyy	mm/dd/yyyy	mm/dd/yyyy			Delete
Documentation Date Name	mm/dd/yyyy	mm/dd/yyyy	mm/dd/yyyy			Delete

(!!) Note: Any existing Milestone Dates from the Project Template that was used for the project are automatically imported and displayed in the Dates table.

3.2.2 Importing Milestone Dates

In addition to manually adding milestone dates, there is an option to import the Milestone Dates from another Project Templates. To import milestone dates:

1. The Project Administrator or Project Owner must open a project and click the **Milestone Dates** tab.
2. Click **Import Milestone Dates**.

Milestone Dates						
					Add	Import Milestone Dates
Next Milestone			Days to Next Milestone			
			0			
Order	Dates	Planned	Revised	Actual	Comments	Review Comments
1	Project Start Cancel History	03/09/2022	03/10/2022	03/21/2022		Delete

3. The page refreshes and displays the *Search for existing Milestone Dates* page. Enter any relevant search filters in the *Choose Template* and/or *Name of the Date* fields.

Search for existing Milestone Dates		
Choose Template	<input type="text"/>	Name of the Date <input type="text"/>
		Search
Milestone Date Search Results		
<input type="checkbox"/>	Date Name	
Add Milestone Dates		Back

4. Click **Search**. The workspace refreshes and displays a set of search results which match the search criteria.
5. Click the **checkboxes** adjacent the Date Names to import.



Audit Management

Search for existing Milestone Dates

Choose Template Name of the Date

Milestone Date Search Results

<input type="checkbox"/>	Date Name
<input type="checkbox"/>	0_Audit Notification Letter
<input type="checkbox"/>	1A random paragraph can also be an excellent way for a writer to tackle writers' block. Writing bloc
<input type="checkbox"/>	asdf

6. After selecting the desired milestone dates to import, scroll to the end of the search results and click **Add Milestone Dates**.

☒ 100A random paragraph can also be an excellent way for a writer to tackle writers' block. Writing bloc

7. The workspace refreshes and a confirmation message appears. Click **Yes**.
8. The page refreshes to display the imported Milestone Dates.

Milestone Dates							
						<input type="button" value="Add"/>	<input type="button" value="Import Milestone Dates"/>
Next Milestone			Days to Next Milestone				
			0				
Order	Dates	Planned	Revised	Actual	Comments	Review	Comments
1	Project Start <input type="button" value="Cancel"/> <input type="button" value="History"/>	03/09/2022	03/10/2022	03/21/2022		<input type="button" value="Review"/>	<input type="button" value="Delete"/>
2	1_Audit Start Conference <input type="button" value="History"/>	mm/dd/yyyy	mm/dd/yyyy	mm/dd/yyyy		<input type="button" value="Review"/>	<input type="button" value="Delete"/> <input type="button" value="Review"/>

3.2.3 Using the Milestone Dates Workspace

There are three date fields available for each Milestone: *Planned*, *Revised*, and *Actual*. These fields are used to calculate and populate the *Next Milestone* and *Days to Next Milestone* fields in the *Milestone Dates* and *Project* tabs. Use the date picker to select each date in the workspace.

- **Planned:** This is the initial planned date. When a date is selected in this field, it is used with the current date to calculate the *Next Milestone* and *Days to Next Milestone* fields.
- **Revised:** If a date is revised after the initial Planned Date, select this date within the *Revised* date column. When a date is entered in the *Revised* field, it is then used to calculate the *Next Milestone* and *Days to Next Milestone* fields.
- **Actual:** Record the project milestone date of completion in the *Actual* field. When a date is selected in this field, the system counts this topic as complete, and the next *Milestone*



with a provided *Planned* or *Revised* date is used to populate the *Next Milestone* and *Days to Next Milestone* fields.

(!!) Note: Click Save after completing or altering any Milestone date field.

After the dates are provided and the form is saved, the *Next Milestone* and *Days to Next Milestone* fields are calculated using today's date as seen in the example image below. In the example below, 'Date Name 1' was completed, which is shown by an *Actual* date selected in the table. The *Next Milestone* and *Days to Next Milestone* fields are then calculated using 'Project milestone 2' (Documentation Date Name) and its *Revised* date, as it is the next milestone with dates provided.

Milestone Dates

Add

Import Milestone Dates

Next Milestone

Days to Next Milestone

Project End Date

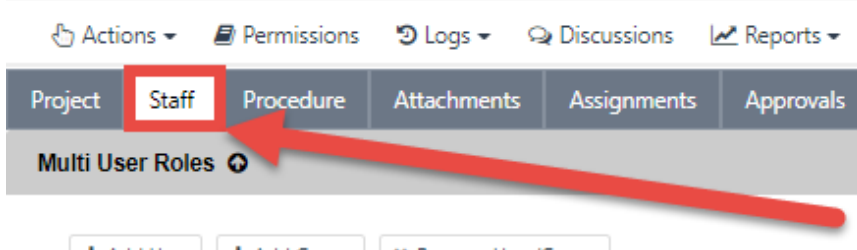
7

Order	Dates	Planned	Revised	Actual	Comments		Review	Comments
1	Project Start Date <div>History</div>	07/20/2022	08/26/2020	07/18/2022		<div>⬇️</div>	<div>🟢</div>	<div></div> <div>Delete</div>
2	Project End Date <div>History</div>	mm/dd/yyyy <div>📅</div>	08/23/2022 <div>📅</div>	mm/dd/yyyy <div>📅</div>		<div>⬆️</div>	<div>🟡</div>	<div></div> <div>Delete</div>

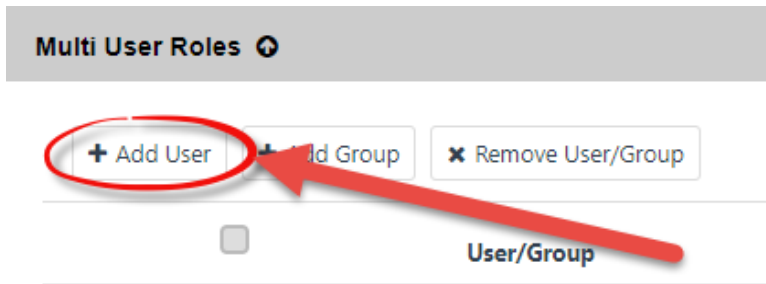
3.3 Adding Staff

After completing and entering all required information on the *Project* and *Project Milestone Dates* tabs, the next step is adding the Staff working on the Project. By default, the user that created the project appears in the *Staff* tab as a Preparer. There must be at least one Preparer and one Reviewer on each project to be able to progress through to the rest of the case folder functions/workflow.

1. Navigate to the *Staff* tab of the desired Project case folder.



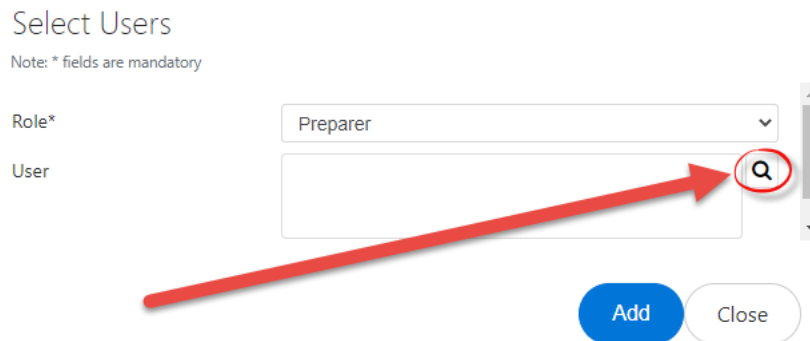
2. Click **Add User**.



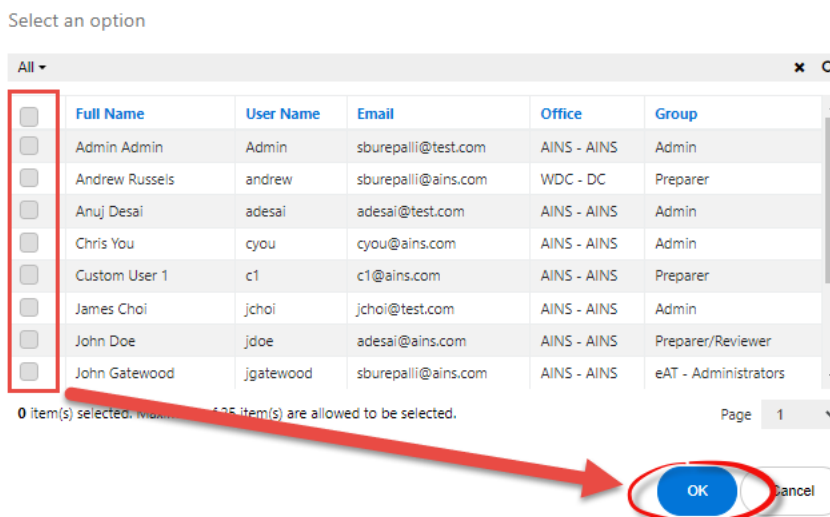
- The *Select User* pop-up window appears. Select the **user role** from the *Role* drop-down list.

(!!) Note: Additional Roles may appear in this pop-up window if your application administrator has created roles in addition to the COTS Roles.

- After making a role selection, the *User* lookup field appears. Select the username from the directory by clicking the **lookup** tool.



- The pop-up window refreshes to display a list of contacts who can be assigned the role. Select the **checkbox** adjacent the desired user and click **OK**.



- The workspace refreshes, and the selected user appears in the *User* field. Click **Add**.



- The Staff tab refreshes and the selected user is now shown in the User/Group list. Repeat these steps for all staff members for the project.

3.4 Planning – Building an Audit Program

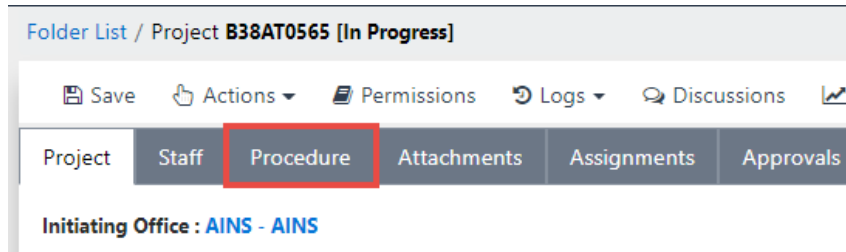
The audit program populates information based on the template chosen during work topic configuration. The audit program displays a list of procedure groups and procedures that have already been created within project templates. Users can create additional procedures and procedure groups in the project beyond what is provided in the template.

(!!) Note: There is an 8,000 character limit for each procedure you create.

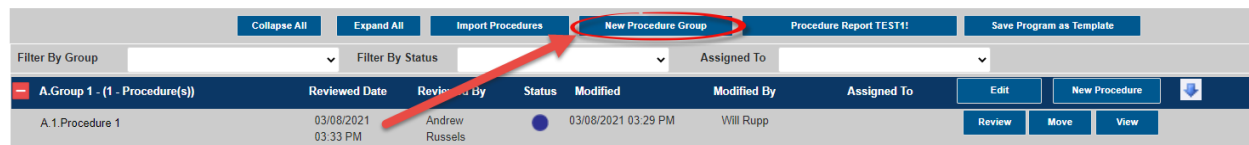
3.4.1 Create New Procedure Group

To create a new procedure group:

- Open the desired Project case folder and navigate to the *Procedure* tab.



- Click **New Procedure Group**. The group letter field automatically populates based on any previously existing procedure groups.

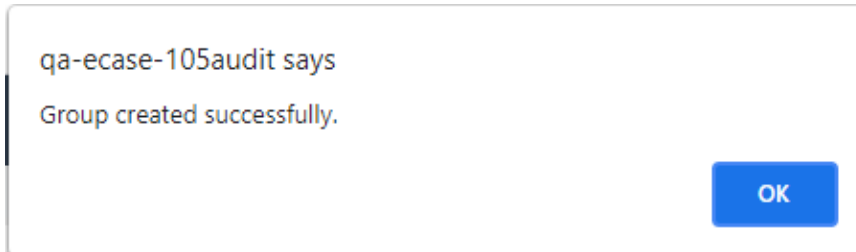


- The page refreshes to display the *New Procedure Group* workspace. Enter the **Group Name** in the field.

New Procedure Group	
Group Letter	J
Group Name	This is the New Procedure Group
<div> <div>Save</div> <div>Back</div> </div>	

- Click **Save**.
- A confirmation window appears. Click **OK**. The pop-up window closes, and the Procedure workspace displays the newly added Procedure Group.

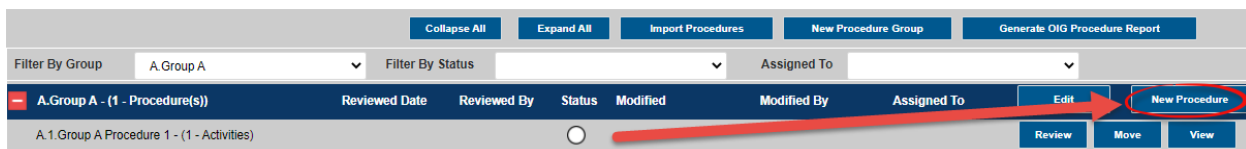




3.4.2 Create New Procedure

To create a new procedure:

1. Open the desired Project case folder and navigate to the *Procedure* tab.
2. Click **New Procedure** within the desired procedure group.



3. The workspace refreshes to display the *New Procedure* workspace. Enter the **Procedure Name** into the *Procedure Name* field.

New Procedure			
Sequence #	A.	2	Due Date mm/dd/yyyy
Procedure Name			
Purpose			
Scope			
Source			
Record of Work Completed			
Conclusions			
		Save	Back

4. Click **Save**.

New Procedure			
Sequence #	A.	2	Due Date mm/dd/yyyy
Procedure Name Test Procedure 1			
Purpose			
Scope			
Source			
Record of Work Completed			
Conclusions			
		Save	Back



- The workspace refreshes to display the full Procedure tab, with the newly added procedure within the selected Group.

				Collapse All	Expand All	Import Procedures	New Procedure Group	Generate OIG Procedure Report
Filter By Group	A Group A	Filter By Status		Assigned To				
<div><div></div></div> A.Group A - (3 - Procedure(s))	Reviewed Date	Reviewed By	Status	Modified	Modified By	Assigned To	<div>Edit</div>	<div>New Procedure</div>
A.1.Group A Procedure 1 - (1 - Activities)			<div></div>				<div>Review</div>	<div>Move</div> <div>View</div>
A.2.Test Procedure 1			<div></div>				<div>Review</div>	<div>Move</div> <div>View</div>
A.3.Test Procedure Theta			<div></div>				<div>Review</div>	<div>Move</div> <div>View</div>

(!!) Note: New procedures enter the program in *Created* status, as indicated by the white circle. Procedures shift from *Created* to *Prepared* status only after they are sent for review.

C.Planning - (1 - Procedure(s))		Reviewed Date	Reviewed By	Status	Modified	Modified By	Assigned To
C.2.Conduct Planning and Scoping Meeting				○			

3.4.3 Preparing Proposed Procedures for Approval

New procedures enter the program in *Created* status, indicated by a white circle within the procedure entry. *Created* procedures are typically modified before being sent for review and entering the *Prepared* status; however, it is not necessary to do so if all the required information was added to the Procedure during creation. When users make any changes to a procedure, specifically to the procedure elements *Purpose*, *Scope*, *Source*, *Results*, and/or *Conclusions*, the status changes to *Modified*, which is indicated by a yellow circle.

A.asdwqe - (1 - Procedure(s))		Reviewed Date	Reviewed By	Status	Modified	Modified By	Assigned To
A.1.drftghj				●	06/22/2021 04:46 PM	Anuj Desai	

To complete each of the procedure elements:

- Click (+) to expand the procedure group. The page refreshes to display additional information, and the Green (+) button becomes a Red (-) button.

(!!) Note: You can click the - button to collapse the procedure group.

Collapse All

Expand All

Im

Filter By Status

Assigned To

<div>+</div>	A.Group 1 From Template -(3 - Procedure(s))	Reviewed Date	Reviewed By	Status	Modified
<div>-</div>	B.Second Group from Template -(1 - Procedure(s))	Reviewed Date	Reviewed By	Status	Modified

- Click **View** to make changes to the procedure.



Audit Management

Reviewed By	Status	Modified	Modified By	Assigned To	Edit	New Procedure
		06/22/2021 04:46				View

3. The *Edit Procedure* workspace appears and includes the following features:
- Sequence*: Captures information on this procedure's place in the sequence and includes an Attachment button.
 - Procedure Lead*: Select a user to act as the lead user for this procedure.
 - Procedure URL*: Copy this URL to link other users directly to this procedure within eCASE Audit.
 - Procedure Sections*: Edit the procedure's Purpose, Scope, Source, Results, and Conclusions.

Edit Procedure						Procedure Report	
Update Review Delete Back							
Sequence #	A	2	Attach	Status	<input type="radio"/>	Due Date	mm/dd/yyyy
Procedure Name	Testing New Procedure Functionality						
Procedure Lead	<input type="text"/>						
Procedure Url	http://qa-ecase-105audit/eCase/Corres/FolderInformation.aspx?From=LoadFolder&folderid=7455&templateId=1138&hiddenTab=ProcedureEdit&showTab=Procedure&proc_row_id=4246703					Copy Procedure URL	
Lock Purpose	<input type="text"/>					Notes	
Lock Scope	<input type="text"/>					Notes	
Lock Results	<input type="text"/>					Notes	
Lock Record of Work Completed	<input type="text"/>					Notes	
Lock Conclusions	<input type="text"/>					Notes	
Lock Support	<input type="text"/>					Notes	
Update Review Delete Back							

4. Use the **Lookup** tool to select a *Procedure Lead*, the user who is responsible for this procedure:

Procedure Lead	<input type="text"/>	Q
----------------	----------------------	----------

5. The *Select Item* pop-up window appears. Click the radio button adjacent the desired user and then click **OK**.
6. Update the Procedure sections (*Purpose*, *Scope*, *Source*, *Results*, *Conclusions*), by clicking the corresponding **Lock Procedure Section** button. The workspace refreshes to display the locked procedure section, an *Unlock* button, and the *Procedure* section button.



Audit Management

Lock Conclusions

Update Review Delete Back

Activities

7. Click the desired **Procedure Section** button to open the element editor.

Locked By:
Josh Moyer

Purpose... Test

Purpose

Unlock

8. A text editor window appears, allowing users to add or edit the details of the procedure element.

Edit Procedure

Sequence # B 2 Attach Status

Procedure Name New Procedure

Procedure Lead

Procedure Url http://ga-ecase-105audit/eCase/Corres/FolderInformation.aspx?FromEdit&showTab=Procedure&proc_row_id=71534

Purpose This is the purpose of the procedure.

