eCASE Audit

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	We've added or revised the following for v5.11.0: • Added a section on *Procedure Notes*, 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 *Approving Procedures* 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 *Attaching Documents* section (3.6.1) noting the 190-character limit for attachment names. • Updated the *Adding Findings* section (3.8.1) to note the new *Finding URL* 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.

Contents

1 Audit Management Overview

This section provides an overview of the Audit Management application.

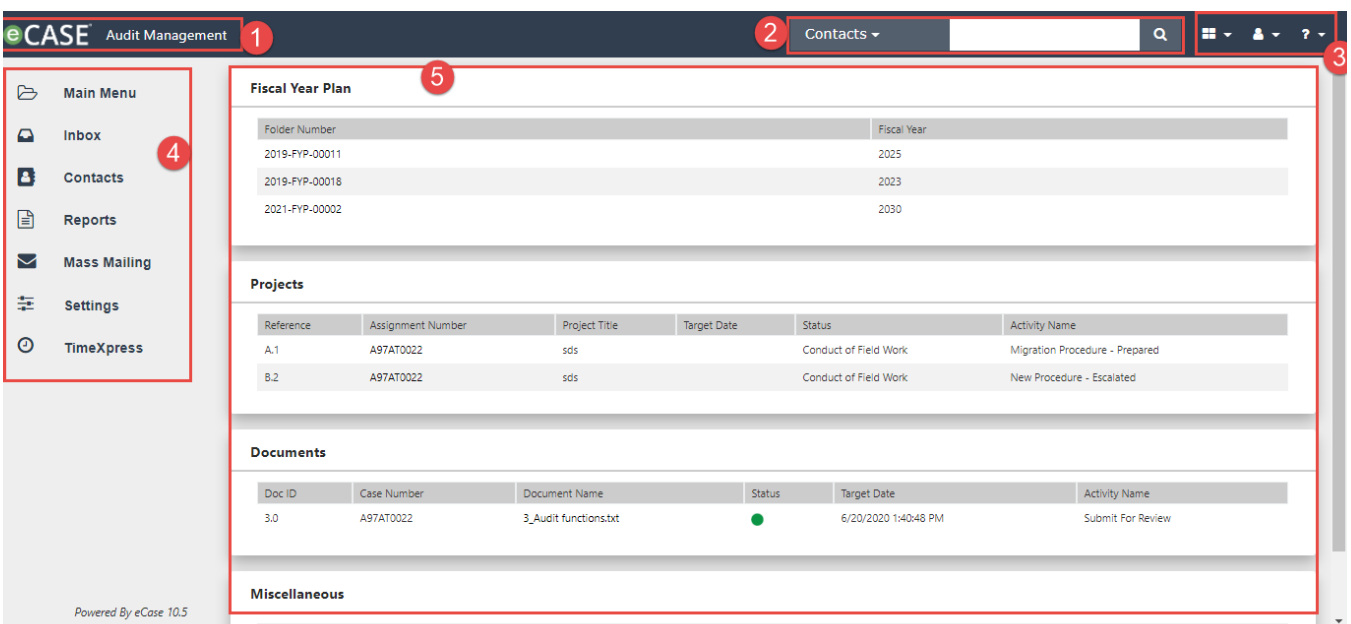
1.1 About Audit Management

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:



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.

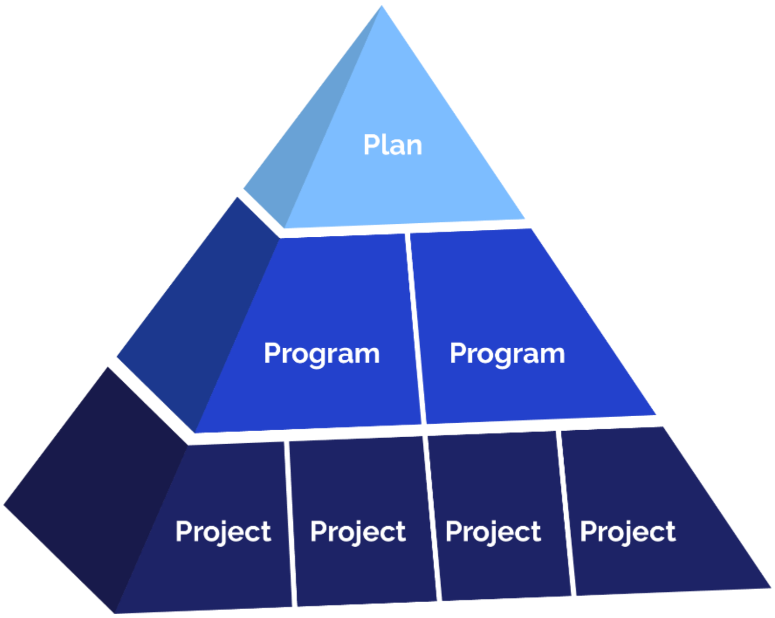
This home screen serves as a jump-off point for using the eCASE Audit Management features. For additional information about the general eCASE interface, please refer to the eCASE User Guide, accessible under Help in the upper-right of the eCASE Dashboard.

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.

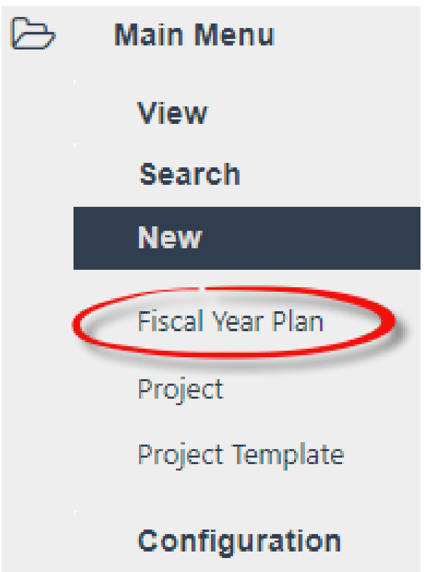
Role	Description
Preparer	This is a staff role, a user who can create and process projects within a Fiscal Year Plan.
Reviewer	This is a staff role, a user who reviews the work submitted or created by Preparer users. In some instances, Reviewers may also have the ability to edit work submitted and created 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.

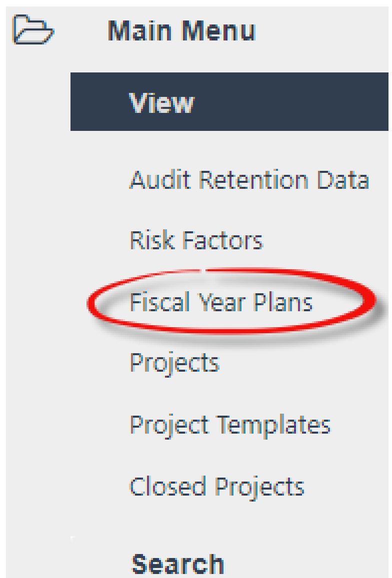
2 Fiscal Year Planning

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.

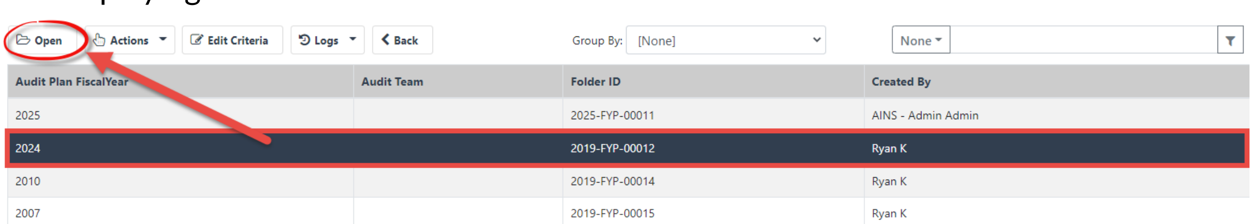




2.1.1 View a Fiscal Year Plan

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.



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.**

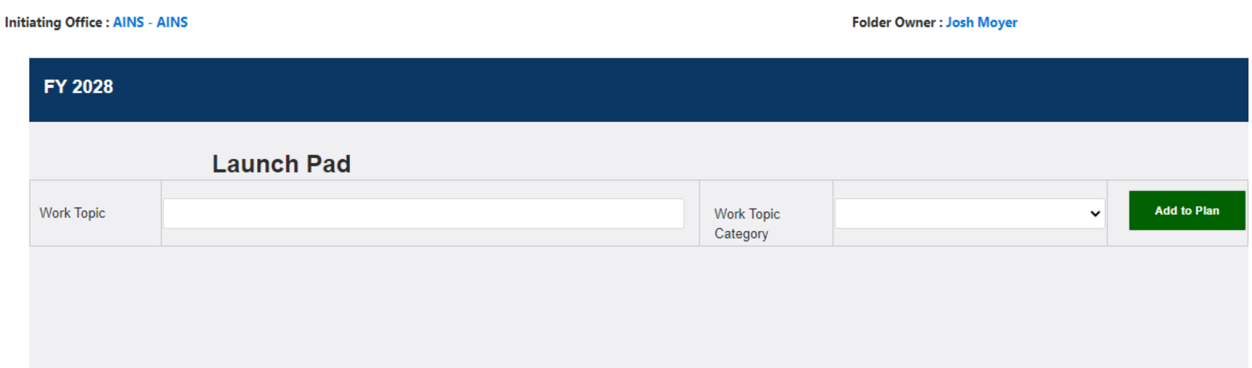
2.1.2 Create a Fiscal Year Plan

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.



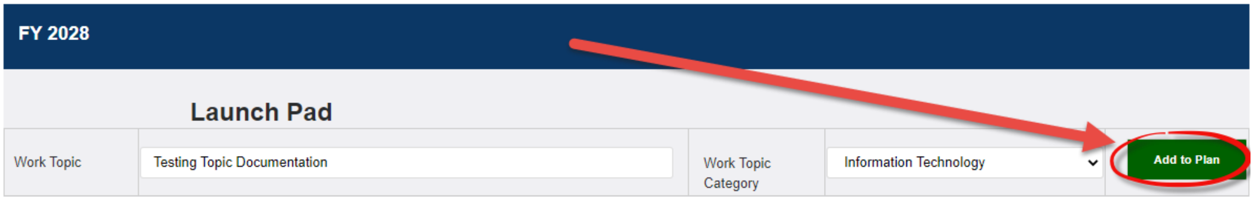
5. Complete the required fields and click **Save** to create the new Fiscal Year Plan.

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.

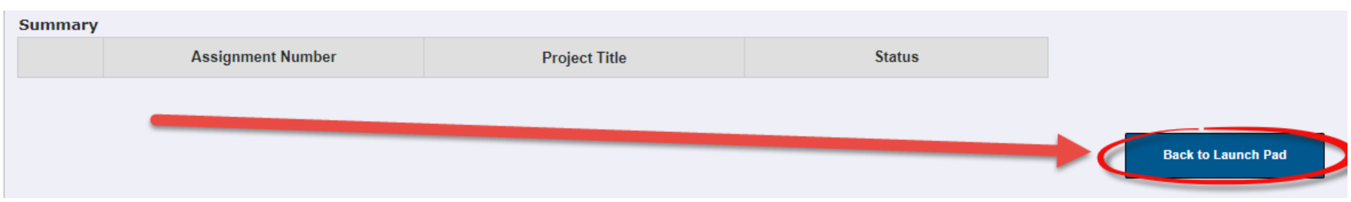


2.2 Interacting with Work Topics

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

- Profile
- Risk
- Objectives
- Projects

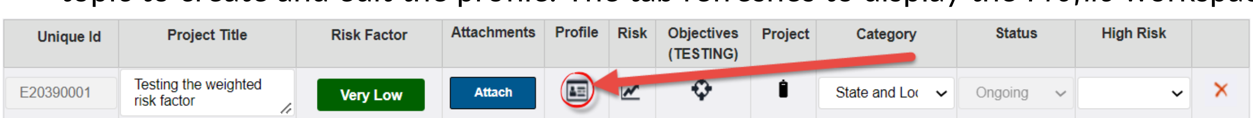
At any time within these element screens, users can navigate back to the Launch Pad by clicking **Back to Launch Pad**.



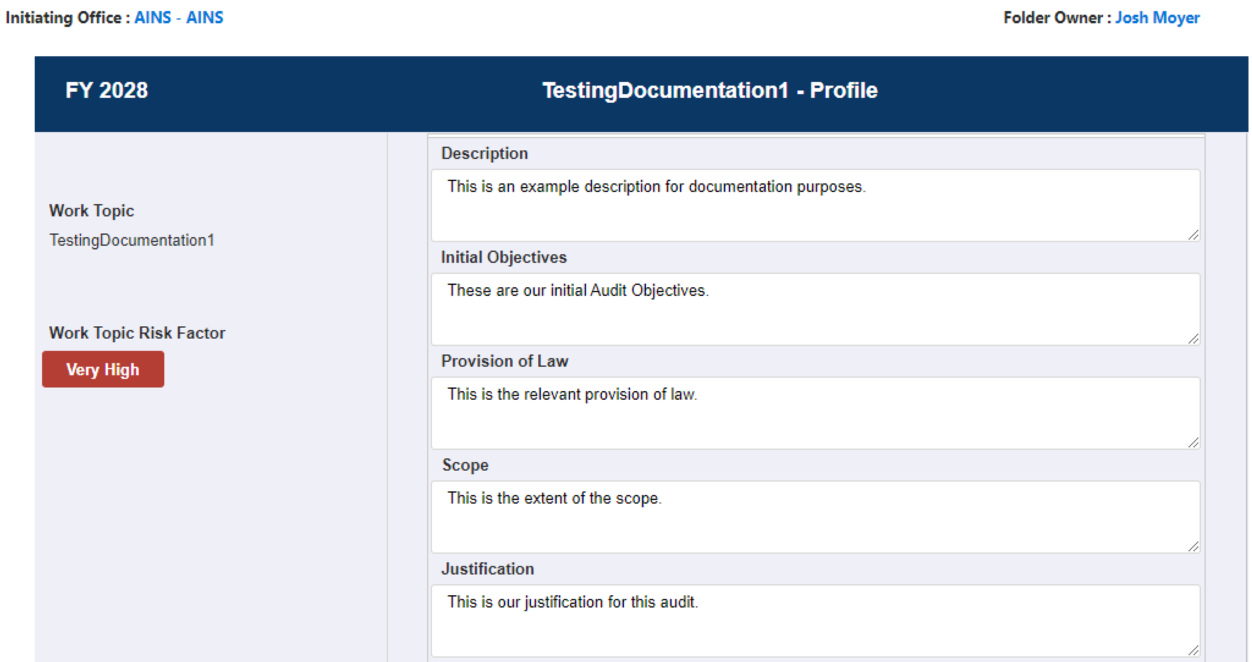
2.2.1 Work Topic Profile

To manage the work topic profile:

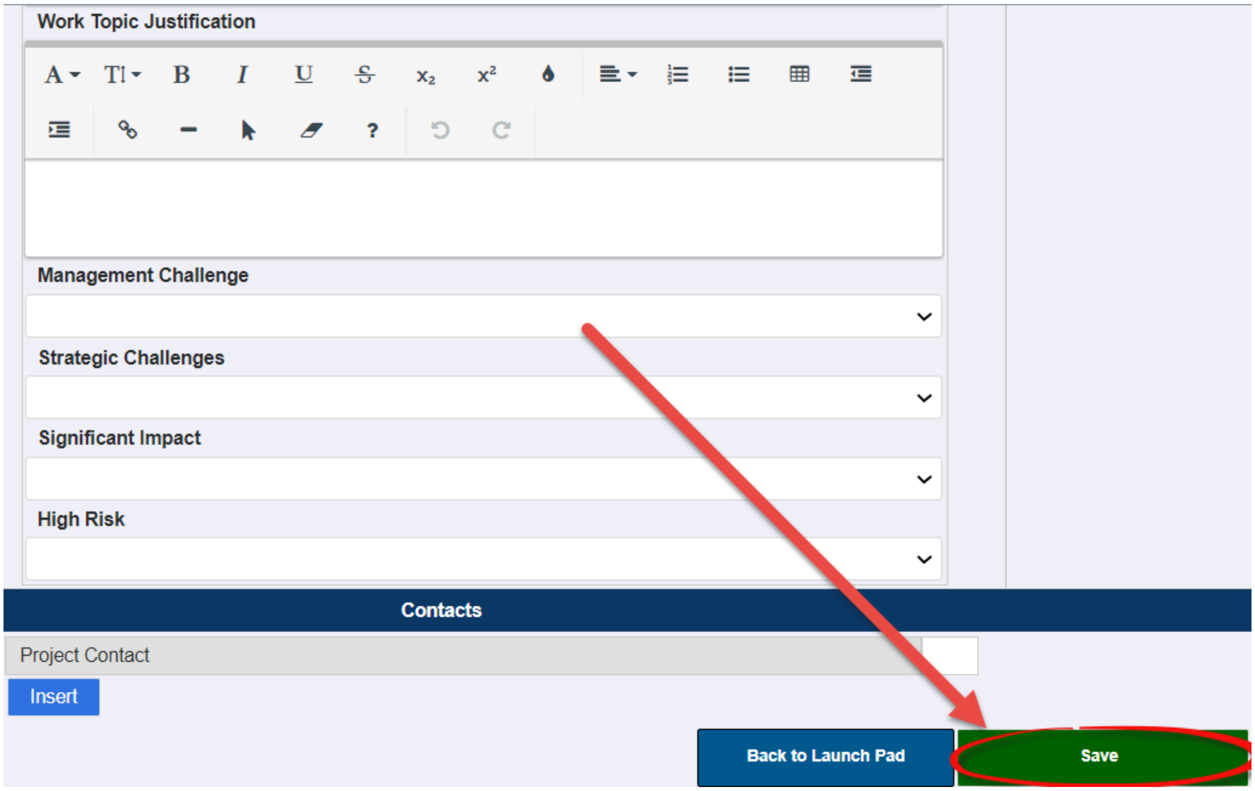
1. Navigate to the desired Work Topic and ensure the work topic has been added to the fiscal year.
2. Within the *Fiscal Year Plan* tab, click Profile in the *Profile* column in the desired work topic to create and edit the profile. The tab refreshes to display the *Profile* workspace.



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



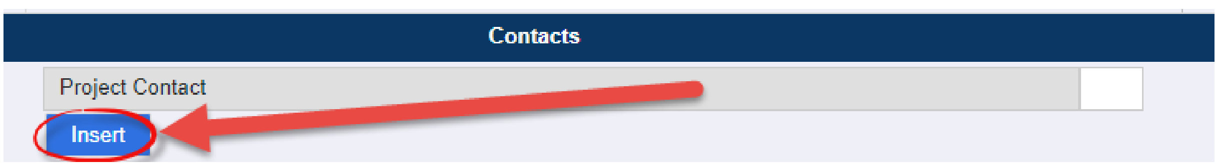
4. Enter any **Initial Objectives** in the field, if applicable.
5. Enter the **Provision of Law** in the field, if applicable.
6. Enter the **Scope** in the field, if applicable.
7. Enter the **Work Topic Justification** in the field, if applicable.
8. Select the **Management Challenge** from the drop-down 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.



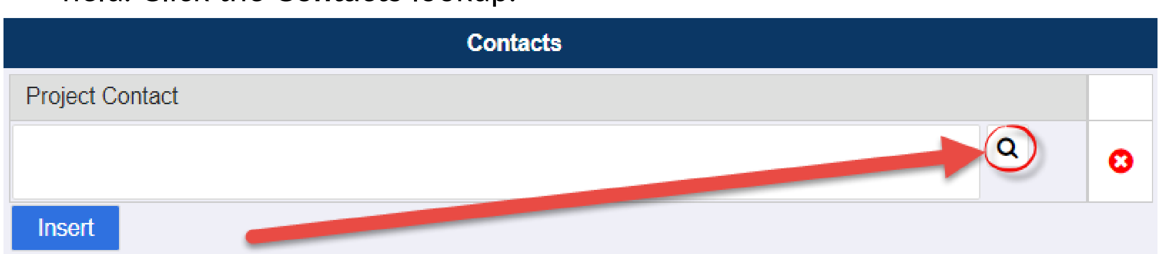
2.2.2 Manage Work Topic Contacts

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

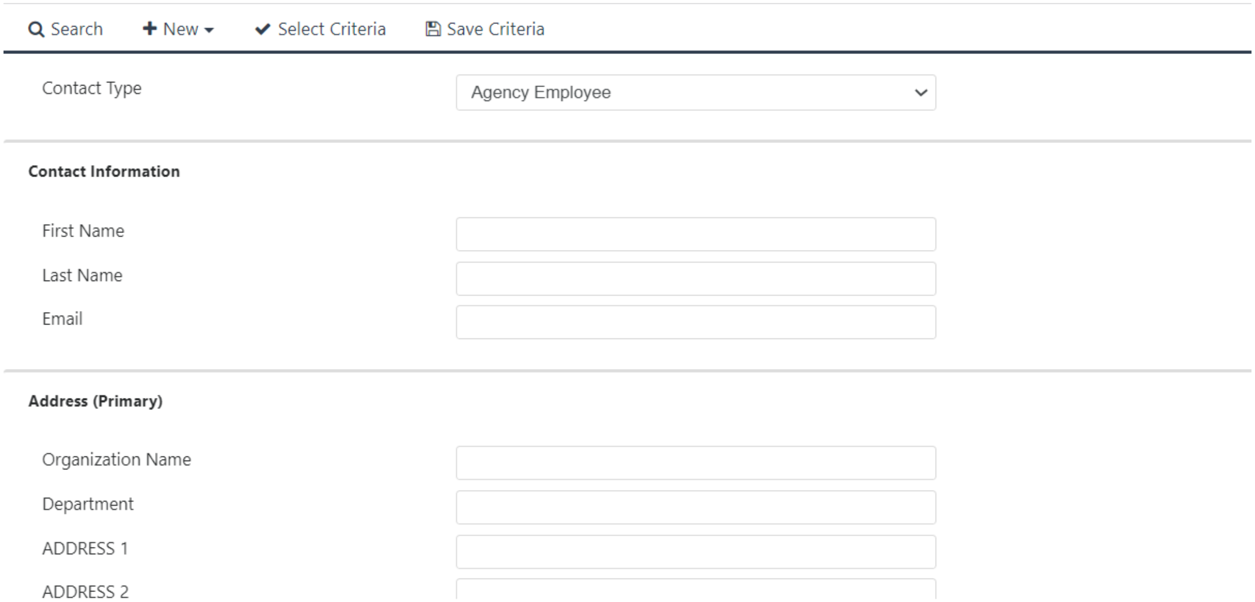
1. Open the work topic and navigate to the *Contacts* section of the Profile page. Click **Insert**.



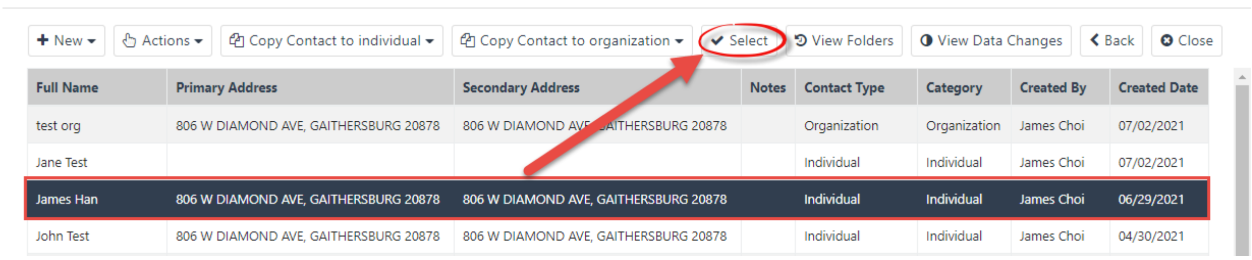
2. After clicking Insert, the workspace refreshes to display a blank *Project Contact* lookup field. Click the **Contacts** lookup.



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.



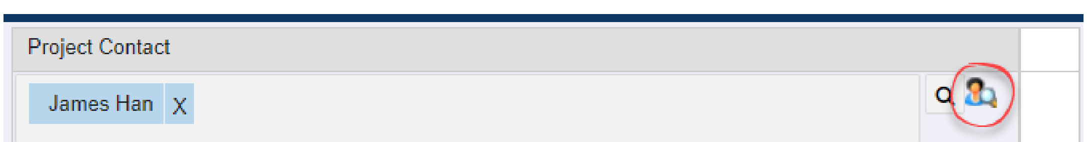
5. The window refreshes to display a set of search results matching the selected criteria. Click the desired user and click **Select**.



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.



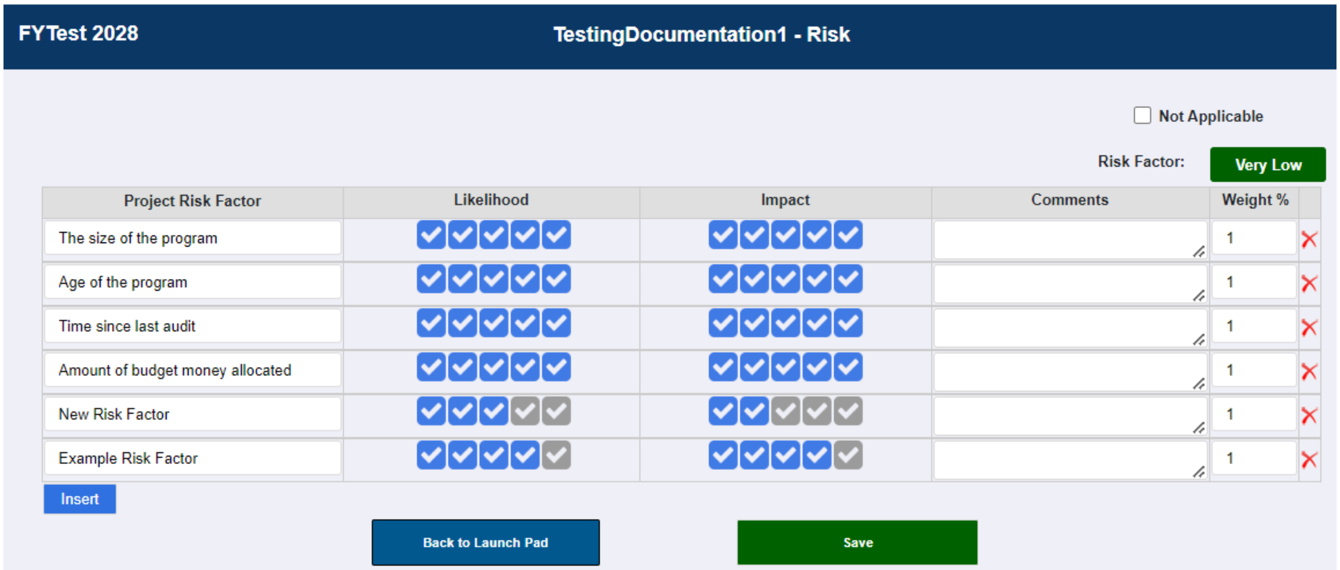
8. Click **Save and Go to Risk**. Alternatively, click **Save** to only save the update.

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*.

2. 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.



3. 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.

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

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

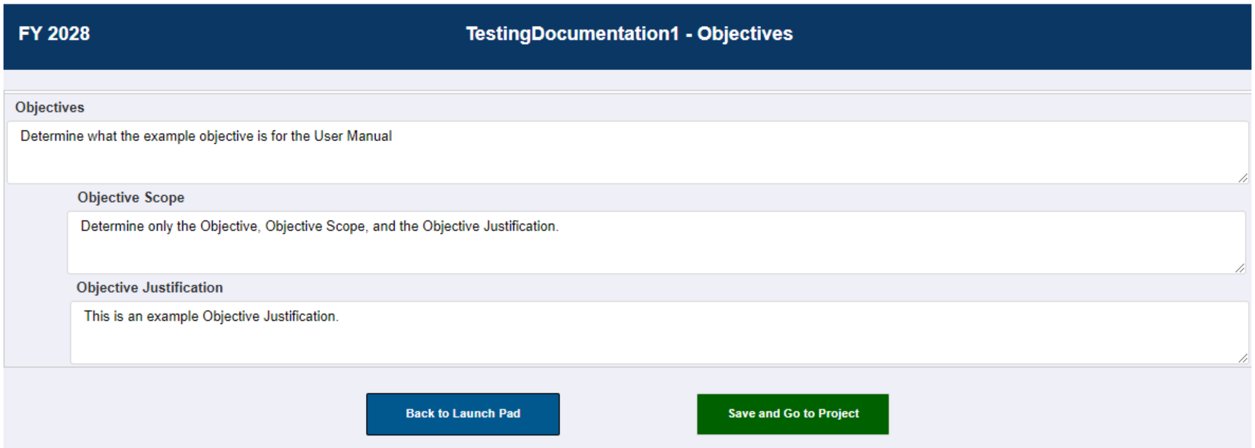
7. When finished, click **Save**.
8. To return to the *Launch Pad*, click **Back to Launch Pad.**

2.2.4 Work Topic Objectives

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

1. Navigate to the desired Work Topic and click **Objectives** in the *Objectives* column of the *Launch Pad*.
2. 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.

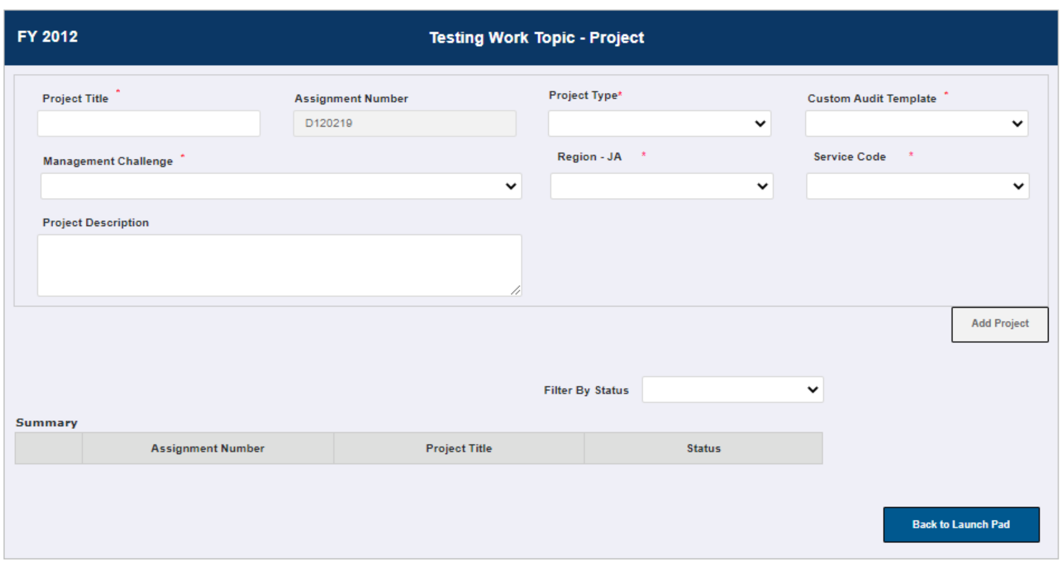


5. When finished, click **Save.**
6. To return to the *Launch Pad*, click **Back to Launch Pad.**

2.2.5 Add a Project

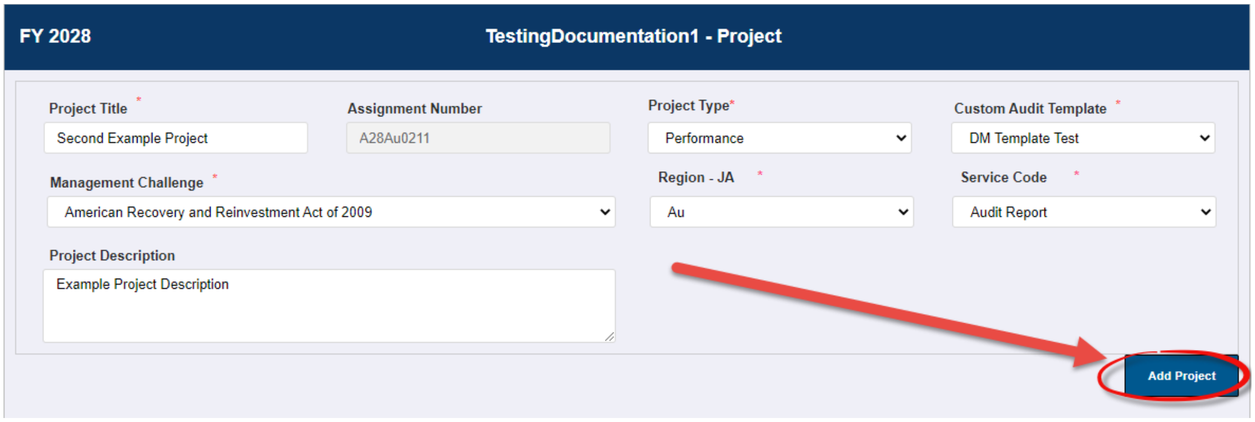
The final work topic element is to create projects. Users can add multiple projects to work topics. To add a project:

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



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.

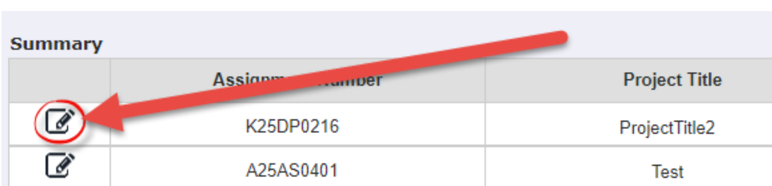


(!!) Note: Users are not able to modify the audit template used in the project after it is created. The audit project folder is built based on the template name chosen at this stage.

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.**



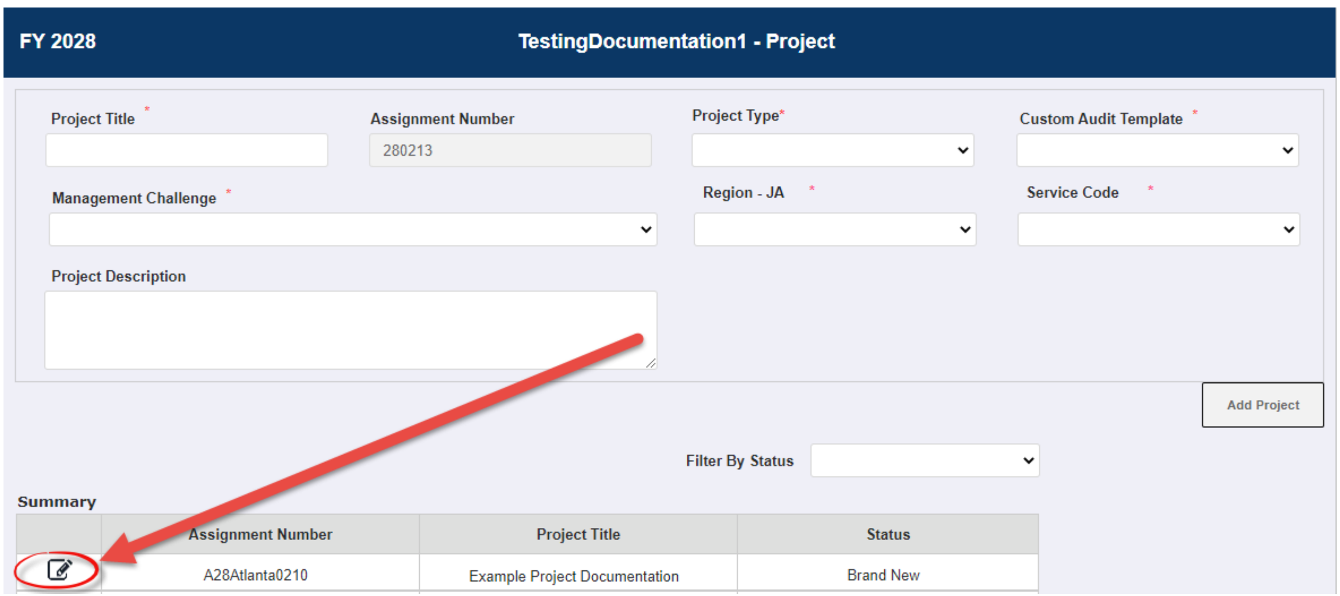
3 Audit Management

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

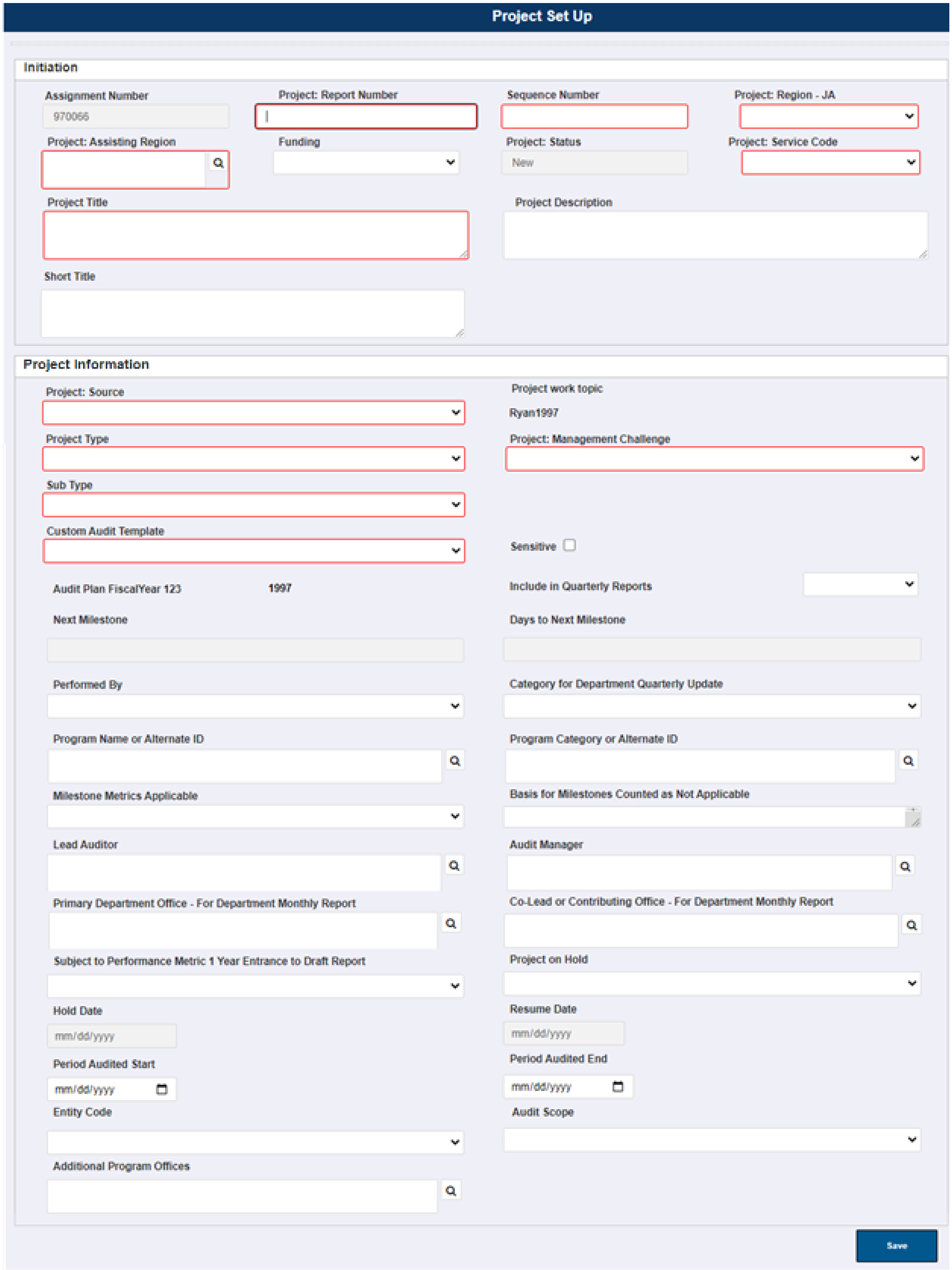
3.1 Project Set Up

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.



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.


Project Set Up
Initiation
Assignment Number
970066
Project: Report Number
Sequence Number
Project: Region - JA
Project: Assisting Region
Funding
Project: Status
New
Project: Service Code
Project Title
Project Description
Short Title
Project Information
Project: Source
Project work topic
Ryan1997
Project Type
Project: Management Challenge
Sub Type
Custom Audit Template
Sensitive
Audit Plan FiscalYear 123
1997
Include in Quarterly Reports
Next Milestone
Days to Next Milestone
Performed By
Category for Department Quarterly Update
Program Name or Alternate ID
Program Category or Alternate ID
Milestone Metrics Applicable
Basis for Milestones Counted as Not Applicable
Lead Auditor
Audit Manager
Primary Department Office - For Department Monthly Report
Co-Lead or Contributing Office - For Department Monthly Report
Subject to Performance Metric 1 Year Entrance to Draft Report
Project on Hold
Hold Date
mm/dd/yyyy
Resume Date
mm/dd/yyyy
Period Audited Start
mm/dd/yyyy
Period Audited End
mm/dd/yyyy
Entity Code
Audit Scope
Additional Program Offices
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.**

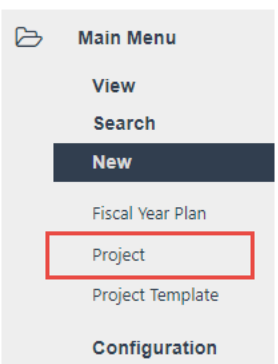
6. Click **Save.**

(!!) Notes:

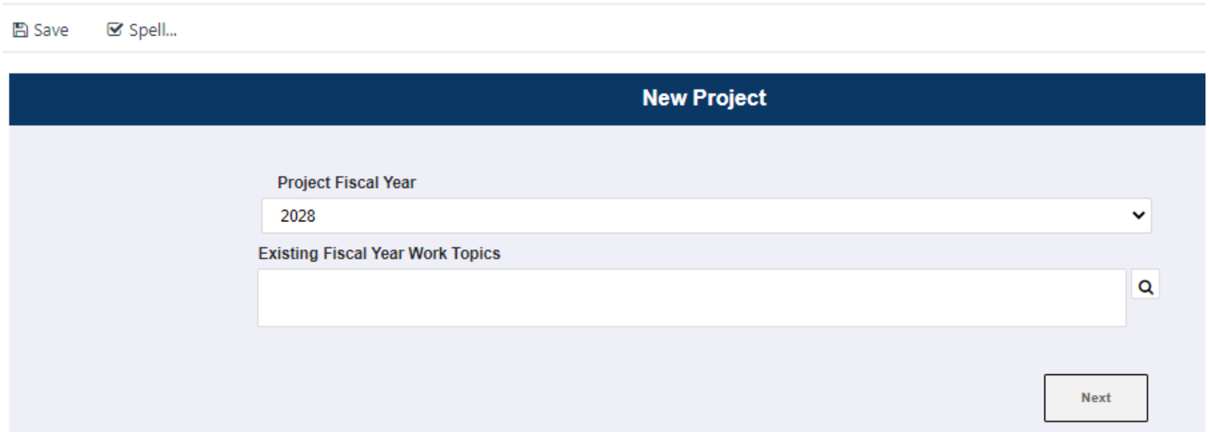
- **As the remaining Project required fields are completed, the status of the project automatically updates. The status progresses from “New” to “Conduct of Field Work” after an authorized user completes any remaining required fields and saves the updated case folder.**
- **Based on the configured required 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

1. 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.
2. Click **Main Menu > New > Project**.

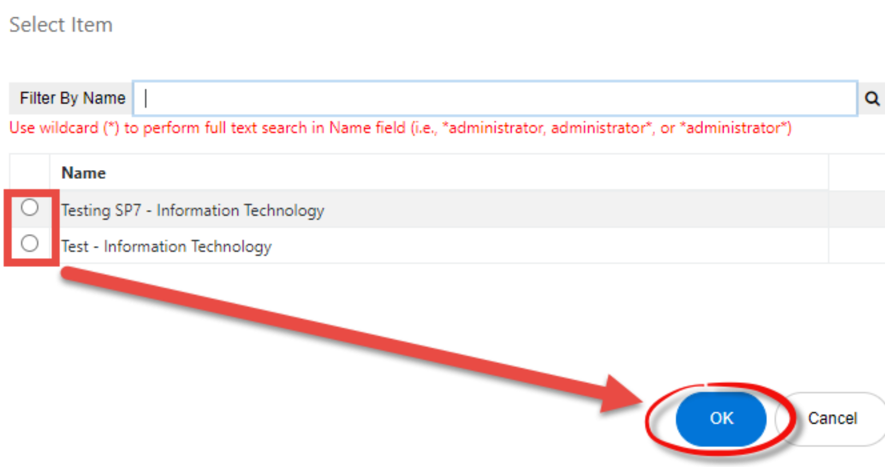


3. The *New Project* form appears. Use the drop-down list to select the **Fiscal Year** to which the Project corresponds. The workspace refreshes and the *Existing Fiscal Year Work Topics* lookup field appears.

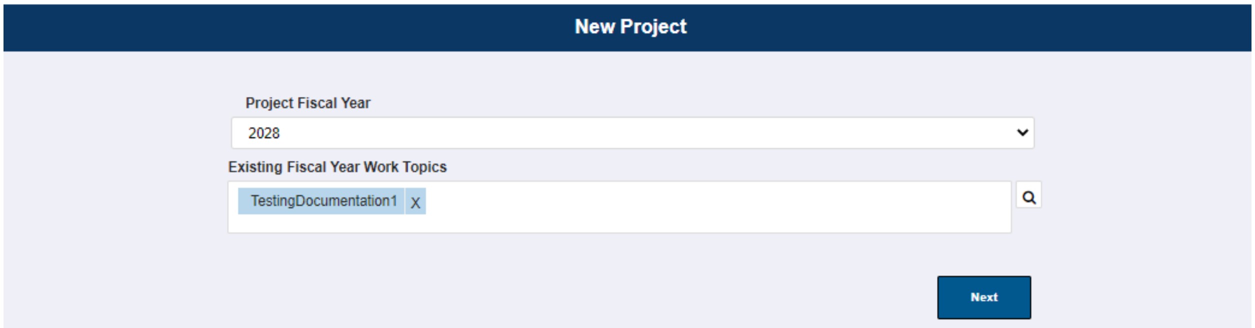


(!!) Note: The Fiscal Year chosen must contain a pre-existing plan/work topic. If not, the user is prompted to create a plan with at least one work topic in order to add the project through this method.

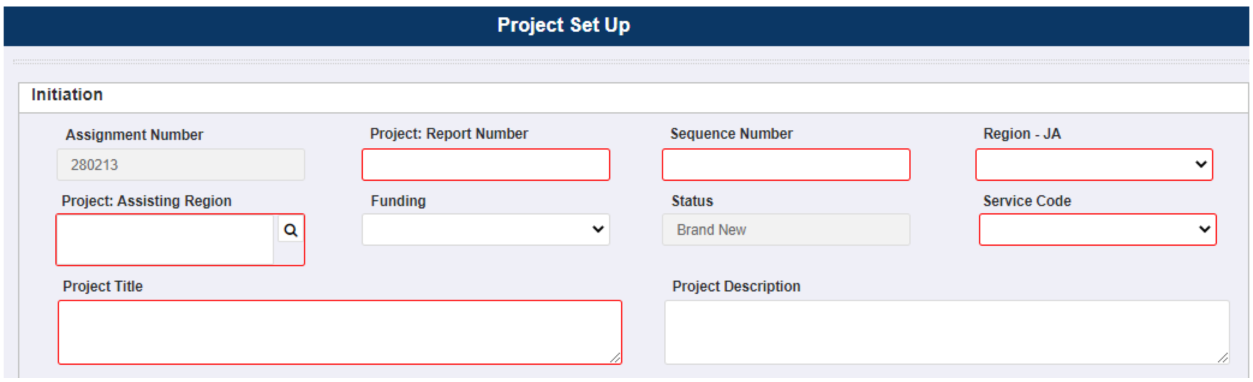
4. Click the **Existing Fiscal Year Work Topics** lookup. The *Select Item* pop-up window appears.
5. Select the desired **Work Topic** radio button and click **OK**.



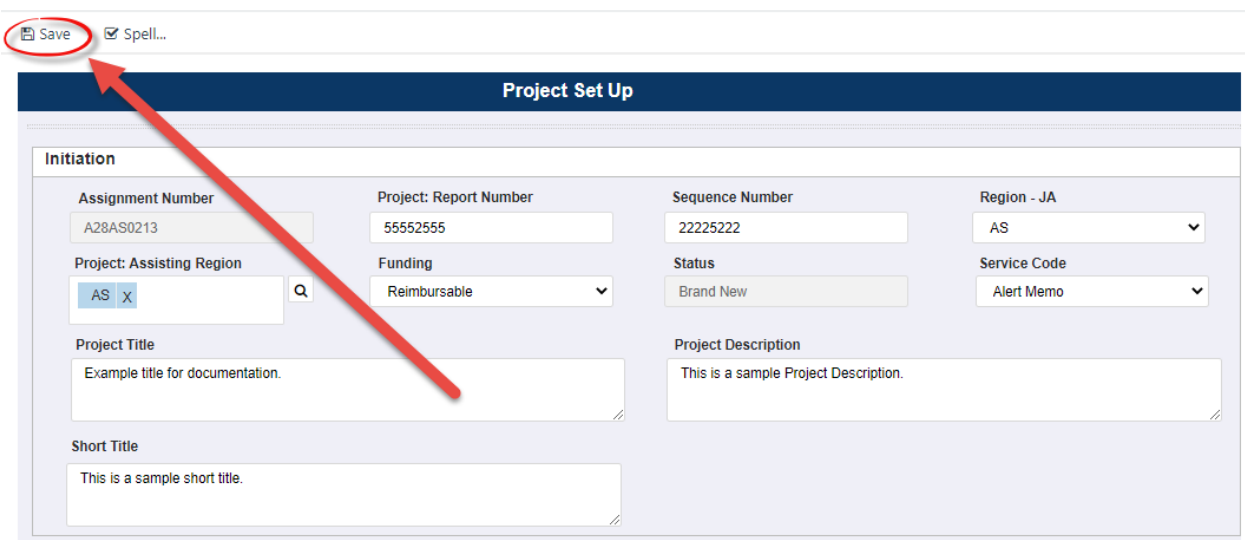
6. The pop-up window closes, and the selected work topic appears in the *Existing Fiscal Year Work Topics* field. Click **Next**.



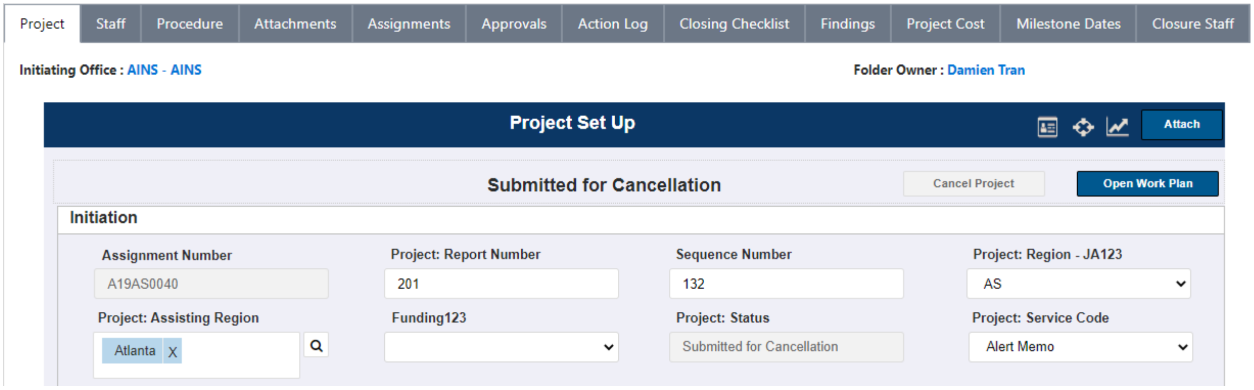
7. The workspace refreshes, and the *Project Set Up* form appears, which includes the *Initiation* and *Audit Information* sections described in the Project Set Up section. Complete all required fields (indicated by a red border).



8. Click **Save.**



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

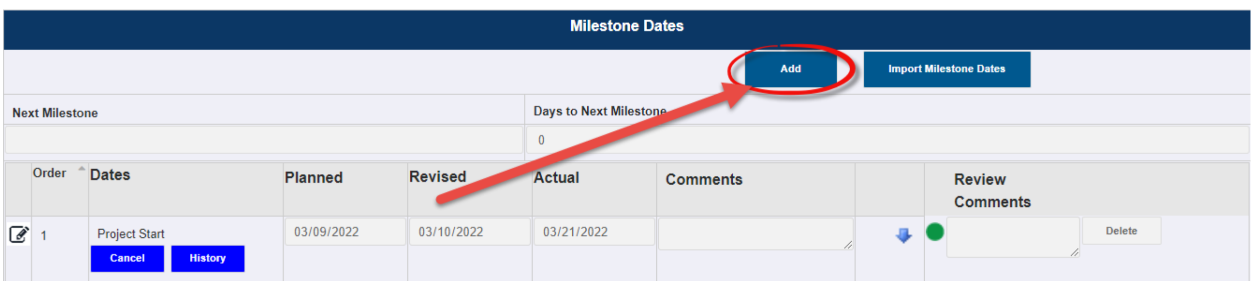


3.2 Project Milestone Dates

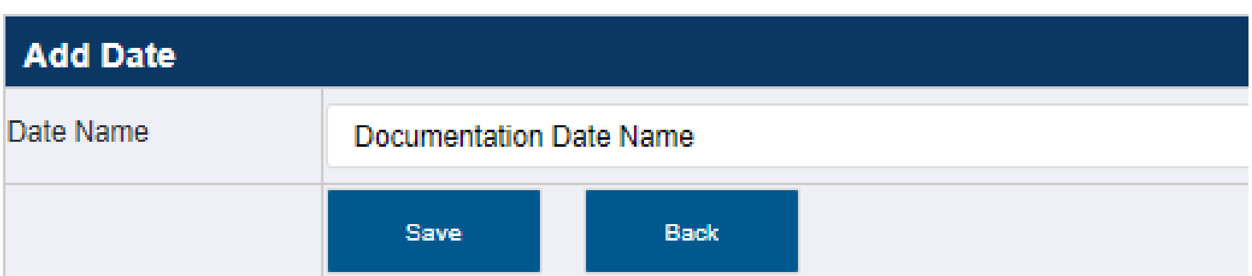
Each Project has its own set of associated *Milestone Dates*. These dates are specific to the Project and are recorded on the *Project Milestone Dates* tab. It is important to note that just like the main *Project* form/tab, only users with the *Project Administrator* or *Project Owner* role are allowed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

3.2.1 Adding Milestone Dates

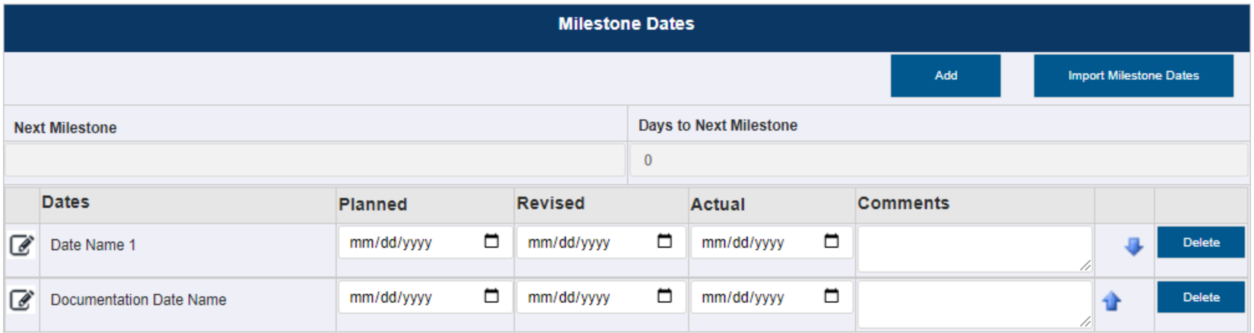
1. The Project Administrator or Project Owner must open a project and click the **Milestone Dates** tab.
2. Click **Add**.



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



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

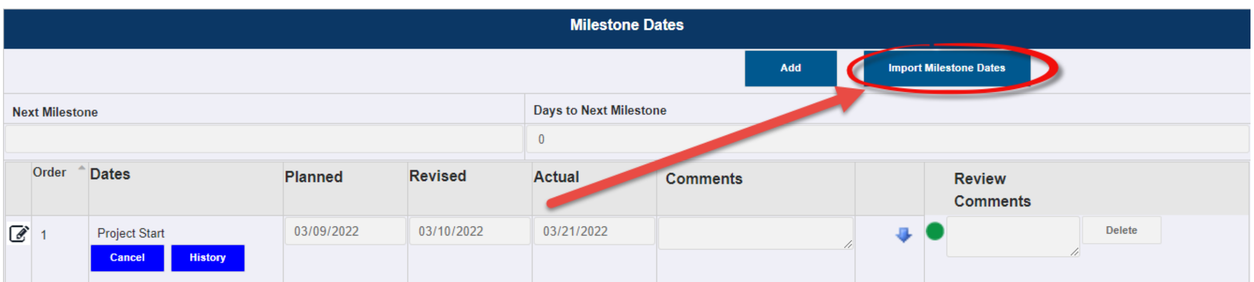


(!!) Note: Any existing *Milestone Dates* from the Project Template that was used for the project are automatically imported and displayed in the *Dates* table.

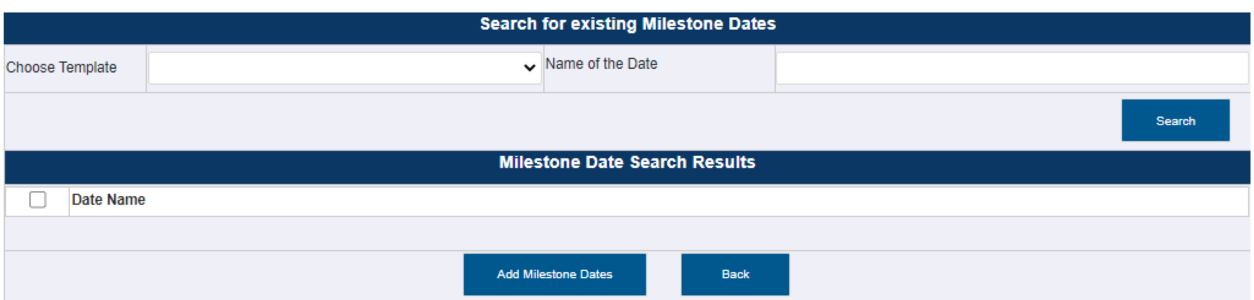
3.2.2 Importing Milestone Dates

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

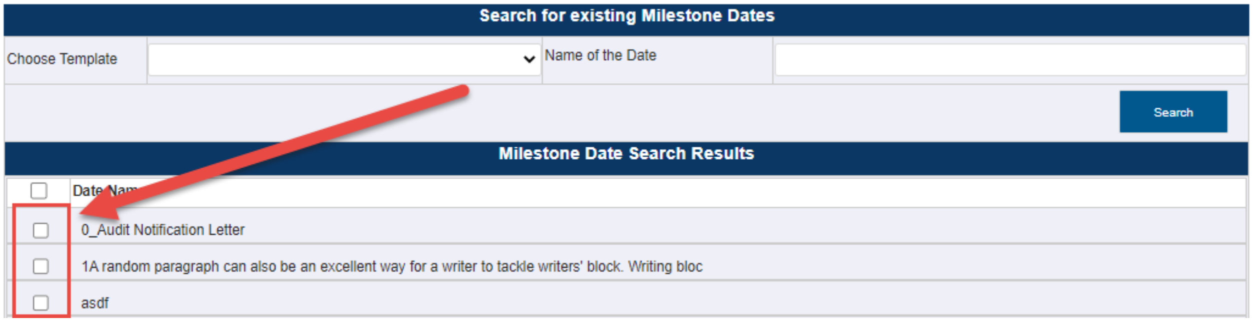
1. The Project Administrator or Project Owner must open a project and click the **Milestone Dates** tab.
2. Click **Import Milestone Dates**.



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.

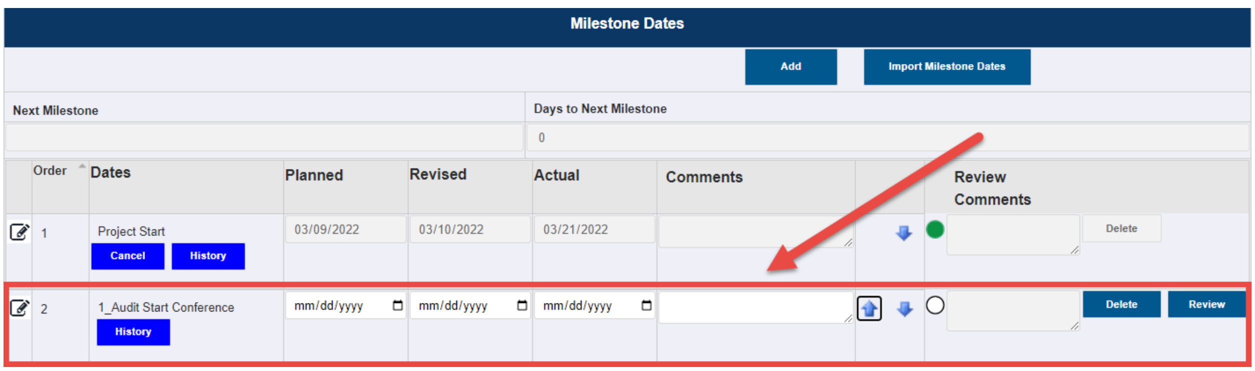


4. Click **Search**. The workspace refreshes and displays a set of search results which match the search criteria.
5. Click the **checkboxes** adjacent the Date Names to import.



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

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



3.2.3 Using the Milestone Dates Workspace

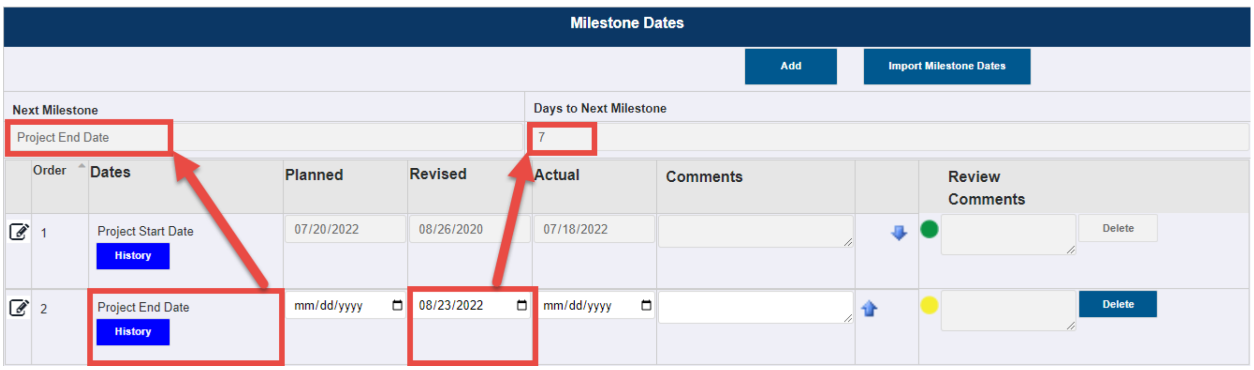
There are three date fields available for each Milestone: *Planned*, *Revised*, and *Actual*. These fields are used to calculate and populate the *Next Milestone* and *Days to Next Milestone* fields in the *Milestone Dates* and *Project* tabs. Use the date picker to select each date in the workspace.

- *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.

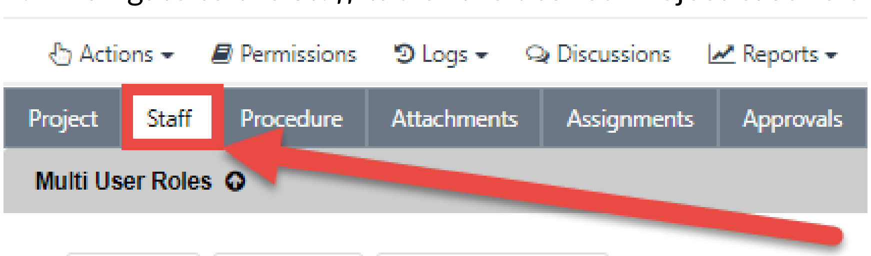
After the dates are provided and the form is saved, the *Next Milestone* and *Days to Next Milestone* fields are calculated using today's date as seen in the example image below. In the example below, 'Date Name 1' was completed, which is shown by an *Actual* date selected in the table. The *Next Milestone* 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.