Scope

Source

Results

Conclusions

Update Back

Activities

Seq # Name

Add Activities

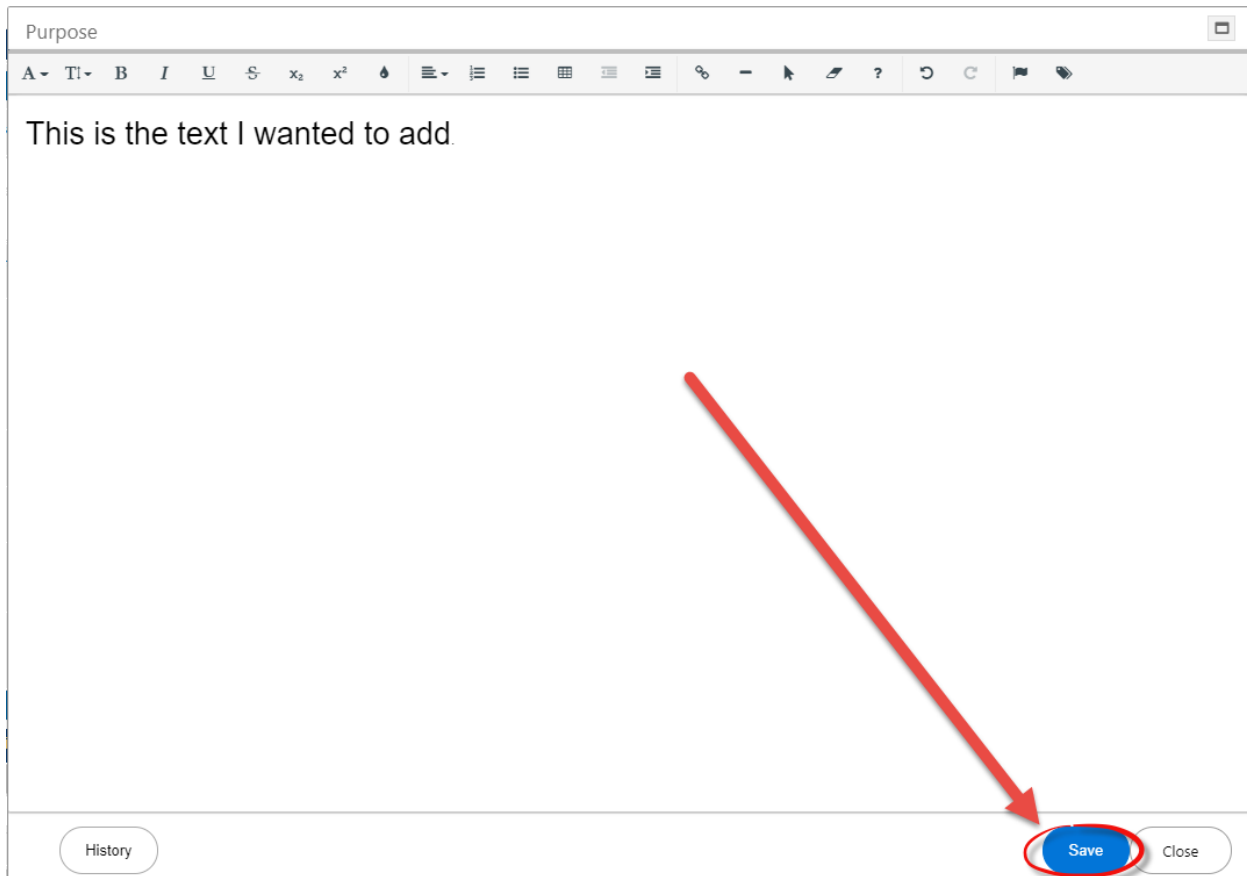
Attachment

Doc ID Name File Name

History Save Close

9. After sufficient information has been added or updated, click **Save**.





Purpose

This is the text I wanted to add.

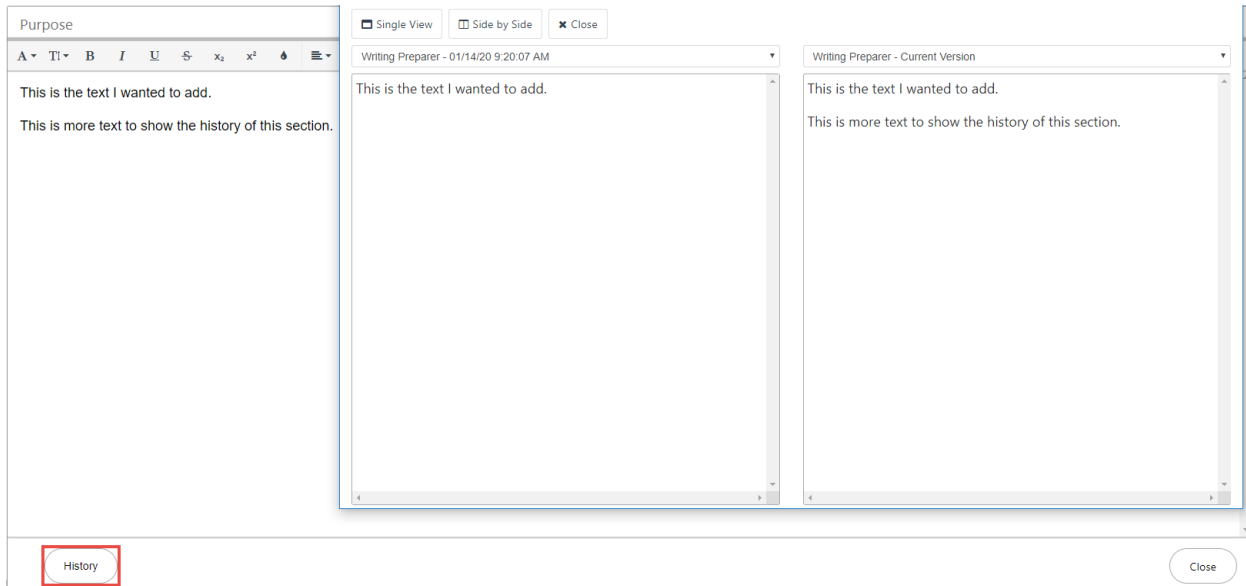
History Save Close

10. Provide additional information for all remaining procedure elements (*Purpose, Scope, Source, etc.*).

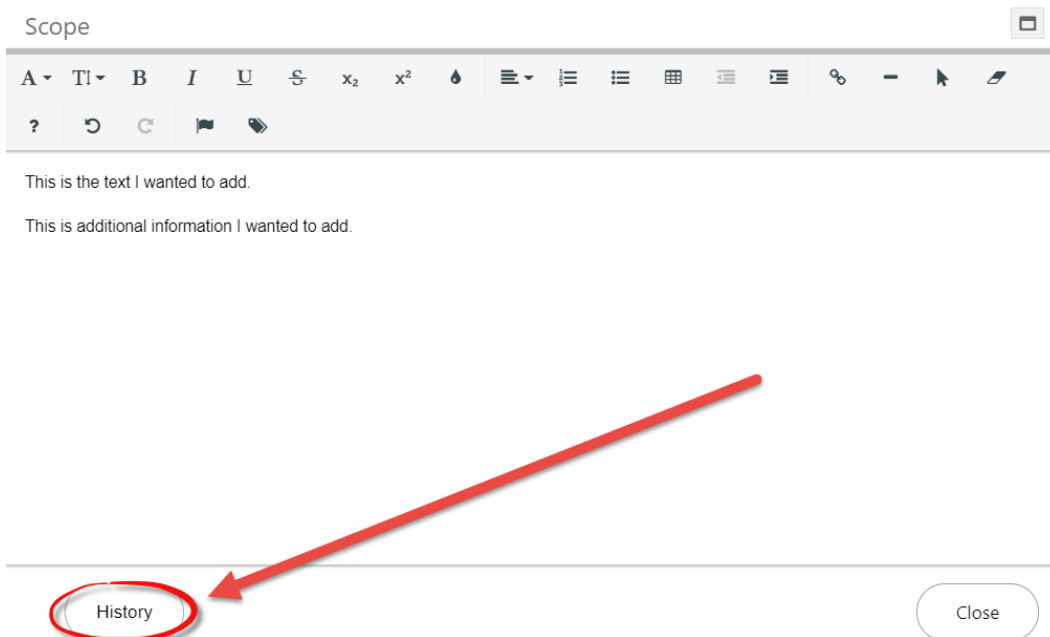
(!!) Note: Users are unable to alter these Procedure elements after submitting procedures for review.

11. Each procedure element's *History* is tracked individually, allowing users to view edits made by any other user (using *Single View*), as well as view side-by-side (using *Side by Side View*) as shown in the example below:

Audit Management



(!!) Note: An elements History is accessible from the text editor window of the procedure element. Once the text editor is open, for example Purpose, the History button is located in the bottom left corner of the editor window, highlighted below.



12. After the desired fields are completed, click **Update** in the *Edit procedure form*.



Edit Procedure				
<div> Update Review Delete Back </div>				
Sequence #	A	1	Attach	Status ●
Procedure Name	Group A Procedure 1			
Procedure Lead				

(!!) Note: After completing the required procedure elements, users can also attach documentation to the procedure.

13. A confirmation window appears. Click **Close**. The page refreshes, a pop-up window appears, and the changes to the procedure tab are recorded.

Information

Procedure updated successfully.

Close

3.4.4 Procedure Notes

You can add notes to each procedure, including the ability to mark notes as resolved and reply directly to notes. Click the **Notes** button next to any procedure to open the Notes window:

Edit Procedure					Procedure Report
<div> Update Review Delete Back </div>					
Sequence #	A	2	Attach	Status ●	Due Date <input type="text" value="mm/dd/yyyy"/>
Procedure Name	Testing New Procedure Functionality				
Procedure Lead					
Procedure Url	http://qa-ecase-105audit/eCase/Corres/FolderInformation.aspx?From=LoadFolder&folderid=7455&templateId=1138&hiddenTab=ProcedureEdit&showTab=Procedure&proc_row_id=4246703				Copy Procedure URL
Locked By: Josh Moyer	<div> <div>Purpose</div> <div>Sample Purpose</div> <div>Sample Purpose 2</div> <div>Unlock</div> <div>This is an example of a Purpose</div> </div>				Notes
Lock Scope					Notes

After clicking **Notes**, the workspace refreshes to display the Notes editor.

(!!) Note: The Procedure status must be Created, Modified, Reviewed, or Post Edit Review status before Notes can be added to the case folder.



Audit Management

Reviewer Notes - Scope				
Sequence #	A.1	Status	●	
Procedure Name	Group A Procedure 1			
Scope	Scope...			
Add Notes				
Comments	<input type="text"/>	Assignee	<div style="border: 1px solid #ccc; padding: 2px;">▼</div>	Add
Resolved				
Notes				
Date	Staff	Assignee	Comments	
07/07/2021 03:31 PM	Josh Moyer	Admin Admin	Sample note for documentation purposes.	Delete
Back				

Notes can be added to a procedure element under the *Add Notes* section. Enter the relevant information in the *Comments* field, select an *Assignee* from the drop-down list, and click **Add** to add the note.

Notes that have been reviewed can be marked as resolved by clicking the **(A) Resolve** button. Alternatively, you can **Unresolve** a note to revert the review status. There are also options to **(B) Bulk Resolve** or **Bulk Unresolve** to resolve or unresolve more than one note.

Bulk Resolve

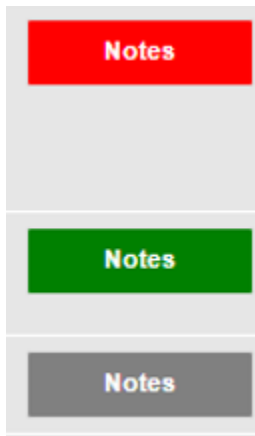
Bulk Unresolve

Notes

Date	Staff	Assignee	Comments				
<div>+</div> 05/25/2023 12:19 PM	Ahmad Olwan	Ahmad Olwan	FHFA Report Testing.	A	Unresolve	Reply	Delete
<div>+</div> 05/25/2023 12:21 PM	Ahmad Olwan	Ahmad Olwan	FHFA Report Testing.		Resolve	Reply	Delete
<div>+</div> 05/25/2023 12:22 PM	Ahmad Olwan	Ahmad Olwan	FHFA Report Testing 3		Unresolve	Reply	Delete
<div>+</div> 11/03/2023 02:27 PM	Admin Admin	Admin Admin	Can you please respond to this note?		Resolve	Reply	Delete

After adding notes, the *Notes* button appears in red under the procedure elements list indicating there is an unresolved note. After resolving notes (by clicking the *Resolved* button), the *Notes* button appears in green. If no notes are present, it appears in gray:





You can also reply directly to notes to add a commentary trail. To add a reply, click **Reply**:

+	05/25/2023 12:21 PM	Ahmad Olwan	Ahmad Olwan	FHFA Report Testing.	Resolve	Reply	Delete
Comments		Assignee			Post	Cancel	

Additional fields appear where you can add *Comments*, then select an *Assignee* to assign the note directly to another user. Click **Post** to post your reply.

3.5 Completing Field Work

Although eCASE Audit Management does not formally transition a user from the Planning phase into the Field Work phase, the system does allow users to effectively move into this phase once all procedures have been completed or modified.

3.5.1 Procedure Statuses

During the lifecycle of submission to acceptance, procedures may progress through the following statuses:

Status	Description
Created	The status of any procedure which has been recently added or imported.
Modified	The procedure has been edited.
Prepared	The procedure has been sent for review



Status	Description
Rejected	The procedure has been rejected during review.
Escalated	The procedure has been sent for further review.
Reviewed	The procedure has been approved.
Post Edit Review	Any edits or modifications after the procedure have been reviewed.
Request for Deletion	At least one procedure has been reviewed within the procedure group, but now has a request for deletion pending approval/rejection.

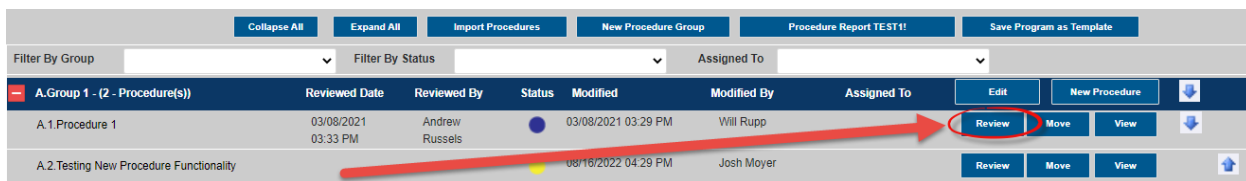
3.5.2 Sending Procedures for Review

Procedures can be sent for review individually or in bulk.

3.5.2.1 Send Single Procedure for Review

To send a single procedure for review:

1. Open a Project case folder and navigate to the Procedure tab.
2. Click **Review** in the Procedure to send for review.



Collapse All Expand All Import Procedures New Procedure Group Procedure Report TEST1! Save Program as Template						
Filter By Group		Filter By Status		Assigned To		
A.Group 1 - (2 - Procedure(s))	Reviewed Date	Reviewed By	Status	Modified	Modified By	Assigned To
A.1.Procedure 1	03/08/2021 03:33 PM	Andrew Russels	●	03/08/2021 03:29 PM	Will Rupp	Edit New Procedure
A.2.Testing New Procedure Functionality			●	08/16/2022 04:29 PM	Josh Moyer	Review Move View

3. The tab refreshes to display the *Procedure Summary* workspace. Any previously completed Reviews are visible in the History subsection. Select the **Assignee** from the *Assigned To* drop-down list.



Audit Management

Procedure Summary				
Sequence #	1	Status	●	
Title	1.Procedure 1			
Review				
Task Name	1.Procedure 1 - Prepared			
Assigned To	<div style="border: 1px solid #ccc; padding: 2px;">▼</div>			
Due Date	<div style="border: 1px solid #ccc; padding: 2px;">mm/dd/yyyy</div>			
Comments				
<div style="background-color: #003366; color: white; padding: 2px 10px; border: 1px solid #003366;">Submit For Review</div> <div style="background-color: #003366; color: white; padding: 2px 10px; border: 1px solid #003366; margin-left: 10px;">Back</div>				
History				
Action Date	Action By	Category	Status	Comments
03/08/2021 03:33 PM	Andrew Russels	Reviewed	●	Procedure '1.Procedure 1' has been approved. Comments:
03/08/2021 03:29 PM	Will Rupp	Prepared	●	Procedure 'A.1.Procedure 1' has been submitted for review. Comments:
03/08/2021 03:29 PM	Will Rupp	Modified	●	Procedure with sequence # '1' and with procedure name 'Procedure 1' status has been updated from 'Rejected' to 'Modified'.
02/23/2021 02:34 PM	Will Rupp	Rejected	●	Procedure 'A.1.Procedure 1' has been released from offline client.
02/23/2021 02:17 PM	Will Rupp	Rejected	●	Procedure 'A.1.Procedure 1' has been checked out for offline client changes.
08/17/2020 01:43 PM	Chris You	Rejected	●	Procedure '1.Procedure 1' has been rejected. Comments:
08/17/2020 01:37 PM	Will Rupp	Prepared	●	Procedure 'A.1.Procedure 1' has been submitted for review. Comments:
Pages: <div style="border: 1px solid #ccc; padding: 2px;">▼</div>				

4. Enter any additional information in the *Comments* field.
5. Click **Submit for Review**. The procedure is submitted to the assigned user for review.

Procedure Summary	
Sequence #	1
Title	1.Group A Procedure 1
Review	
Task Name	1.Group A Procedure 1 - Prepared
Assigned To	Admin Admin ▼
Due Date	<div style="border: 1px solid #ccc; padding: 2px;">mm/dd/yyyy</div>
Comments	Sample Procedure Comments for documentation purposes.
<div style="background-color: #003366; color: white; padding: 2px 10px; border: 1px solid #003366; border-radius: 5px;">Submit For Review</div> <div style="background-color: #003366; color: white; padding: 2px 10px; border: 1px solid #003366; margin-left: 10px;">Back</div>	

6. The workspace refreshes to display the full *Procedure* tab, which shows the submitted procedure in Green status indicating that it is *Prepared*.