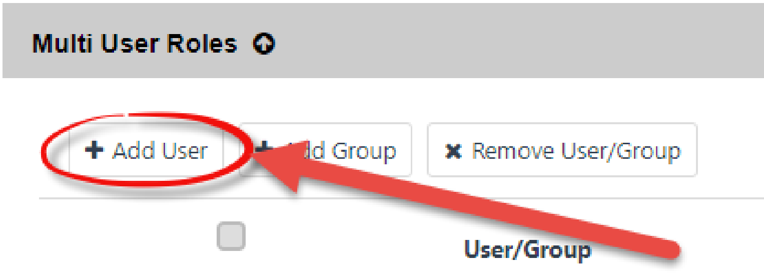
3.3 Adding Staff

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.



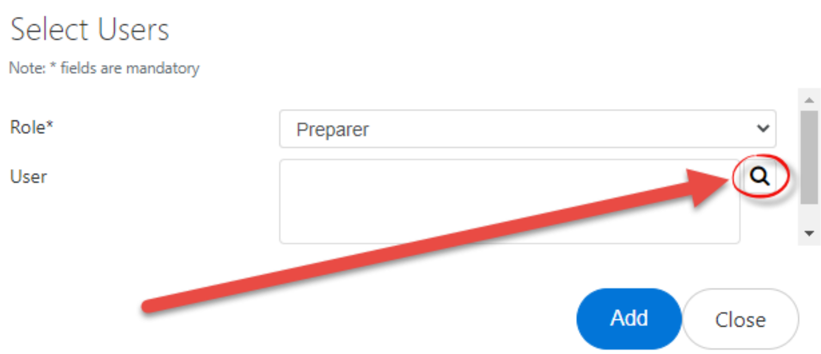
2. Click **Add User**.



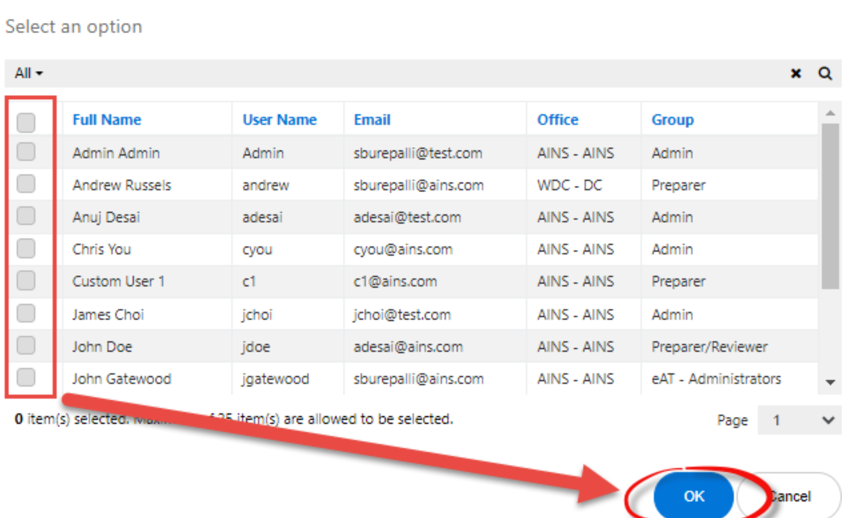
3. The *Select User* pop-up window appears. Select the **user role** from the *Role* drop-down list.

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

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



5. 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**.



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

7. 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

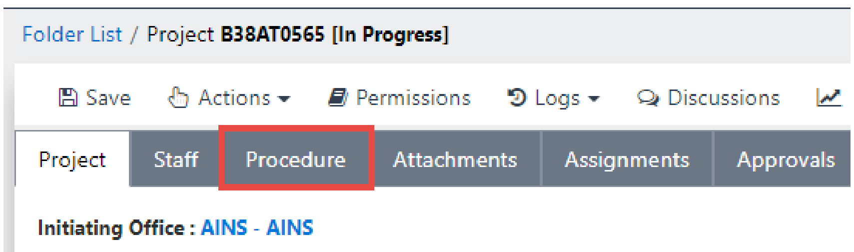
The audit program populates information based on the template chosen during work topic configuration. The audit program displays a list of procedure groups and procedures that have already been created within project templates. Users can create additional procedures and procedure groups in the project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

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

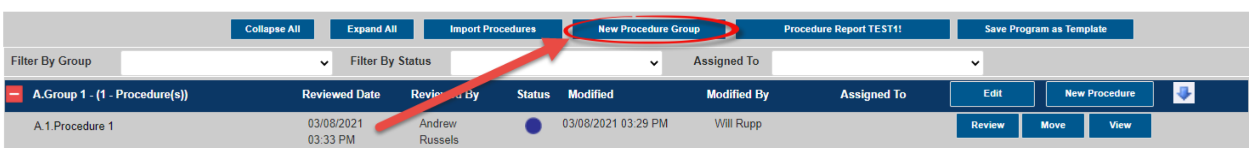
3.4.1 Create New Procedure Group

To create a new procedure group:

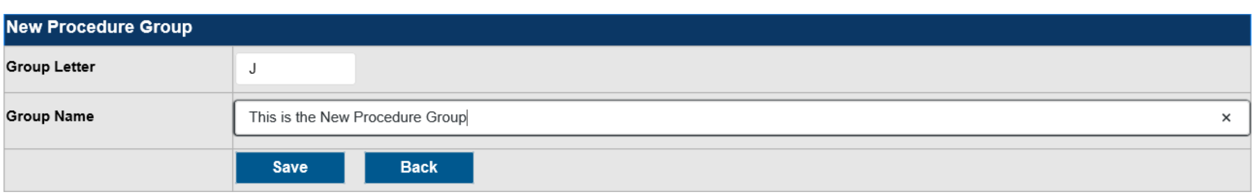
1. Open the desired Project case folder and navigate to the *Procedure* tab.



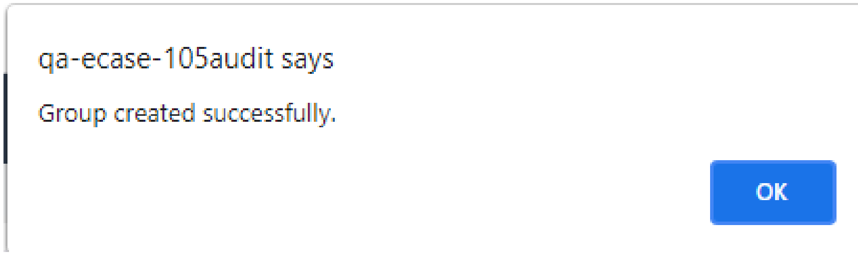
2. Click **New Procedure Group**. The group letter field automatically populates based on any previously existing procedure groups.



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



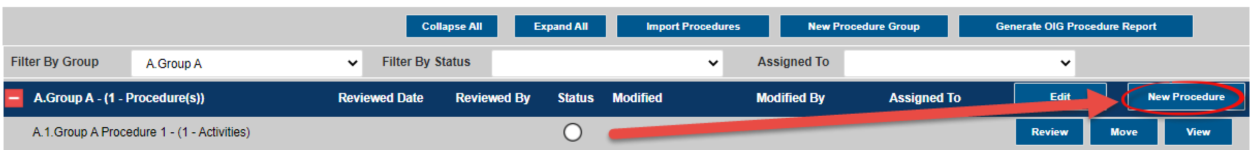
4. Click **Save**.
5. A confirmation window appears. Click **OK**. The pop-up window closes, and the Procedure workspace displays the newly added Procedure Group.



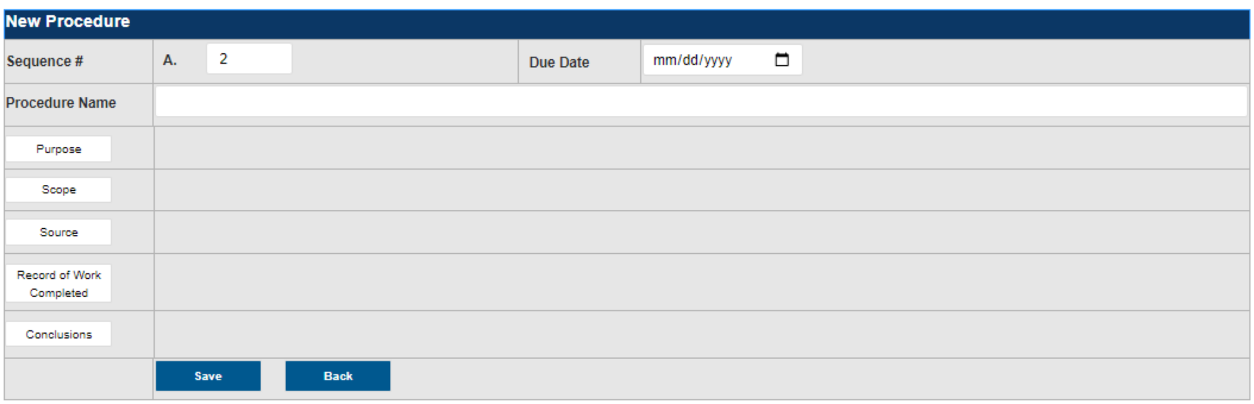
3.4.2 Create New Procedure

To create a new procedure:

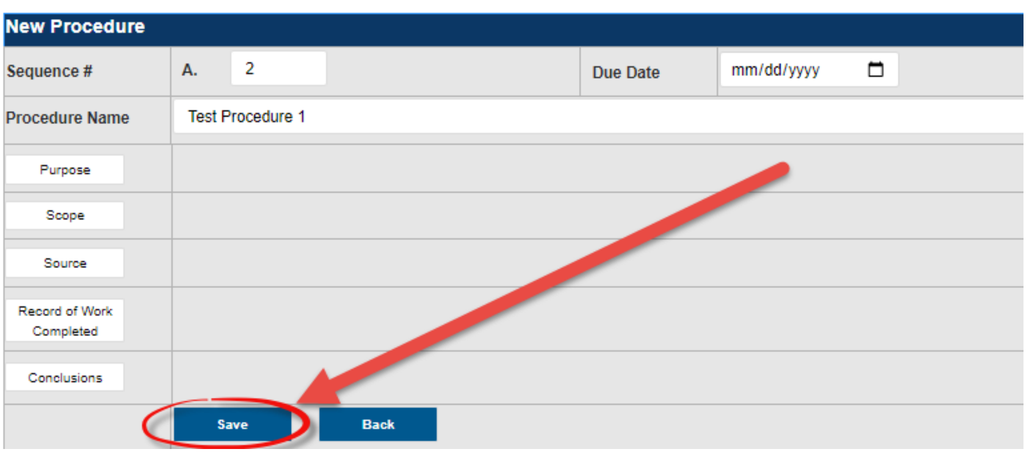
1. Open the desired Project case folder and navigate to the *Procedure* tab.
2. Click **New Procedure** within the desired procedure group.



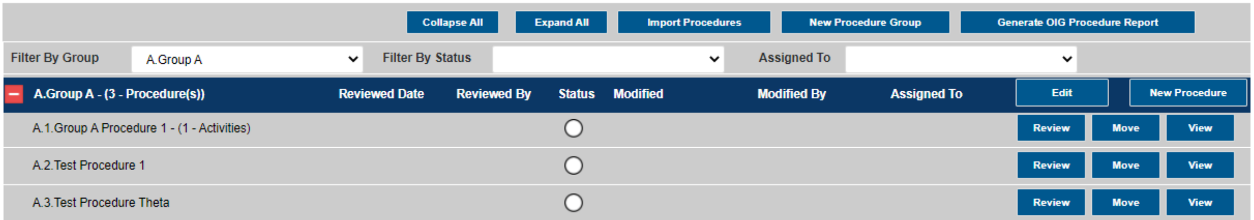
3. The workspace refreshes to display the *New Procedure* workspace. Enter the **Procedure Name** into the *Procedure Name* field.



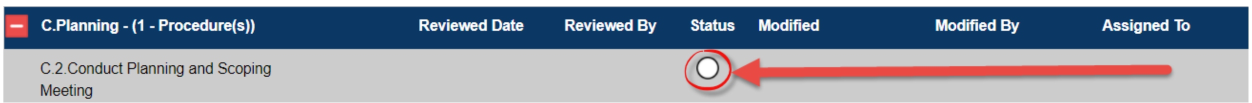
4. Click **Save.**



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

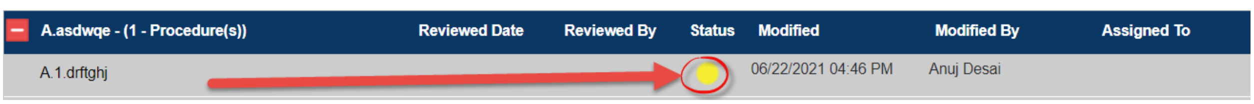


(!!) Note: New procedures enter the program in Created status, as indicated by the white circle. Procedures shift from Created to Prepared status only after they are sent for review.



3.4.3 Preparing Proposed Procedures for Approval

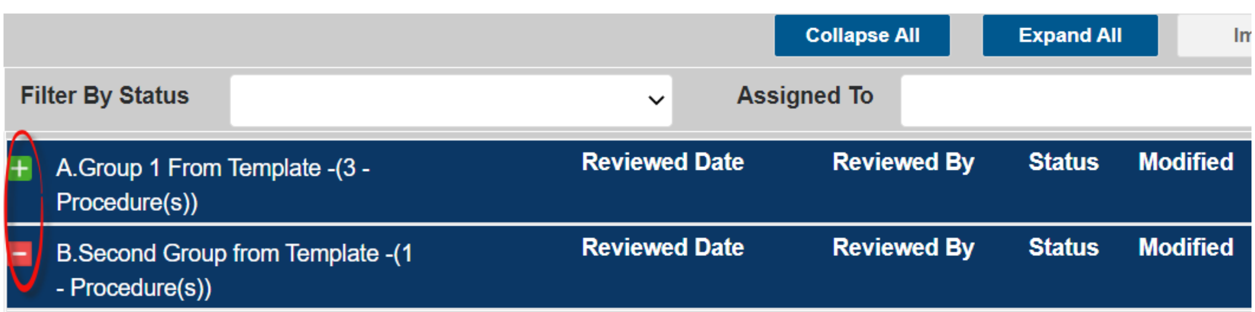
New procedures enter the program in *Created* status, indicated by a white circle within the procedure entry. *Created* procedures are typically modified before being sent for review and entering the *Prepared* status; however, it is not necessary to do so if all the required information was added to 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.



To complete each of the procedure elements:

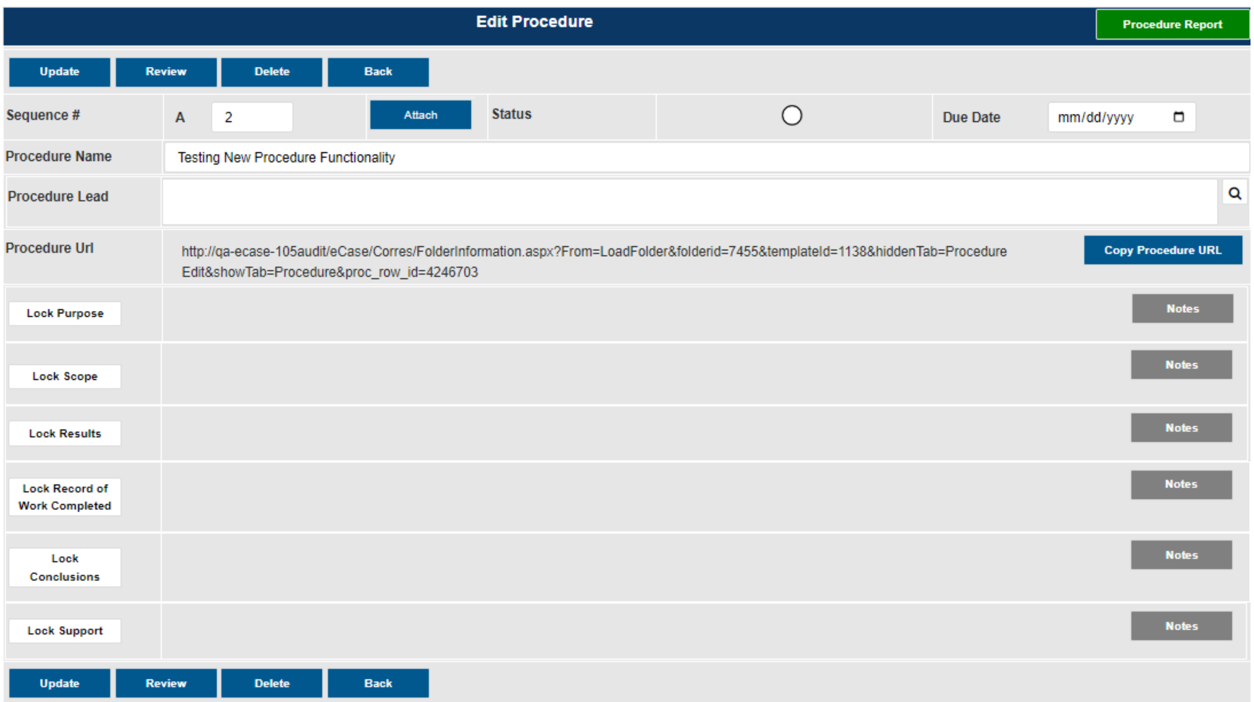
1. Click (**+**) to expand the procedure group. The page refreshes to display additional information, and the Green (+) button becomes a Red (–) button.

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

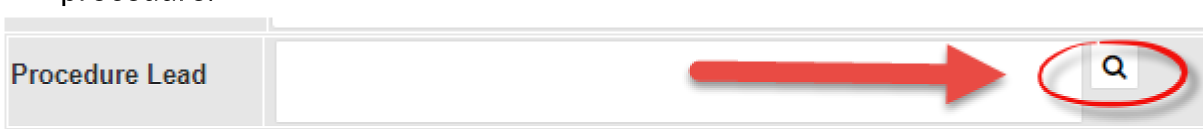


2. Click **View** to make changes to the procedure.

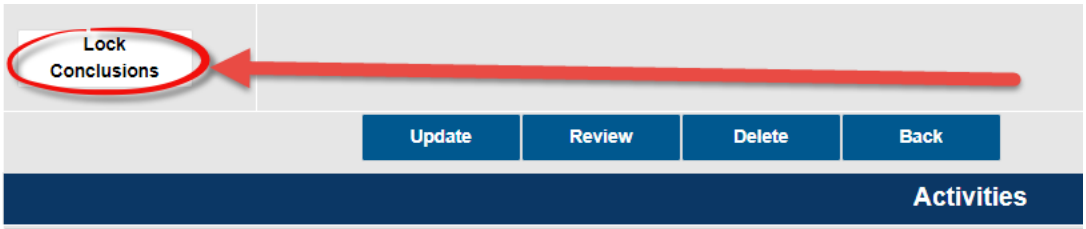
3. The *Edit Procedure* workspace appears and includes the following features:
   a. *Sequence*: Captures information on this procedure's place in the sequence and includes an Attachment button.
   b. *Procedure Lead*: Select a user to act as the lead user for this procedure.
   c. *Procedure URL*: Copy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



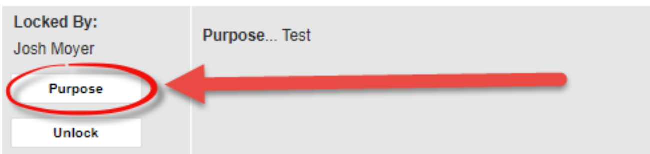
4. Use the **Lookup** tool to select a *Procedure Lead*, the user who is responsible for this procedure:



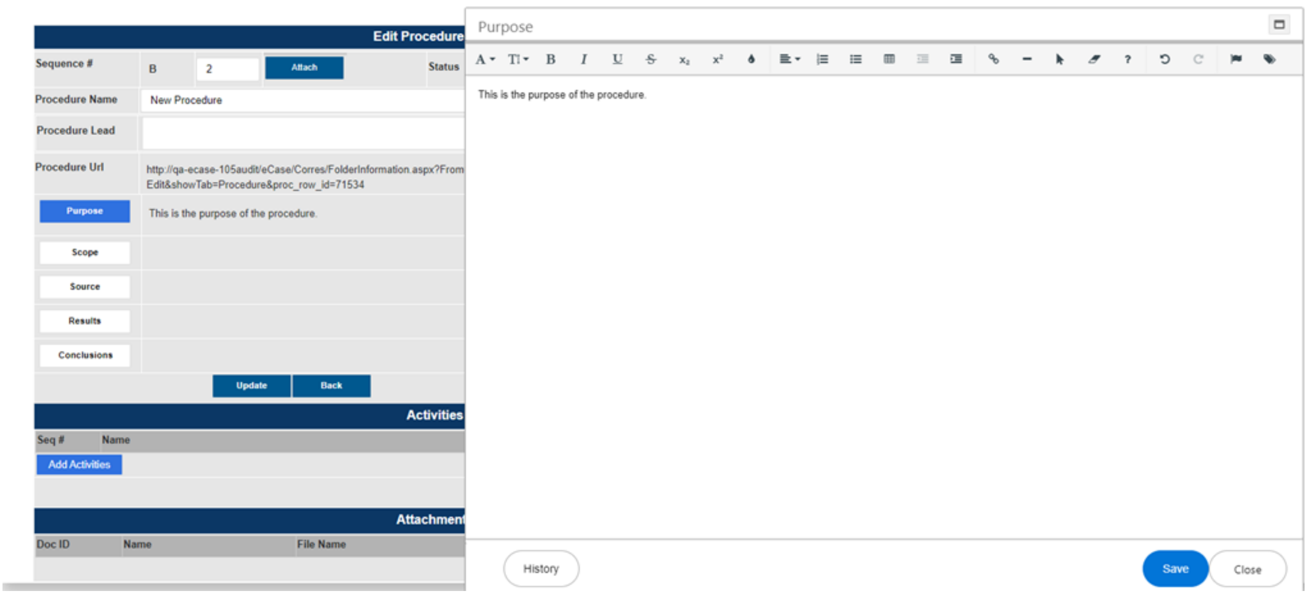
5. The *Select Item* pop-up window appears. Click the radio button adjacent the desired user and then click **OK**.
6. Update the Procedure sections (*Purpose*, *Scope*, *Source*, *Results*, *Conclusions*), by clicking the corresponding **Lock Procedure Section** button. The workspace refreshes to display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



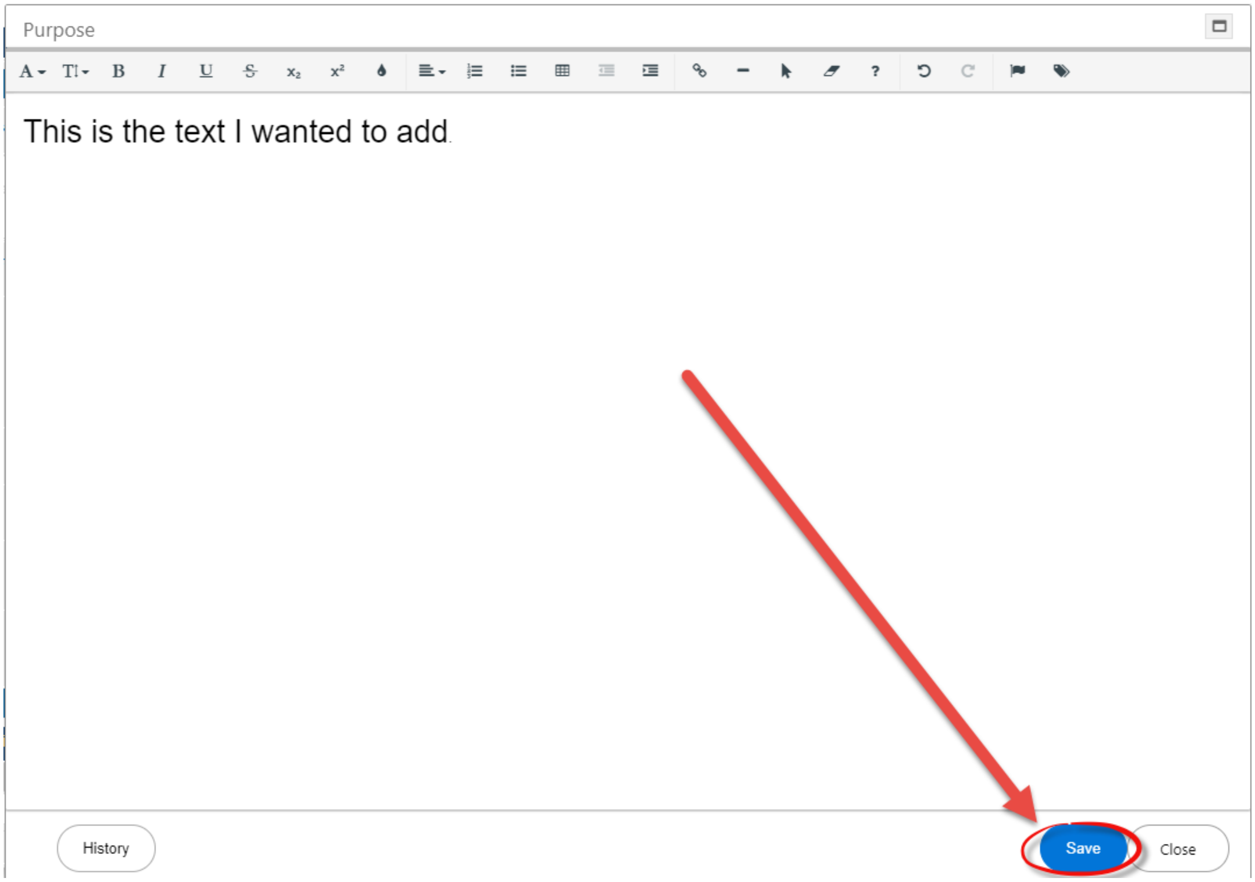
7. Click the desired **Procedure Section** button to open the element editor.



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



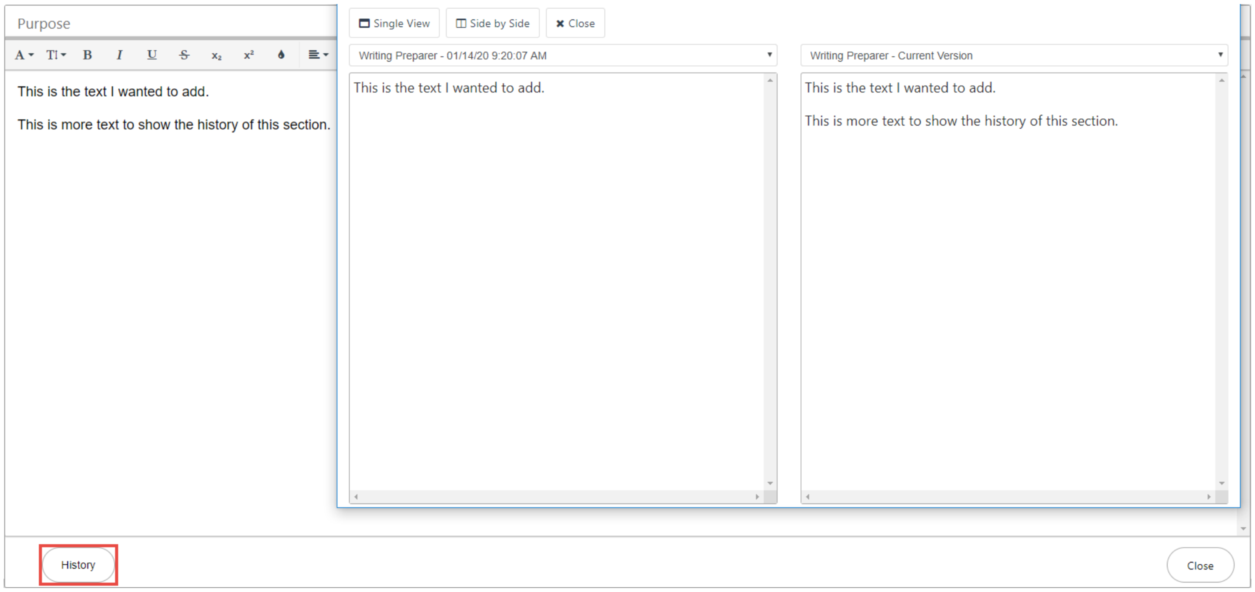
9. After sufficient information has been added or updated, click **Save.**



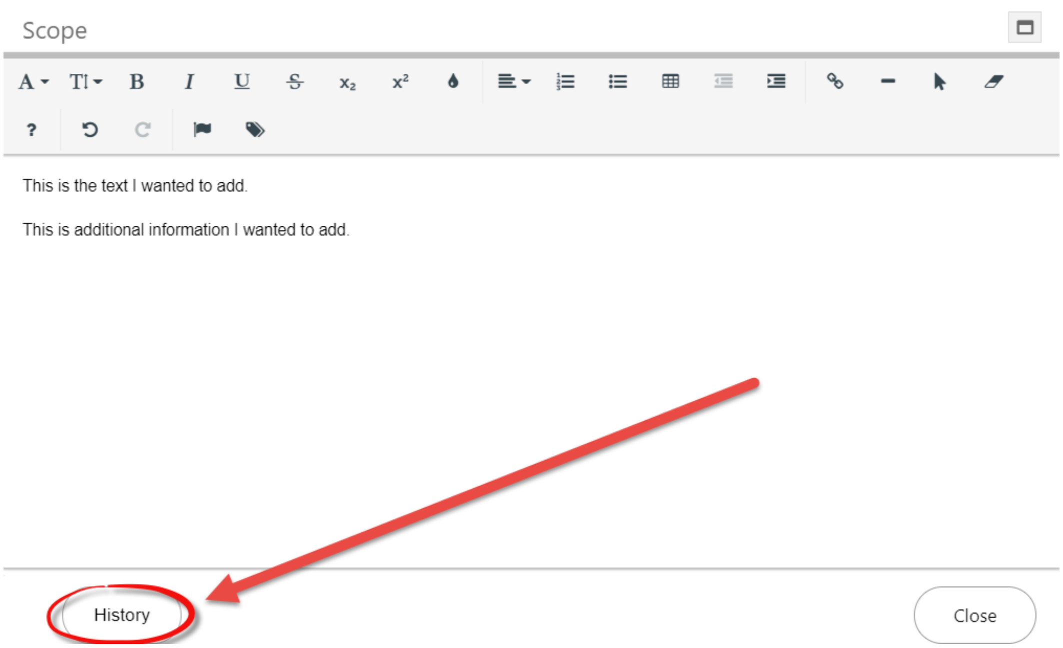
10. Provide additional information for all remaining procedure elements (*Purpose*, *Scope*, *Source*, *etc.*).

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

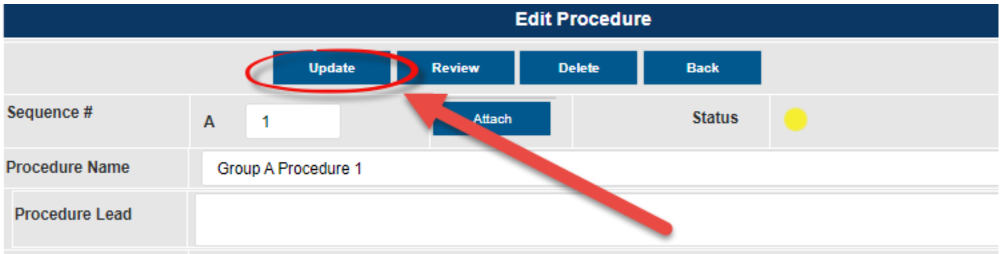
11. Each procedure element's *History* is tracked individually, allowing users to view edits made by any other user (using *Single View*), as well as view side-by-side (using *Side by Side View*) as shown in the example below:



(!!) 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.

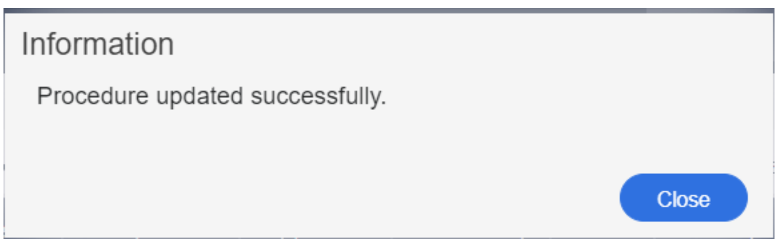


12. After the desired fields are completed, click **Update** in the *Edit procedure form*.



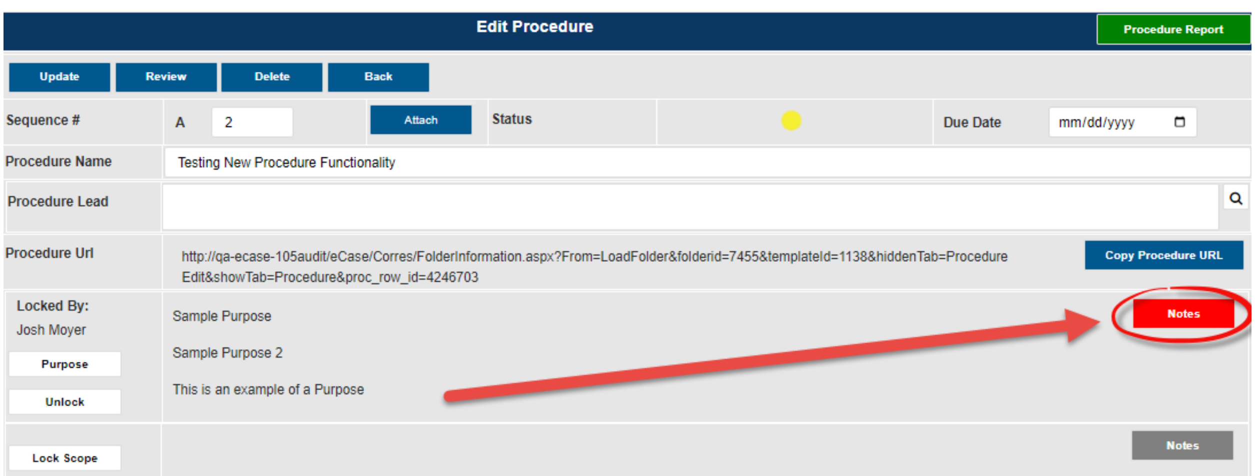
(!!) Note: After completing the required procedure elements, users can also attach documentation to the procedure.

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



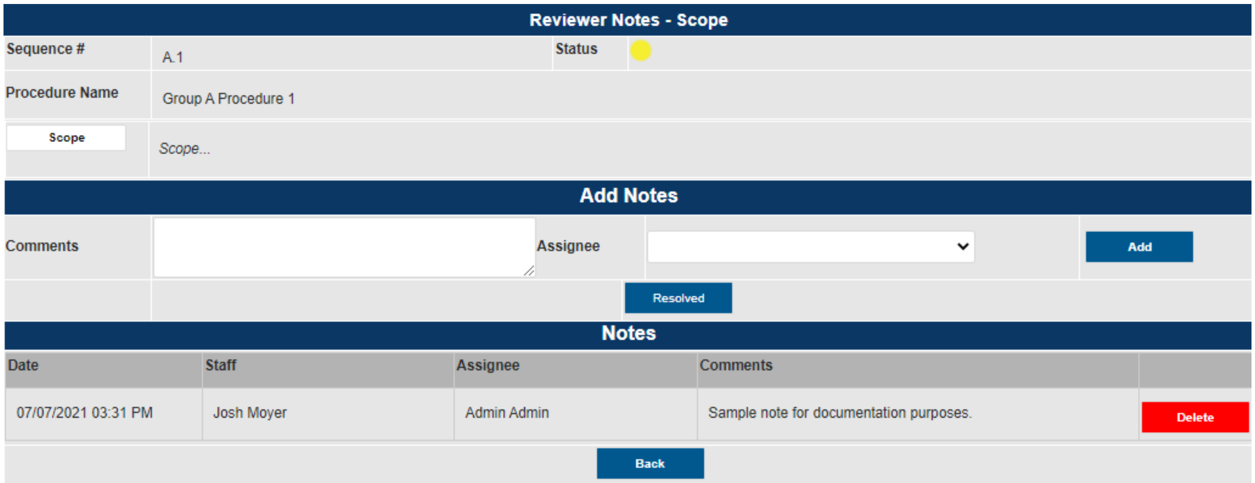
3.4.4 Procedure Notes

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:



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

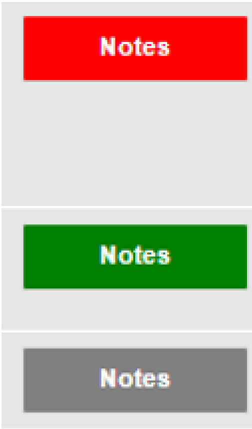
(!!) Note: The Procedure status must be Created, Modified, Reviewed, or Post Edit Review status before Notes can be added to the case folder.



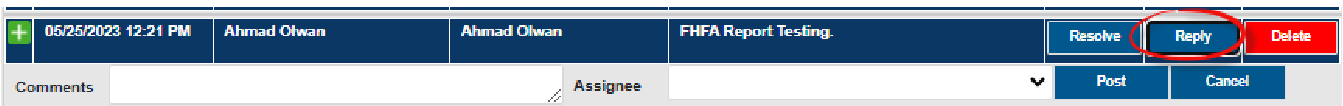
Notes can be added to a procedure element under the *Add Notes* section. Enter the relevant information in the *Comments* field, select an *Assignee* from the drop-down list, and click **Add** to add the note.

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.

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**:



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.

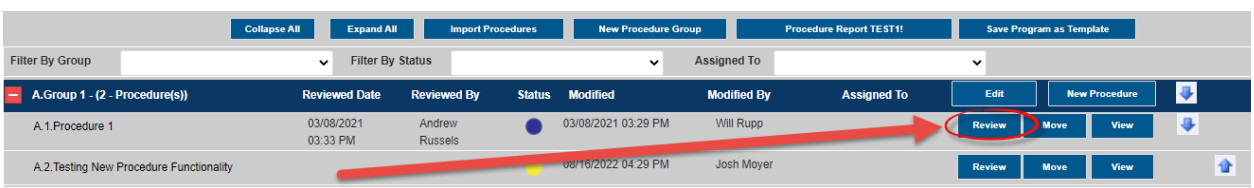
3.5.2 Sending Procedures for Review

Procedures can be sent for review individually or in bulk.

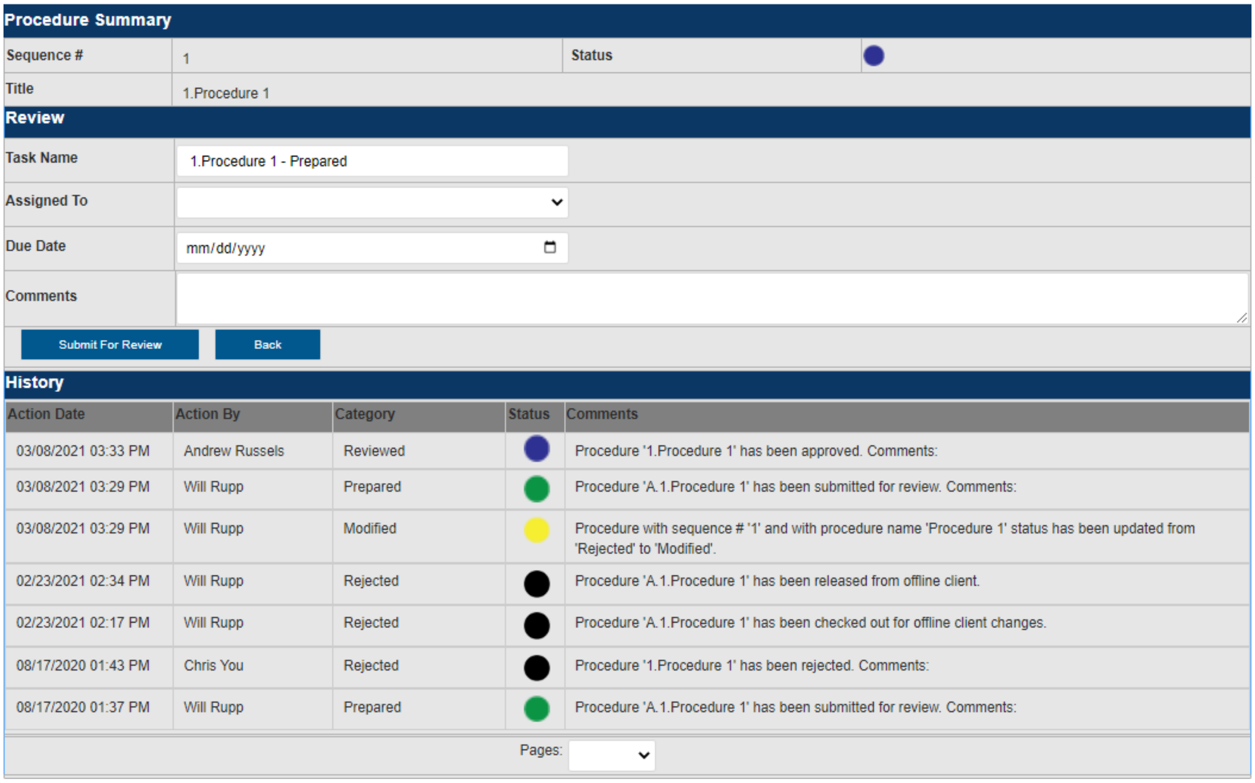
3.5.2.1 Send Single Procedure for Review

To send a single procedure for review:

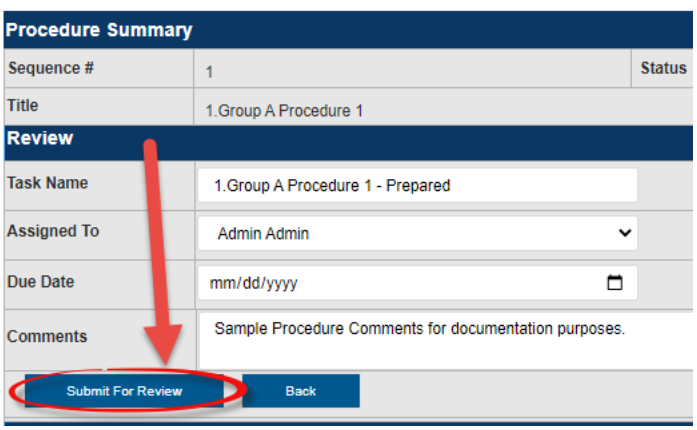
1. Open a Project case folder and navigate to the Procedure tab.
2. Click **Review** in the Procedure to send for review.



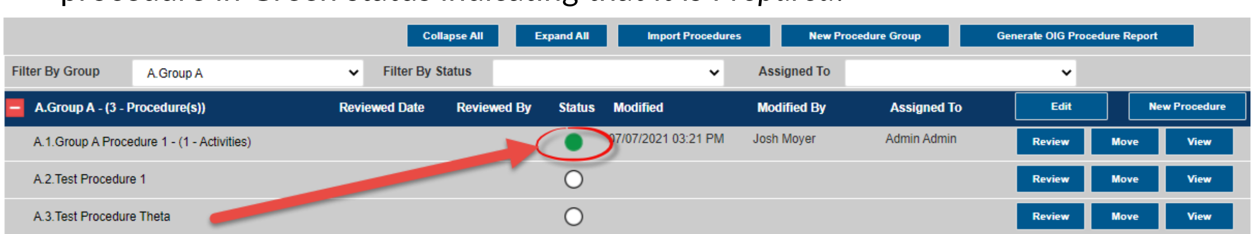
3. The tab refreshes to display the *Procedure Summary* workspace. Any previously completed Reviews are visible in the History subsection. Select the **Assignee** from the *Assigned To* drop-down list.



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



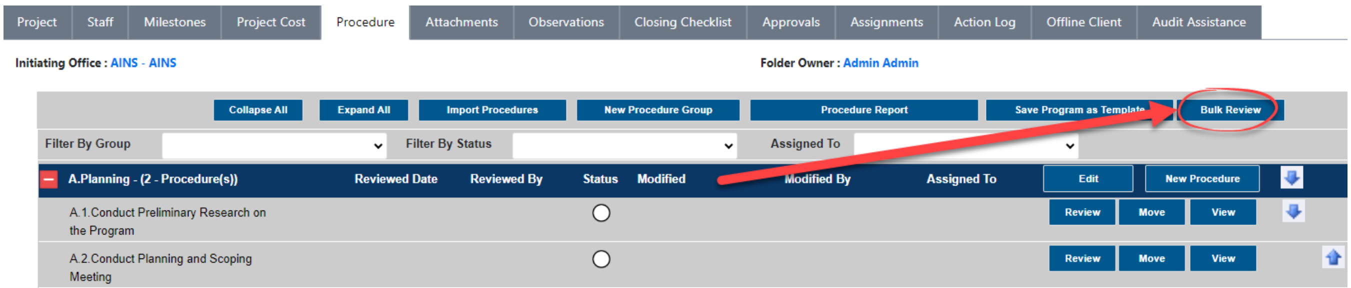
6. The workspace refreshes to display the full *Procedure* tab, which shows the submitted procedure in Green status indicating that it is *Prepared*.



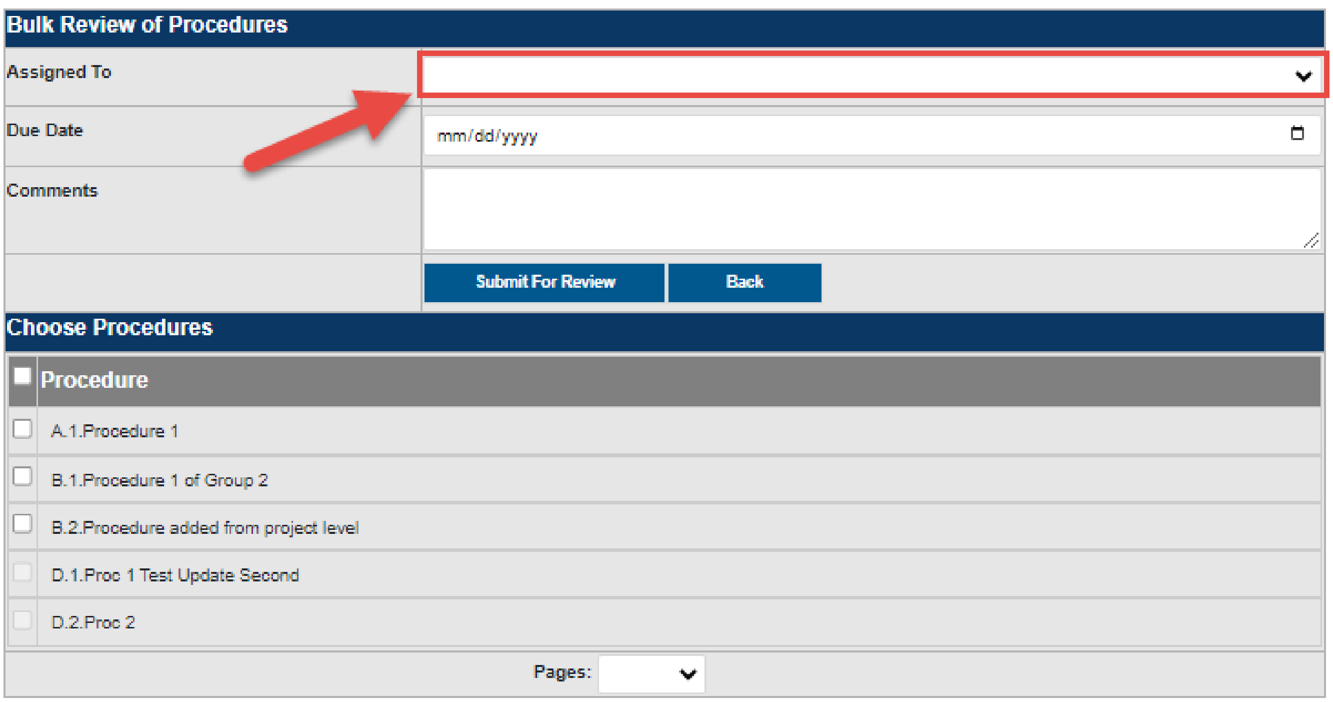
3.5.2.2 Send Procedures for Bulk Review

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

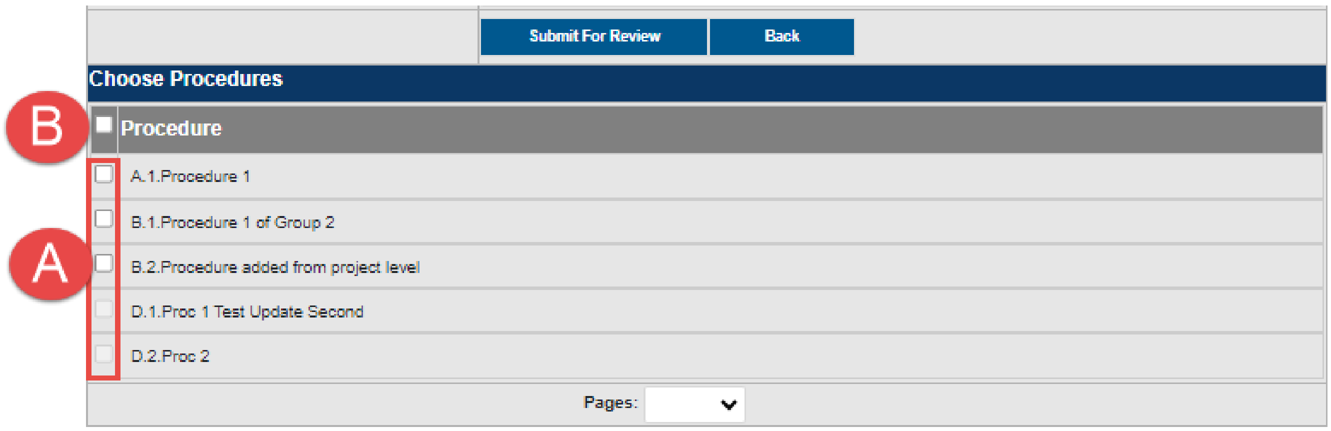
1. Open the Project case folder and navigate to the Procedure tab, then click **Bulk Review**:



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



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:



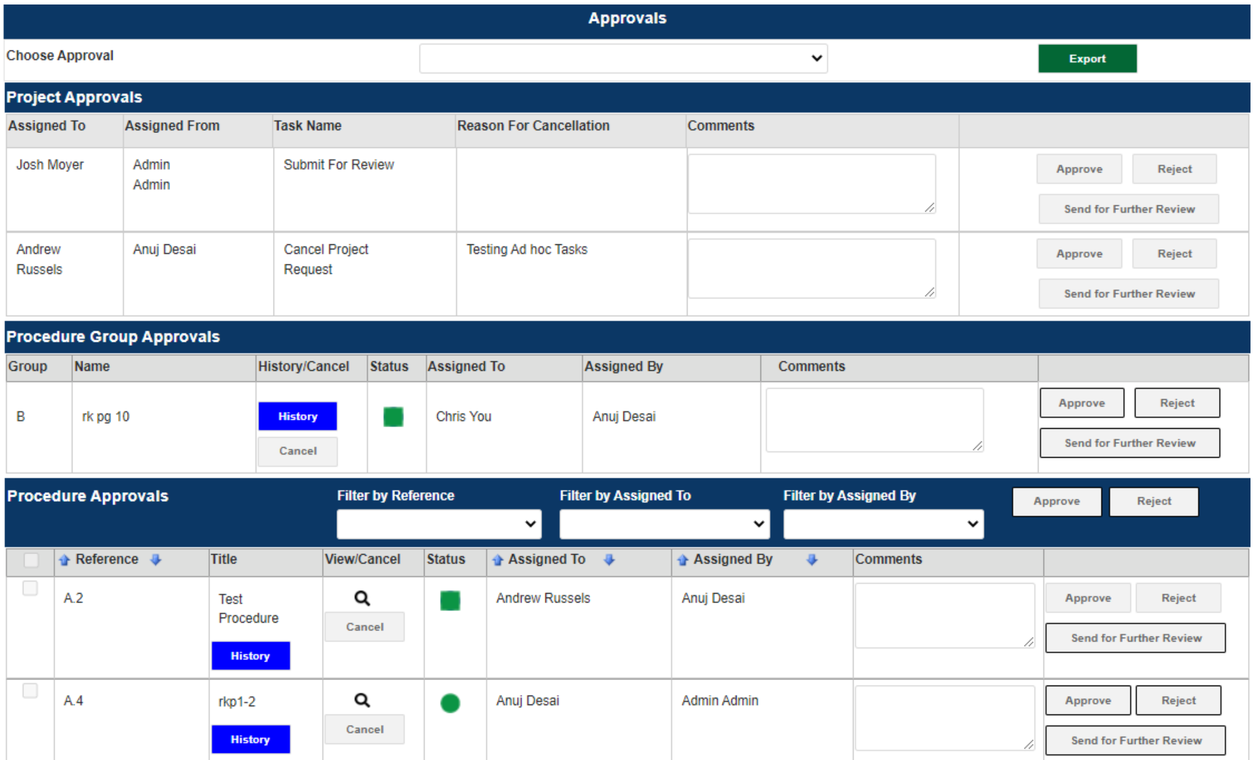
5. When you've selected the procedures for review, click **Submit for Review.**

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:

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

2. 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.

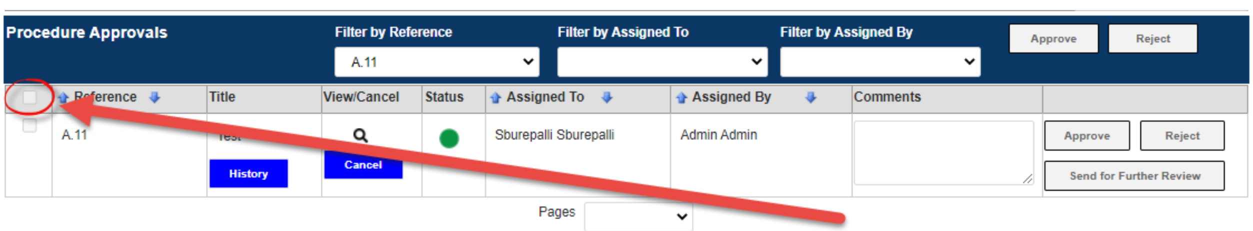


3. You can utilize the following features to manage, approve, or reject the procedure:

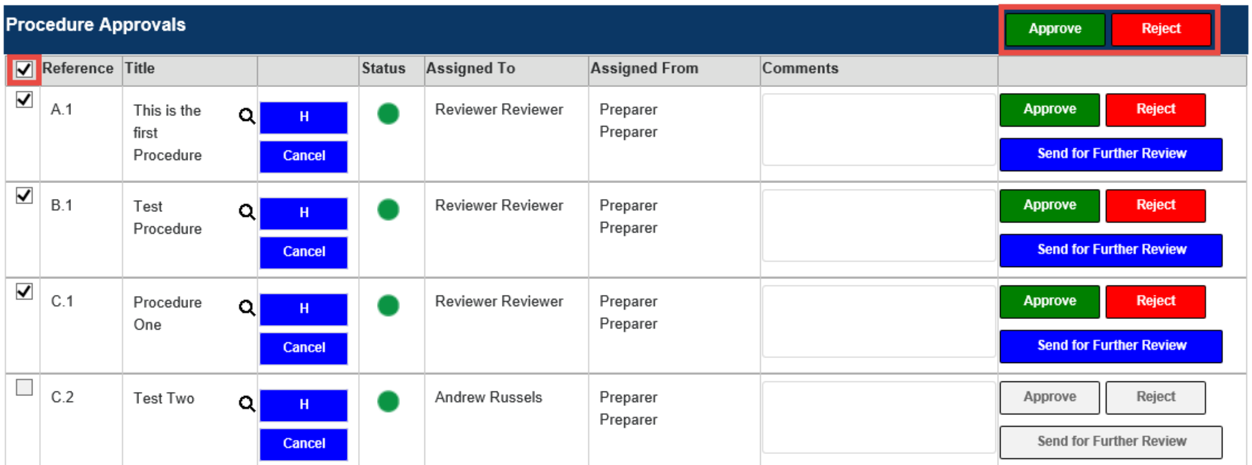
Feature	Description
History	View the Action History of the procedure/procedure group.
Cancel (Workflow)	Cancel the request if the procedure was submitted in error of if you want to cancel the procedure preparation without logging the disapproval.
View/Cancel	View the procedure details page.
Comments	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.



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.



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

4. 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.

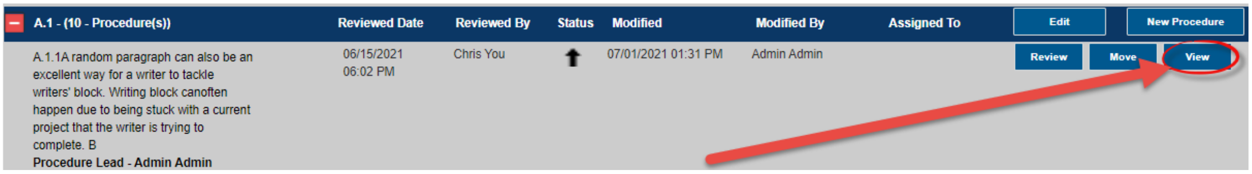
The Post Edit Review process follows the same steps detailed in the previous sections. The procedure reenters *Reviewed* status after it is reviewed/approved again.

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:

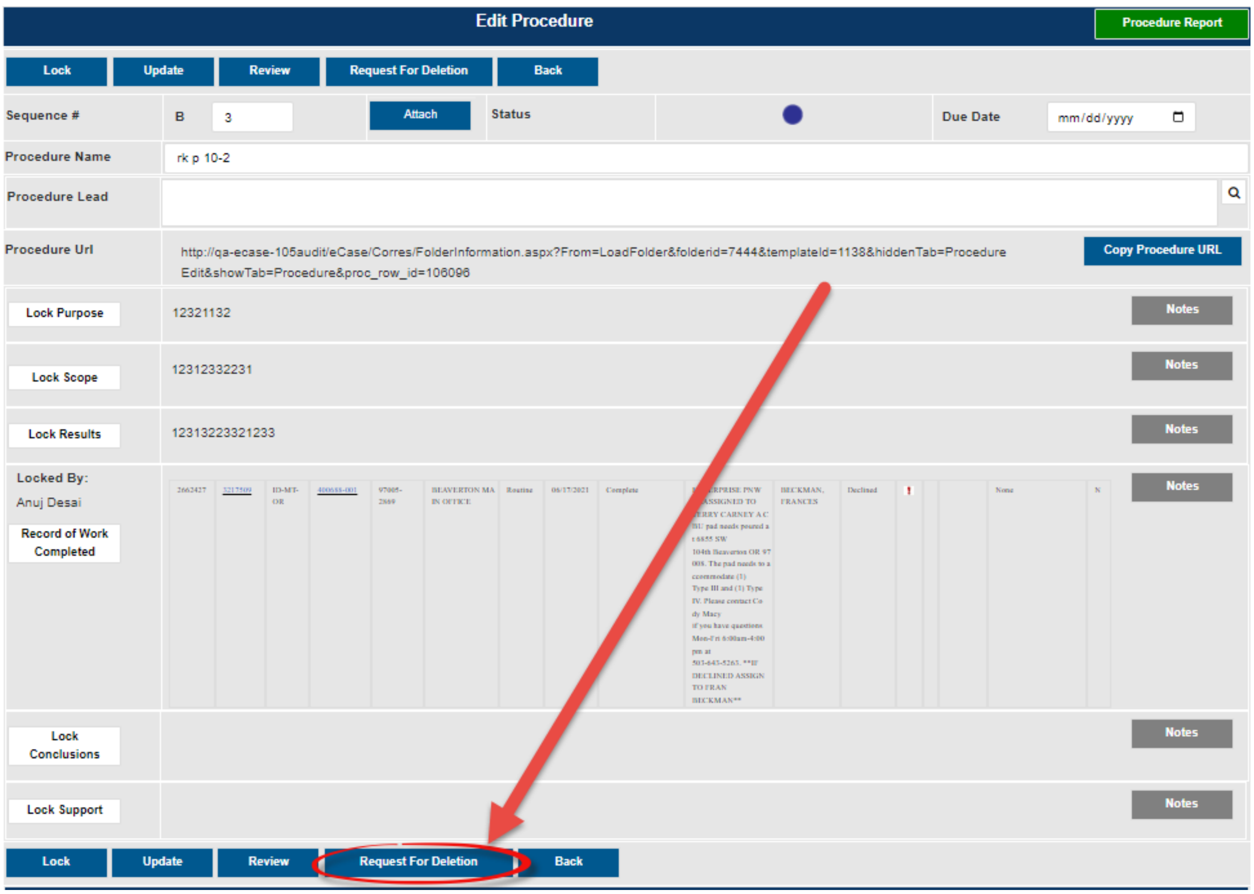
1. Open the desired Project folder and navigate to the *Procedure* tab. Click **View** in the desired procedure entry.

(!!) 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.

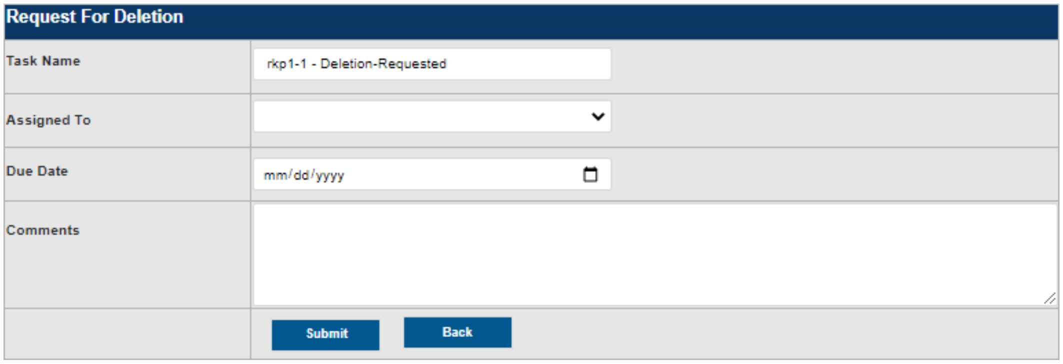


2. The page refreshes to display the *Edit Procedure* workspace. Click **Request For Deletion** in the *Edit Procedure* form.

(!!) 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.



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



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.

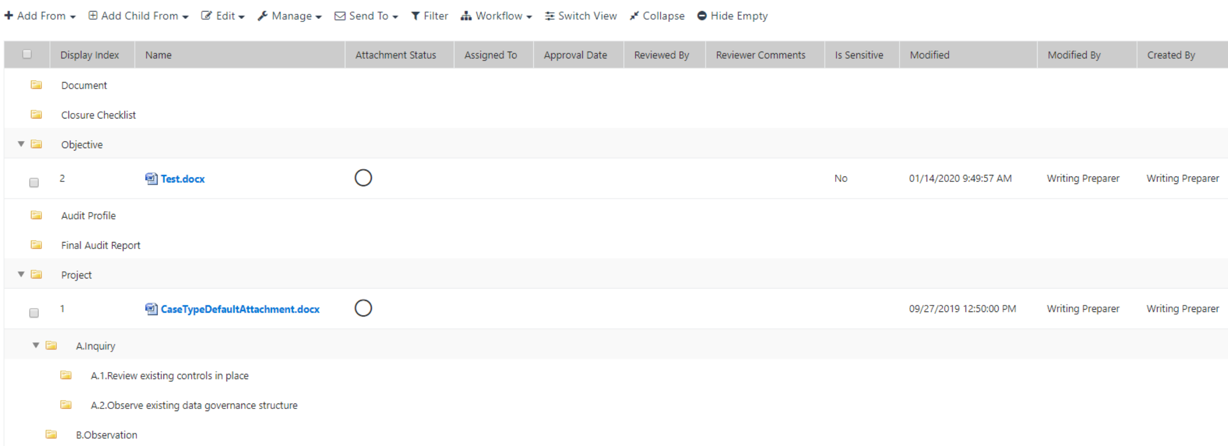
3.6.1 Attaching Documents

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.

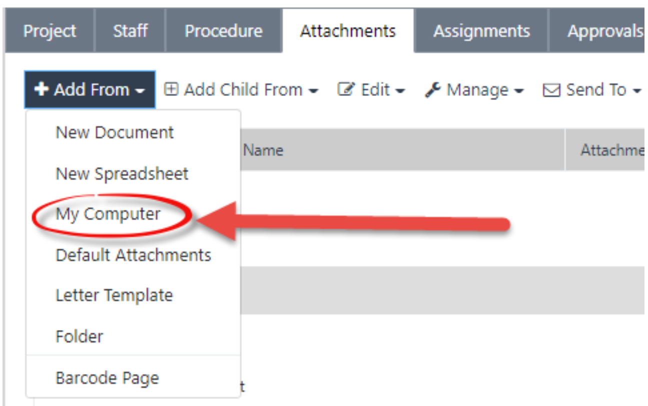
(!!) Note: There is a 190-character limit for attachment names. For ease of use, ensure that attachment names are shorter than 190 characters before adding.