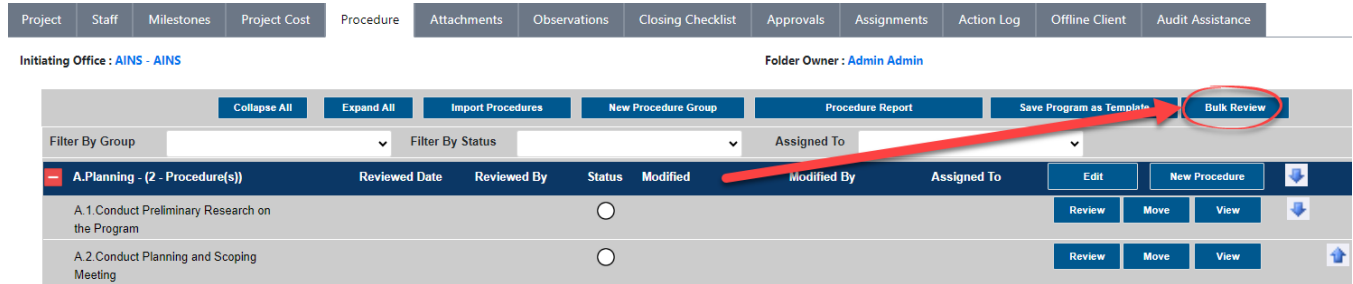
<div style="display: flex; justify-content: space-between; padding: 2px;"> Collapse All Expand All Import Procedures New Procedure Group Generate OIG Procedure Report </div>							
Filter By Group	A. Group A ▼	Filter By Status		Assigned To			
A.Group A - (3 - Procedure(s))		Reviewed Date	Reviewed By	Status	Modified	Modified By	Assigned To
A.1.Group A Procedure 1 - (1 - Activities)				●	07/07/2021 03:21 PM	Josh Moyer	Admin Admin
A.2.Test Procedure 1				●			
A.3.Test Procedure Theta				●			



3.5.2.2 Send Procedures for Bulk Review

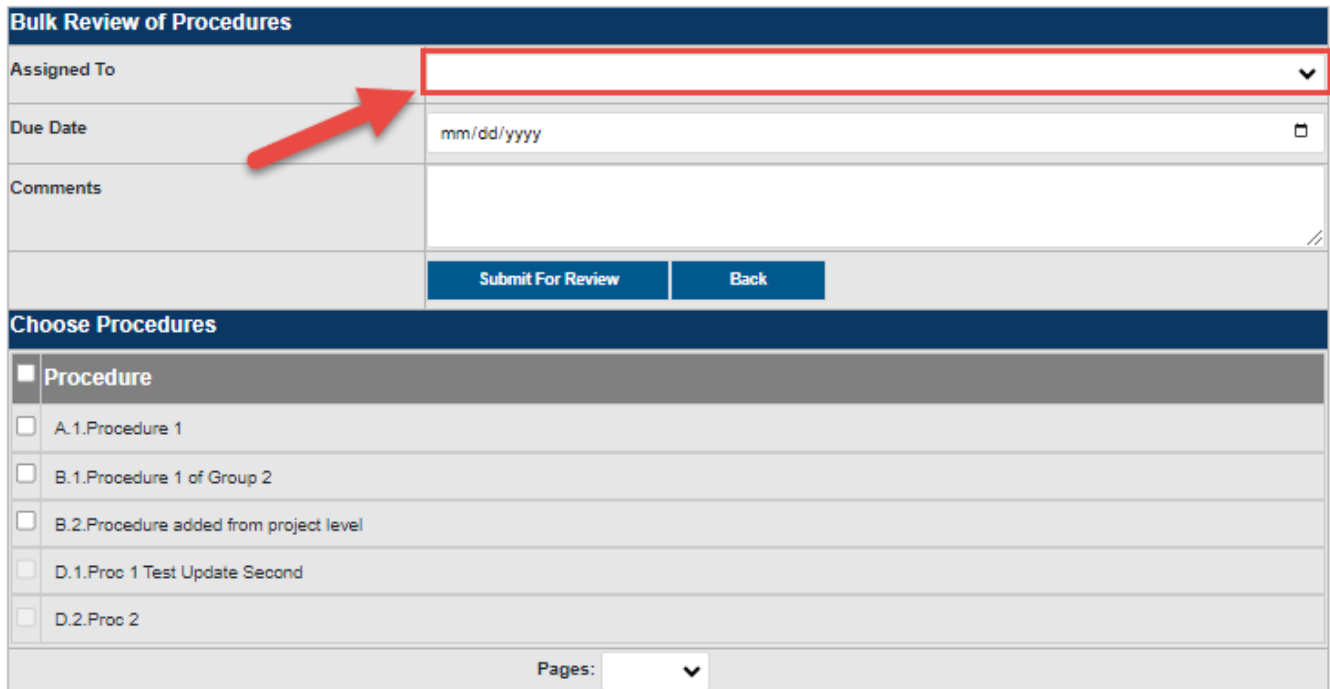
You have the option to send multiple procedure for review at once. To send procedures in bulk:

1. Open the Project case folder and navigate to the Procedure tab, then click **Bulk Review**:



The screenshot shows the top navigation bar with tabs: Project, Staff, Milestones, Project Cost, Procedure, Attachments, Observations, Closing Checklist, Approvals, Assignments, Action Log, Offline Client, and Audit Assistance. Below the tabs, it says 'Initiating Office : AINS - AINS' and 'Folder Owner : Admin Admin'. The main area has several buttons: Collapse All, Expand All, Import Procedures, New Procedure Group, Procedure Report, Save Program as Template, and Bulk Review (highlighted with a red circle). Below these buttons are filter options for Filter By Group, Filter By Status, and Assigned To. A table lists procedures under the group 'A.Planning - (2 - Procedure(s))'. The table has columns for Reviewed Date, Reviewed By, Status, Modified, Modified By, and Assigned To. Two procedures are listed: 'A.1 Conduct Preliminary Research on the Program' and 'A.2 Conduct Planning and Scoping Meeting'. Each procedure has a 'Review' button, a 'Move' button, and a 'View' button. A red arrow points from the 'Bulk Review' button in the top bar to the 'Bulk Review of Procedures' screen below.

2. The *Bulk Review of Procedures* screen appears. First, select who the procedures will be *Assigned To*:



The screenshot shows the 'Bulk Review of Procedures' screen. At the top, there's a header 'Bulk Review of Procedures'. Below it, there's a form with fields: 'Assigned To' (a dropdown menu highlighted with a red box and an arrow), 'Due Date' (a date field with a placeholder 'mm/dd/yyyy'), and 'Comments' (a text area). At the bottom of the form are two buttons: 'Submit For Review' and 'Back'. Below the form is a section titled 'Choose Procedures'. It contains a list of procedures with checkboxes next to them: 'A.1.Procedure 1', 'B.1.Procedure 1 of Group 2', 'B.2.Procedure added from project level', 'D.1.Proc 1 Test Update Second', and 'D.2.Proc 2'. At the bottom of this section is a 'Pages:' label with a dropdown arrow.

3. Next select the *Due Date* and add any *Comments*.
4. Under *Choose Procedures*, use the checkboxes to select the **(A) Procedures** you'd like to send for review. You can also click the **(B) top checkbox** to select all procedures:

Submit For Review Back

Choose Procedures

Procedure

- ☐ A.1.Procedure 1
- ☐ B.1.Procedure 1 of Group 2
- ☐ B.2.Procedure added from project level
- ☐ D.1.Proc 1 Test Update Second
- ☐ D.2.Proc 2

Pages: ▼

- When you've selected the procedures for review, click **Submit for Review**.

3.5.3 Approving Procedures

Only users with Reviewer privileges can approve procedures. Procedures sent for review are listed in the *Reviewer's* inbox, in the *Project* section. As a reviewer, users can access projects by clicking the **Assignment Number** in the inbox. To approve a procedure:

- Assigned Procedure Approvals appear in the *Projects* widget in the inbox. Open the project by clicking the **Assignment Number**.

Projects		
Reference	Assignment Number	Project Title
	A29AS0180	6/15 100 items per tab test
	A29AS0180	6/15 100 items per tab test
	A29AS0180	6/15 100 items per tab test

- The workspace refreshes and the assigned Project case folder appears. Navigate to the *Approvals* tab. Any procedures with approval requests are displayed within the *Procedure Approvals* section.



Audit Management

Approvals

Choose Approval Export

Project Approvals

Assigned To	Assigned From	Task Name	Reason For Cancellation	Comments	
Josh Moyer	Admin Admin	Submit For Review		<div style="border: 1px solid #ccc; height: 20px;"></div>	<div>Approve Reject</div> <div>Send for Further Review</div>
Andrew Russels	Anuj Desai	Cancel Project Request	Testing Ad hoc Tasks	<div style="border: 1px solid #ccc; height: 20px;"></div>	<div>Approve Reject</div> <div>Send for Further Review</div>

Procedure Group Approvals

Group	Name	History/Cancel	Status	Assigned To	Assigned By	Comments	
B	rk pg 10	<div style="background-color: #006699; color: white; padding: 2px;">History</div> <div>Cancel</div>	■	Chris You	Anuj Desai	<div style="border: 1px solid #ccc; height: 20px;"></div>	<div>Approve Reject</div> <div>Send for Further Review</div>

Procedure Approvals

Filter by Reference ▼

Filter by Assigned To ▼

Filter by Assigned By ▼

Approve

Reject

<input type="checkbox"/>	Reference	Title	View/Cancel	Status	Assigned To	Assigned By	Comments	
<input type="checkbox"/>	A.2	Test Procedure <div style="background-color: #006699; color: white; padding: 2px;">History</div>	<div style="text-align: center;">Q</div> <div>Cancel</div>	■	Andrew Russels	Anuj Desai	<div style="border: 1px solid #ccc; height: 20px;"></div>	<div>Approve Reject</div> <div>Send for Further Review</div>
<input type="checkbox"/>	A.4	rkp1-2 <div style="background-color: #006699; color: white; padding: 2px;">History</div>	<div style="text-align: center;">Q</div> <div>Cancel</div>	●	Anuj Desai	Admin Admin	<div style="border: 1px solid #ccc; height: 20px;"></div>	<div>Approve Reject</div> <div>Send for Further Review</div>

3. You can utilize the following features to manage, approve, or reject the procedure:

Feature	Description
History	View the Action History of the procedure/procedure group.
Cancel (Workflow)	Cancel the request if the procedure was submitted in error of if you want to cancel the procedure preparation without logging the disapproval.
View/Cancel	View the procedure details page.
Comments	Enter additional information regarding the approval.
Approve	Move the procedure into Reviewed status, indicated by a blue circle. This can only be performed by the assigned reviewer.




Feature	Description
Reject	End the approval workflow and indicate that the procedure was rejected in Action History, indicated by a black circle. This procedure must be in the Modified status base on the rejection reason to resubmit for review.
Send for Further Review	Select another user to conduct an additional review. This action can be taken multiple times as needed but must be completed by the assigned user. When sent for further review, the status of the procedure will change to Escalated, which is indicated by an upward arrow.

Authorized users can also perform Bulk Approvals/Rejections, if desired.

The screenshot shows the 'Procedure Approvals' interface. At the top, there are filters for 'Filter by Reference' (A.11), 'Filter by Assigned To', and 'Filter by Assigned By'. There are 'Approve' and 'Reject' buttons. Below the filters is a table with columns: Reference, Title, View/Cancel, Status, Assigned To, Assigned By, and Comments. The first row has Reference 'A.11', Title 'Test', Status 'Approved' (green circle), Assigned To 'Sburepalli Sburepalli', and Assigned By 'Admin Admin'. A red circle highlights the checkbox in the Reference column for the first row. A red arrow points from the checkbox to the 'Bulk Approve' button in the header. The table also has 'History' and 'Cancel' buttons for each row. At the bottom, there is a 'Pages' dropdown.

1. To perform a Bulk Approval, select the procedures to Bulk Approve. Then, click **Bulk Approve** in the *Procedure Approvals* header. This will move all selected procedures into Reviewed status. This can only be completed by an assigned reviewer.
2. To perform a Bulk Rejection, select the procedures to Bulk Reject. Then, click **Bulk Reject** in the *Procedure Approvals* header. This will move all selected procedures into a Rejected status. This can only be completed by an assigned reviewer.

Procedure Approvals								Approve	Reject
<input checked="" type="checkbox"/>	Reference	Title		Status	Assigned To	Assigned From	Comments		
<input checked="" type="checkbox"/>	A.1	This is the first Procedure	  		Reviewer Reviewer	Preparer Preparer		Approve	Reject
								Send for Further Review	
<input checked="" type="checkbox"/>	B.1	Test Procedure	  		Reviewer Reviewer	Preparer Preparer		Approve	Reject
								Send for Further Review	
<input checked="" type="checkbox"/>	C.1	Procedure One	  		Reviewer Reviewer	Preparer Preparer		Approve	Reject
								Send for Further Review	
<input type="checkbox"/>	C.2	Test Two	  		Andrew Russels	Preparer Preparer		Approve	Reject
								Send for Further Review	

- After selecting **Approve/Reject/Send for Further Review**, a confirmation window appears. Click **Yes** to perform the selected action.

Confirmation

Are you sure you want to proceed?

No Yes

- The workspace refreshes, and the selected procedure approvals are now locked.

3.5.4 Post-Edit Review

Any updates made to a procedure after it has been reviewed will change the status of the procedure. Approved procedures enter *Post Edit Review* status, which is indicated by a red circle. *Post Edit Review* procedures must reenter the Review/Approval process before you can close the Project.

The Post Edit Review process follows the same steps detailed in the previous sections. The procedure reenters *Reviewed* status after it is reviewed/approved again.

3.5.5 Request for Deletion

If necessary, procedures can also be deleted. Only users with sufficient permissions can request a procedure deletion. After a procedure enters Reviewed (Blue dot) status, it must undergo a request for deletion approval before it is formally deleted. To delete a procedure, follow the steps below:

- Open the desired Project folder and navigate to the *Procedure* tab. Click **View** in the desired procedure entry.




(!!!) Note: The procedure must be in Reviewed (blue dot) status before you can request deletion. A procedure in Created or Modified status can be directly deleted by authorized users.

A.1 - (10 - Procedure(s))	Reviewed Date	Reviewed By	Status	Modified	Modified By	Assigned To	Edit	New Procedure
A.1.1A random paragraph can also be an excellent way for a writer to tackle writers' block. Writing block can often happen due to being stuck with a current project that the writer is trying to complete. B Procedure Lead - Admin Admin	06/15/2021 06:02 PM	Chris You	↑	07/01/2021 01:31 PM	Admin Admin		Review	Move

2. The page refreshes to display the *Edit Procedure* workspace. Click **Request For Deletion** in the *Edit Procedure* form.

(!!) Note: If the procedure is locked, the Update, Review, and Request For Deletion buttons are inactive. To click these buttons, first unlock the procedure by clicking Unlock.

Edit Procedure														Procedure Report																
Lock		Update		Review		Request For Deletion		Back																						
Sequence #		B	<input type="text" value="3"/>	<button>Attach</button>		Status		<div></div>		Due Date		<input type="text" value="mm/dd/yyyy"/> <input type="calendar"/>																		
Procedure Name rk p 10-2																														
Procedure Lead <input type="text"/>																														
Procedure Url http://qa-ecase-105audit/eCase/Corres/FolderInformation.aspx?From=LoadFolder&folderid=7444&templateId=1138&hiddenTab=ProcedureEdit&showTab=Procedure&proc_row_id=108096												<button>Copy Procedure URL</button>																		
Lock Purpose		12321132										<button>Notes</button>																		
Lock Scope		12312332231										<button>Notes</button>																		
Lock Results		12313223321233										<button>Notes</button>																		
Locked By: Anuj Desai		<table border="1"> <tr> <td>2862427</td> <td>LINK HERE</td> <td>ID-MT-OR</td> <td>REQUEST FOR DELETION</td> <td>97865-2689</td> <td>BEAVERTON MA IN OFFICE</td> <td>Routine</td> <td>06/17/2021</td> <td>Complete</td> <td>DECLINED PWV ASSIGNED TO JERRY CARNEY A.C DU: pad nards posted a 6:45 PM 104th Beaverton OR 97003. The pad made to a commediate (1) Type III and (1) Type IV. Please contact Cody Macy if you have questions. Mon-Fri 9:00am-4:00 pm at 503-643-5265. ***I DECLINED ASSIGN TO FRAN BECKMAN**</td> <td>BECKMAN, FRANCES</td> <td>Declined</td> <td><div></div></td> <td>Name</td> <td>N</td> </tr> </table>												2862427	LINK HERE	ID-MT-OR	REQUEST FOR DELETION	97865-2689	BEAVERTON MA IN OFFICE	Routine	06/17/2021	Complete	DECLINED PWV ASSIGNED TO JERRY CARNEY A.C DU: pad nards posted a 6:45 PM 104th Beaverton OR 97003. The pad made to a commediate (1) Type III and (1) Type IV. Please contact Cody Macy if you have questions. Mon-Fri 9:00am-4:00 pm at 503-643-5265. ***I DECLINED ASSIGN TO FRAN BECKMAN**	BECKMAN, FRANCES	Declined	<div></div>	Name	N	<button>Notes</button>	
2862427	LINK HERE	ID-MT-OR	REQUEST FOR DELETION	97865-2689	BEAVERTON MA IN OFFICE	Routine	06/17/2021	Complete	DECLINED PWV ASSIGNED TO JERRY CARNEY A.C DU: pad nards posted a 6:45 PM 104th Beaverton OR 97003. The pad made to a commediate (1) Type III and (1) Type IV. Please contact Cody Macy if you have questions. Mon-Fri 9:00am-4:00 pm at 503-643-5265. ***I DECLINED ASSIGN TO FRAN BECKMAN**	BECKMAN, FRANCES	Declined	<div></div>	Name	N																
Record of Work Completed																														
Lock Conclusions												<button>Notes</button>																		
Lock Support												<button>Notes</button>																		
Lock		Update		Review		Request For Deletion		Back																						



3. The *Request for Deletion* workspace appears. Select the **Assignee** from the *Assigned To* drop-down list.



Request For Deletion	
Task Name	rkp1-1 - Deletion-Requested
Assigned To	<input type="text" value="v"/>
Due Date	mm/dd/yyyy <input type="text" value=""/>
Comments	<input type="text" value=""/>
<input type="button" value="Submit"/> <input type="button" value="Back"/>	

4. Select the **due date** using the date picker.
5. Enter any **Comments** in the field.
6. Click **Submit**.
7. The status of the procedure changes to *Deletion Requested* and is indicated by a green square. The request appears in the *Approvals* tab under *Procedure Approvals*. The approval workflow follows the same steps as a procedure review.

3.6 Work-Paper/Document Management

eCASE Audit Management provides extensive document management capabilities. In addition to adding any document to a case folder as an attachment, eCASE Audit Management allows for online editing of Word, Excel, PowerPoint, and PDF documents. The application also allows users to view those documents in an Online environment.

3.6.1 Attaching Documents

Documents can be added directly to procedures by within the View procedure page. Attachments can also be added in the *Attachments* tab and filed under a procedure. The steps to add an attachment are the same for either scenario.

(!!) Note: There is a 190-character limit for attachment names. For ease of use, ensure that attachment names are shorter than 190 characters before adding.

To add a document via the *Attachments* tab:

1. Open the desired project folder and navigate to the *Attachments* tab.

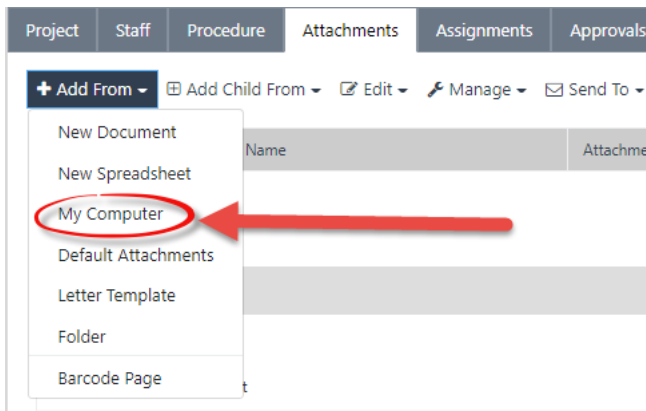


Audit Management

+ Add From ▾ + Add Child From ▾ Edit ▾ Manage ▾ Send To ▾ Filter Workflow ▾ Switch View ▾ Collapse ▾ Hide Empty ▾

<input type="checkbox"/>	Display Index	Name	Attachment Status	Assigned To	Approval Date	Reviewed By	Reviewer Comments	Is Sensitive	Modified	Modified By	Created By
Document											
Closure Checklist											
▼ Objective											
<input type="checkbox"/>	2	Test.docx						No	01/14/2020 9:49:57 AM	Writing Preparer	Writing Preparer
Audit Profile											
Final Audit Report											
▼ Project											
<input type="checkbox"/>	1	CaseTypeDefaultAttachment.docx							09/27/2019 12:50:00 PM	Writing Preparer	Writing Preparer
▼ A.Inquiry											
A.1.Review existing controls in place											
A.2.Observe existing data governance structure											
B.Observation											

2. Select **My Computer** from the *Add From* drop-down list.



3. The *Attachment Properties* screen appears. To designate the desired attachment, click **Select**.



Audit Management

Add New Attachment

Folder ID A19AS0040

File(s) to be Attached* Select

Attachment Name

Attachment Types Project

Sensitive ☐

Procedure Groups

Procedures

Actions

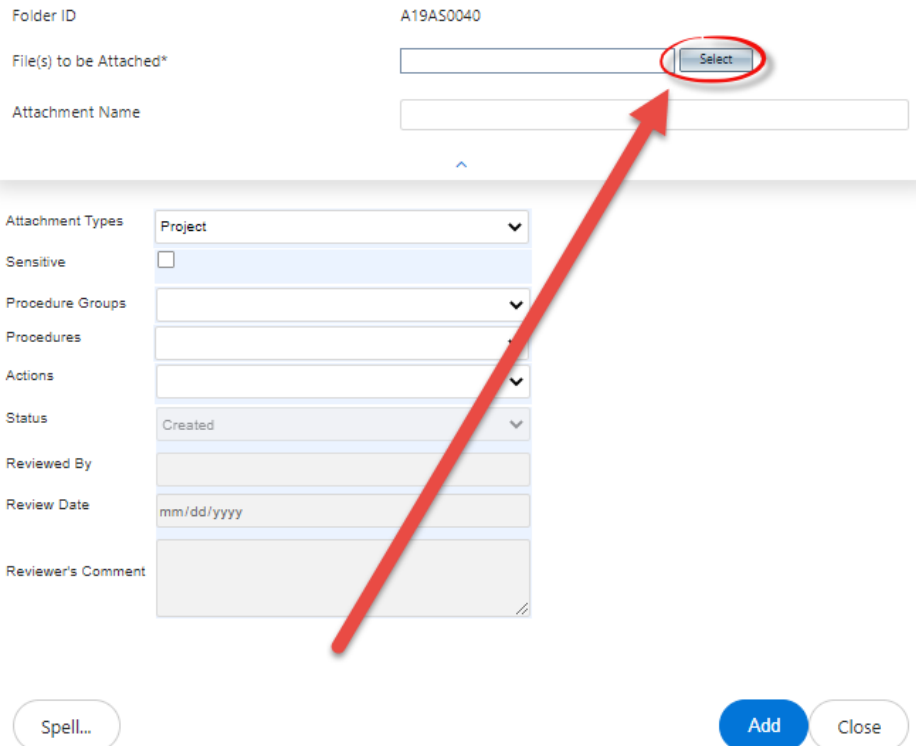
Status Created

Reviewed By

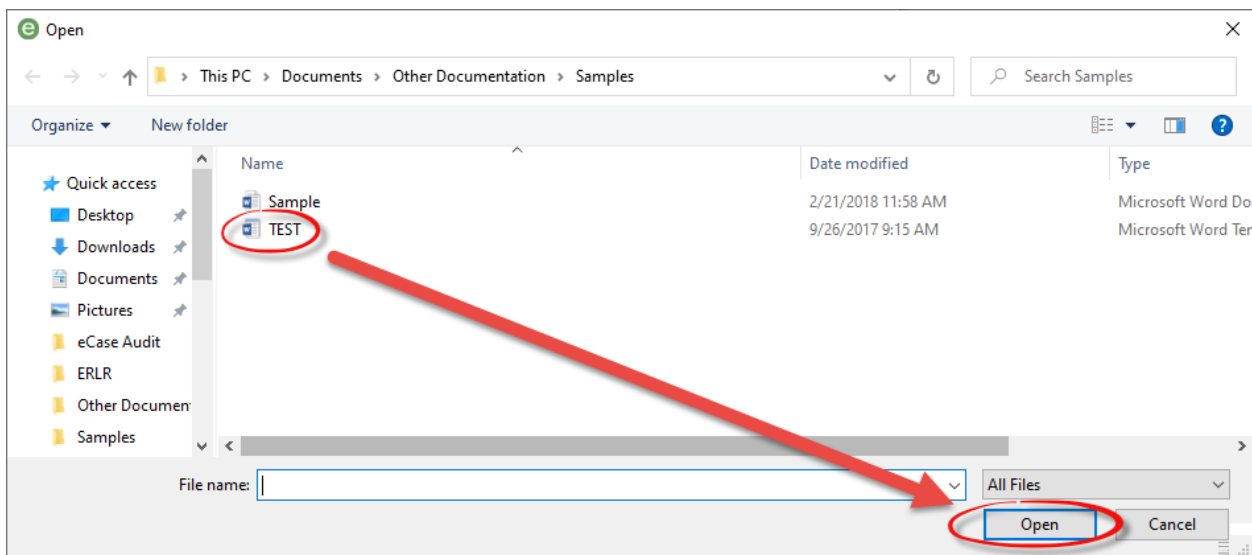
Review Date mm/dd/yyyy

Reviewer's Comment

Spell... Add Close



4. The *File Explorer* window appears. Select the desired attachment.
5. Click **Open**. The file explorer window closes and the selected attachment appears in the *File(s) to be Attached* field. The *Attachment Name* field auto-populates once the attachment is uploaded.



(!!) Note: If the attachment is being uploaded within a feature, the following steps are completed automatically.



6. Select the **Attachment Types** from the drop-down list.

(!!) Notes:

- The Attachment Type selection corresponds to the highest level in the attachments tab folder structure. Depending upon your configuration, this field may already be populated.
- If adding from the Attachments tab, select Project. This attachment type allows a user to file this under a procedure, as this option will further populate the Procedure Groups and Procedure drop-down lists. The following steps assume Project has been selected.

7. Click the **Sensitive** checkbox, if applicable. This checkbox is visible only to users who have been assigned to the project in the *Sensitive* role.

(!!) Note: Users must be granted the Sensitive role in the Staff tab to mark an attachment as Sensitive.

8. Select the **Procedure Groups** from the drop-down list.

9. Select the **Procedures** from the drop-down list, if applicable.

10. Select the **Actions** from the drop-down list, if applicable.

(!!) Note: The Reviewed By, Reviewed Date, and Reviewer's Comment fields are locked and are completed at a later stage in the workflow.

11. Click **Add**. The pop-up window closes, and the tab refreshes to display the attachment in the selected section of the folder structure. Additionally, attachments can be added to the Attachments tab via the drag and drop feature.

Add New Attachment

Folder ID: A10AS0040

File(s) to be Attached*: Sample.docx Remove

Attachment Name:

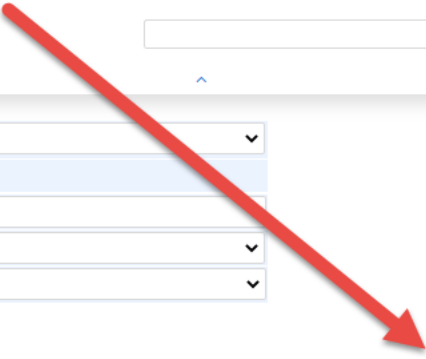
Attachment Types:

Sensitive: ☐

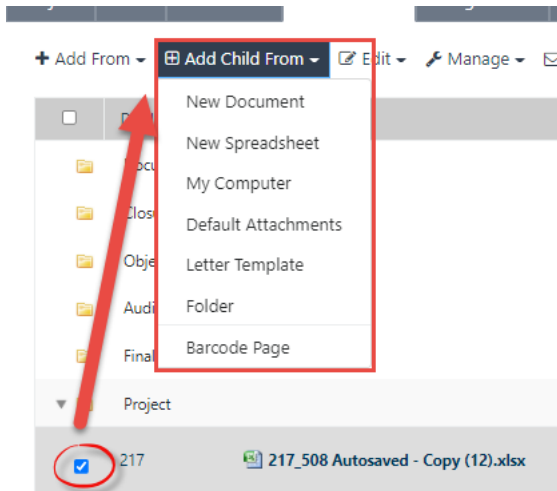
Procedure Groups:

Procedures:

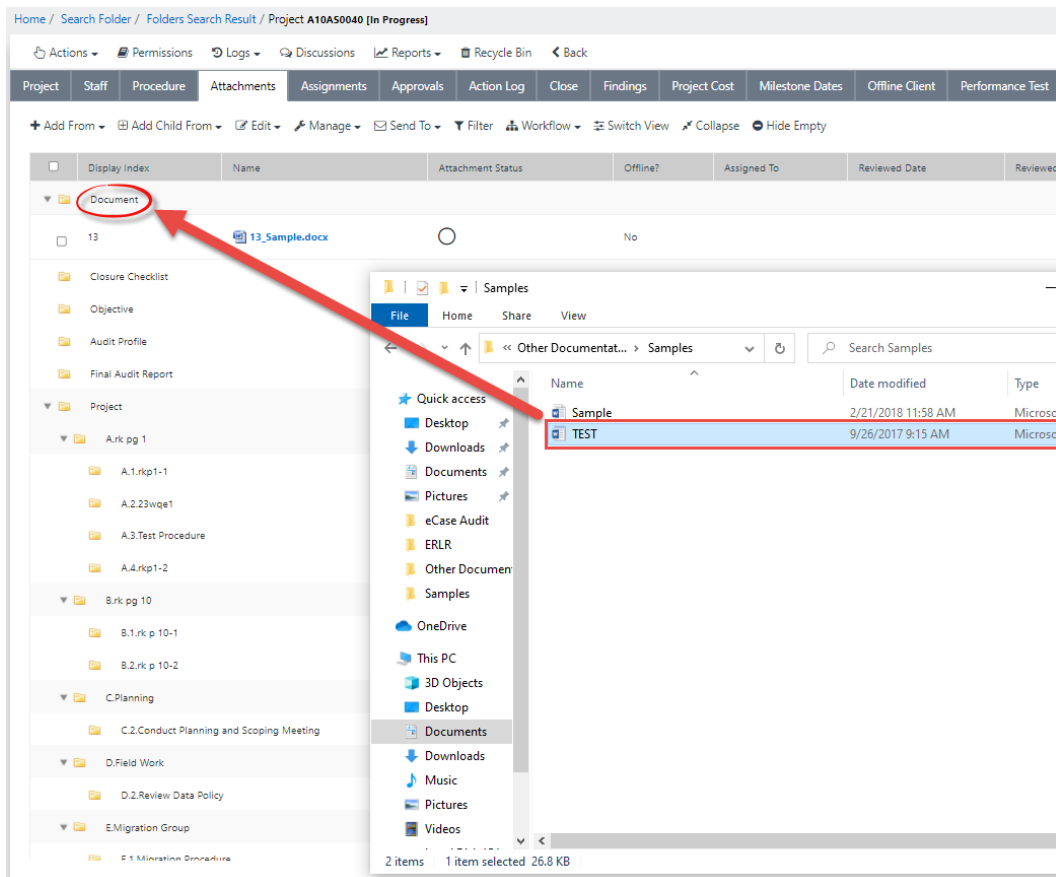
Actions:




(!!) Note: If the attachment is a child document, click the checkbox next to the parent document and repeat the steps above using the Add Child From drop-down list, instead of the Add From drop-down list.



12. From the local machines file system/explorer, drag the desired attachment(s) into the eCASE Attachments tab workspace.



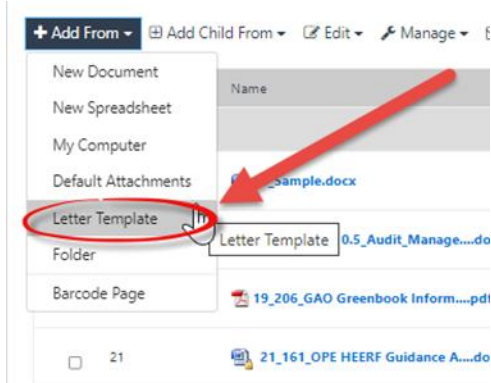
13. Complete steps 5 through 10 in the procedure above. After dropping the attachment into the Attachments tab workspace, the Add New Attachment pop up window appears.

(!!) Note: You cannot add child attachments using the drag and drop feature. The parent attachment must be selected before a child attachment can be added underneath.

3.6.2 Uploading Documentation Using Letter Templates

Authorized users can upload attachments to a case folder via preconfigured Letter Templates. To upload attachments via letter template:

1. Navigate to the *Attachments* tab of the desired case folder.
2. Select **Letter Template** from the *Add From* drop-down list.



3. The *Letter Template Information* window appears. Select the desired **Letter Template** from the drop-down list and click **Select**.

Letter Template Information

Note: * fields are mandatory

Select Template*:

4. The select window closes and the *Add New Attachment* window appears, containing the letter template in the *File to be Attached* field. Select the **Attachment Type** from the drop-down list.

Add New Attachment

Folder ID	A29AS0180
File to be Attached*	Audit Assignment Work Plan - IPR.docx
Attachment Name	<input type="text" value="Audit Assignment Work Plan - IPR"/>

Attachment Types	<input type="text"/>
Sensitive	<input type="checkbox"/>
Procedure Groups	<input type="text"/>
Procedures	<input type="text"/>
Actions	<input type="text"/>
Status	Created
Reviewed By	<input type="text"/>
Review Date	mm/dd/yyyy
Reviewer's Comment	<input type="text"/>

Spell...

Add

Close

- Complete the remaining fields within the pop-up window. Click **Add**.
- The pop-up window closes, the Attachment tab refreshes, and the letter template attachment appears in the selected folder of the document structure.

(!!) Note: Letter Templates are configured by individual organizations, so required fields and functionality will vary.

3.6.3 Completing Work in Documents

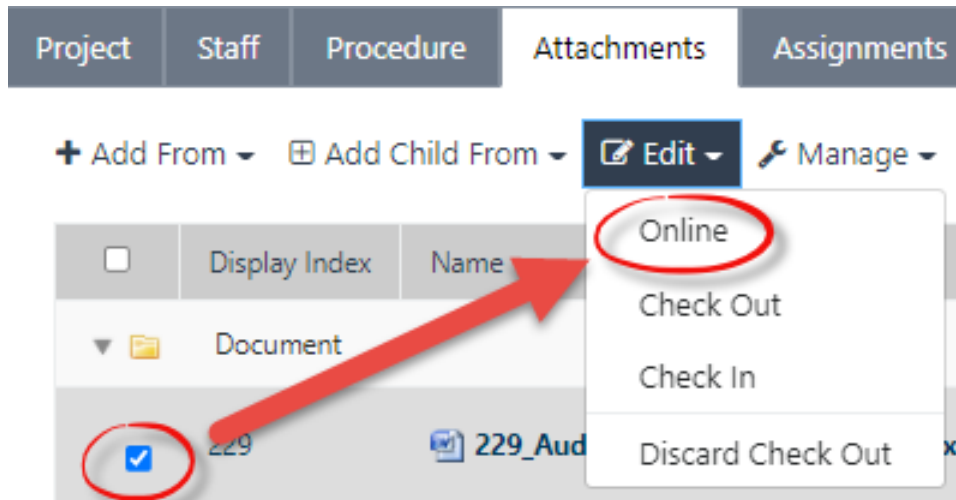
There are two primary methods to complete work within eCASE attachments: Online Editing Mode and the Native File Format. Follow the procedures below to complete work using the desired method.

3.6.3.1 Online Editing Mode

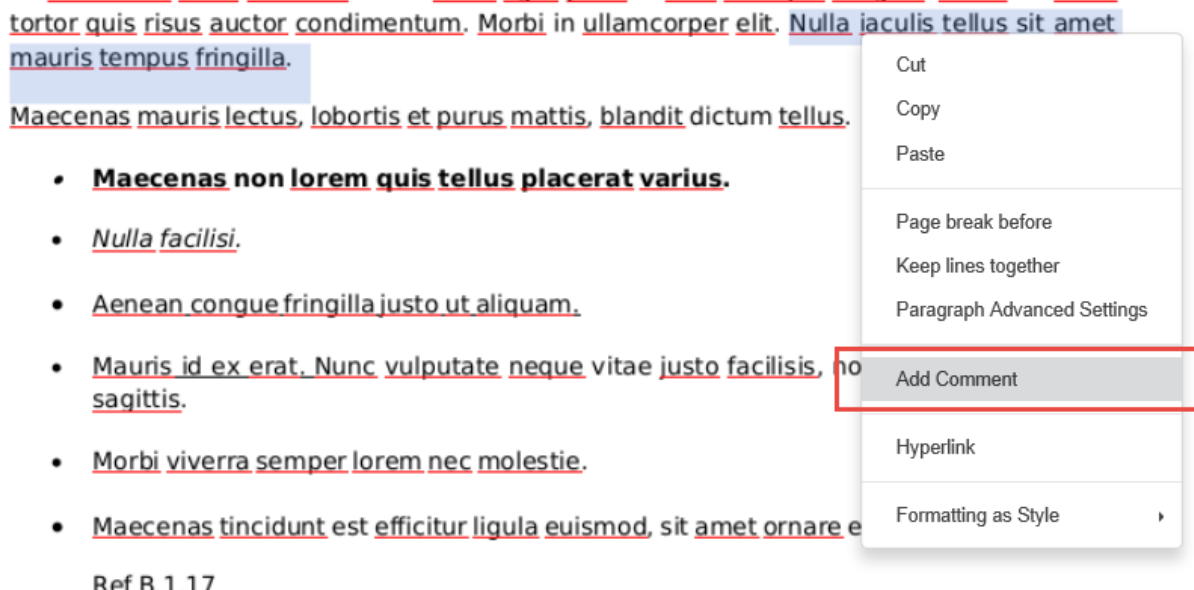
Word, PowerPoint, Excel, and PDF documents can be edited using the eCASE Online editing capability. To perform work in an attachment using Online Edit Mode:



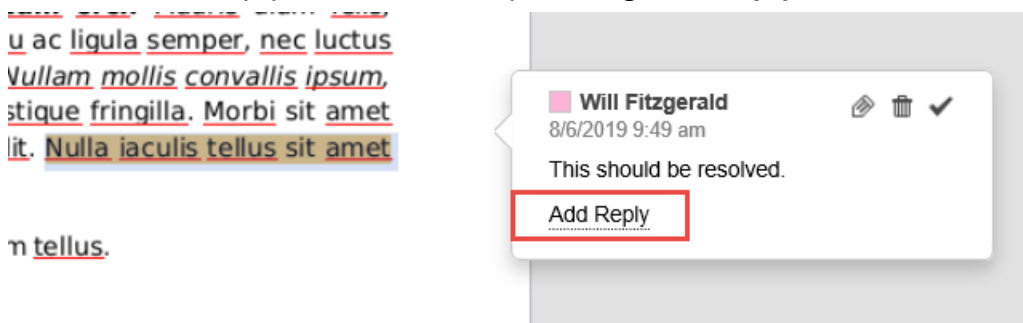
1. Click the **checkbox** adjacent the attachment to edit online.
2. Select **Online** from the *Edit* drop-down list.



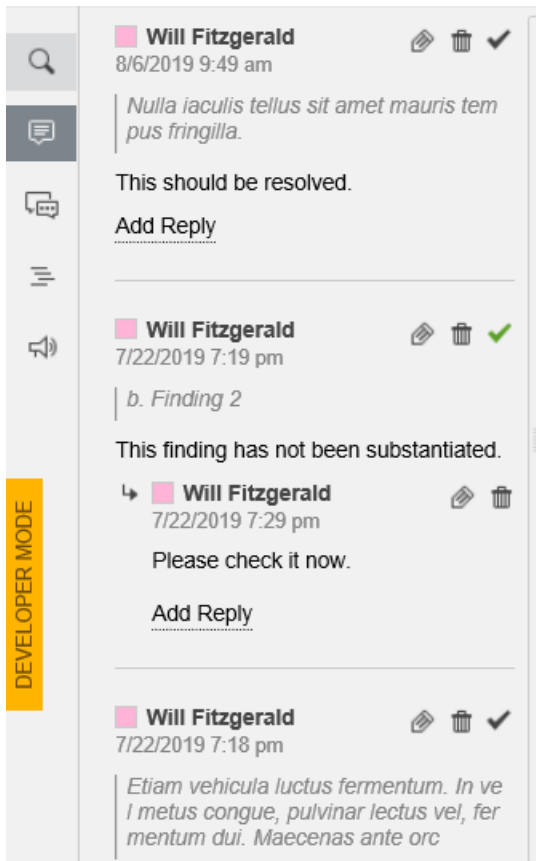
3. The attachment appears in a new tab. Highlight the desired text and right click. Select **Add Comment** from the drop-down list.