To add a document via the *Attachments* tab:

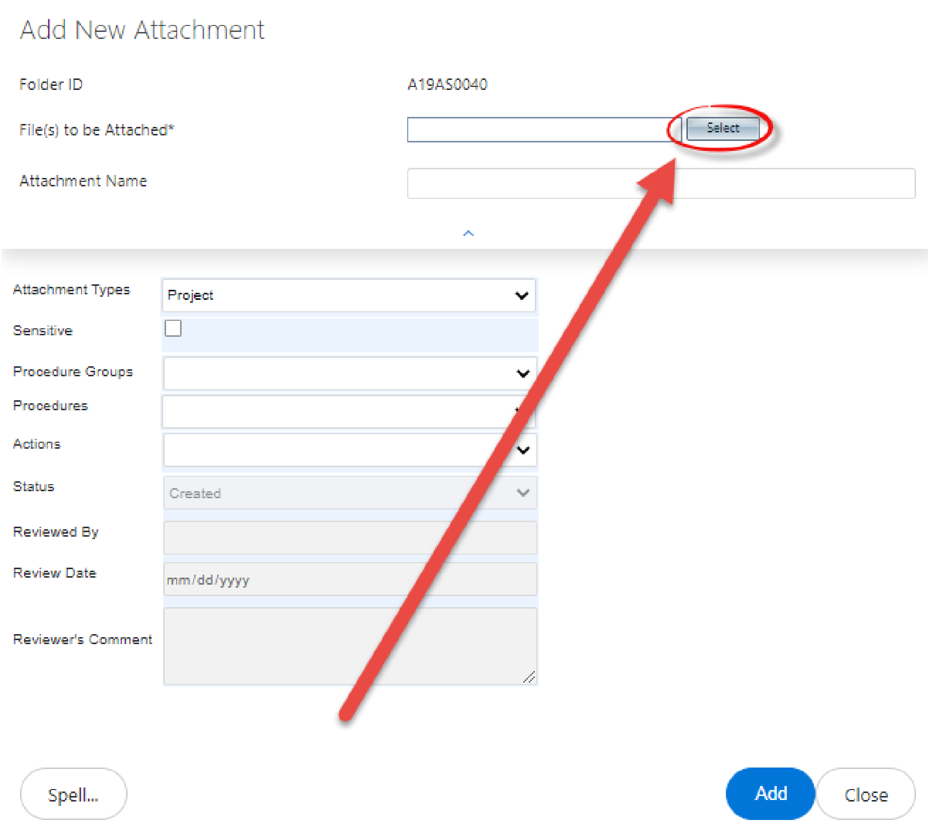
1. Open the desired project folder and navigate to the *Attachments* tab.



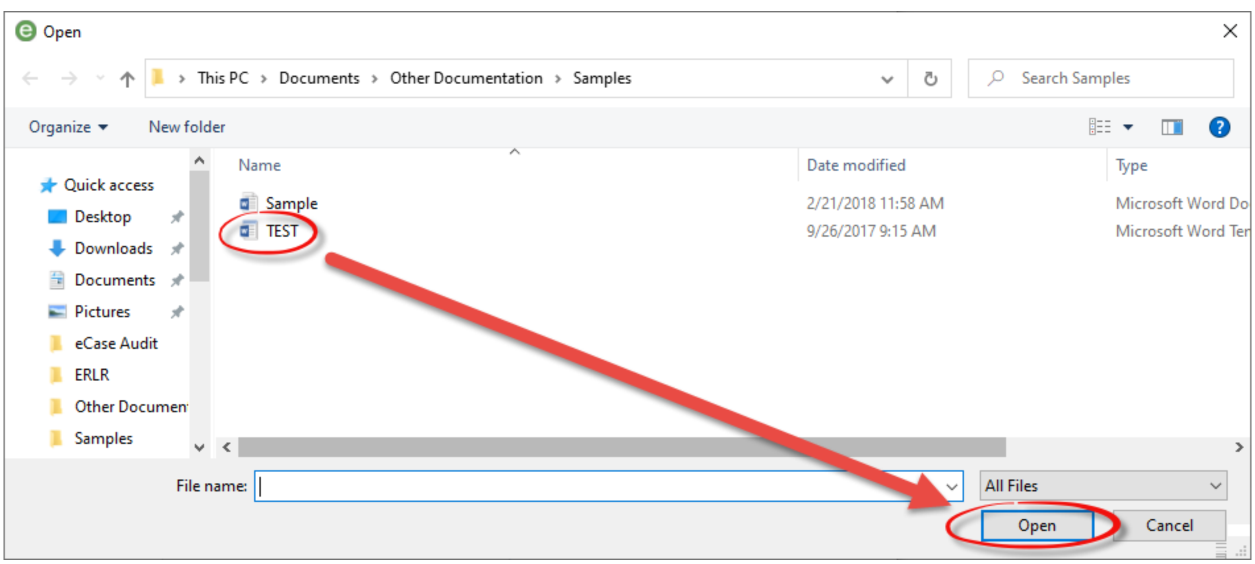
2. Select **My Computer** from the *Add From* drop-down list.



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



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.**

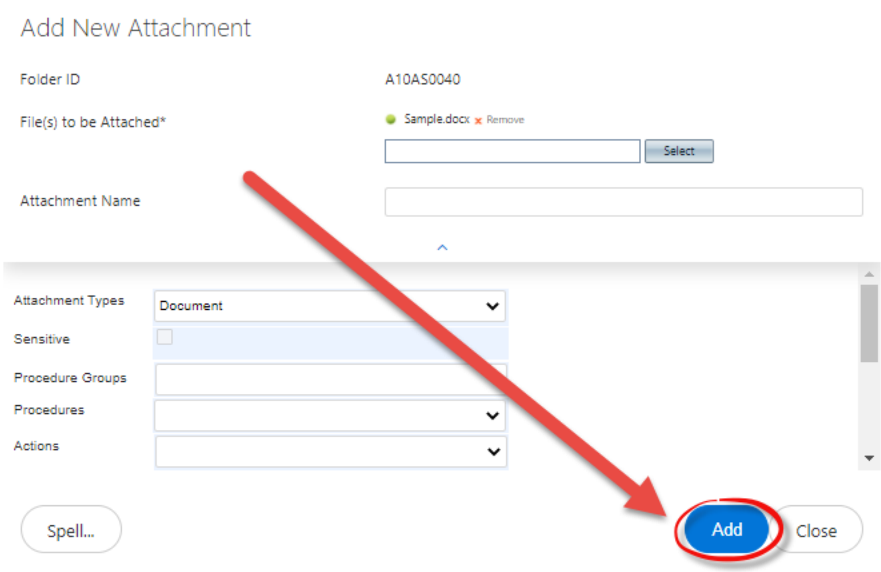
7. Click the **Sensitive** checkbox, if applicable. This checkbox is visible only to users who have been assigned to the project in the *Sensitive* role.

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

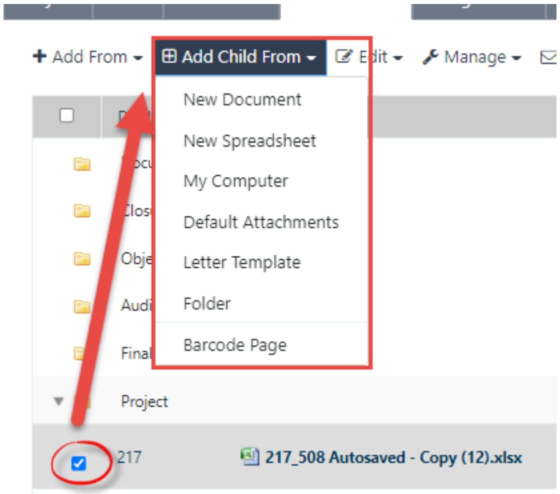
8. Select the **Procedure Groups** from the drop-down list.
9. Select the **Procedures** from the drop-down list, if applicable.
10. Select the **Actions** from the drop-down list, if applicable.

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

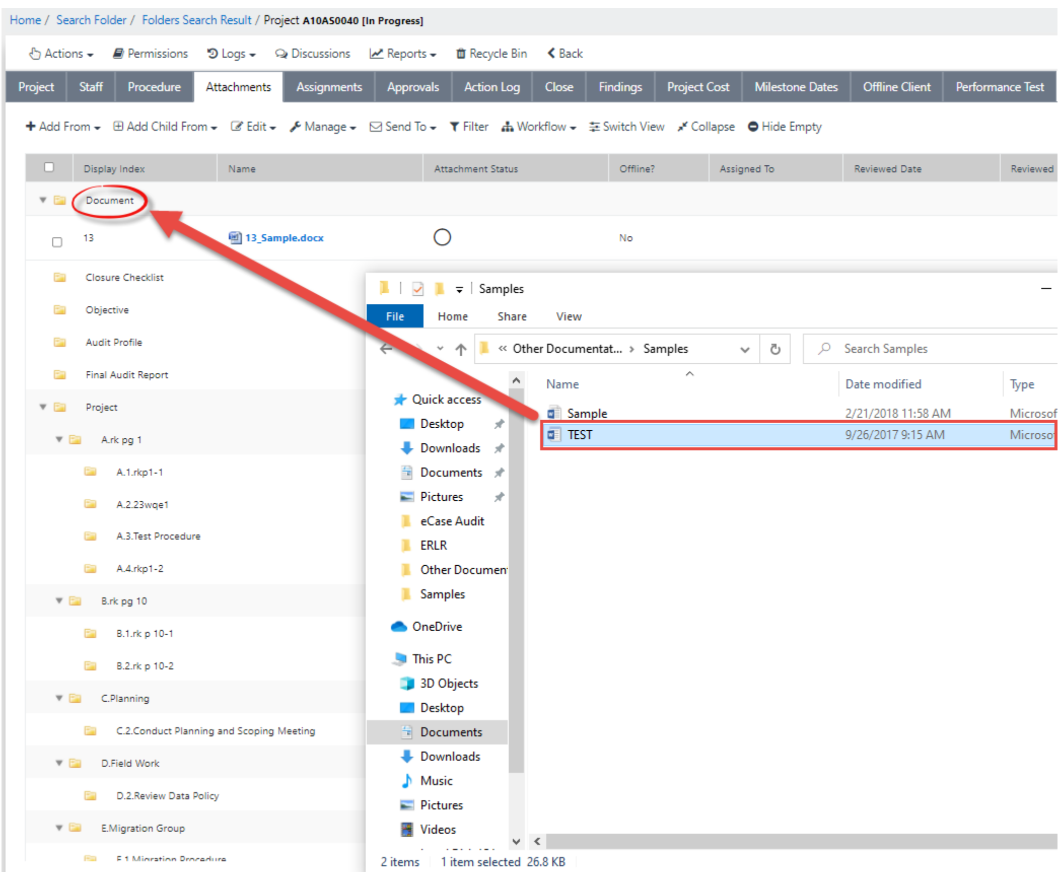
11. Click **Add**. The pop-up window closes, and the tab refreshes to display the attachment in the selected section of the folder structure. Additionally, attachments can be added to the Attachments tab via the drag and drop feature.



(!!) 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.



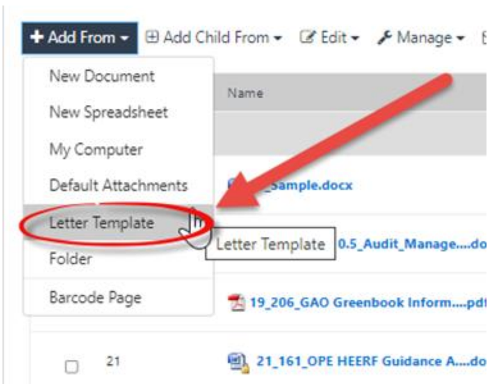
13. Complete steps 5 through 10 in the procedure above. After dropping the attachment into the Attachments tab workspace, the Add New Attachment pop up window appears.

(!!) 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.

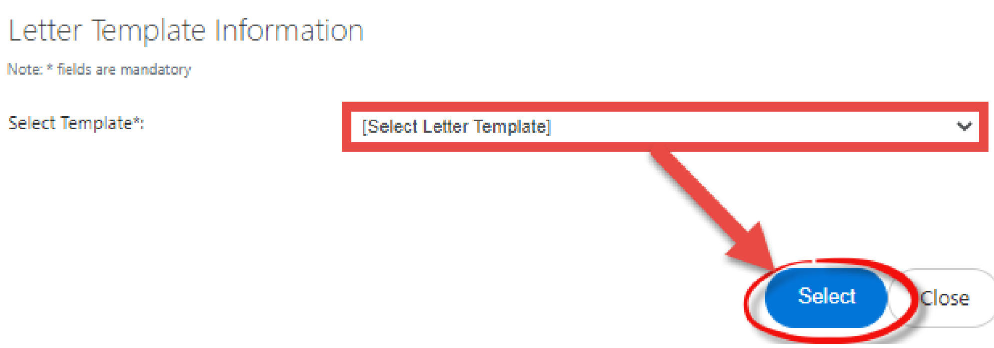
3.6.2 Uploading Documentation Using Letter Templates

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

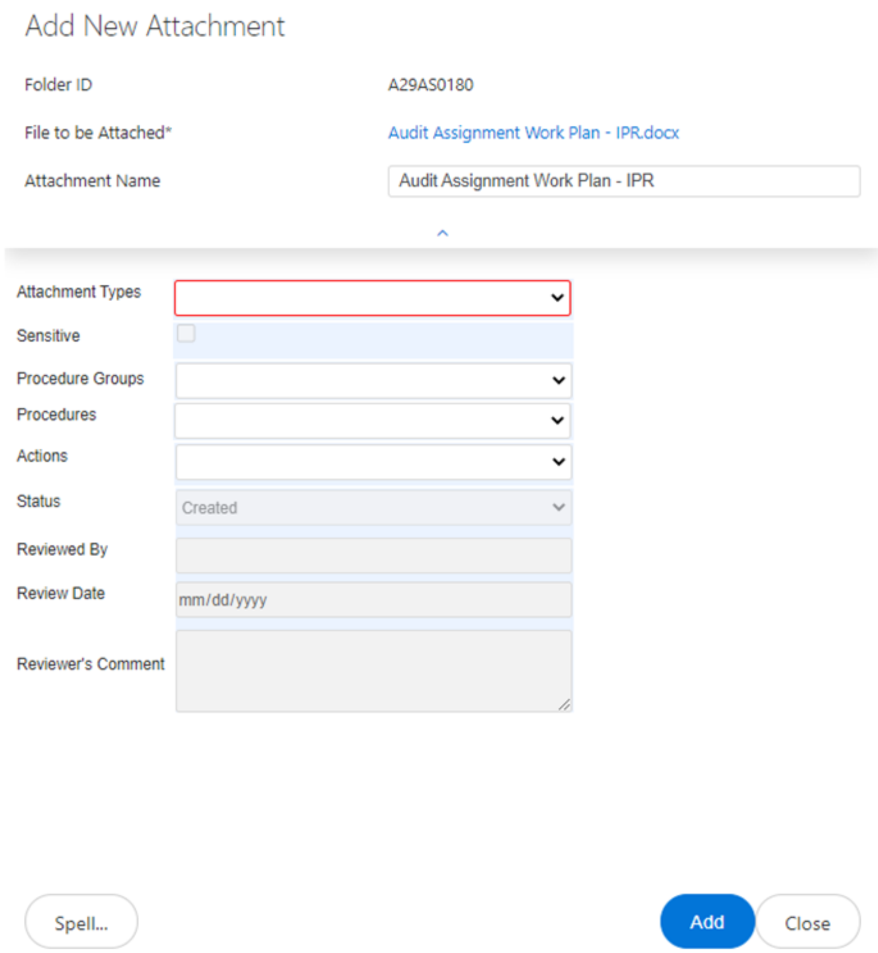
1. Navigate to the *Attachments* tab of the desired case folder.
2. Select **Letter Template** from the *Add From* drop-down lit.



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



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.



5. Complete the remaining fields within the pop-up window. Click **Add**.
6. 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.

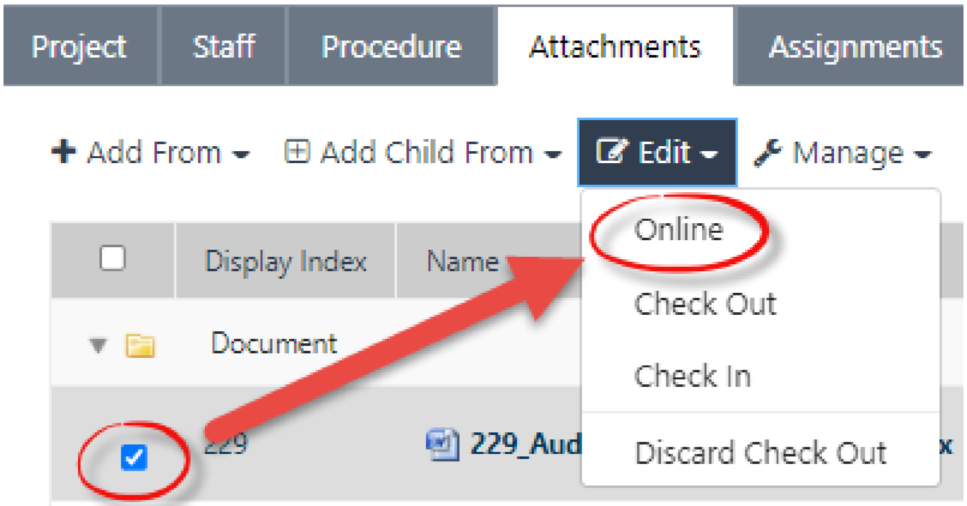
3.6.3 Completing Work in Documents

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.

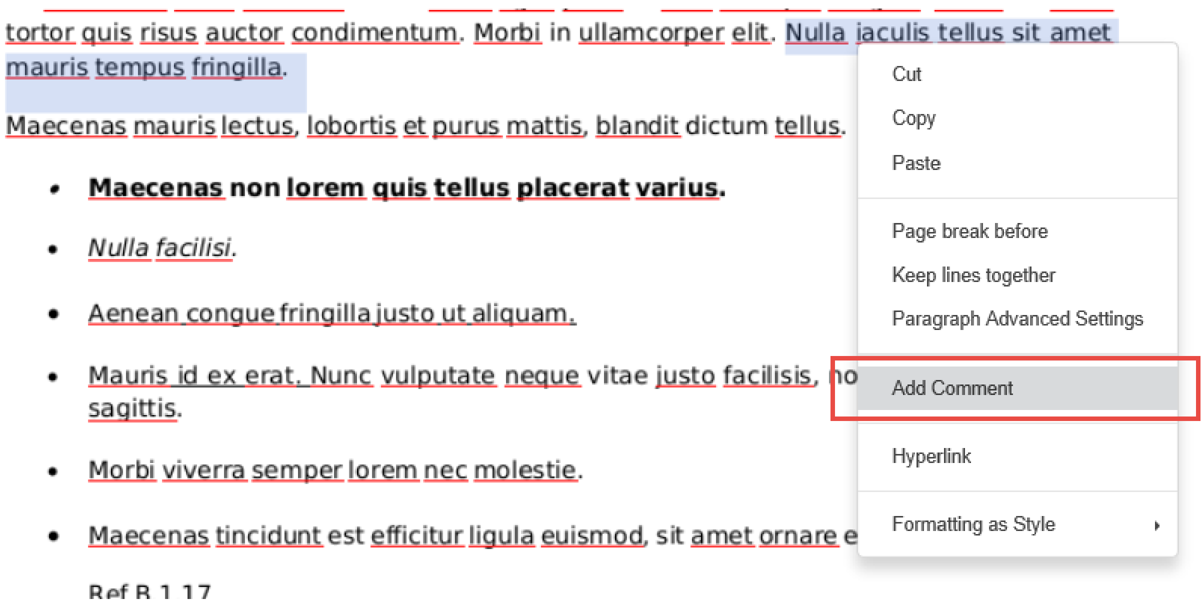
3.6.3.1 Online Editing Mode

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:

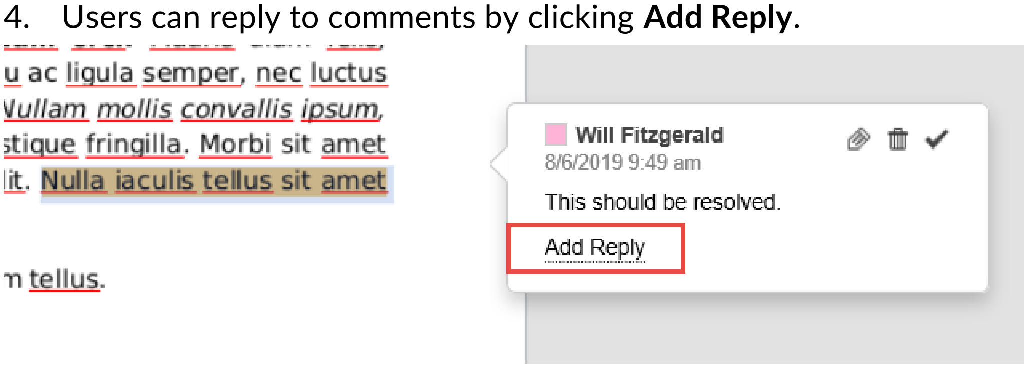
1. Click the **checkbox** adjacent the attachment to edit online.
2. Select **Online** from the *Edit* drop-down list.



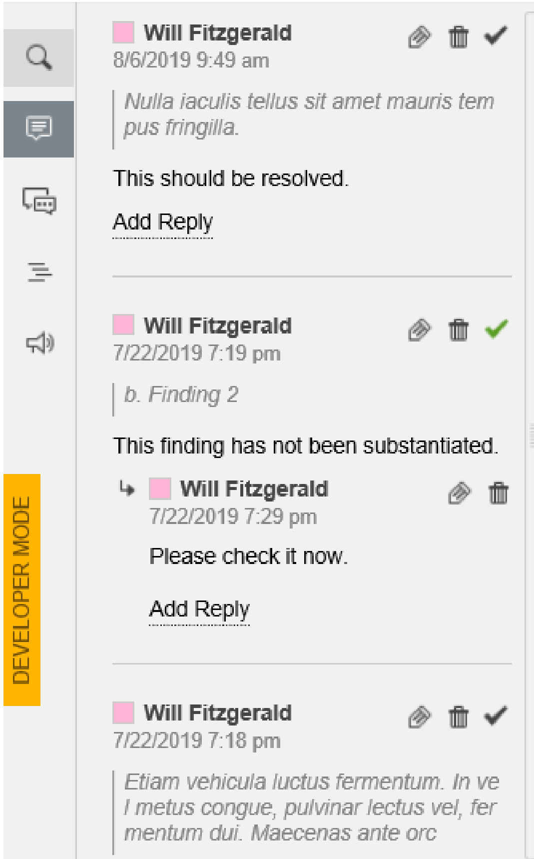
3. The attachment appears in a new tab. Highlight the desired text and right click. Select **Add Comment** from the drop-down list.



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



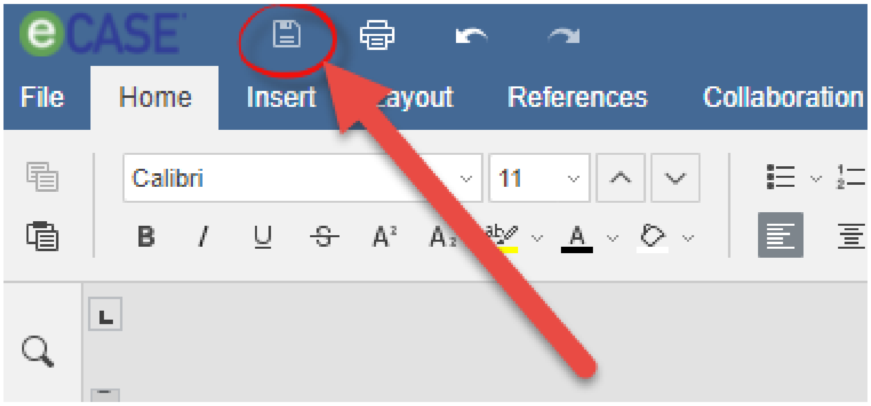
(!!) Note: A list of all document comments can be viewed by clicking .



(!!) 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.**

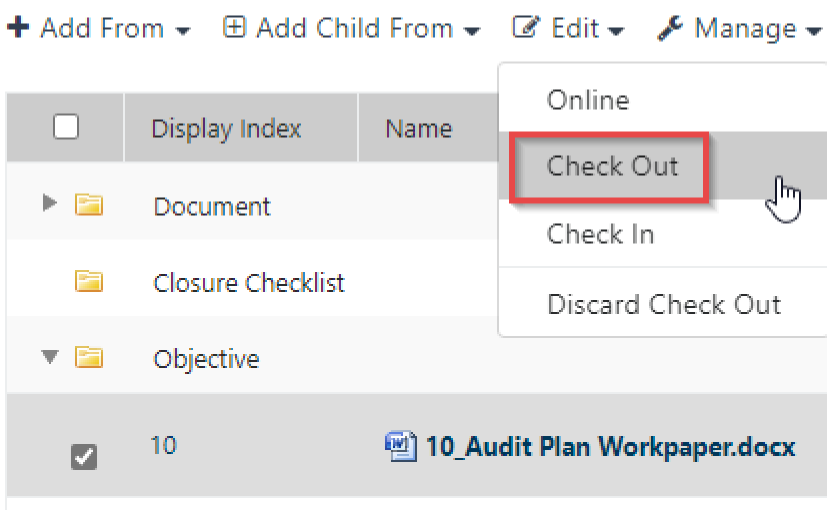
5. You can also directly edit the attachment within the text editor. Click **Save** after making any changes.



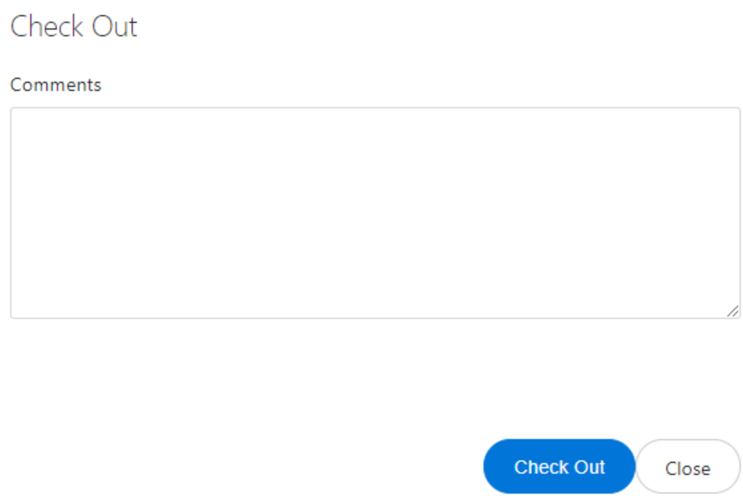
3.6.3.2 Native File Format

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:

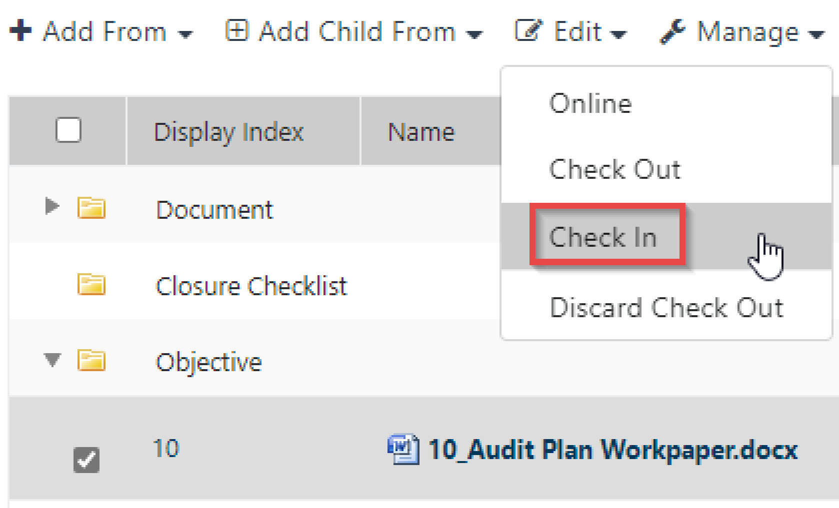
1. Click the **checkbox** next to the desired document. Select **Check Out** from the *Edit* drop-down list.



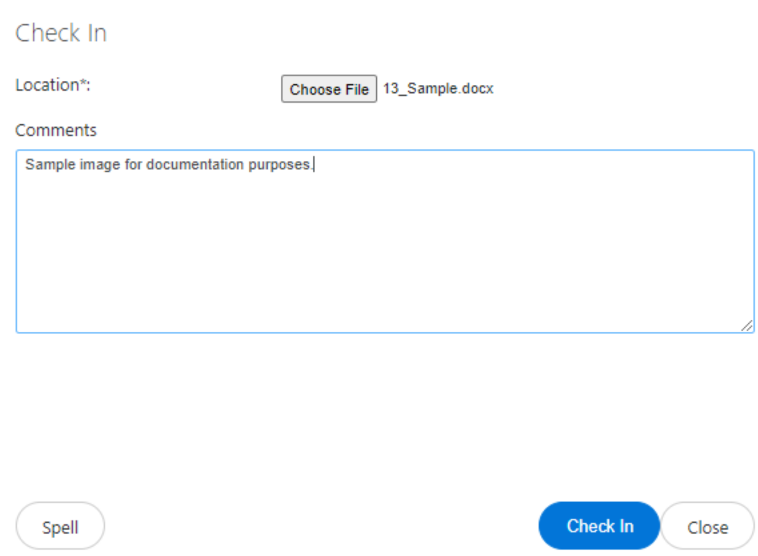
2. The *Check Out* window appears. Enter information about the work to be done during check out and click **Check Out**. The attachment is downloaded to your local computer for work.



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**.



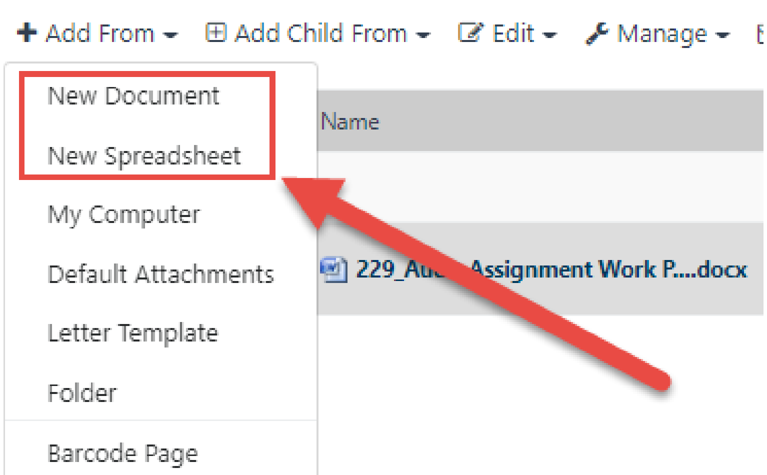
5. The *Check In* pop-up window appears. Click **Choose File** and select the updated document.
6. Enter any relevant information about the work performed in the *Comments* field.



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.**



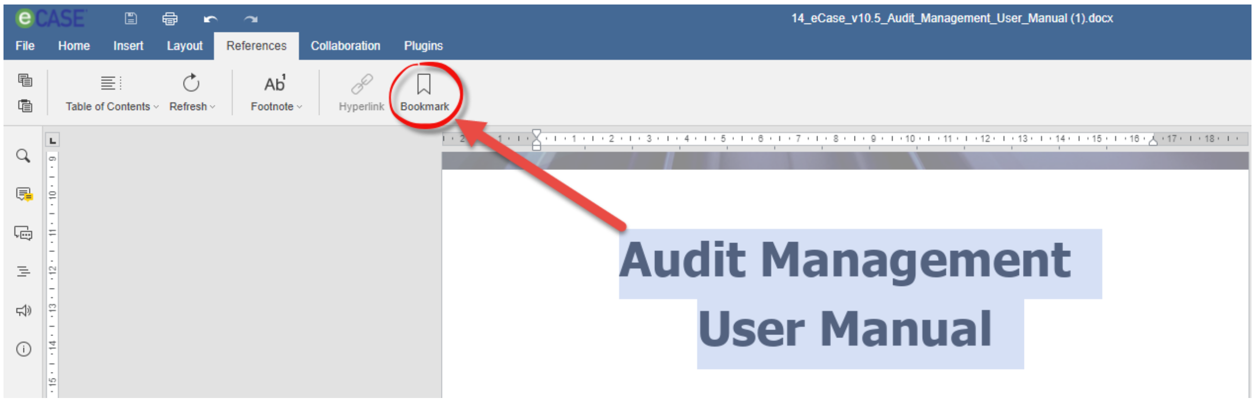
3.6.4 Hyperlinking and Bookmarks

(!!) 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

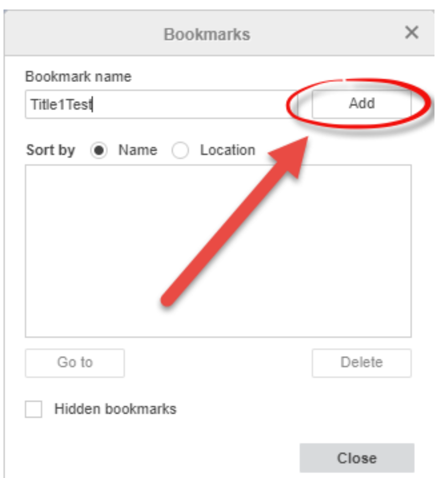
Point-to-point hyperlinking or referencing can be performed in documents through either Online Edit mode or via Word document bookmarks. To hyperlink within online mode:

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**.