4. Users can reply to comments by clicking **Add Reply**.



(!!) Note: A list of all document comments can be viewed by clicking .



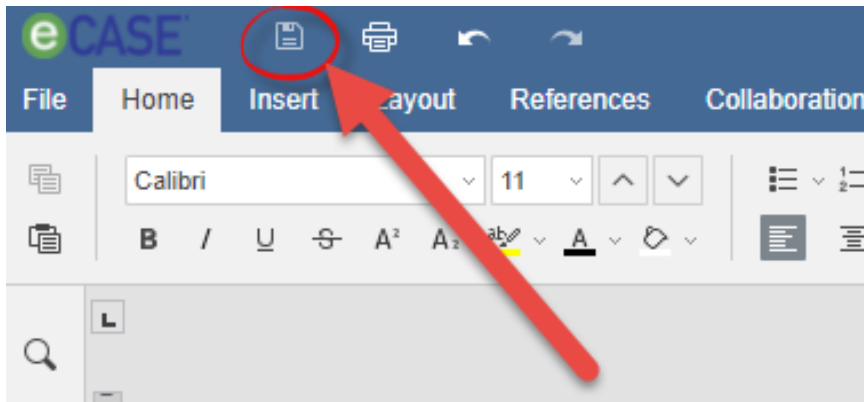
(!!) Notes:

- Comments can be marked as resolved by clicking the checkbox in the first comment of a thread.
- Any changes made in the document are automatically saved.



5. You can also directly edit the attachment within the text editor. Click **Save** after making any changes.

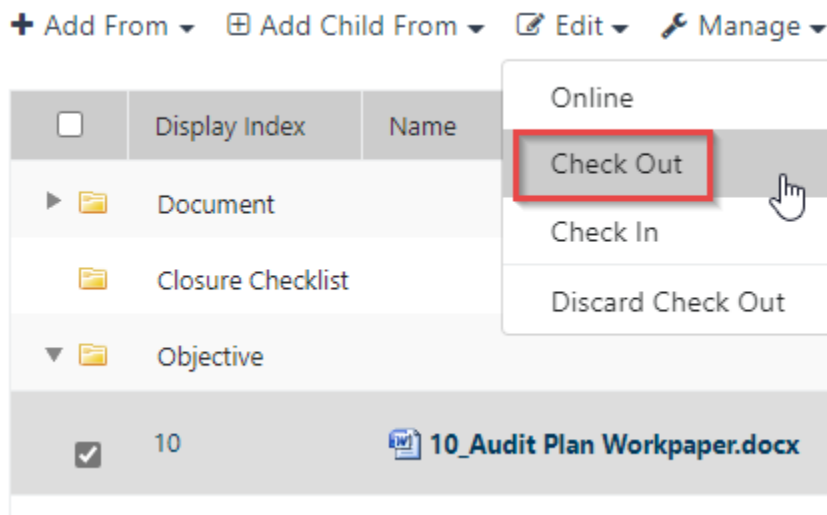




3.6.3.2 Native File Format

Users can complete work in attachments in their native file formats-while using eCASE Audit Management as a tracking tool. To perform work in the native file format:

1. Click the **checkbox** next to the desired document. Select **Check Out** from the *Edit* drop-down list.



2. The *Check Out* window appears. Enter information about the work to be done during check out and click **Check Out**. The attachment is downloaded to your local computer for work.

Audit Management

Check Out


Comments

Check Out

Close

3. Open the document. The document launches in its native program. Perform any required edits.
4. After editing, save the attachment and click the **checkbox** next to the attachment in the *Attachments* tab. Click the Edit drop-down list and click **Check In**.

+ Add From ▾ ⊞ Add Child From ▾ ✎ Edit ▾ ⚙ Manage ▾

<input type="checkbox"/>	Display Index	Name
▶	📁	Document
	📁	Closure Checklist
▼	📁	Objective
✓	10	 10_Audit Plan Workpaper.docx

Online

Check Out

Check In

Discard Check Out

5. The *Check In* pop-up window appears. Click **Choose File** and select the updated document.
6. Enter any relevant information about the work performed in the *Comments* field.



Check In

Location*:

13_Sample.docx

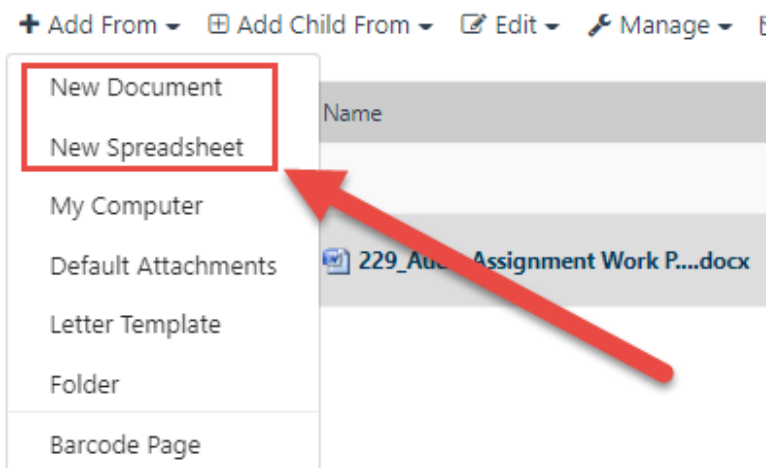
Comments

Sample image for documentation purposes]

7. Click **Check In**.

(!!) Notes:

- After check in, the document's version history is automatically updated. To view this, select the desired document, click the Manage drop-down list, and select Version History.
- Users can also create new documents within eCASE. Without a document selected, navigate to the Add From drop-down list and select the New (Attachment Type) menu option.



3.6.4 Hyperlinking and Bookmarks

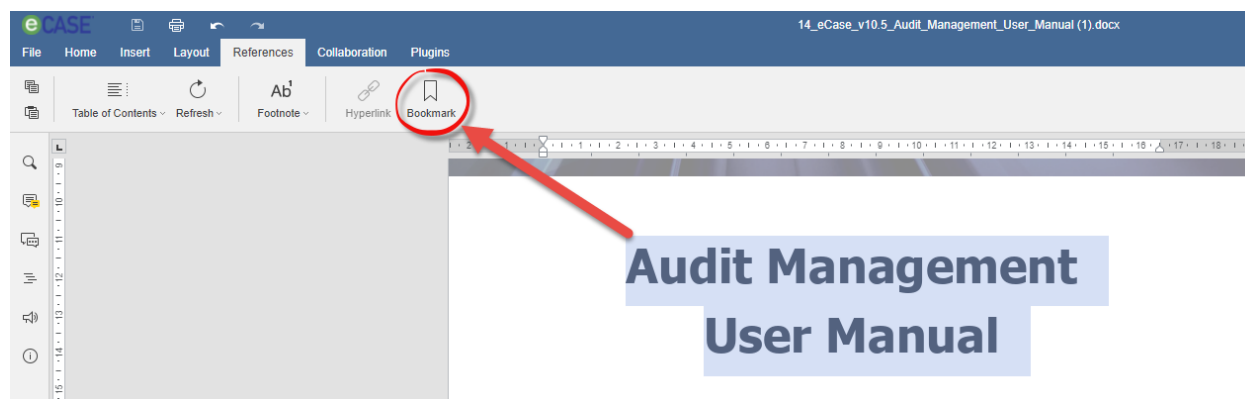
(!!) Note: Procedure sections must be in Created (white circle) or Modified (yellow circle) status to edit the procedure and add hyperlinking or bookmarks.



3.6.4.1 Hyperlinking in Word Documentation

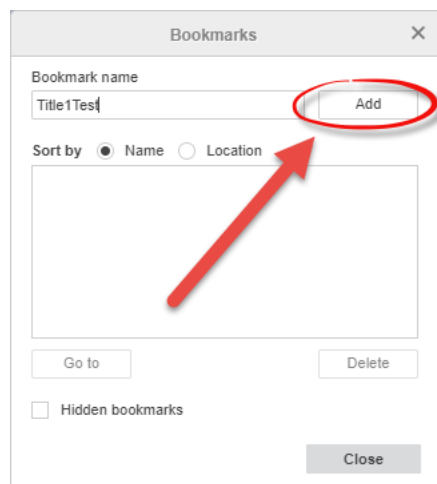
Point-to-point hyperlinking or referencing can be performed in documents through either Online Edit mode or via Word document bookmarks. To hyperlink within online mode:

1. Open the desired document in Online Editing mode and click the **References** tab within the document ribbon.
2. Highlight the text to use as the reference and then select **Bookmark**.



3. The *Bookmarks* pop-up window appears. Enter a Bookmark Name in the field.

(!!) Note: Do not enter spaces in the Bookmark Name field.

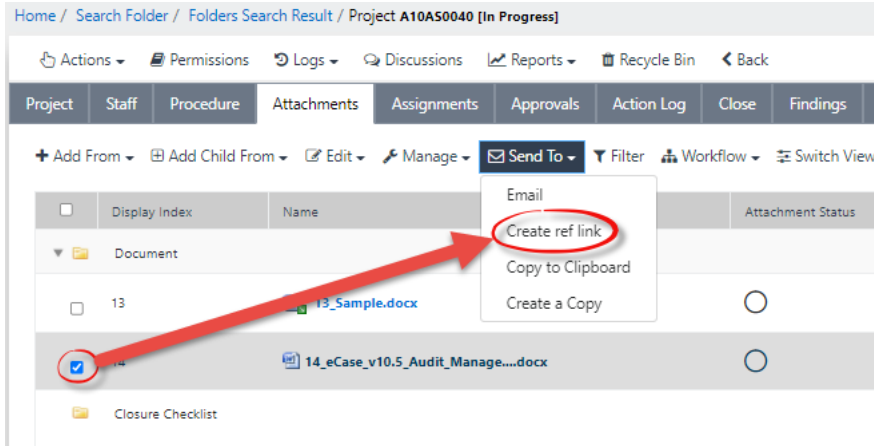


4. Click **Add**. The bookmark is added to the document. Click **Save** to record your changes.
5. Navigate back to the *Attachments* tab. Click the checkbox adjacent the attachment containing the added bookmark. Click the **Send To** drop-down list and select **Create ref link**.

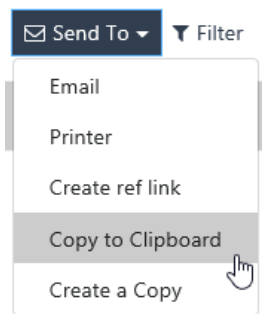
(!!) Note: After adding the bookmark, it may take up to one minute for the bookmark to be available in eCASE. If the bookmark is not available after opening the copied reference link, refresh the page and try again.



Audit Management



6. Select the bookmark by name from the drop-down list and click **Copy**.
7. Additionally, you can select **Document** to link the entire document.
8. Alternatively, within the same **Send To** menu, the user can select **Copy to Clipboard** to copy the Document URL.

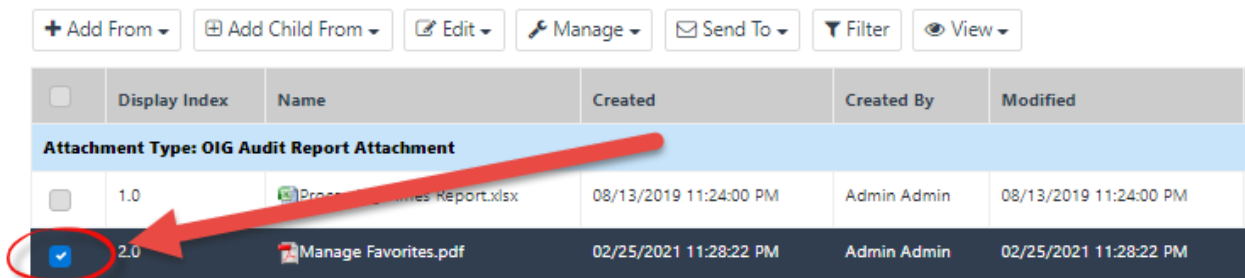


9. The bookmark/document is now copied to the clipboard and can be added in either another attachment, or in another text box. The subsections below explore each option.

3.6.4.2 Hyperlinking in PDF Documentation

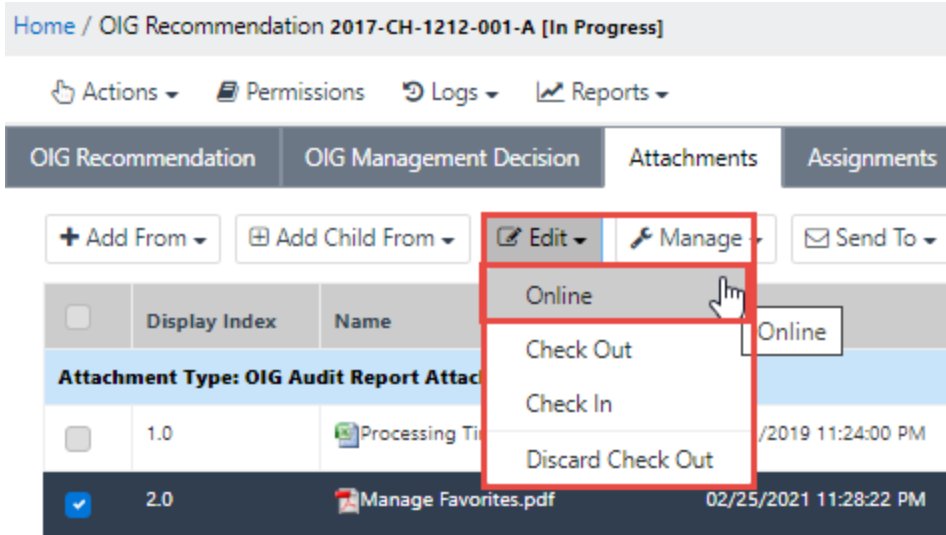
To create a hyperlink to PDF Documentation:

1. Open the desired case folder and navigate to the *Attachments* tab. Select the desired **PDF Attachment**.

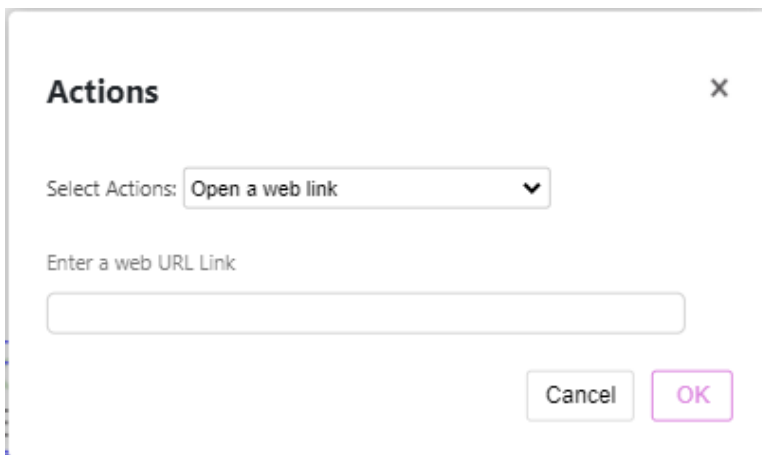


2. Select **Online** from the *Edit* drop-down list.



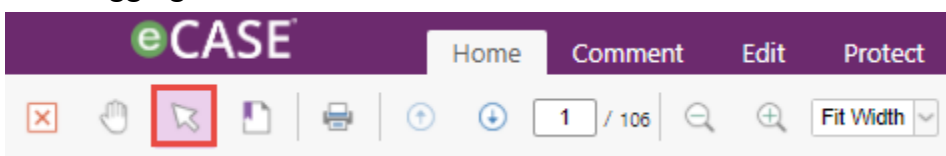


3. The selected attachment appears in a new tab, in .PDF format. Click the **Comments** tab and select the **Hyperlink** option.
4. Using the hyperlink tool, create a square around the text to hyperlink.
5. The **Actions** pop-up window appears. Select **Open web link** from the *Select Actions* drop-down. The *Enter a web URL Link* field appears.
6. Paste the previously copied **URL link** in the field and click **OK**.



3.6.4.3 Bookmarking in PDF Documentation

1. Open the desired PDF Attachment.
2. Click the **cursor option** within the menu bar and highlight the desired text by clicking and dragging the cursor over the text.



3. The *Highlighting* menu appears. Click the **bookmark** icon.

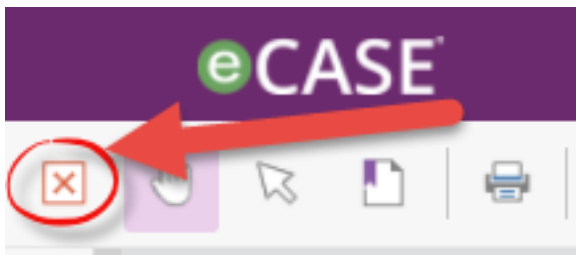


4. A pop-up window appears. Enter a **Bookmark name** in the field.

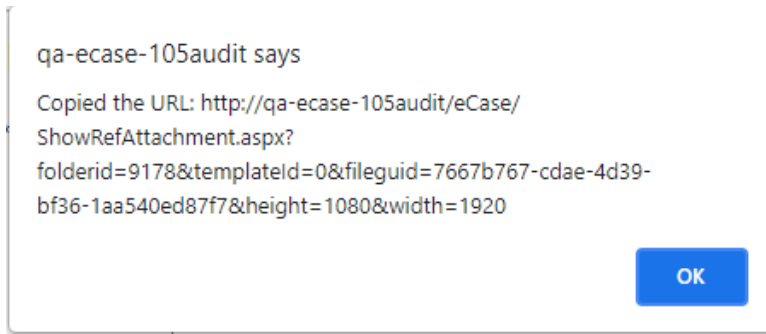
A screenshot of a pop-up dialog box. At the top, it says 'qa-ecase-105audit says'. Below that is the prompt 'Please enter Bookmark name'. There is a large, empty text input field. At the bottom right, there are two buttons: 'OK' (blue) and 'Cancel' (light blue).

(!!) **Note: PDF Bookmarks can't include spaces. It is recommended to use underscores to separate words. The system prompts the user to remove any spaces in the text field after clicking OK.**

5. Click **OK**.
6. The left-hand menu displays a list of bookmarks, including the one just added.
7. Click **OK** to add the bookmark. Click the **X** button in the menu bar to save and close the Document.



8. The *Attachments* tab appears. Select **Create REF Link** from the *Send To* drop-down list.
9. A pop-up window appears displaying a URL. Click **Copy** to copy the URL to your clipboard.
10. A confirmation window appears. Click **OK**.



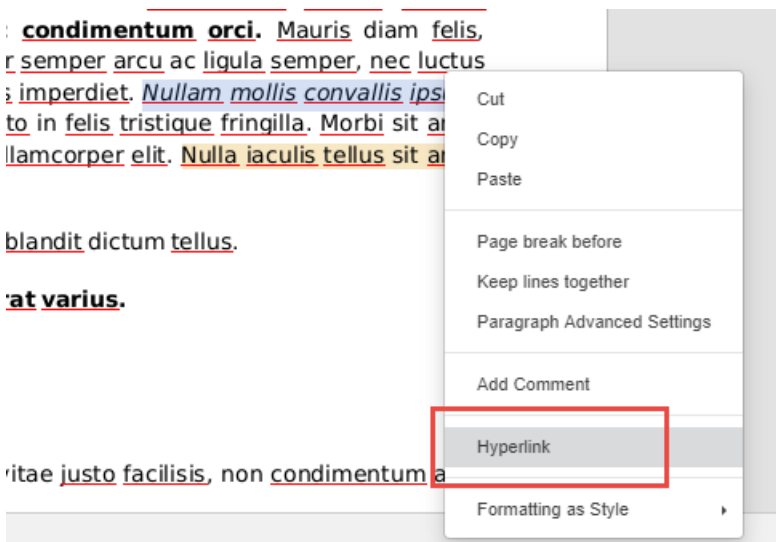
11. Return to the desired PDF to hyperlink the desired PDF using the copied URL.

(!!) Note: Wherever eCASE features hyperlinking capabilities, you can include the copied URL to bookmark to the desired PDF.

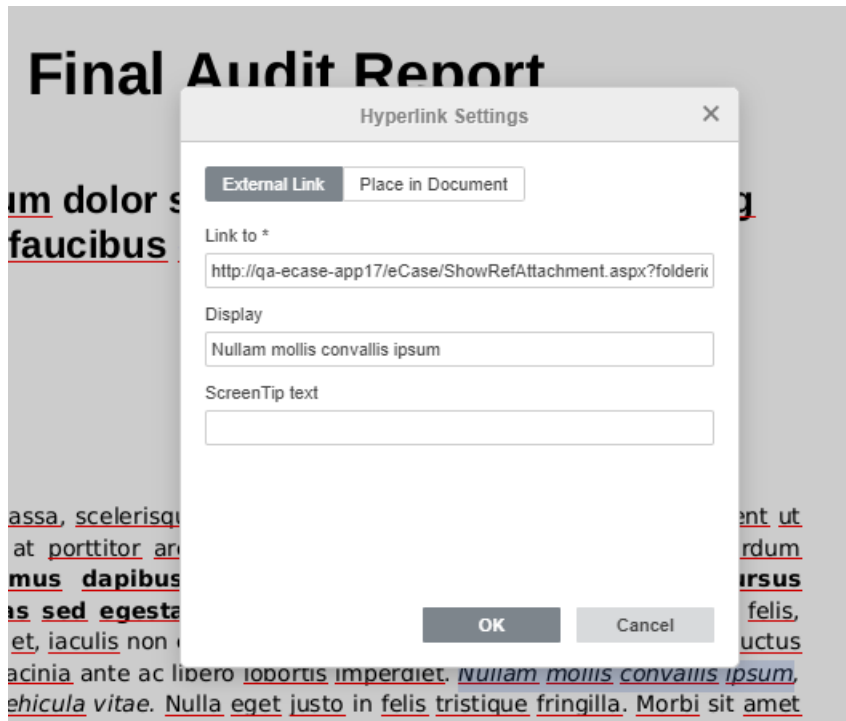
3.6.4.4 Bookmarking in Another Attachment

To use the bookmark in another attachment:

1. Open another attachment in *Collaborative Edit (Online)* mode. Highlight the desired text that will host the bookmark. Right click and select **Hyperlink**.



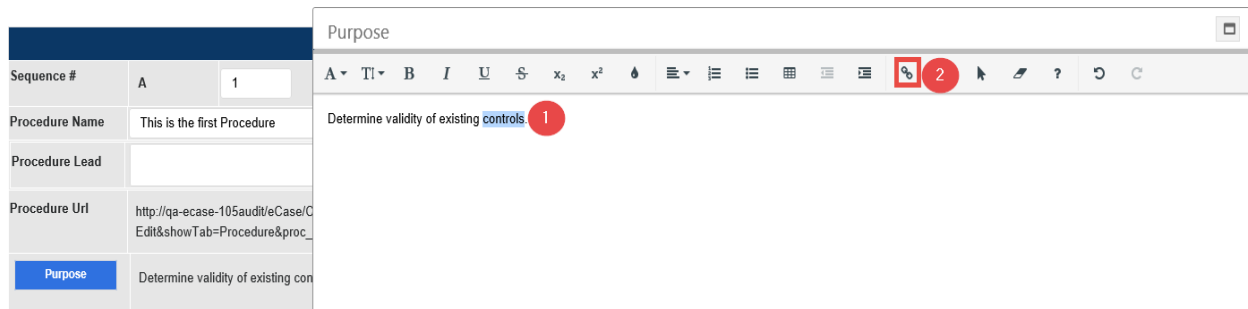
2. The *Hyperlink Settings* pop-up window appears. Paste the copied URL into the *Link To* text box.
3. Enter any **ScreenTip Text** in the field, if desired. This is text that will appear if the cursor hovers over the bookmark.
4. Click **OK**. The hyperlink is now active.




3.6.4.5 Bookmarking in Another Text Box

To use this hyperlink in another text box, such as a procedure element or finding element:

1. Navigate to the text box which requires the hyperlink. Highlight the desired text which will feature the hyperlink.



2. Click **Hyperlink**  to generate the hyperlink. The *Hyperlink Settings* window appears.
3. Paste the URL into the *Link To* field and click **Insert**. The window disappears and the hyperlink is now active.
4. Users can check the **Open in new tab** option to force the link to automatically open in a new browser tab.

Purpose

Determine validity of existing controls.

URL
http://qa-ecase-105audit/eCase/ShowRefAttachr

Text
controls

☒ Open in new tab

Insert

3.6.4.6 Procedure Element Highlighting and Bookmarks

Users can create hyperlinks and bookmarks to individual procedure elements, if desired. To create procedure element hyperlinks or bookmarks:

1. Open the desired Project folder, and click the **Procedure** tab.
2. Click **View** within the procedure row.

C.Planning - (1 - Procedure(s))

Reviewed Date Reviewed By Status Modified Modified By Assigned To

C.2.Conduct Planning and Scoping Meeting

Review M View

3. The *Edit Procedure* workspace appears. Copy the *Procedure URL*.

Edit Procedure

Update Review Delete Back

Sequence # C 2 Attach Status Due Date mm/dd/yyyy

Procedure Name Conduct Planning and Scoping Meeting

Procedure Lead

Procedure URL
http://qa-ecase-105audit/eCase/Corres/FolderInformation.aspx?From=LoadFolder&folderid=7444&templateId=1138&hiddenTab=ProcedureEdit&showTab=Procedure&proc_row_id=106070

Lock Purpose Notes

Lock Scope Notes

Lock Source Notes

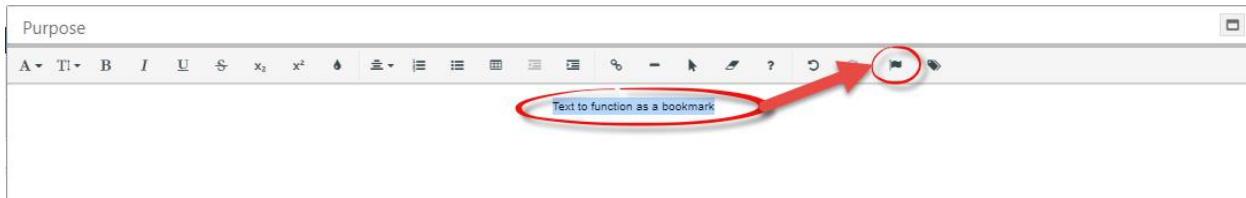
Lock Record of Work Completed Notes

Lock Conclusions Notes

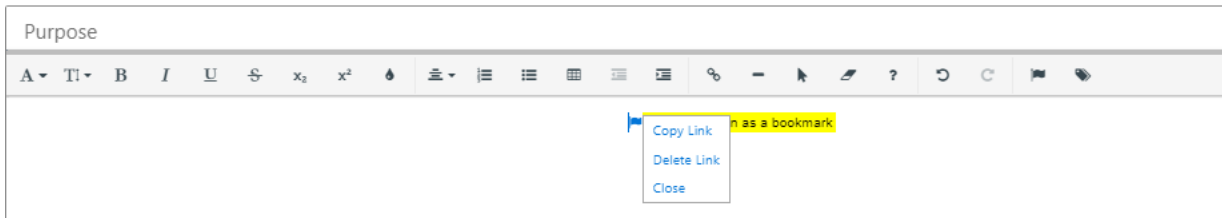
Update Review Delete Back

4. Click the desired Procedure step (e.g., Purpose, Scope, Source, etc.) and, within the pop-up window, select the text to function as a bookmark.
5. Click **Create Highlighted Link** to create a bookmark.

Audit Management



- The text is highlighted in Yellow, and a flag icon appears adjacent the text. Click the flag icon to expand the highlight drop-down list. Here you can select **Copy Link**, **Delete Link**, or **Close**.



- Select **Copy Link** to copy the bookmark link to the clipboard. The bookmark can now be added to any desired attachments or procedures and will function as an active hyperlink.

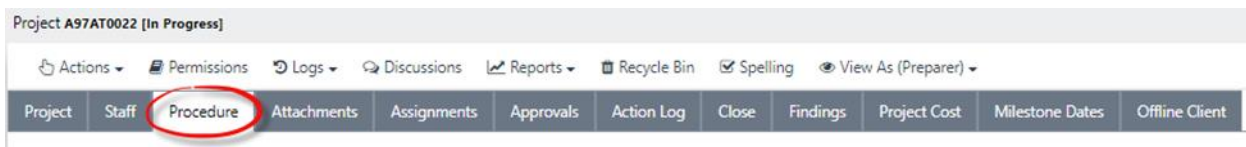
(!!) Note: Wherever the hyperlink is clicked, eCASE opens the procedure element in a new tab.

3.6.5 Procedure to Procedure Interactions

Procedure to Procedure hyperlinking is completed using the Procedure URL located in the *Edit Procedure* window.

Citations are intended to be used when users need to create a bridge between multiple documents or project fields.

- Navigate to the *Procedure* tab of the case folder.



- Click **Expand All** or the **green plus sign**  button on the desired Group to expand the menu. Then, click **View** adjacent the desired Procedure button.

A.Migration Group -(5 - Procedure(s))	Reviewed Date	Reviewed By	Status	Modified	Modified By	Procedure Lead	Assigned To	Edit	New Procedure	
A.1.Migration Procedure - (0 - Activities)			<div></div>				Will Fitzgerald	Review	Move	View
A.2.Test - (0 - Activities)			<div></div>	06/19/2020 01:39 PM	Sburepalli Sburepalli		Jonn Sten Miller	Review	Move	View
A.3.Test222 - (0 - Activities)			<div></div>	06/19/2020 01:42 PM	Will Fitzgerald		Sburepalli Sburepalli	Review	Move	View
A.5.cdfdfdf - (0 - Activities)	10/17/2020 10:05 PM	Sburepalli Sburepalli	<div></div>	10/17/2020 10:02 PM	Sburepalli Sburepalli		Sburepalli Sburepalli	Review	Move	View
A.6.Test123 123 345 - (0 - Activities)			<div></div>	01/07/2021 09:41 AM	Sburepalli Sburepalli			Review	Move	View



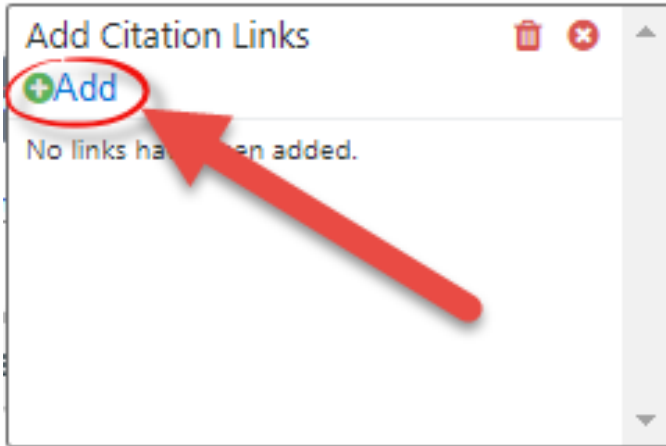
- The *Edit Procedure* window appears. Click the desired **section** of the procedure to open the *Edit* window.

- Enter the desired citation text into the text editor and click **Insert Citations**.

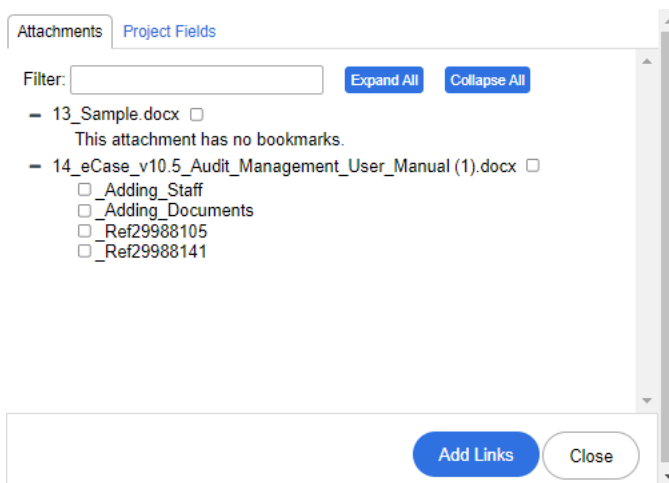
(!!) Note: eCASE adds the citation link wherever the cursor is placed within the text editor.

- Click the **Citation** icon in the free text field to open the *Add Citation Links* pop-up window.
- Within this window, users can click **Add** to add a citation link, **Delete** to delete the entire citation link, or **Close** to close the window.

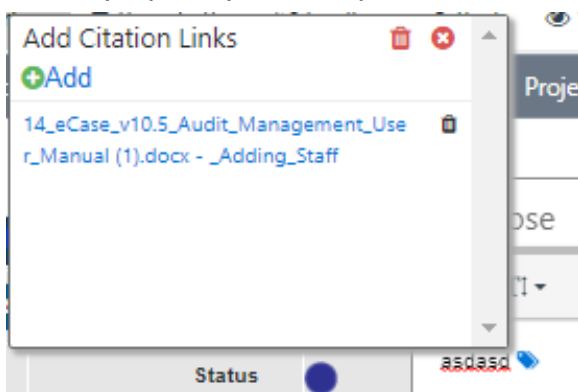
- Click **Add**.



8. The *Add Links* pop-up window appears. Within this tab, users can cite entire documents by selecting the **checkbox** adjacent the desired document.
9. Click **Expand (+)** to display a list of all individual bookmarks within the document.



10. Click the desired checkboxes, and then click **Add Links**. The window closes. The link is now active.
11. Click the **Add Citation Links** icon to open the *Add Citation Links* window. The window displays all previously added bookmarks/documents.

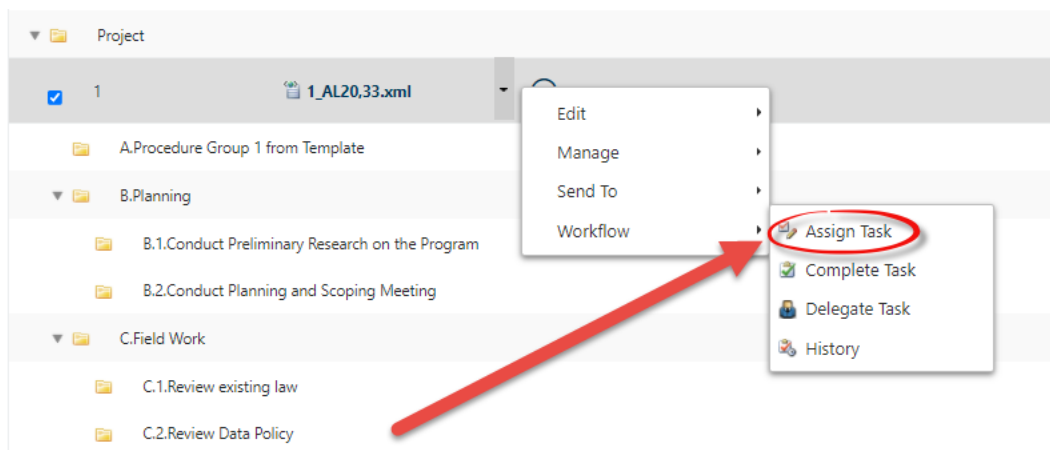


(!!) Note: Citation Tags can only be opened within an edit window, and not directly from the case folder tab.

3.6.6 Document Reviews

Like procedures, documents can be routed for review and approval. Documents also have a *Status* and follow the same status progression as procedures. To send a document for review:

1. Navigate to the *Attachments* tab of a project and click the **arrow** next to the file name to expand the secondary menu.
2. Select **Workflow**.
3. Click **Assign Task**.



4. An email message pop-up window appears with the *Basic* tab displayed, as shown below. The *Email Notifications* tab allows you to configure Email Notifications, if desired. Complete the fields in the *basic* tab:

Audit Management

Assign Task

Note: * fields are mandatory

Basic

Email Notification

Task Name*

Submit For Review

Assignee Type*

User

Select User*

View Availability

Please select the user before viewing availability

Due Days Type

Turnaround Days

Due Days

1

Start

Close

5. Select an assignee for this task by clicking the **Select User** lookup.
6. Configure the **Due Days Type** and **Due Days** using the *Due Days Type* drop-down list and *Due Days* field.
7. After the Basic details are complete, click the **Email Notification** tab, and configure the message content.



Assign Task

Note: * fields are mandatory

Basic

Email Notification

To* Task Assigned To;Next Task Assignee;

Cc Task Assigned By;

Bcc

Send a Calendar Appointment as Attachment ☐

Subject eCase assignment - Folder B20BO0060

Message

A T¹ B I U S x₂ x² 🔍 ✎ 📎 📧 ? ↺ ↻

Dear [TASK.RECEIVER],
Folder **B20BO0060** has been assigned to you for action by **Josh Moyer**.

Message

Click here to login to [eCase](#).
Regards,

Start

Close

8. Configure the recipients for the notification using the *To* field.
9. Click the *Send a Calendar Appointment as Attachment* checkbox to include a calendar appointment with the message.
10. Edit the **Subject** field, if necessary.
11. Edit the **Message** content, if necessary.
12. After the task and notifications are configured, click **Start** to initiate the workflow task and send the email notification.
13. The assigned reviewer must sign in to eCASE Audit Management, where they will see that they have been assigned a task. Assigned Tasks are displayed in the *User Inbox*. Navigate to the *Approvals* tab to act on the document review.

(!!) Notes:

- Document Approvals follow the same process as Procedure Approvals
- Users can perform the same actions for Documents as Procedures with the addition of downloading ⓘ the document to their local disk.



Document Approvals								Approve	Reject
<input type="checkbox"/>	Doc ID		Document Name	View/Cancel	Status	Assigned To	Assigned By	Comments	
<input checked="" type="checkbox"/>	1.0	H	CaseTypeDefaultAttachment.docx	View Cancel		Andrew Russels	Reviewer Reviewer		Approve Reject Send for Further Review

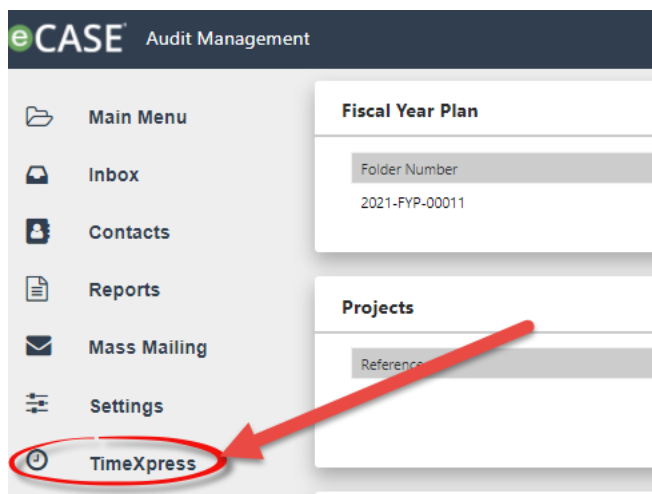
3.7 Project Budgeting and Time

eCASE Audit Management allows users to track and add time to a project. The system automatically calculates the cost incurred by a project based upon a user's pay rate. This rate is set based on the OPM locality pay tables. To track time a user must be [added on the Staff tab of a project](#). Once the user is added to the *Staff* tab, the user can track time against that project.