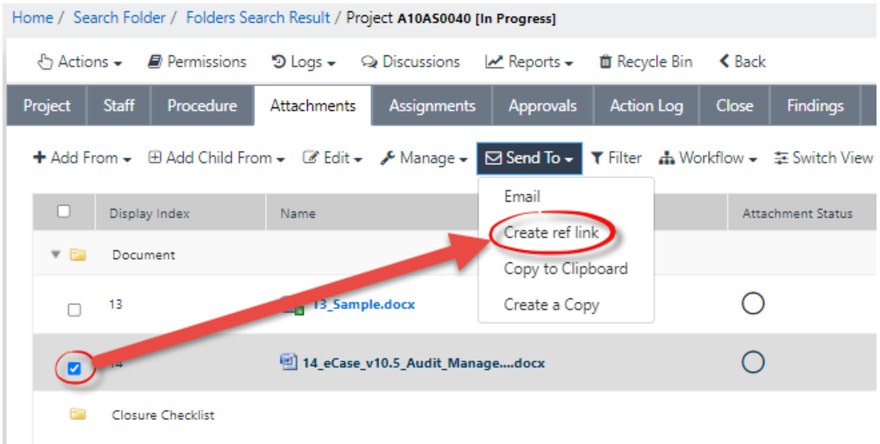
3. The *Bookmarks* pop-up window appears. Enter a Bookmark Name in the field.

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

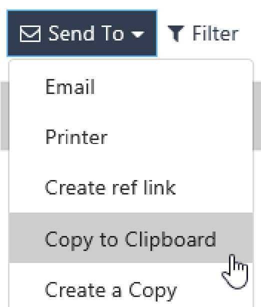


4. Click **Add.** The bookmark is added to the document. Click **Save** to record your changes.
5. Navigate back to the *Attachments* tab. Click the checkbox adjacent the attachment containing the added bookmark. Click the **Send To** drop-down list and select **Create ref link**.

(!!) 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.



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.

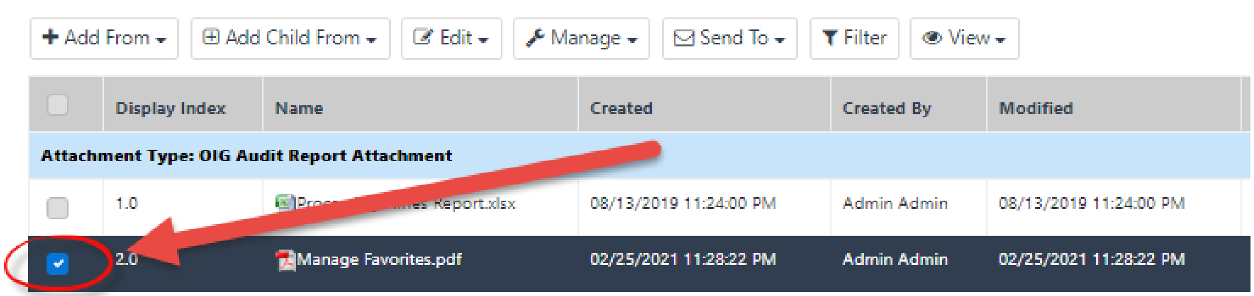


9. The bookmark/document is now copied to the clipboard and can be added in either another attachment, or in another text box. The subsections below explore each option.

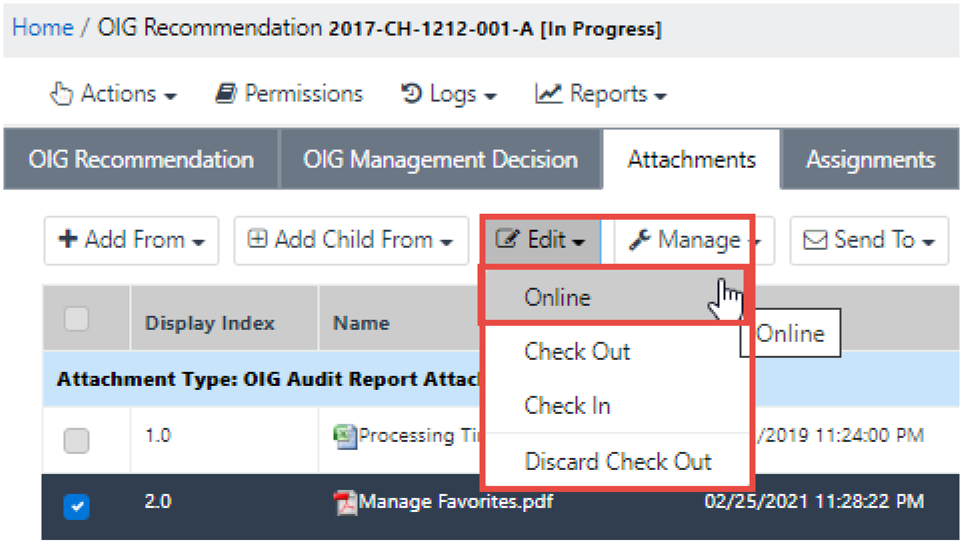
3.6.4.2 Hyperlinking in PDF Documentation

To create a hyperlink to PDF Documentation:

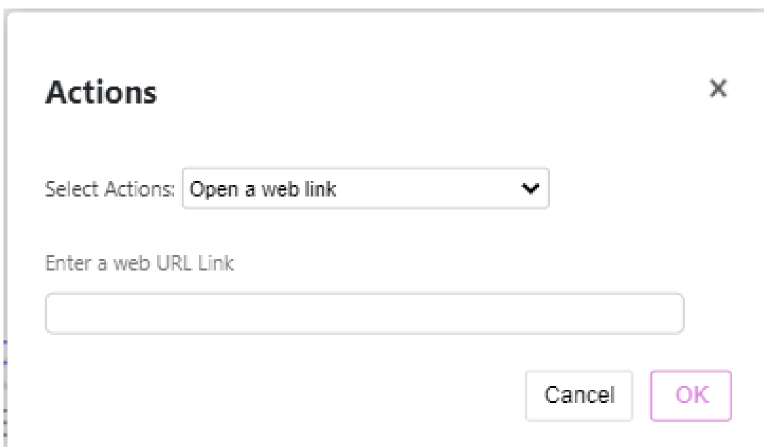
1. Open the desired case folder and navigate to the *Attachments* tab. Select the desired **PDF Attachment**.



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

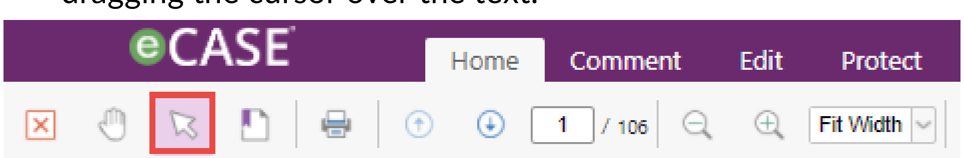


3. The selected attachment appears in a new tab, in .PDF format. Click the **Comments** tab and select the **Hyperlink** option.
4. Using the hyperlink tool, create a square around the text to hyperlink.
5. The *Actions* pop-up window appears. Select **Open web link** from the *Select Actions* drop-down.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



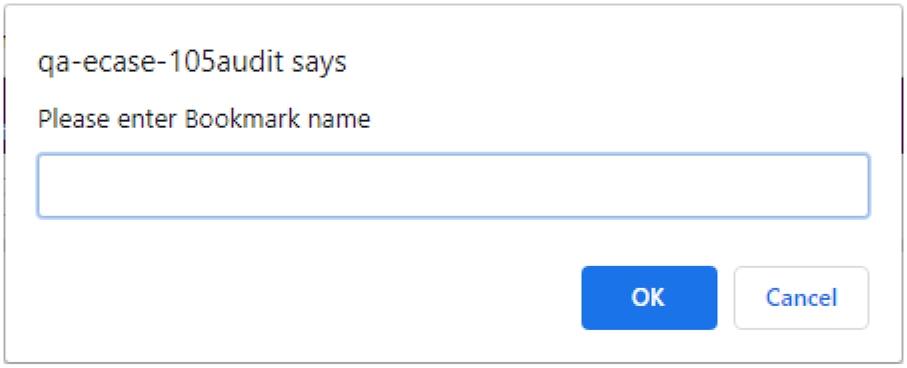
3.6.4.3 Bookmarking in PDF Documentation

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.



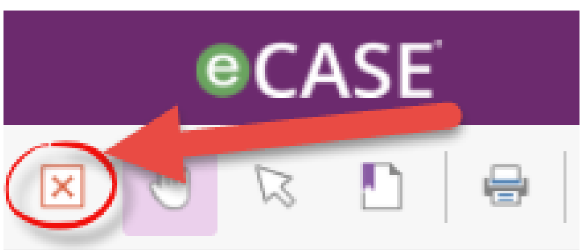
3. The *Highlighting* menu appears. Click the **bookmark** icon.

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

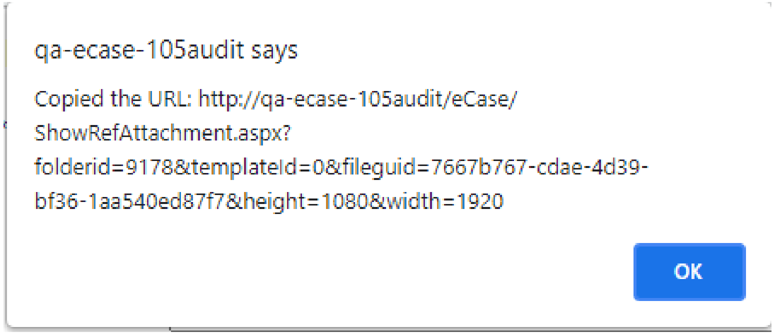


(!!) Note: PDF Bookmarks can't include spaces. It is recommended to use underscores to separate words. The system prompts the user to remove any spaces in the text field after clicking OK.

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**.



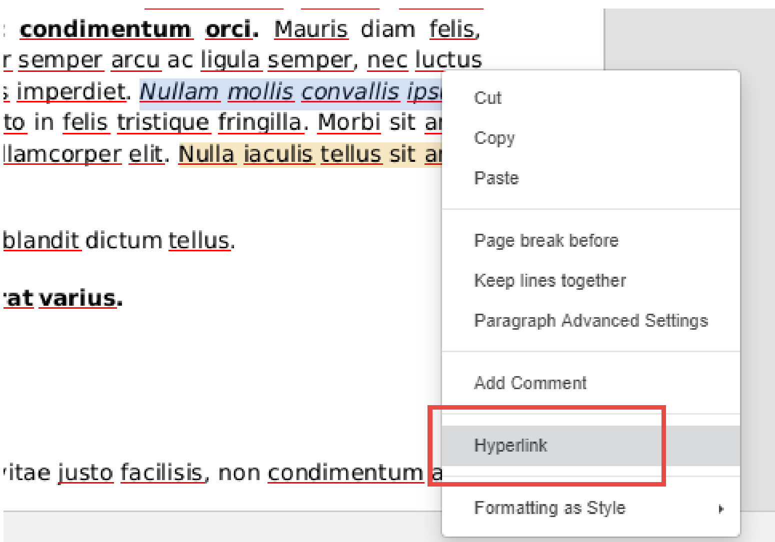
11. Return to the desired PDF to hyperlink the desired PDF using the copied URL.

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

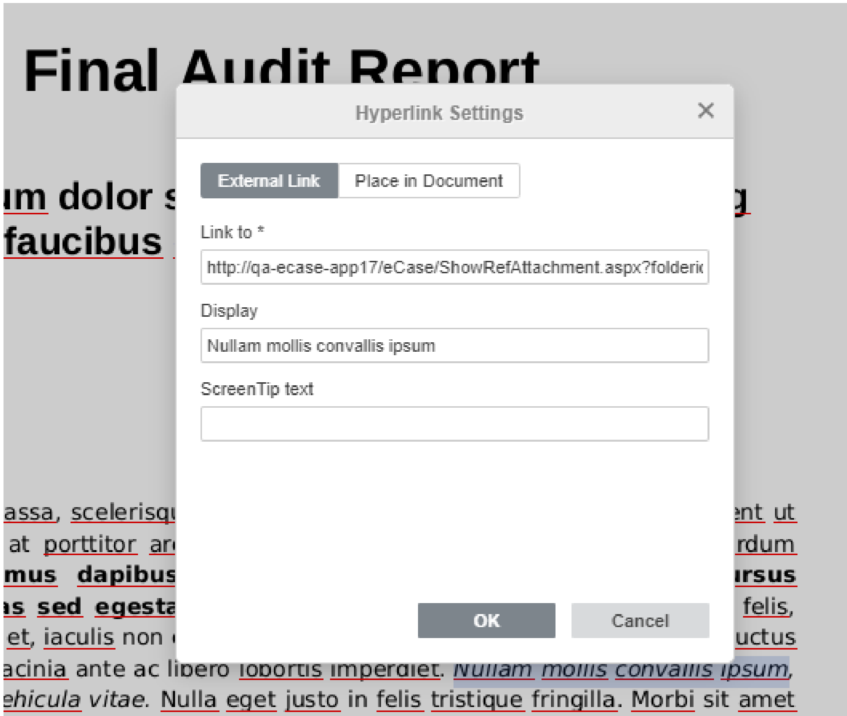
3.6.4.4 Bookmarking in Another Attachment

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**.



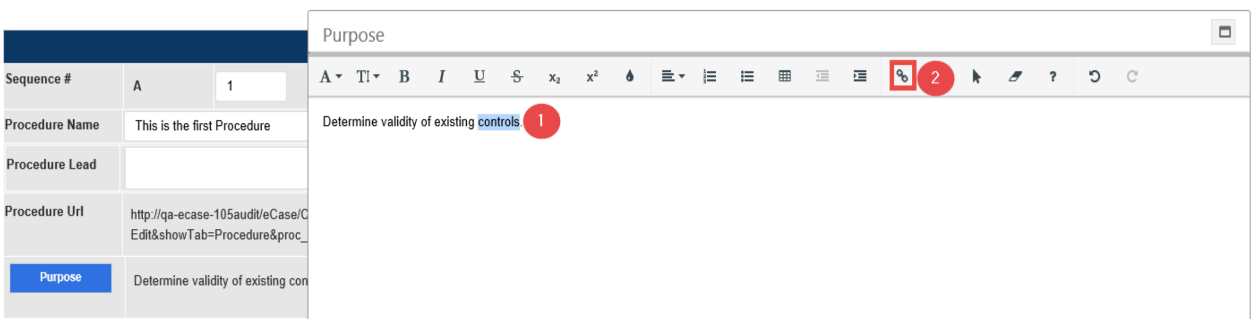
2. The *Hyperlink Settings* pop-up window appears. Paste the copied URL into the *Link To* text box.
3. Enter any **ScreenTip Text** in the field, if desired. This is text that will appear if the cursor hovers over the bookmark.
4. Click **OK**. The hyperlink is now active.



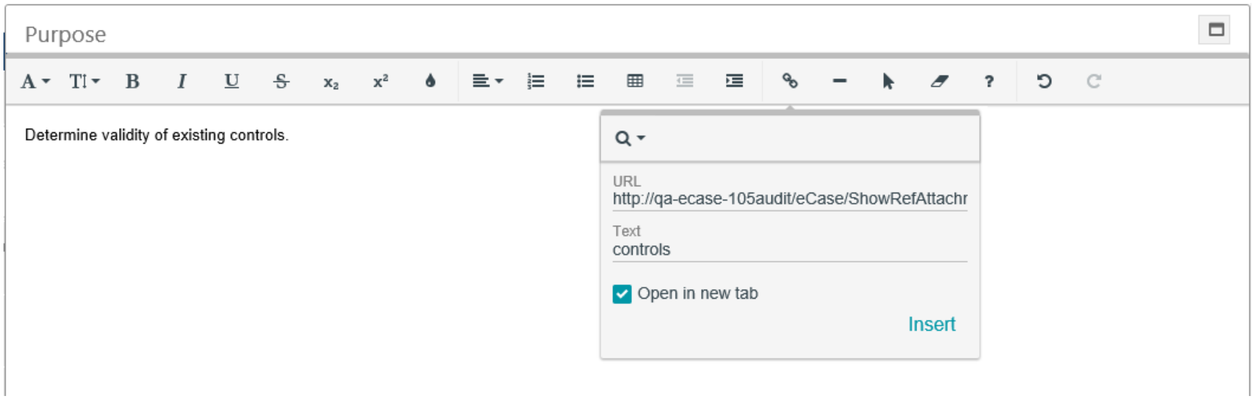
3.6.4.5 Bookmarking in Another Text Box

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.



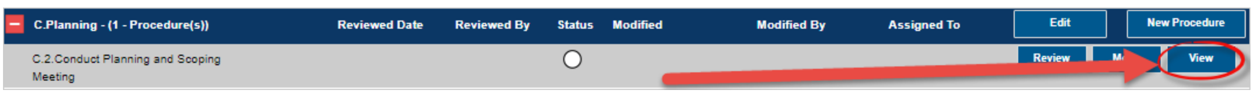
2. Click **Hyperlink**  to generate the hyperlink. The *Hyperlink Settings* window appears.
3. Paste the URL into the *Link To* field and click **Insert**. The window disappears and the hyperlink is now active.
4. Users can check the **Open in new tab** option to force the link to automatically open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



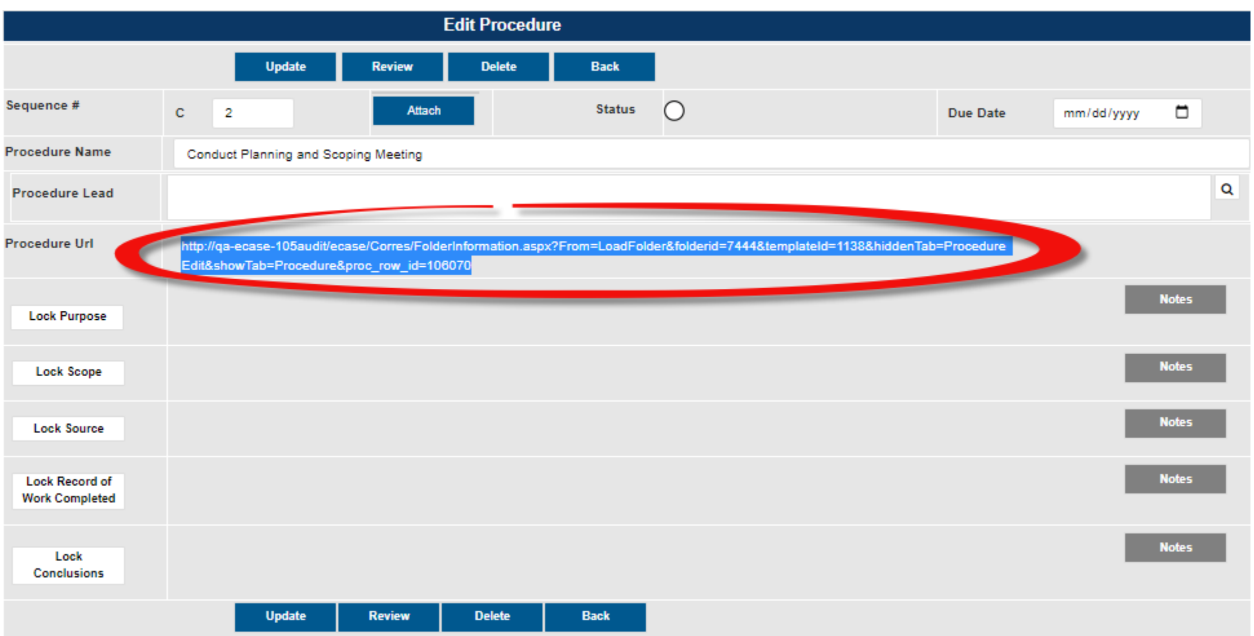
3.6.4.6 Procedure Element Highlighting and Bookmarks

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

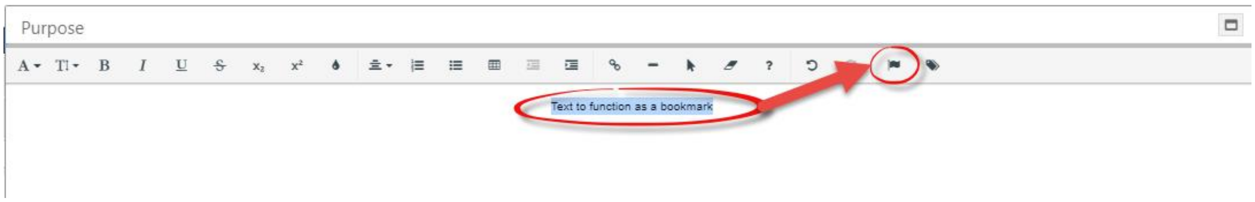
1. Open the desired Project folder, and click the **Procedure** tab.
2. Click **View** within the procedure row.



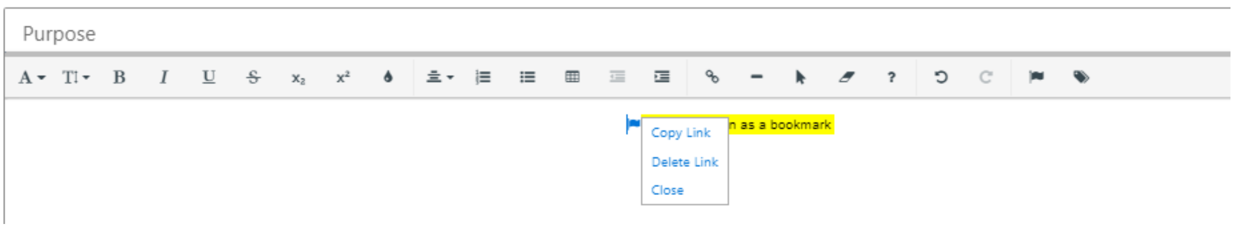
3. The *Edit Procedure* workspace appears. Copy the *Procedure URL*.



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.



6. 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**.



7. 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.

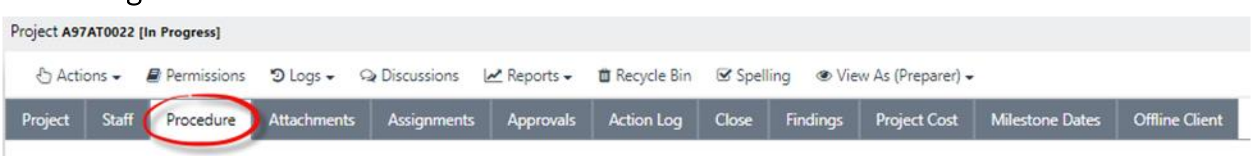
(!!) Note: Wherever the hyperlink is clicked, eCASE opens the procedure element in a new tab.

3.6.5 Procedure to Procedure Interactions

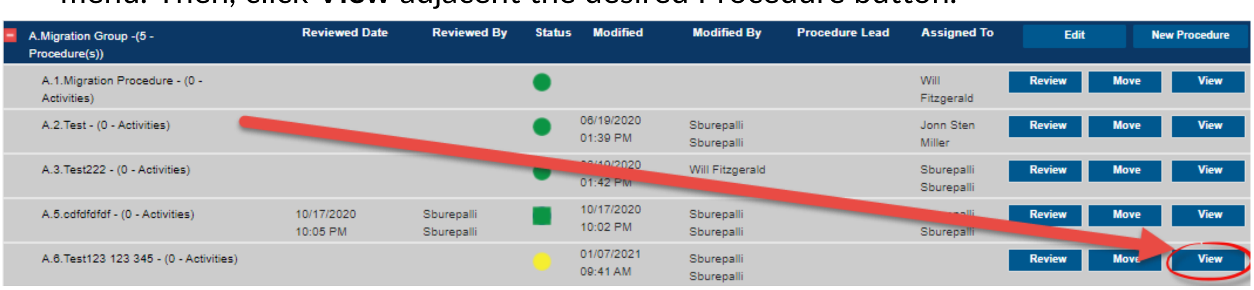
Procedure to Procedure hyperlinking is completed using the Procedure URL located in the *Edit Procedure* window.

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

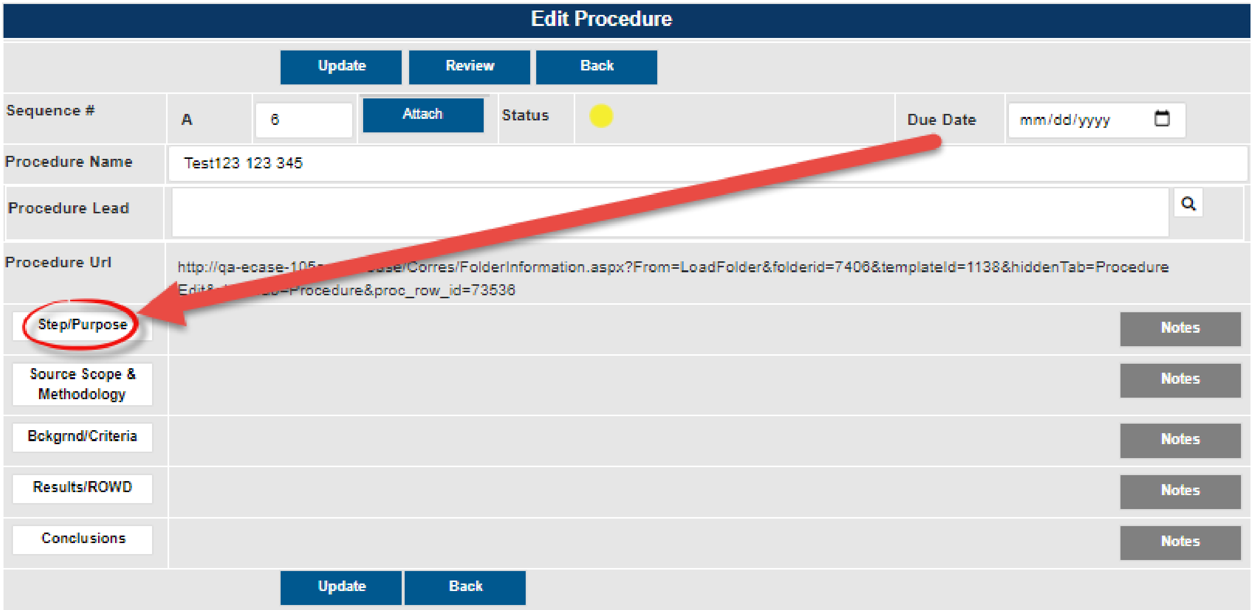
1. Navigate to the *Procedure* tab of the case folder.



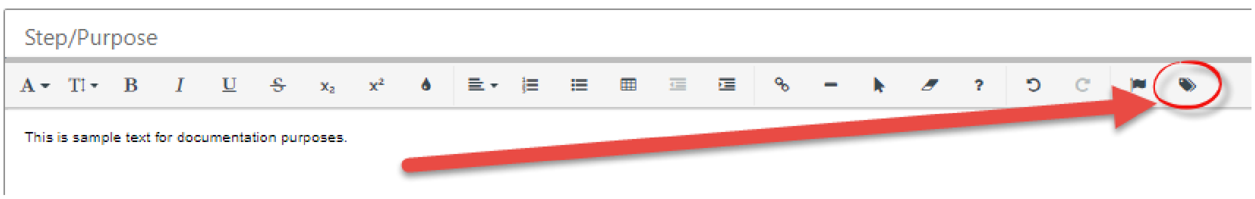
2. Click **Expand All** or the **green plus sign** button on the desired Group to expand the menu. Then, click **View** adjacent the desired Procedure button.



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

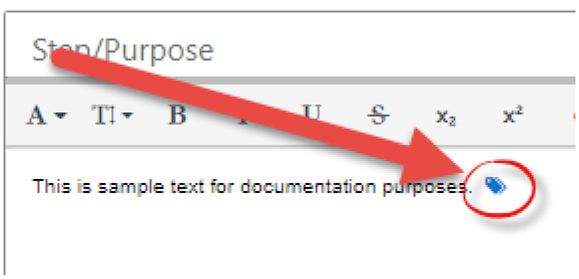


4. Enter the desired citation text into the text editor and click **Insert Citations**.

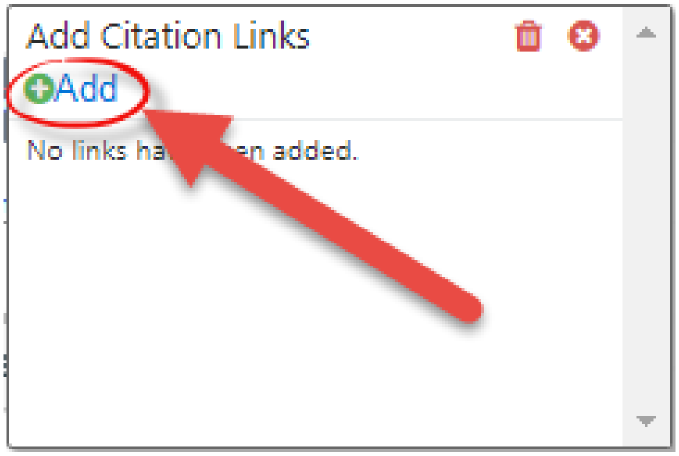


(!!) Note: eCASE adds the citation link wherever the cursor is placed within the text editor.

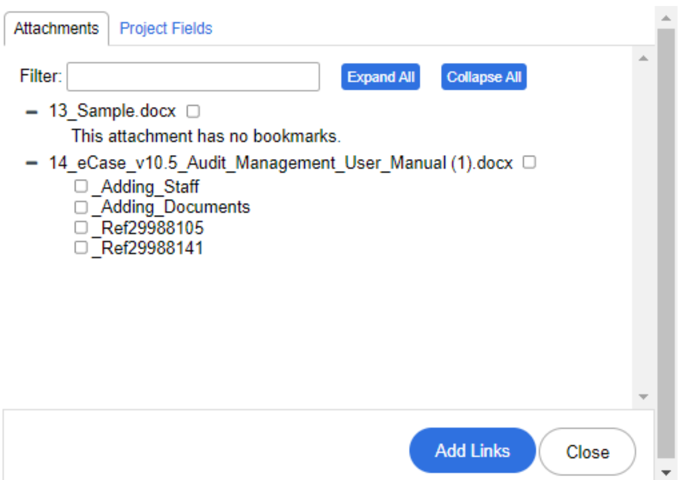
5. Click the **Citation** icon in the free text field to open the *Add Citation Links* pop-up window.
6. Within this window, users can click **Add** to add a citation link, **Delete** to delete the entire citation link, or **Close** to close the window.



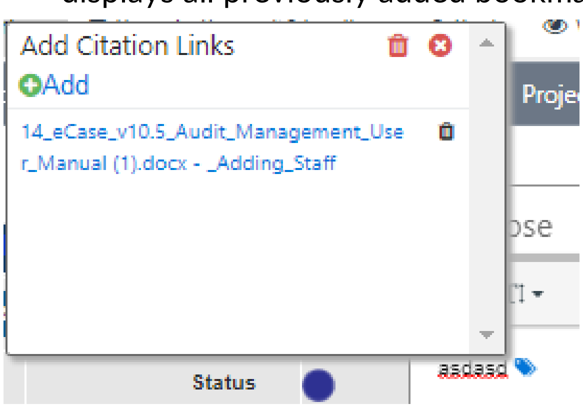
7. Click **Add.**



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.