3.7.1 Tracking Time

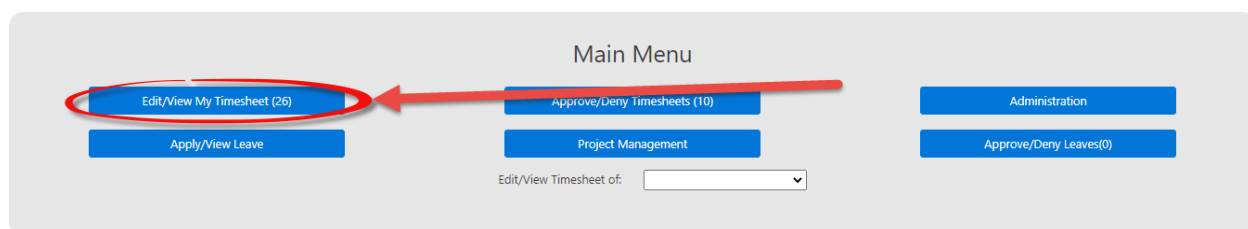
To track time associated with direct and indirect charge codes:

1. Login to eCASE Audit Management and click **TimeXpress** within the Launch Pad to launch the time tracking module.



(!!) Note: Most users can only view the Employee menu. If a user also acts as an approver, they can access the Approver menu as well.

2. Click **Edit/View My Timesheet**.



Audit Management

3. The *Timesheet* window appears. Use the arrows to select the desired timesheet.

Save Submit Clear Add Code(s) to List

Time Entry

Timesheet ending: 6/30/2021

Task	Cost	Jun 16	Jun 17	Jun 18	Jun 19	Jun 20	Jun 21	Jun 22	Jun 23	Jun 24	Jun 25	Jun 26	Jun 27	Jun 28	Jun 29	Jun 30	Total
		Wed	Thu	Fri	Sat	Sun	Mon	Tue	Wed	Thu	Fri	Sat	Sun	Mon	Tue	Wed	
A21AS0117 - Test Letter Template Project Configuration Sub Sub Task 1	\$ 0	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Comments:

☐ I certify the accuracy of my timesheet.

4. To add a new Task Row, click the blue (+) sign. A new row appears.

Save Submit Clear Add Code(s) to List

Time Entry

Task	Cost	Jun 16	Jun 17
		Wed	Thu
A21AS0117 - Test Letter Template Project Configuration Sub Sub Task 1	\$ 0	0.00	0.00
Select	\$ 0.00	0.00	0.00
Total		0.00	0.00

Comments:

☐ I certify the accuracy of my timesheet.

5. Within the new row, click **Select**. The *Select Task and SubTask* pop-up window appears.

6. Select the **Task** and the **Sub Task** from the drop-down lists. You can see the project numbers if you have been added as a staff member.

TimeXpress

Timesheet: Timesheet ending: 7/15/2021
Timesheet Period: 07/01/2021 To 07/15/2021
Timesheet Status: Pending Submission for Admin, Admin
Approved By: -

Save Submit Clear Add Code(s) to List

Total Year to Date: 0.00
Total per Pay Period: 0.00
Availability Pay Details: Average Per Day YTD: 0.00

Time Entry

Task	Cost	Jul 01	Jul 02	Jul 03	Jul 04	Jul 05	Jul 06	Jul 07	Jul 08
		Thu	Fri	Sat	Sun	Mon	Tue	Wed	Thu
A20NY0208 - Project Setup Initiation Project Title	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Comments:

☐ I certify the accuracy of my timesheet.

Select Task and Subtask

A20NY0208 - Project Setup Initiation Project Title

Overtime

Project Configuration Sub Sub Task 1

Project Configuration Sub Sub Task 2

Project Configuration Sub Sub Task 3

Travel Costs



7. If applicable, select the **Sub-Sub Task** from the drop-down list.
8. Within this drop-down list users can view the preconfigured project related activities, travel, and overtime selections. If you select one of the configured activities, this multiplies the hours by the normal OPM rate; overtime hours by overtime rate and travel costs are calculated as separate items.
9. If necessary, click (+) to create a new line for a separate task.

Time Entry

	Task	Cost	Jan 01
			Wed
×	B38AT0565 - Test Project Configuration Sub Sub Task 1	\$ 0.00	8.00
×	B38AT0565 - Test	\$ 0.0	0.0
+	Total		8.00
	Excluded Days		

10. If the user selected a **Project fiscal** Sub-Sub Task or **Overtime**, they must add their hours into the *Date* columns corresponding to the hours worked.

Time Entry

	Task	Cost	Jan 01	Jan 02
			Wed	Thu
×	B38AT0565 - Test Project Configuration Sub Sub Task 1	\$ 0.00	8.00	8.00

11. If the user selected a **Travel** Sub-Sub task, enter the travel amount into the *Cost* column.

Time Entry

	Task	Cost	Jan 01
			Wed
×	B38AT0565 - Test Travel Costs	\$ 750.0	8.00

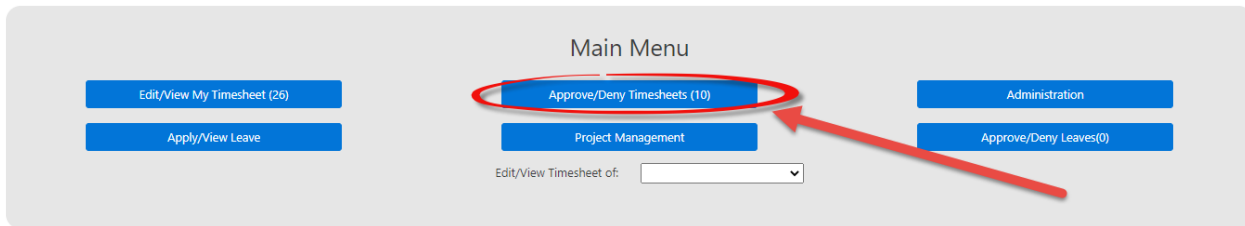
12. After finishing the timesheet, click **Save**.
13. Once the timesheet is ready to be approved, click **Submit**. Both saving and submitting calculates and adds the time to the *Project Cost* tab.



3.7.2 Reviewing Timesheets

Users with Approver privileges can review user submitted timesheets. To review user submitted timesheets:

1. Login to eCASE Audit Management and click **TimeXpress** within the *Launch Pad* to launch the time tracking module.
2. Click **Approve/Deny Timesheets**.



3. The *Employee Timesheets for Approval* window appears, displaying a list of all pending timesheets.

☐ View Approved/ Disapproved Timesheet(s) only

Timesheet Name	Approval Type	Employee Name	Approver Type	Status
Timesheet ending: 5/15/2019	Supervisor Approval	[REDACTED]	Approver	Pending
Timesheet ending: 8/15/2019	Supervisor Approval	[REDACTED]	Approver	Pending

4. Click the checkbox next to the timesheet to review and click **Approve/Deny**.

TimeXpress

☐ View Approved/ Disapproved Timesheet(s) only

Timesheet Name	Approval Type	Employee Name	Approver Type	Status
<input type="checkbox"/> Timesheet ending: 8/15/2019	Supervisor Approval	Preparer, Mgandhi	Approver	Pending
<input type="checkbox"/> Timesheet ending: 4/15/2020	Supervisor Approval	Test, Bill	Approver	Pending
<input type="checkbox"/> Timesheet ending: 5/31/2020	Supervisor Approval	Sburepalli, Sburepalli	Approver	Pending
<input type="checkbox"/> Test Timesheet ending: 6/30/2020	Supervisor Approval	Admin, Admin	Approver	Pending
<input type="checkbox"/> Timesheet ending: 6/15/2020	Supervisor Approval	Admin, Admin	Approver	Pending
<input type="checkbox"/> Timesheet ending: 6/15/2020	Supervisor Approval	You, Chris	Approver	Pending
<input type="checkbox"/> Timesheet ending: 11/15/2017	Supervisor Approval	Rupp, Will	Approver	Pending
<input type="checkbox"/> Timesheet ending: 12/1/2017	Supervisor Approval	Rupp, Will	Approver	Pending

Page 1 of 2, Items 1 to 10 of 11.


5. Review the timesheet content. Based upon the accuracy of the information within the timesheet, render an Approval or Denial in the timesheet by clicking the appropriate **checkbox**, and then clicking the **Approve/Deny** button.



TimeXpress

☒ Select/Deselect all approve check boxes

Timesheet Name: **Timesheet ending: 4/15/2020** Times

☒ Approve ☐ Deny  Test, Bill Em

Approve/Deny

Time Entry											Time
Contract-Task/Sub Task-Sub Sub Task	Costs	Apr 01	Apr 02	Apr 03	Apr 04	Apr 05	Apr 06	Apr 07	Apr 08	Total	
		Wed	Thu	Fri	Sat	Sun	Mon	Tue	Wed		
A33B00562 - Project Team Transfer-Project Configuration Sub Sub Task 2	0.00	8.00	8.00	8.00	0.00	0.00	8.00	8.00	8.00	48.00	
Total		8.00	8.00	8.00	0.00	0.00	8.00	8.00	8.00	48.00	

- The determination is rendered, and if denied, the timesheet is returned to the user for correction.

3.8 Logging Findings and Recommendations

Findings and Recommendations can be logged and linked to procedures (using the procedure URL) throughout the course of a project.

3.8.1 Adding Findings

To log findings for a project:

- Open the desired Project folder and click the **Findings** tab.

Project Staff Procedure Attachments Assignments Approvals Action Log Close Findings Project Cost Milestone Dates Offline Client

Initiating Office : **AINS - AINS** Folder Owner : **Admin Admin**

Audit Information			
Finding Code	Total Findings	Total Recommendations	Total Audit Amount
	0	0	\$0
Findings			
Finding Number	Finding		
1			
		Collapse All	Expand All

- Enter the **finding information** in the *Finding* text field.
- Click **Add** to add the Finding and continue tracking additional Finding elements. The page refreshes and the newly added Finding Information is added to the *Finding* tab.

Audit Management

Audit Information								
Finding Code	No Report/Product	Total Findings	2	Total Recommendations	1	Total Audit Amount	\$0	Summary

Findings	
Finding Number	Finding
5	<div><div><div>A B I U x₂ x² [Rich Text Icons]</div><div>This is a sample finding used for documentation purposes.</div></div><div>Add</div></div>

4. Click **Edit**. The workspace refreshes.

100	<div>Review \$0 Details</div> <div>100A random paragraph can also be an excellent way for a writer to tackle writers' block. Writing block can often happen due to being stuck with a current project that the writer is trying to complete. By inserting a completely random paragraph from which to begin, it can take down some of the issues that may have been causing writers' block in the first place.</div> <div>Recommendations (0) Attach(0)</div>
101	<div>Review \$0 Details</div> <div>Sample Finding</div> <div>Recommendations (0) Attach(0)</div>

5. Complete any relevant additional elements, such as *Condition*, *Criteria*, *Cause*, *Effect*, and *Impact*.

Edit Finding	
	<div>Update Back Recommendations (0)</div>
Number	5 Status <input type="radio"/>
Individual Finding Code	
Finding	<div><div><div>A B I U x₂ x² [Rich Text Icons]</div><div>This is a sample finding used for documentation purposes.</div></div></div>
Condition	<div><div><div>A B I U x₂ x² [Rich Text Icons]</div></div></div>

6. You'll also note a *Finding URL* field with a URL that links directly to this finding. You can click **Copy Finding URL** to copy this URL to your clipboard.



Audit Management

Initiating Office : AINS - AINS

Folder Owner : Admin Admin

Edit Finding

UpdateBack

Recommendations (0)

Finding URL

https://qa-ecase-106audit.ains-inc.com/eCase/Corres/FolderInformation.aspx?From=LoadFolder&folderid=11199&templateId=1160&hiddenTab=Project%20Finding%20Edit&finding_row_id=4924564

Copy Finding URL

Finding Number

1

Status

Observation

- Click **Update** to record the changes.

3.8.2 Adding Recommendations

Recommendations can also be added to each Finding. To log recommendations for a finding:

- Open the desired Project folder and click the **Findings** tab.

ProjectStaffProcedureAttachmentsAssignmentsApprovalsAction LogCloseFindingsProject CostMilestone DatesOffline Client

Initiating Office : AINS - AINSFolder Owner : Admin Admin

Audit Information

Finding Code

Total Findings0

Total Recommendations0

Total Audit Amount\$0

Summary

Findings

Finding Number

Finding

Add

Collapse All

Expand All

- Click **Recommendations** adjacent to the desired finding.

+1

Review

\$0

Details

+2

Review

\$0

Details

-3

Review

\$0

Details

Sample Finding for Documentation

Recommendations (0)

Attach(0)

- The workspace refreshes to display the *Finding Recommendations* workspace. Enter the **Recommendation** in the field and click **Add**. The page refreshes to display additional fields.

Finding Recommendations

Recommendation Number

Recommendation

Add

1

This is a sample recommendation.

Recommendation Number

Recommendations

Back

(!!) Note: Users can add an unlimited number of recommendations to each finding.



- Click either the **Sensitive** or **Significant** checkboxes to designate this Recommendation as significant.

- Fill out the additional fields. Use the date drop-down menu to select a *Recommendation Date*, add any notes in the *Comments* field, and use the drop-down menus to set *Monetary and Non-Monetary Code* and *Grant Type*.
- Click **Save**.

3.8.3 Updating Recommendations and Amounts

Each recommendation can be updated at any time during the project. After a recommendation is added, additional fields appear as seen in the image below. Users can update recommendations, mark them as *Sensitive* and/or *Significant*, and add associated costs. To add costs to the recommendation and update the *Total Amount*:

- Open the desired Project folder and click the **Findings** tab.



Audit Management

Project	Staff	Procedure	Attachments	Assignments	Approvals	Action Log	Close	Findings	Project Cost	Milestone Dates	Offline Client
---------	-------	-----------	-------------	-------------	-----------	------------	-------	----------	--------------	-----------------	----------------

Initiating Office : [AINS - AINS](#) Folder Owner : [Admin Admin](#)

Audit Information

Finding Code	Total Findings	0	Total Recommendations	0	Total Audit Amount	\$0	Summary
--------------	----------------	---	-----------------------	---	--------------------	-----	-------------------------

Findings

Finding Number	Finding
1	
Add	
Collapse All Expand All	

2. Click **Recommendations** within the desired Finding row. The page refreshes to display the *Finding Recommendations* workspace.

	Collapse All	Expand All
--	------------------------------	----------------------------

-	1	Review	\$0	Details
---	---	--------	-----	-------------------------

test	Recommendations (0)	Attach(1)	✕
------	-------------------------------------	---------------------------	-------------------

3. Click **Amounts**. The workspace refreshes and displays the Recommendation Cost workspace.

Finding Recommendations

Recommendation Number	Recommendation
2	
Add	

Recommendation Number	Recommendations																								
1	<div style="border: 1px solid #ccc; padding: 5px; margin-bottom: 5px;"> <div style="font-size: 0.8em; margin-bottom: 5px;"> A[▼] T[▼] B I U S x₂ x² </div> <div style="border-bottom: 1px solid #ccc; height: 1.2em; margin-bottom: 5px;"></div> <div style="font-size: 0.8em;">This is a sample recommendation.</div> </div> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">Sensitive</td> <td style="width: 10%;"><input type="checkbox"/></td> <td style="width: 30%;">Recommendation Type</td> <td style="width: 30%;"></td> </tr> <tr> <td>Significant</td> <td><input type="checkbox"/></td> <td>Total Amount</td> <td>\$5</td> </tr> <tr> <td>Recommendation Date</td> <td colspan="3">mm/dd/yyyy 📅</td> </tr> <tr> <td>Recommendation Comments</td> <td colspan="3"></td> </tr> <tr> <td>Monetary and Non-Monetary Code</td> <td colspan="3"></td> </tr> <tr> <td>Grant Type</td> <td colspan="3"></td> </tr> </table> <div style="text-align: right; margin-top: 10px;">Update ✕</div>	Sensitive	<input type="checkbox"/>	Recommendation Type		Significant	<input type="checkbox"/>	Total Amount	\$5	Recommendation Date	mm/dd/yyyy 📅			Recommendation Comments				Monetary and Non-Monetary Code				Grant Type			
Sensitive	<input type="checkbox"/>	Recommendation Type																							
Significant	<input type="checkbox"/>	Total Amount	\$5																						
Recommendation Date	mm/dd/yyyy 📅																								
Recommendation Comments																									
Monetary and Non-Monetary Code																									
Grant Type																									

4. Click **Insert**. The page refreshes to display additional fields.

Recommendation Cost For - 3.1

To save recommendation cost click 'Save Cost Data' button.

CFDA Number	CFDA Amount
Insert	

[Save Cost Data](#) [Back](#)

5. Click the **CFDA Number** lookup.



Audit Management

Recommendation Cost For - 3.1

To save recommendation cost click 'Save Cost Data' button.

CFDA Number	CFDA Amount	Delete
<input type="text"/>	<input type="text"/>	<input type="button" value="Delete"/>
<input type="button" value="Insert"/>		
<input type="button" value="Save Cost Data"/>		<input type="button" value="Back"/>

- The *Select Item* pop up window appears. Select the radio button adjacent the desired code, and then click **OK**.

Select Item

Filter By Name

Use wildcard (*) to perform full text search in Name field (i.e., *administrator, administrator*, or *administrator*)

Name
<input type="radio"/> 84.011
<input type="radio"/> 84.013
<input type="radio"/> 84.015
<input type="radio"/> 84.016
<input type="radio"/> 84.017
<input type="radio"/> 84.018
<input type="radio"/> 84.019
<input type="radio"/> 84.021
<input type="radio"/> 84.022

- The pop-up window closes, and the selected code appears in the *CFDA Number* field.
- Enter the **CFDA Amount** in the field.
- Click **Save Cost Data** to record the cost amount.
- A pop-up window appears, indicating the data was successfully saved. Click **Close**.
- The pop-up window closes. Click **Back** to return to the *Findings Recommendations* page.
- The *Total Amount* field within the *Finding Recommendations* workspace automatically updates with the sum of the cost data added.

Finding Recommendations

Recommendation Number	Recommendation	
2		<input type="button" value="Add"/>
Recommendation Number	Recommendations	
1	<div> <div> A ▼ T ▼ B I U S x₂ x² </div> <div> - ↩ ↶ ↷ ↺ ↻ </div> </div> <p>This is a sample recommendation.</p> <div> <div> Sensitive <input type="checkbox"/> Significant <input type="checkbox"/> </div> <div> Recommendation Type <input type="text"/> </div> <div> Total Amount <input type="text" value="\$5"/> </div> </div> <div> <input type="button" value="Update"/> <input type="button" value="Amounts"/> </div>	<input type="button" value="Update"/>

(!!) Note: The Cost Amount label and choice list values can be updated/changed at any time.



3.9 Closing the Project

To close the project, ensure all Procedures have been reviewed (*Reviewed* status procedures feature a blue dot in the *Response* column), all attachments are reviewed, and all *Close* tab questions are completed. Outstanding procedures, attachments, and/or Closure questions prevent the project from closing.

To close a project:

1. Open the desired Project folder and navigate to the *Closing Checklist* tab.

Close Checklist			
Question	Response	Comments	Attachments
Make it Easy	<input type="radio"/>		Review
New Closure Process	Yes <input type="button" value="v"/>	<input type="text"/>	Attach
			Save

(!!) Note: All procedures must be in Reviewed (white) status to close the project.

2. For each question in the close checklist, select the **Response** from the drop-down list.
3. Enter any additional information in the *Comments* field and click **Save**.
4. If desired, click **Review** to route the question group(s) for approval.
5. Select the **Recipient** from the *Assigned To* drop-down list.
6. Use the date picker to select **Due Date**.
7. Enter any additional information in the *Comments* field.
8. Click **Submit for Review**. The question is routed to the assigned recipient for completion.

Group Details	
Name	20 questions Status <input type="radio"/>
Review	
Task Name	20 questions - Prepared
Assigned To	John Doe <input type="button" value="v"/>
Due Date	mm/dd/yyyy <input type="button" value="📅"/>
Comments	This is a sample comment for documentation.
<div> <input type="button" value="Submit For Review"/> <input type="button" value="Back"/> </div>	



9. The reviewer must sign in to eCASE Audit Management. Any assigned approvals are visible in their *Inbox*.
10. The reviewer must navigate to the Approvals tab of the assigned project and **Approve** or **Reject** the closing checklist in the *Closed Checklist Group Approvals* section.

Closed Checklist Group Approvals						
Name	History/Cancel	Status	Assigned To	Assigned By	Comments	
20 questions	History Cancel	●	Admin Admin	James Choi		Approve Reject Send for Further Review

11. After all procedures, attachments, and closure checklist items are reviewed, select **Close** from the *Actions* drop-down list.

(!!) Note: Findings and the Closing Checklist may not be a requirement to close the project, depending upon your organizational need. If your organization requires these elements to be in Reviewed status, then the project cannot be closed until these elements are in the Reviewed status.

Home / Project **A29A00154 [In Progress]**

[Actions](#) ▾
 [Permissions](#)
[Logs](#) ▾
 [Discussions](#)
[Reports](#) ▾

[Attachments](#)
[Assignments](#)
[Approvals](#)

[Print](#)
[Delegate](#)
[Suspend](#)
[Close](#) (highlighted with red circle and arrow)
[Lock Folder](#)
[Abort](#)
[Delete](#)
[Change Folder Number](#)
[Add to Monitor List](#)
[Add To Favorites](#)
[Deliver Documents](#)
[Export As Xml](#) ▾

from Task Name Reason
 als
 History/Cancel Status Assigned
 Filter by Reference
 Title View/Cancel Status

12. The *Close Folder* pop-up window appears. Select the desired **Closed Date** using the date picker.

Close Folder

Note: * fields are mandatory

Closed Date [Email Notification](#)

Please verify the Folder Closed Date and click on Close Folder

Folder Closed Date * 

Deliver Documents

Delivery Logs

Close Folder

Close

13. Configure the email notification, if necessary.
14. Deliver the case folder documents, if necessary.
15. Click **Close Folder**. A confirmation window appears.

qa-ecase-105audit says

Are you sure you want to close the Folder?

OK

Cancel

16. Click **OK**. The workspace refreshes and the project is now in Closed status.

3.10 Cancel a Project

Preparers can request project cancellation, if needed. Follow the steps in this section to cancel a project.

1. Navigate to the project to be cancelled and click the **Project** tab.
2. Click **Cancel Project**.



Audit Management

Project Set Up

In Progress **Cancel Project** **Open Work Plan**

Initiation

Assignment Number B35AT0044	Project: Report Number 5555555	Sequence Number 00081	Project: Region - JA123 AT
Project: Assisting Region AO X	Funding123	Project: Status In Progress	Project: Service Code B

3. The tab refreshes to display the *Cancel Project Request* workspace, as shown below. Select the **user** to assign the Cancel Project Request, using the *Assigned To* drop-down list.

Project Summary

Project No.	O97Atlanta0039	Status	Field Work
Title	qwertyui		

Review

Task Name	Cancel Project Request
Assigned To	
Due Date	mm/dd/yyyy
Cancellation Justification	

Submit For Review **Back**

4. Select a **Due Date** using the date picker.
5. In the text box provided, enter a **Cancellation Justification**.
6. Click **Submit For Review** to submit the Cancel Project Request.

Project Summary

Project No.	B35AT0044	Status	In Progress
Title	Project Demo		

Review

Task Name	Cancel Project Request
Assigned To	User10
Due Date	mm/dd/yyyy
Cancellation Justification	This is a sample cancellation justification. It is recommended that we approve the cancellation.

Submit For Review **Back**

7. The page refreshes and the user assigned the Cancel Project Request must log in and access the Project and Approvals.
8. Open the assigned Project case folder, and navigate to the **Approvals** tab.



9. Within the *Project Approvals* subsection, locate the *Cancel Project Request* and, if electing to cancel the project, click **Approve**. The project is cancelled, with the cancellation reflected in the status for that project.

(!!) Note: Alternatively, the authorized user can Reject the cancellation or Send for Further Review, if desired.

Approvals

Project Approvals

Assigned To	Assigned From	Task Name	Reason For Cancellation	Comments	
Writing Reviewer	Will Fitzgerald	Cancel Project Request	This is the justification for cancelling this Project		<div><div>Approve</div><div>Reject</div><div>Send for Further Review</div></div>

Procedure Group Approvals

Group	Name	Status	Assigned To	Assigned From	Comments
-------	------	--------	-------------	---------------	----------

Procedure Approvals

Reference	Title	Status	Assigned To	Assigned From	Comments
-----------	-------	--------	-------------	---------------	----------

Closed Checklist Group Approvals

Name	Status	Assigned To	Assigned From	Comments
------	--------	-------------	---------------	----------

Document Approvals

Doc ID	Document Name	View/Cancel	Status	Assigned To	Assigned By	Comments
--------	---------------	-------------	--------	-------------	-------------	----------

History

Action Date	Action By	Category	Comments
01/14/2020 01:44 PM	Writing Reviewer	Approvals	Procedure '1. This is the new procedure' has been approved. Comments:
01/14/2020 01:43 PM	Will Fitzgerald	Approvals	Cancellation Request is sent for review to user 'Writing Reviewer'. Comments: This is the justification for cancelling this Project

4 Set Up – Templates & Risk Factors

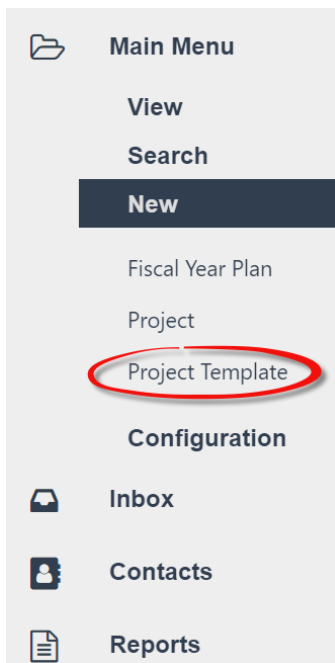
This section explains how authorized users can create new templates, edit existing templates, and adjust risk factors. When a user creates a new project, all the information and data provided in the template is automatically populated into the respective tabs in the project.

4.1 Create New Templates

Templates provide a list of preconfigured procedure groups and procedures, attachments, closing checklists, project milestone dates, and project staff. To create a new template:

(!!) Note: After creating a Template, the user must be listed in the Project Team tab as a Preparer in order to proceed with any further actions.

1. Select **New > Project Template**.




2. A blank project template form appears. Enter a **Template Name** in the field.
3. If desired, uncheck the **Active** checkbox to make the template inactive.
4. Click **Save**. The workspace refreshes and the *Project Template* page appears.



Set Up – Templates & Risk Factors

Home / New Folder


 Save ☒ Spell...




Project Template

Template Name

5. Navigate to the *Project Team* tab and click **Add User**. The *Assign Role* pop-up window appears.


Project Template | Attachments | Action Log | Closing Checklist | Milestone Dates | **Project Team**

Multi User Roles 

 Add User  Add Group  Remove User/Group

User/Group Office

No Record

Show: 20 


Assign Role - Google Chrome



Not secure | qa-ecase-105audit/eCase/Corres/SelectUserForCaseRoles.aspx?folderid=9195

Select Users

Note: * fields are mandatory

Role*

User 

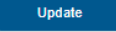
 Add  Close

6. Select the **Preparer** role from the drop-down list. The User field appears.
7. Click the **User** lookup and select the current user profile.
8. Click **Add**. The pop-up window closes and the selected user appears in the *Project Team* tab as the Preparer.
9. Navigate to the *Project Template* tab and click **New Procedure Group**. The workspace refreshes to display the *New Procedure Group* workspace.



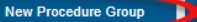
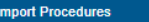
Project Template | Attachments | Action Log | Closing Checklist | Milestone Dates | **Project Team**

Initiating Office : AINS - AINS Folder Owner : Josh Moyer

Project Template

Template Name 

Groups/Procedures/Activities

 Collapse All Groups  Expand All Groups  New Procedure Group  Import Procedures

10. Enter the **Group Letter** in the field.



11. Enter the **Group Name** in the field.
12. Click **Save**.

New Procedure Group

Group Letter	A
Group Name	TestingTemplateGroupName
<div> <div>Save</div> <div>Back</div> </div>	

13. The *Project Template* workspace refreshes, displaying the newly created procedure in the *Groups/Procedures/Activities* workspace. Within the new *Procedure Group* row, click **New Procedure**.

Project Template

Template Name	testingTemplate2	<div>Update</div>
---------------	------------------	-------------------

Groups/Procedures/Activities

Collapse All Groups

Expand All Groups

New Procedure Group

Import Procedures

+ A. TestingTemplateGroupName -(0 Procedure(s))

View

New Procedure

14. The *New Procedure* workspace appears. Enter the **Procedure Name** in the field.

New Procedure

Sequence #	A. 1
Procedure Name	This is my new procedure
Purpose	Here is the purpose.
Scope	
Source	

15. Enter any desired elements (*Purpose*, *Source*, and *Scope*) for this procedure by clicking the corresponding button. A pop-up window appears. Enter the element information in the pop-up window and click **Save**.

Set Up – Templates & Risk Factors

New Procedure

Sequence #	A. 1
Procedure Name	TestingTesterson
Purpose	
Scope	
Source	A word or two.
Record of Work Completed	
Conclusions	
<div>Save Back</div>	

Scope

This is a scope|

History

Save Close

16. After completing the desired procedure elements, click **Save**.

New Procedure

Sequence #	A. 1
Procedure Name	TestingTesterson
Purpose	
Scope	This is a scope.
Source	A word or two.
Record of Work Completed	
Conclusions	
<div>Save Back</div>	

17. Repeat the steps above for all procedure groups and procedures in the template.

(!!) Note: Click Save after editing any procedure element.

18. If applicable, navigate to the *Attachments* tab to add attachments to the procedure(s)/template.



Set Up – Templates & Risk Factors

Save Actions Permissions Logs Discussions Reports Spelling Back

Project Template **Attachments** Action Log Closing Checklist Project Team

Initiating Office : [AINS - AINS](#) Folder Owner : [Will Fitzgerald](#)

Project Template

Template Name

Groups/Procedures/Activities

[Collapse All Groups](#) [Expand All Groups](#) [New Procedure Group](#)

- A.First Group -(1 Procedure(s))	View	New Procedure
+ A.1.This is my new procedure - (0 Action(s))	View	New Activity

19. Navigate to the *Closing Checklist* tab to configure the closing questions for Projects using this template.

20. Click **New Group**. The workspace refreshes to display the *Create Group* workspace.

Initiating Office : [AINS - AINS](#) Folder Owner : [Josh Moyer](#)

Create Group

Name	<input type="text"/>
Is Active?	<input checked="" type="checkbox"/>
Save Cancel	

21. Enter a **name** for the group in the field.

22. If desired, uncheck the **Is Active?** Checkbox to make the group inactive. This checkbox is selected by default.

23. Click **Save**. The workspace refreshes. Click **New Question** adjacent the newly created group.

Closing Case Checklist

[New Group](#)

Testing	New Question
---------	------------------------------

24. The tab refreshes to display the *New Question* workspace. Enter the **question** in the field.

25. If desired, uncheck the **Is Active?** Checkbox to make the question inactive. This checkbox is selected by default.



Set Up – Templates & Risk Factors

Initiating Office : AINS - AINS

Folder Owner : Josh Moyer

Question	<div>This is a sample new question. </div> <div>Note: Question can't exceed 2500 characters.</div>
Is Active?	<input checked="" type="checkbox"/>
<div>Save</div> <div>Cancel</div>	


26. Click **Save**. The workspace refreshes and the newly created question appears in the *Closing Checklist* workspace.
27. Complete the above steps to add as many groups and questions as necessary to the Closing Checklist.

(!!) Note: After creating multiple case closing questions, you can use the arrow buttons to order how the Groups and Questions appear in the Closing Case Checklist tab.

Closing Case Checklist		
		New Group
	Testing	<div>New Question</div> <div>↓</div>
	This is an example question, right?	
	Working	<div>New Question</div> <div>↓ ↑</div>
	Is this a question or a statement?	↓
	I am not sure anymore. Does anyone read these?	
	In Flight	<div>New Question</div> <div>↑</div>
	How are you doing today?	

28. Navigate to the *Milestone Dates* tab to add milestone dates to the template. Every project using this template will have these dates automatically imported.
29. Click **Add Date**. The *Add Date* workspace appears.
30. Enter the **Date Name** in the field. Fill out the **Dependent Milestone**, **Planned Date**, **Days Before Email Notice**, **Recipients**, and **Order**, if applicable. Click the **checkbox** to make the date active, if desired.



Add Date	
Date Name	<input type="text"/>
Dependent Milestone	<input type="text" value="▼"/>
Planned Date: Number of Days from Actual Date for Dependent Milestone	<input type="text"/>
Days Before Email Notice	<input type="text"/>
Recipients	<input type="text" value=""/> 
Is Active?	<input checked="" type="checkbox"/>
Order	<input type="text" value="1"/>
<input type="button" value="Save"/> <input type="button" value="Back"/>	

31. Click **Save**. The tab refreshes to display the full *Milestone Dates* workspace, including the newly added date.
32. If desired, click **Import Milestone Dates** to search and import milestone dates from other project templates.
33. Select the **template** from the drop-down list.
34. Enter the name of the date in the field. Click **Search**.

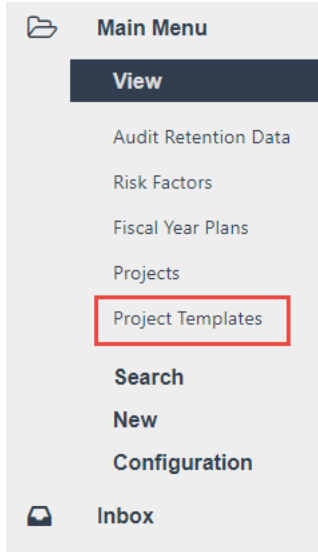
Search for existing Milestone Dates			
Choose Template	<input type="text" value="200 Items"/> ▼	Name of the Date	<input type="text" value="Date 162"/>
			<input type="button" value="Search"/>

35. eCASE returns results within the *Milestone Date Search Results* section. Click the **checkbox** adjacent the desired date name and click **Add Milestone Dates**.
36. Navigate to the *Project Team* tab and use the **Add User** and/or **Add Group** buttons to add the desired **Users** and **Groups** to this template. Every project using this template will automatically incorporate these users into the project's *Staff* tab.

4.2 Edit Existing Templates

eCASE Audit Management features a few preconfigured templates. Authorized users may edit these templates, or any other eligible template. To edit a template:

1. Within the *Launch Pad*, select **View > Project Templates**.



2. The *Project Templates* list appears, which displays a list of all existing templates. `

Home / Folders Search Result

Open Actions Logs Back

Office	Folder ID	Template Name
MIG - Mig Office	Migration.Template	Migration Template
AINS - AINS	2019-PT-00001	ryan template 1
AINS - AINS	2019-PT-00002	Project Template 1

A red arrow points to the '2019-PT-00001' Folder ID, which is also circled in red.

3. Click the corresponding **Folder ID** to open the template to modify.
4. The *Project Template* folder appears. Complete the desired modifications to the case folder.
5. Click **Save**.

(!!) Note: For existing projects using the now edited template, only the Closing Questions will be updated. All the edits made to the other tabs will only be reflected in new projects.

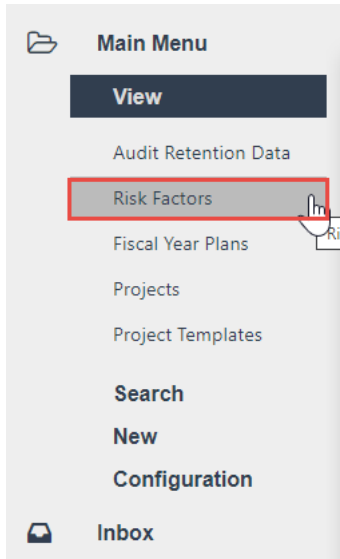
4.3 Risk Factors

The default Risk Factors used for each newly created Work Topic can be updated using the *Risk Factor* option within the *Launch Pad*. To update the default *Risk Factors*.

1. Navigate to **Main Menu > View > Risk Factors**.



Set Up – Templates & Risk Factors



2. The *Risk Factors Template* appears. To add a new Risk Factor, click **Insert**.

Home / Risk Factor Risk List [Open]

Save Actions Permissions Logs Reports Attachment Recycle Bin Spelling Back

Risk Factors

Initiating Office : AINS - AINS Folder Owner : Admin Admin








Risk Factors Template					
Risk Factor	Likelihood	Impact	Comments	Weight %	
Stolen goods	✓✓✓✓✓	✓✓✓✓✓	test comment	10	✗
Deleted footage	✓✓✓✓✓	✓✓✓✓✓	test comment2	10	✗
Age of program	✓✓✓✓✓	✓✓✓✓✓	test comment3	10	✗
Size of program	✓✓✓✓✓	✓✓✓✓✓	test comment4	10	✗
Factor 5	✓✓✓✓✓	✓✓✓✓✓		10	✗
Factor 6	✓✓✓✓✓	✓✓✓✓✓		10	✗
Factor 7	✓✓✓✓✓	✓✓✓✓✓		10	✗
Factor 8	✓✓✓✓✓	✓✓✓✓✓		10	✗
Factor 9	✓✓✓✓✓	✓✓✓✓✓		10	✗
Factor 10	✓✓✓✓✓	✓✓✓✓✓		10	✗

Insert

3. A new Risk Factor row appears. Enter a **Risk Factor Name** in the field.
4. Adjust the **Likelihood**.
5. Adjust the **Impact**.
6. If necessary, click the red X to delete an entry.
7. Click **Save**.












































































Set Up – Templates & Risk Factors

 Save  Actions  Permissions  Logs  Reports  Recycle Bin  Spelling

Risk Factor

Initiating Office : [AIN](#) - [AINS](#) Folder Owner : [Admin Admin](#)

Risk Factors Template			
Risk Factor	Likelihood	Impact	
The size of the program	    	     	
Age of the program	    	     	
Time since last audit	    	     	
Amount of budget money allocated	    	     	
New Risk Factor	    	     	
The cost getting too high.	    	     	



(!!) Note: The Risk Factors added here automatically populate the Risk Factor section of each Work Topic added in a Fiscal Year Plan. Any changes made are only reflected in new Work Topics, not work topics created prior to the modification.