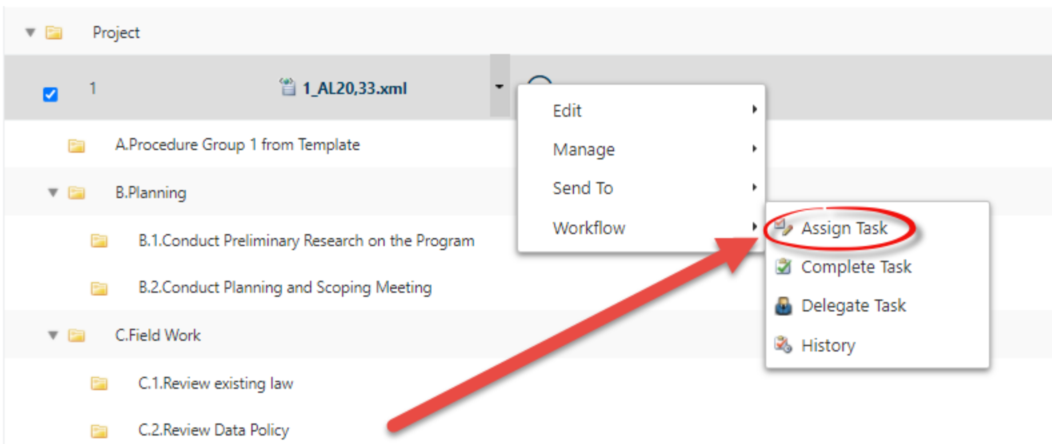


(!!) Note: Citation Tags can only be opened within an edit window, and not directly from the case folder tab.

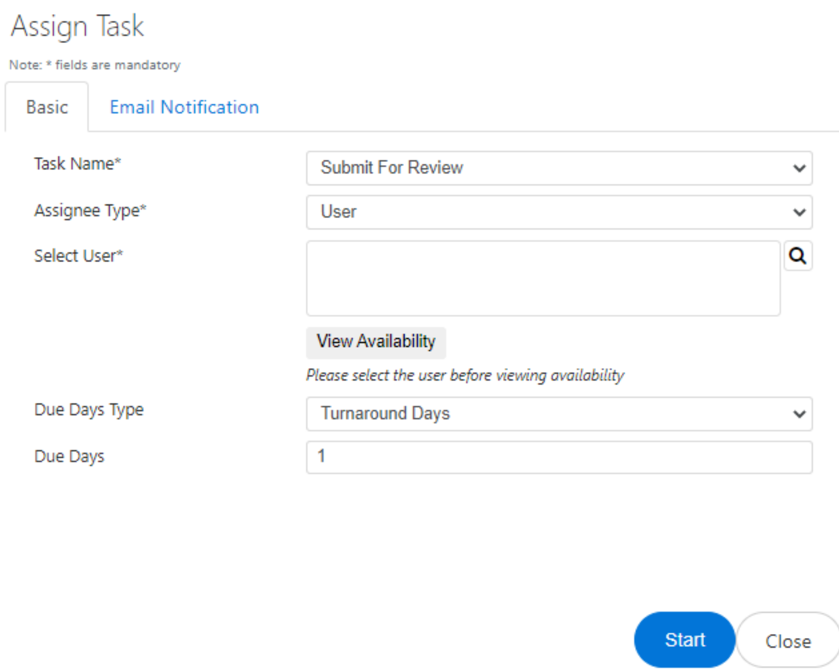
3.6.6 Document Reviews

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:

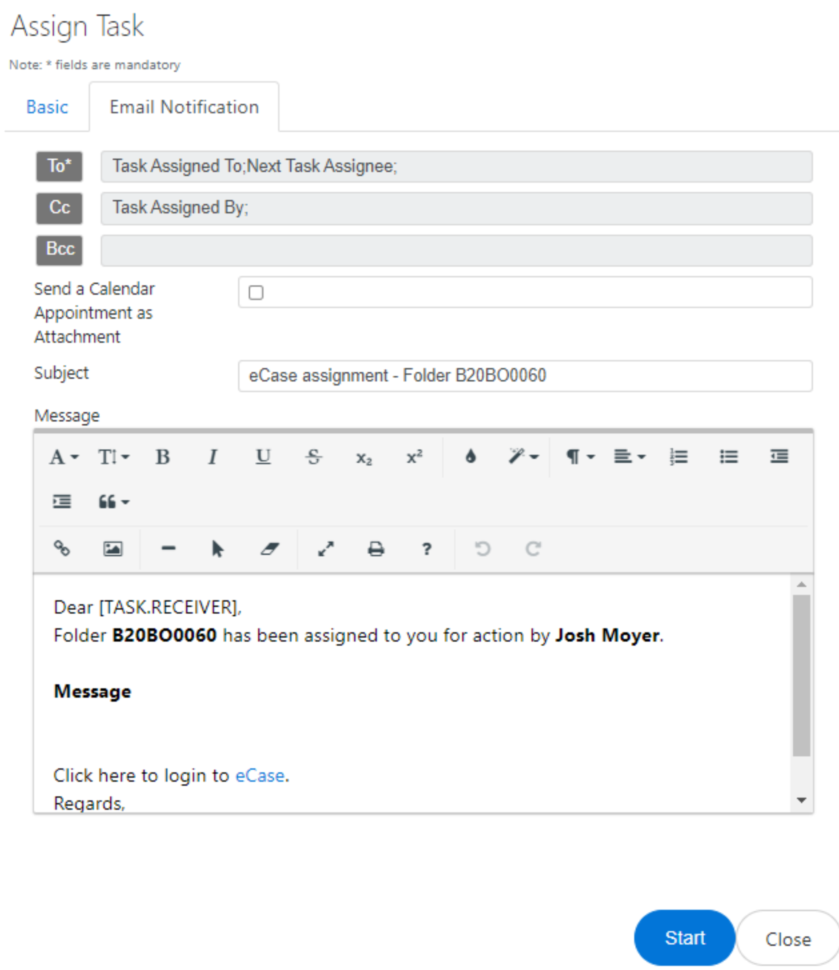
1. Navigate to the *Attachments* tab of a project and click the **arrow** next to the file name to expand the secondary menu.
2. Select **Workflow**.
3. Click **Assign Task**.



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:



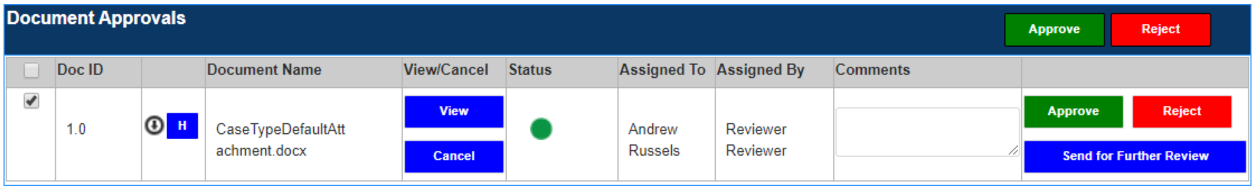
5. Select an assignee for this task by clicking the **Select User** lookup.
6. Configure the **Due Days Type** and **Due Days** using the *Due Days Type* drop-down list and *Due Days* field.
7. After the Basic details are complete, click the **Email Notification** tab, and configure the message content.



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.**



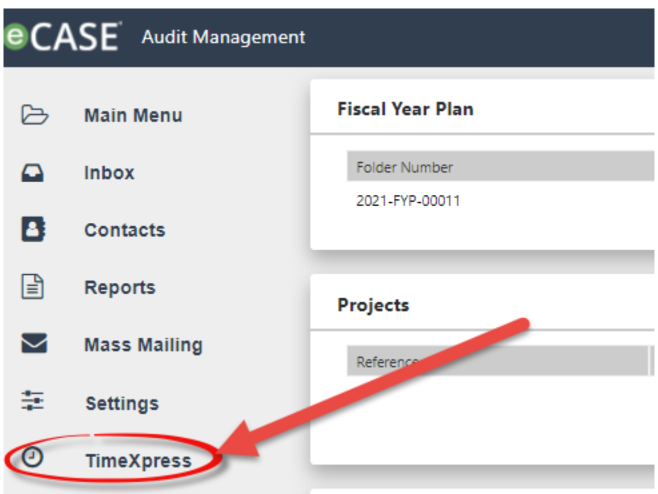
3.7 Project Budgeting and Time

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

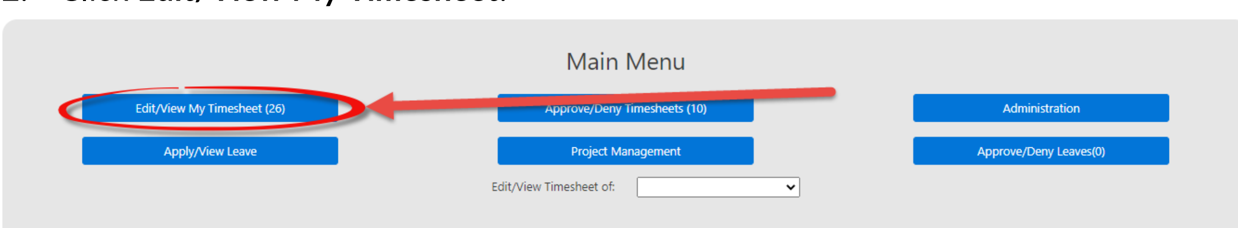
To track time associated with direct and indirect charge codes:

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

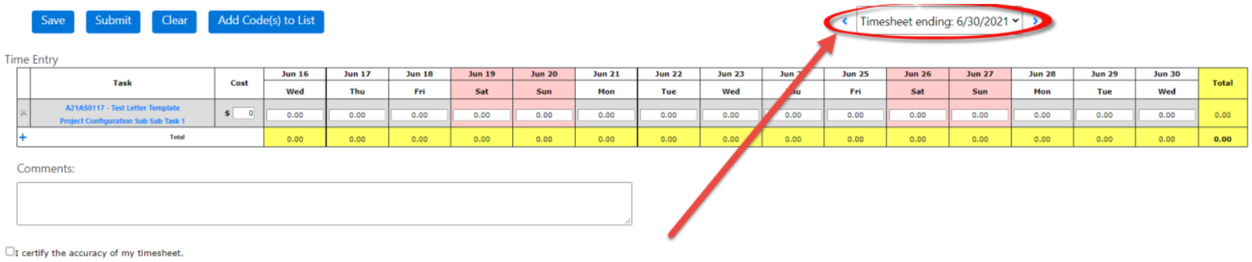


(!!) Note: Most users can only view the Employee menu. If a user also acts as an approver, they can access the Approver menu as well.

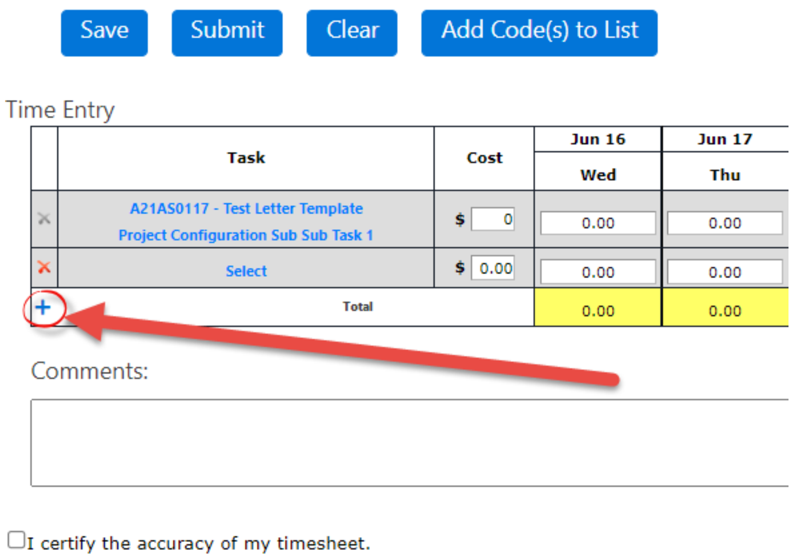
2. Click **Edit/View My Timesheet**.



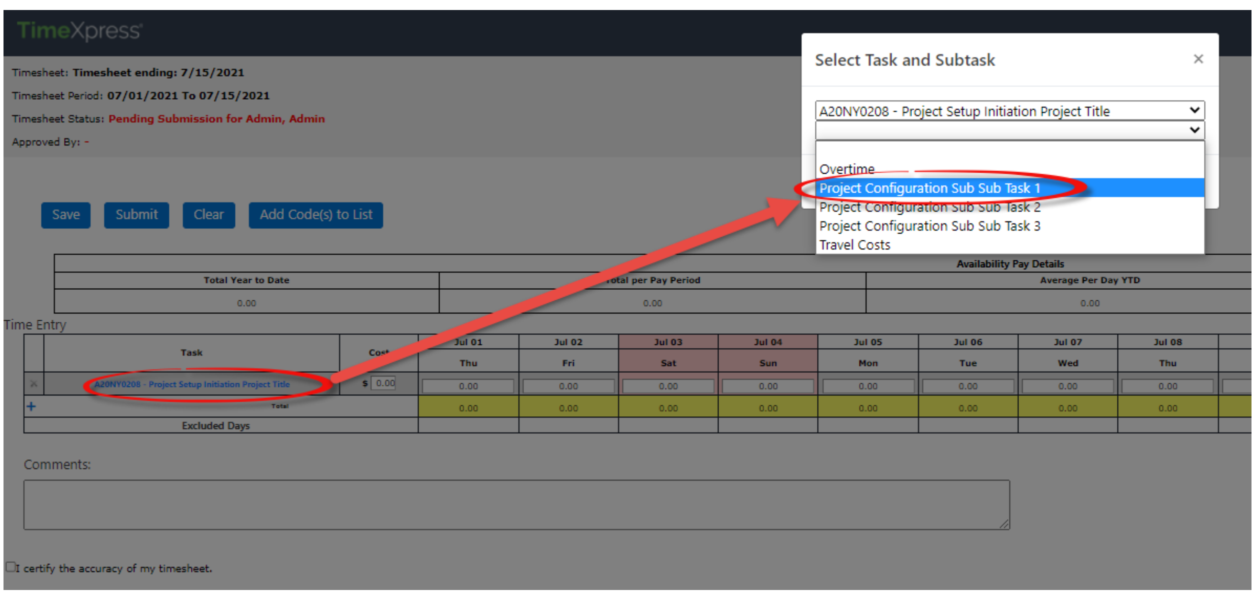
3. The *Timesheet* window appears. Use the arrows to select the desired timesheet.



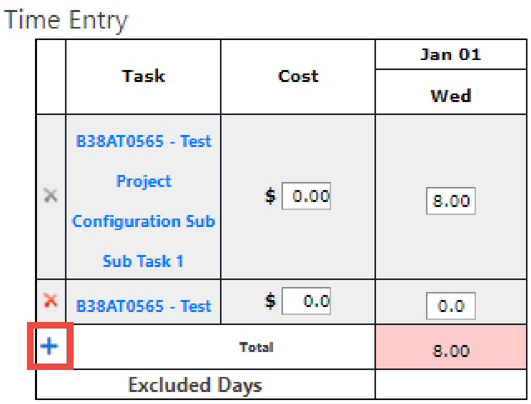
4. To add a new Task Row, click the blue **(+)** sign. A new row appears.



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.



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

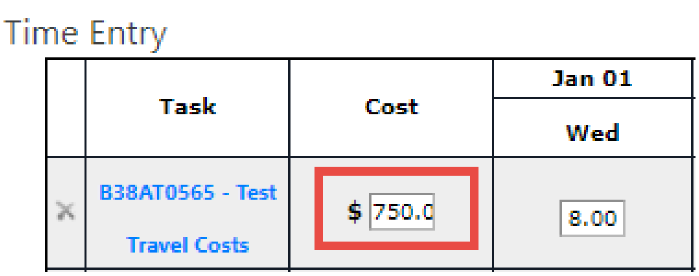
	Task	Cost	Jan 01 Wed
×	B38AT0565 - Test Project Configuration Sub Sub Task 1	$ 0.00	8.00
×	B38AT0565 - Test	$ 0.0	0.0
+	Total		8.00
	Excluded Days		

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 Wed	Jan 02 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

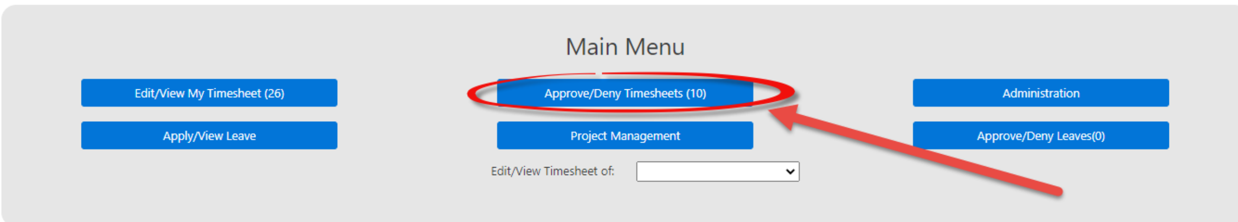
	Task	Cost	Jan 01 Wed
×	B38AT0565 - Test Travel Costs	$ 750.0	8.00

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.

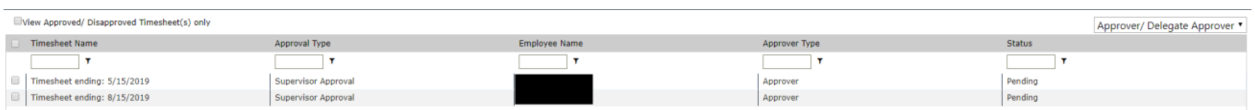
3.7.2 Reviewing Timesheets

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

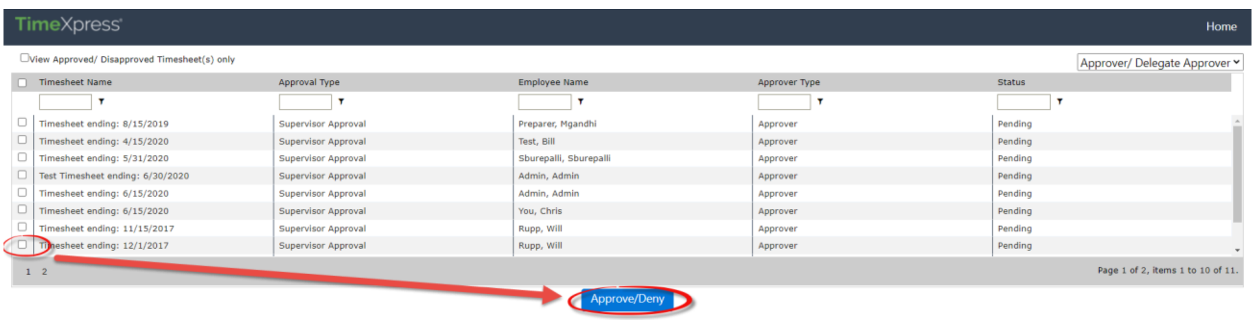
1. Login to eCASE Audit Management and click **TimeXpress** within the *Launch Pad* to launch the time tracking module.
2. Click **Approve/Deny Timesheets**.



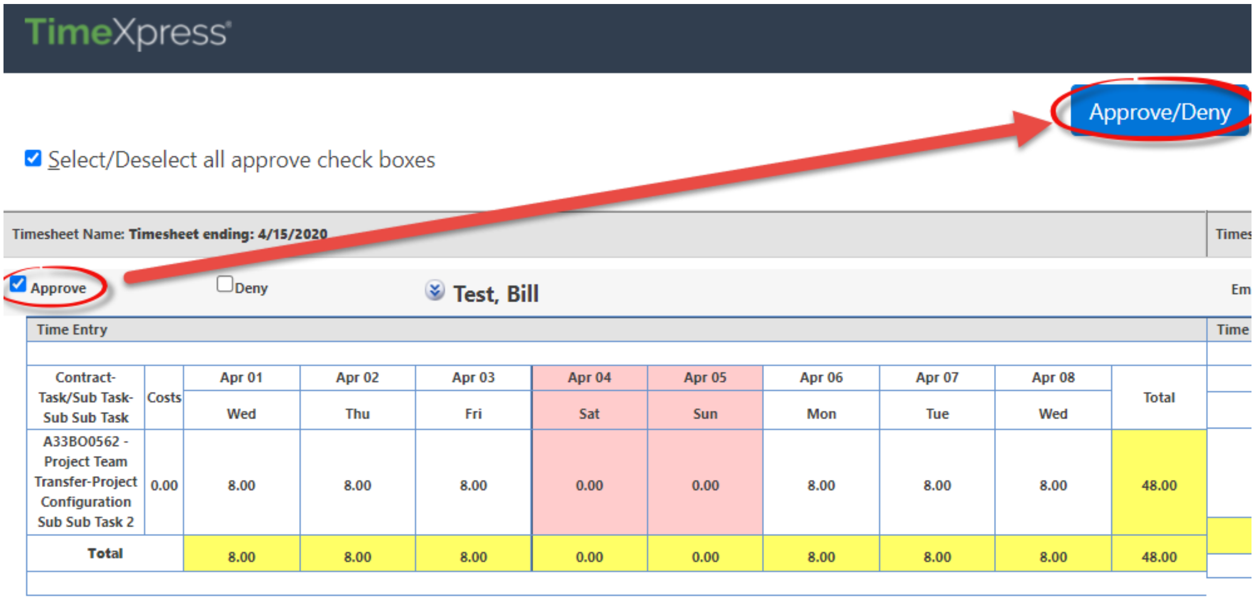
3. The *Employee Timesheets for Approval* window appears, displaying a list of all pending timesheets.



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



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.



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

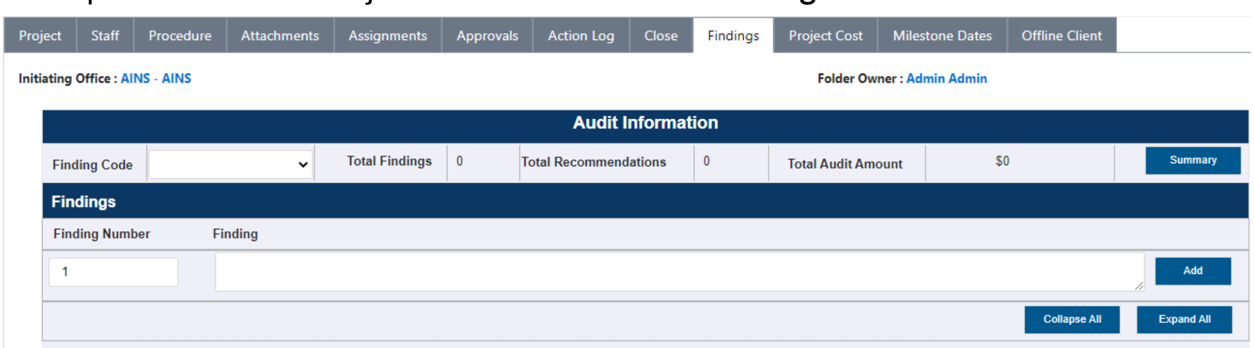
3.8 Logging Findings and Recommendations

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

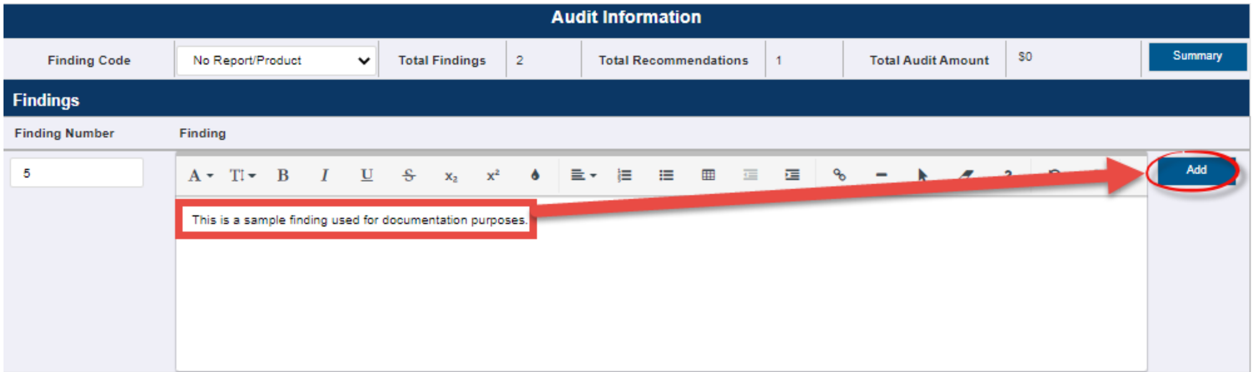
3.8.1 Adding Findings

To log findings for a project:

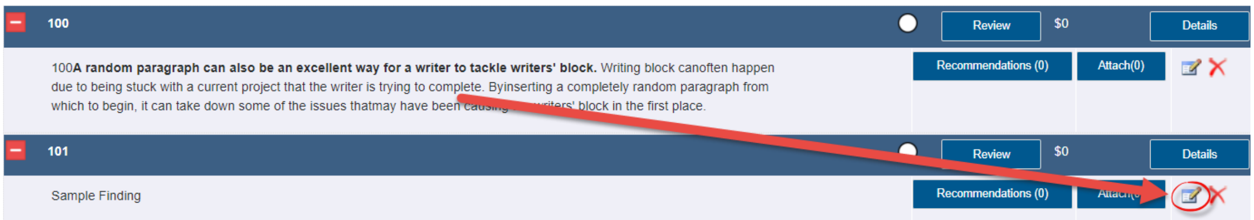
1. Open the desired Project folder and click the **Findings** tab.



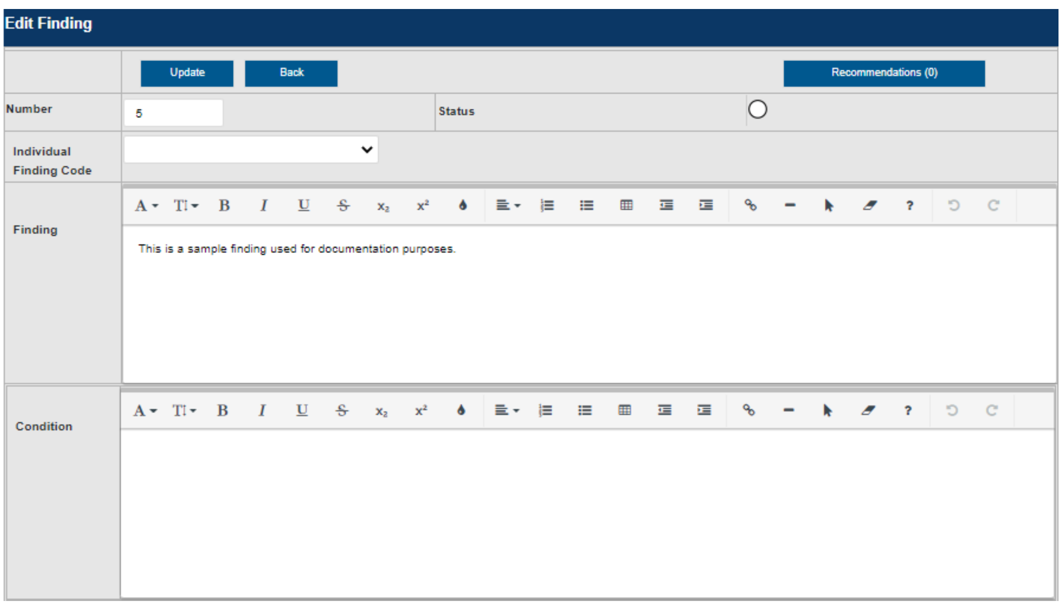
2. Enter the **finding information** in the *Finding* text field.
3. Click **Add** to add the Finding and continue tracking additional Finding elements. The page refreshes and the newly added Finding Information is added to the *Finding* tab.



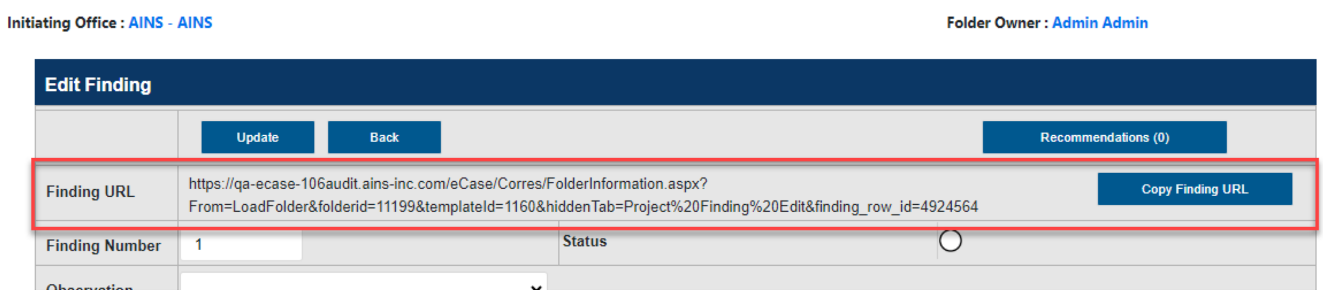
4. Click **Edit**. The workspace refreshes.



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



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.

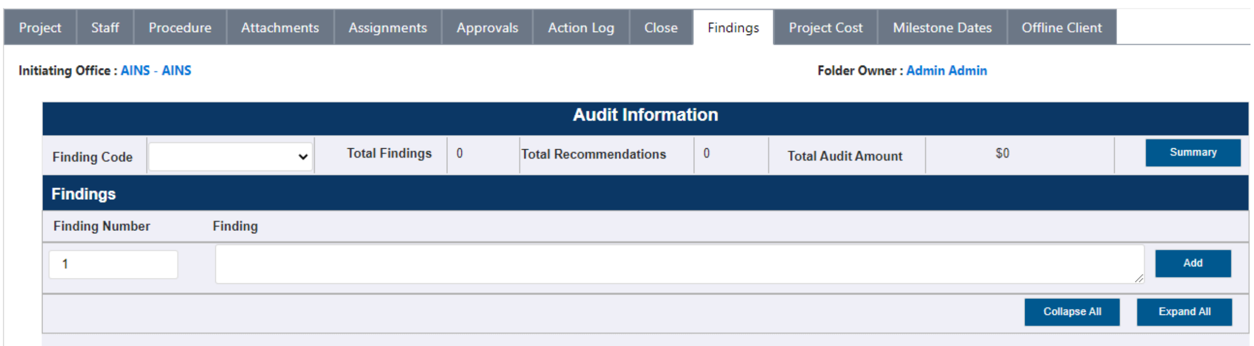


7. Click **Update** to record the changes.

3.8.2 Adding Recommendations

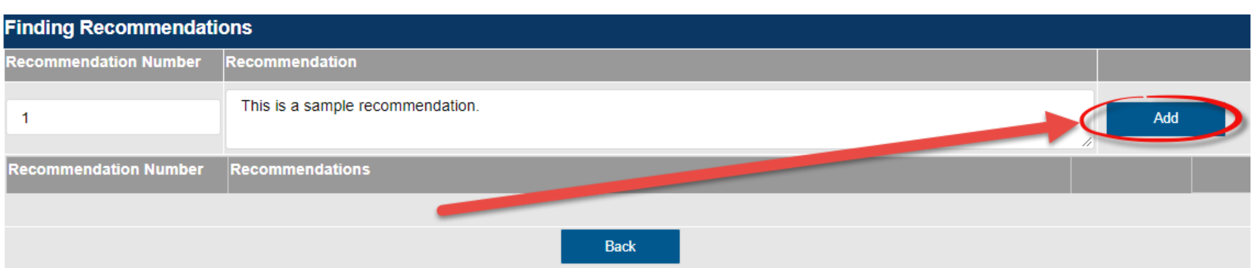
Recommendations can also be added to each Finding. To log recommendations for a finding:

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



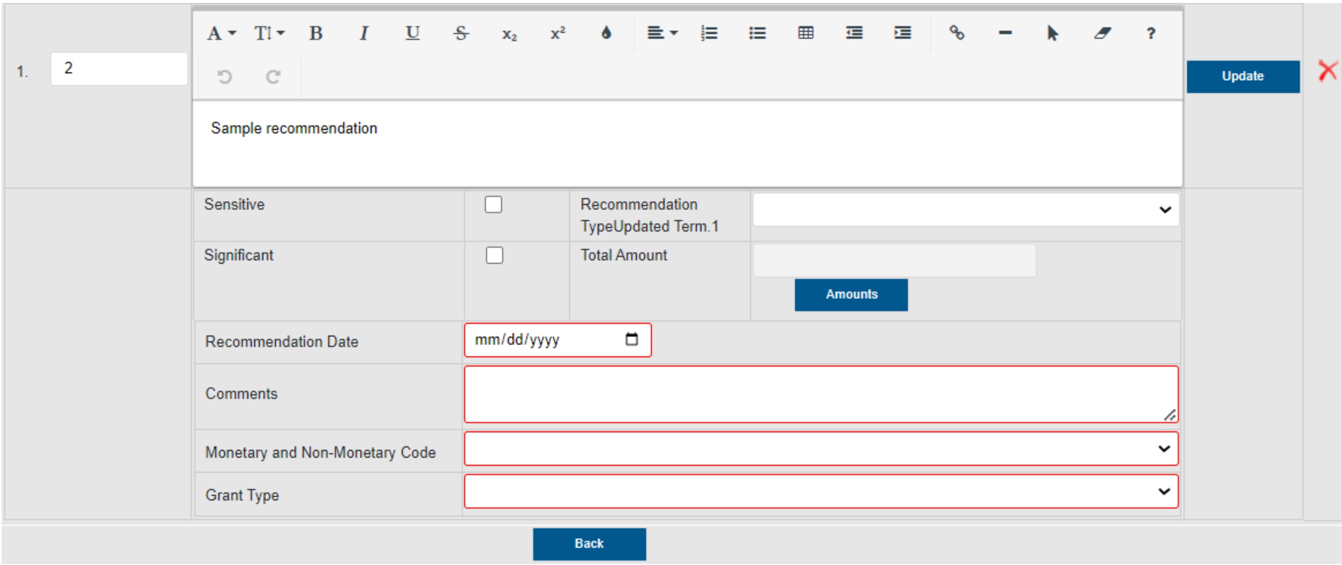
2. Click **Recommendations** adjacent to the desired finding.

3. 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.

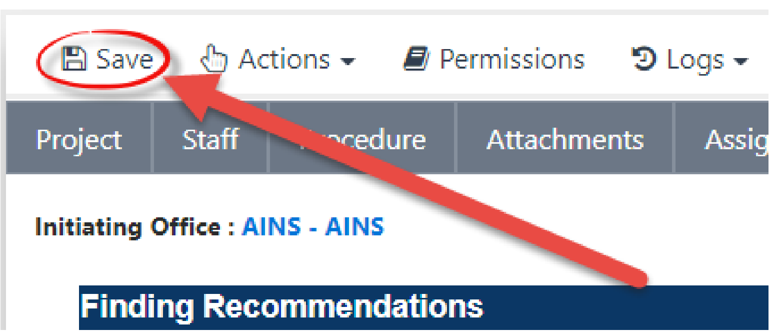


(!!) Note: Users can add an unlimited number of recommendations to each finding.

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



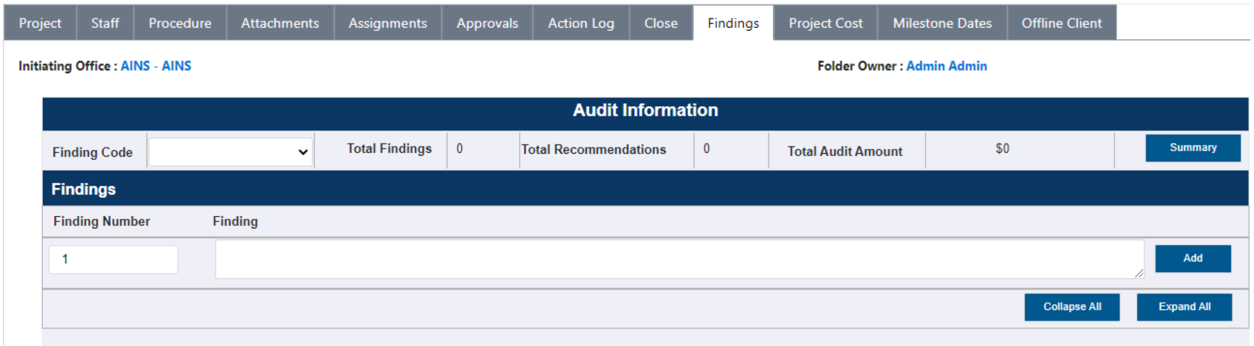
5. Fill out the additional fields. Use the date drop-down menu to select a *Recommendation Date*, add any notes in the *Comments* field, and use the drop-down menus to set *Monetary and Non-Monetary Code* and *Grant Type.*
6. Click **Save**.



3.8.3 Updating Recommendations and Amounts

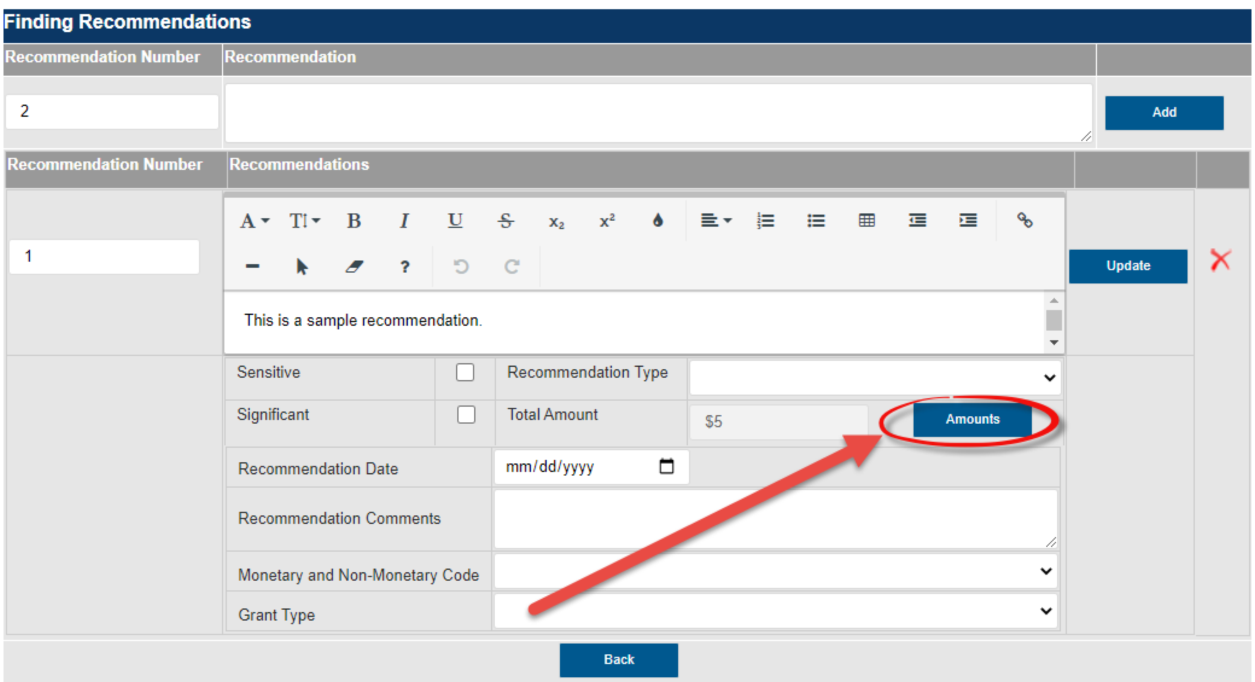
Each recommendation can be updated at any time during the project. After a recommendation is added, additional fields appear as seen in the image below. Users can update recommendations, mark them as *Sensitive* and/or *Significant*, and add associated costs. To add costs to the recommendation and update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

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

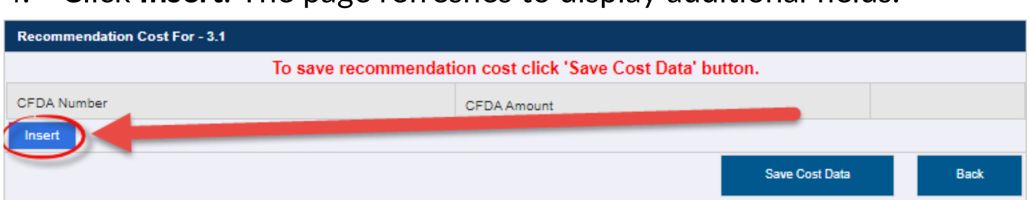


2. Click **Recommendations** within the desired Finding row. The page refreshes to display the *Finding Recommendations* workspace.

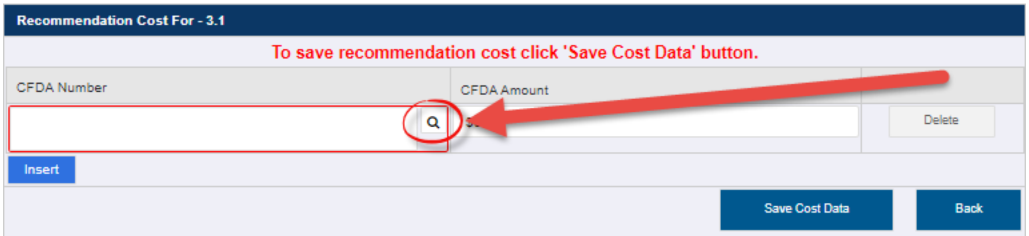
3. Click **Amounts**. The workspace refreshes and displays the Recommendation Cost workspace.



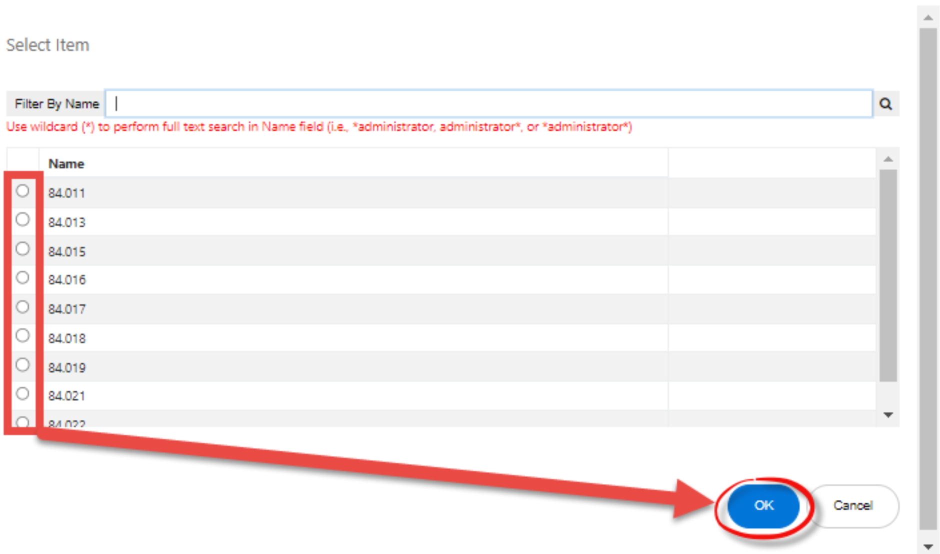
4. Click **Insert**. The page refreshes to display additional fields.



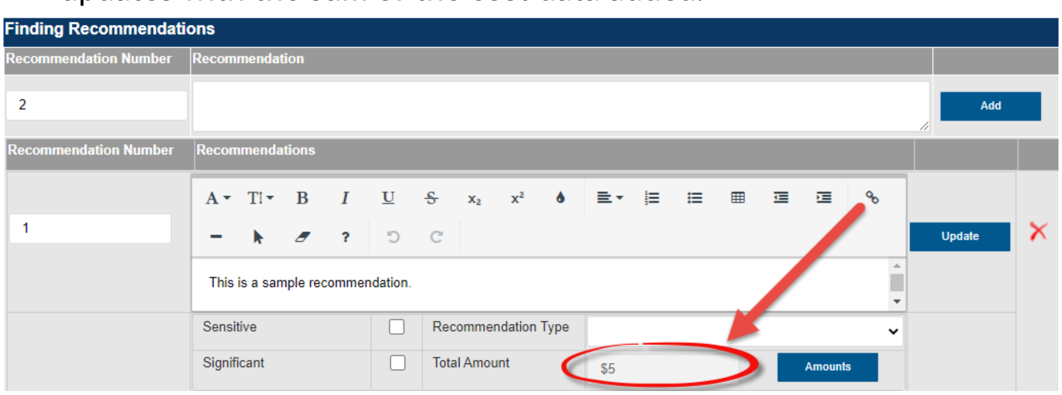
5. Click the **CFDA Number** lookup.



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



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



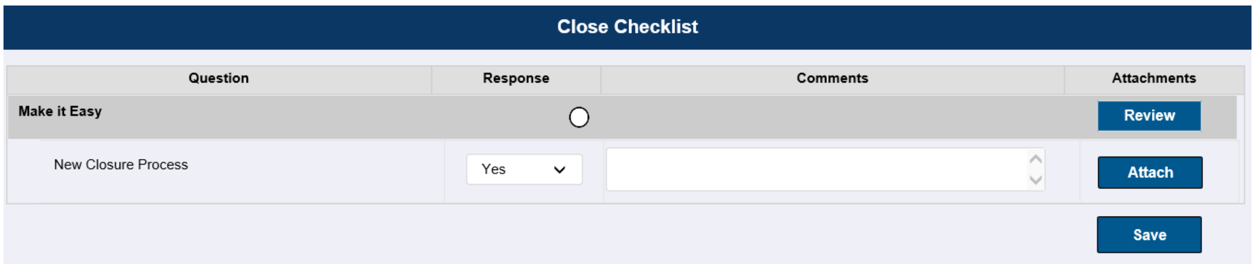
(!!) Note: The Cost Amount label and choice list values can be updated/changed at any time.

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.

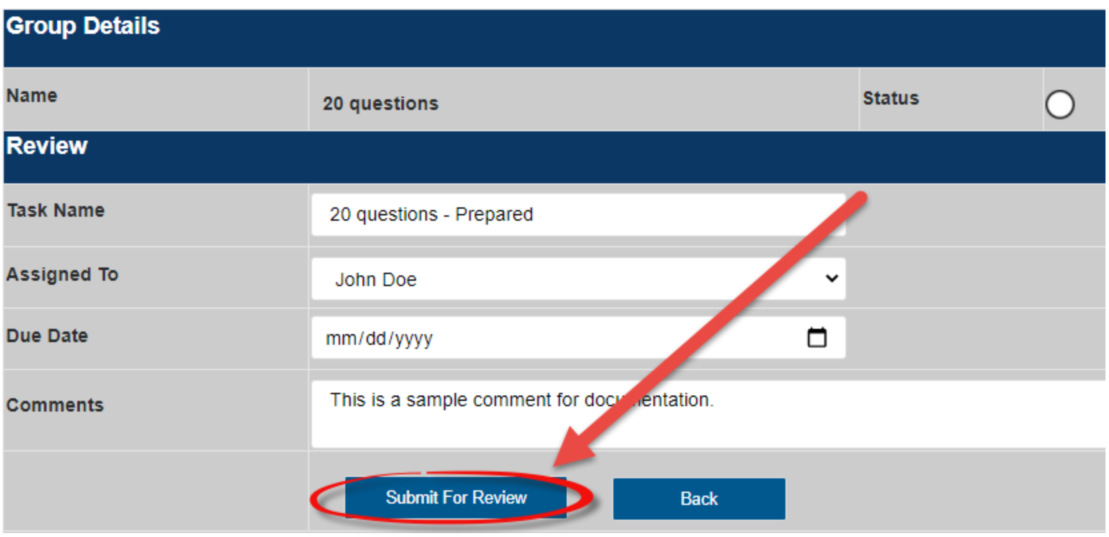
To close a project:

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

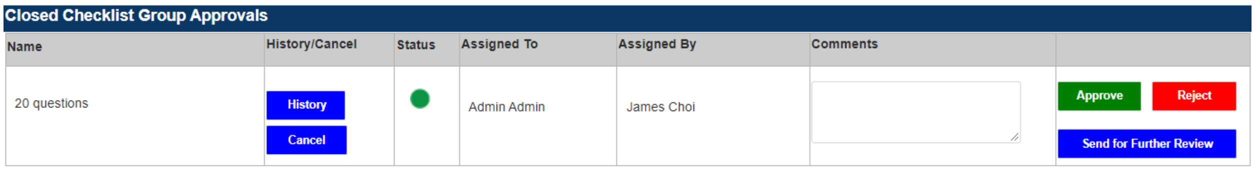


(!!) Note: All procedures must be in Reviewed (white) status to close the project.

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.

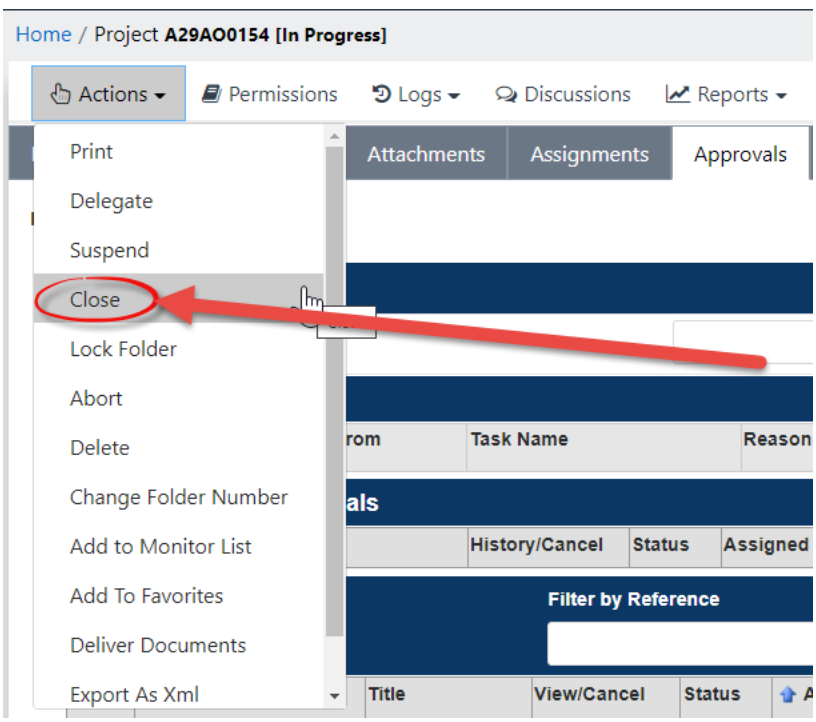


9. The reviewer must sign in to eCASE Audit Management. Any assigned approvals are visible in their *Inbox*.
10. The reviewer must navigate to the Approvals tab of the assigned project and **Approve** or **Reject** the closing checklist in the *Closed Checklist Group Approvals* section.

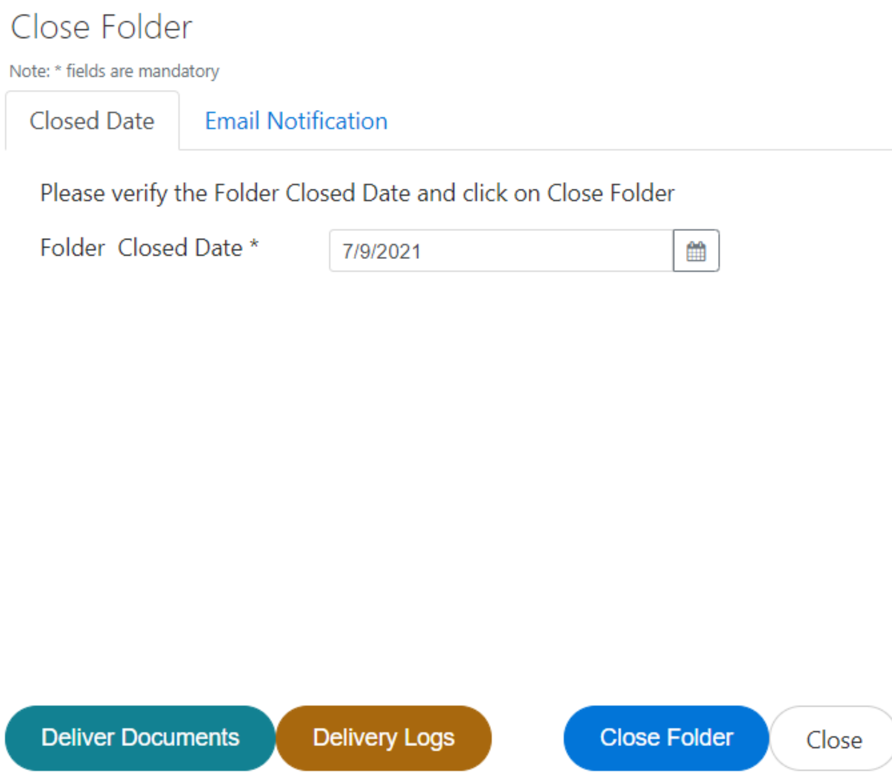


11. After all procedures, attachments, and closure checklist items are reviewed, select **Close** from the *Actions* drop-down list.

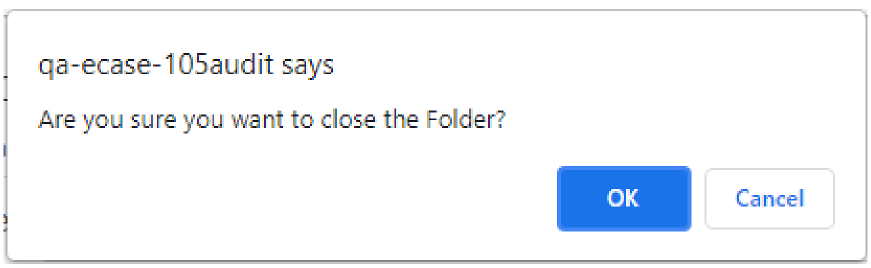
(!!) Note: Findings and the Closing Checklist may not be a requirement to close the project, depending upon your organizational need. If your organization requires these elements to be in Reviewed status, then the project cannot be closed until these elements are in the Reviewed status.



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



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

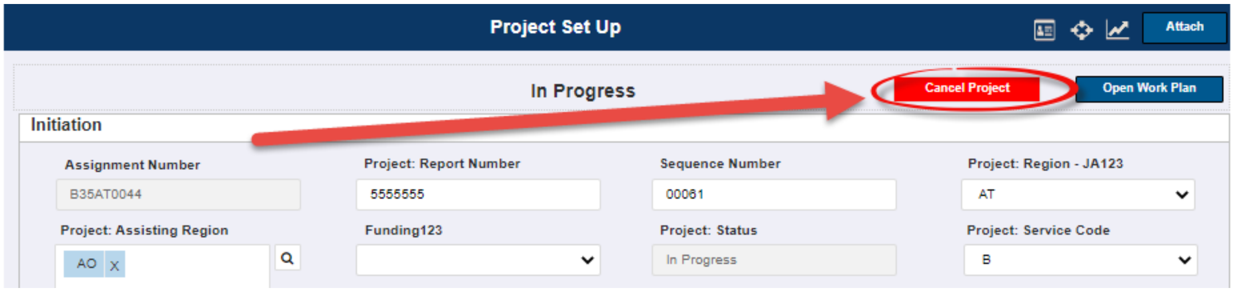


16. Click **OK**. The workspace refreshes and the project is now in Closed status.

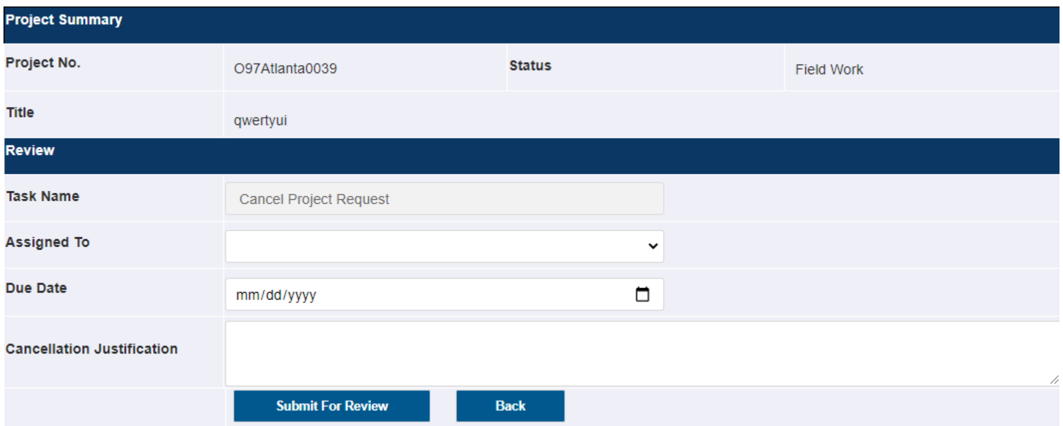
3.10 Cancel a Project

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

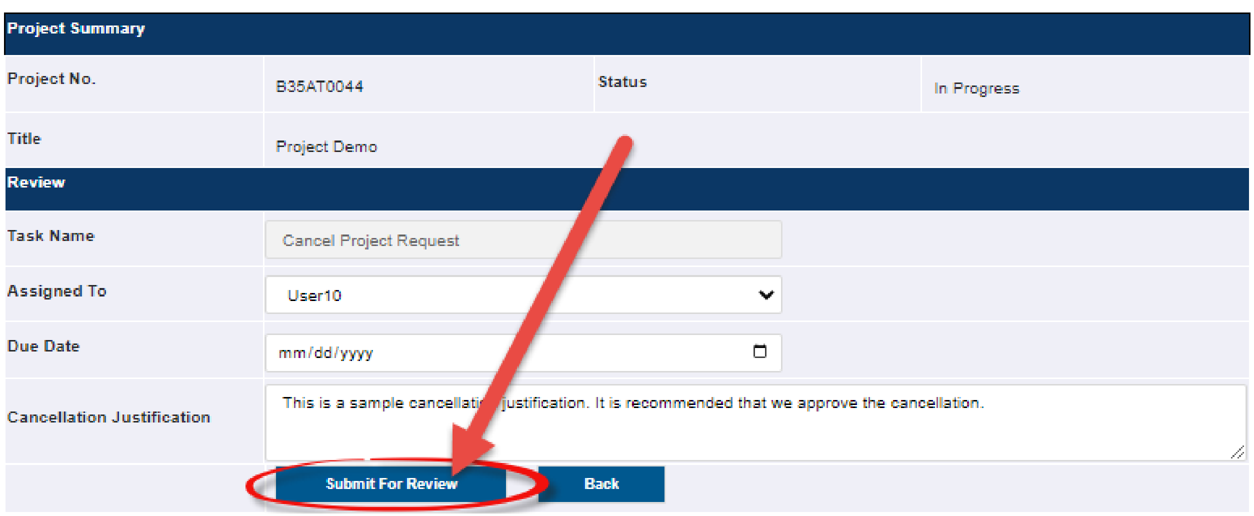
1. Navigate to the project to be cancelled and click the **Project** tab.
2. Click **Cancel Project**.



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.



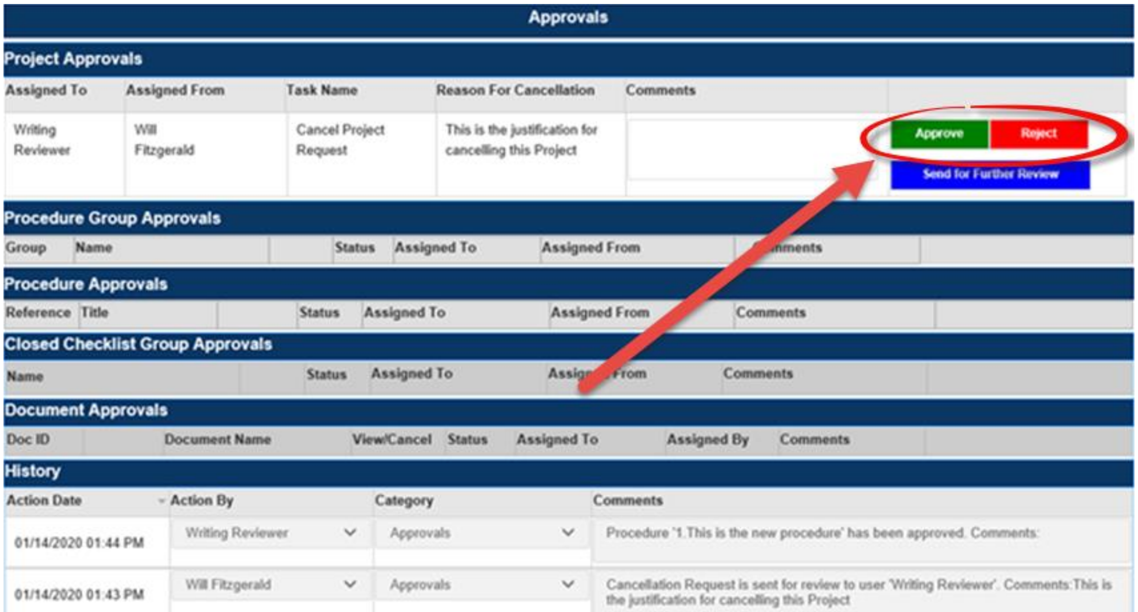
4. Select a **Due Date** using the date picker.
5. In the text box provided, enter a **Cancellation Justification**.
6. Click **Submit For Review** to submit the Cancel Project Request.



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.



4 Set Up – Templates & Risk Factors

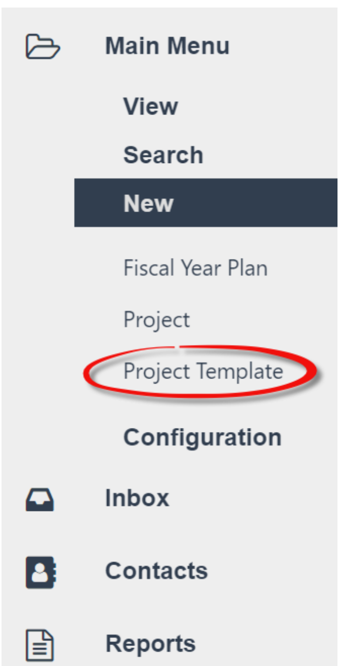
This section explains how authorized users can create new templates, edit existing templates, and adjust risk factors. When a user creates a new project, all the information and data provided in the template is automatically populated into the respective tabs in the project.

4.1 Create New Templates

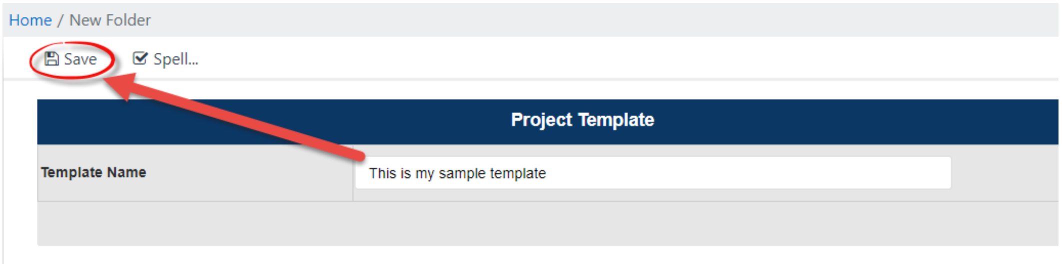
Templates provide a list of preconfigured procedure groups and procedures, attachments, closing checklists, project milestone dates, and project staff. To create a new template:

(!!) 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.

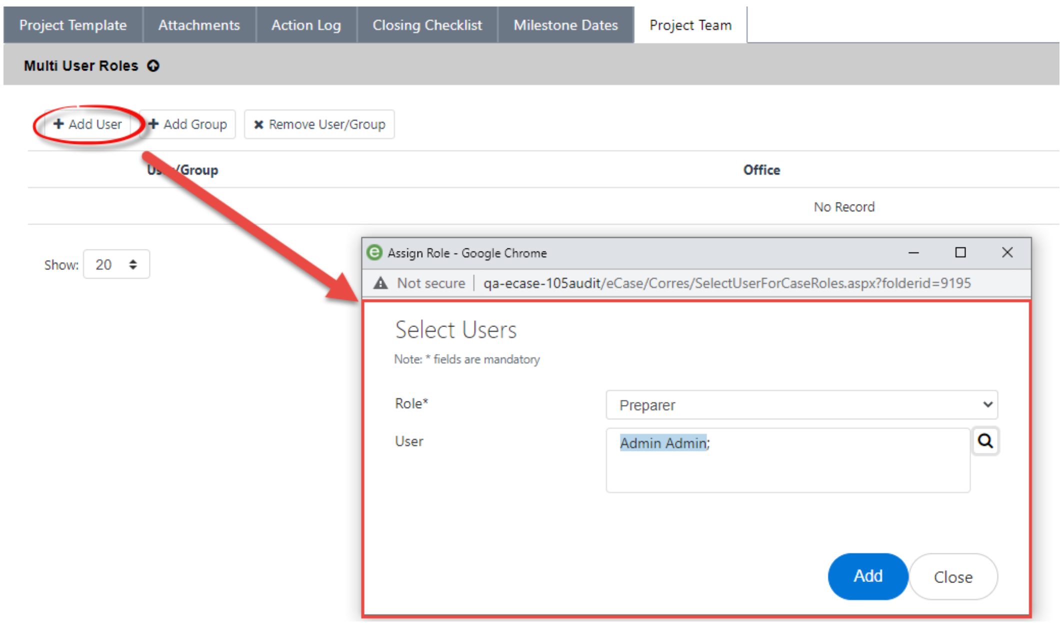
1. Select **New > Project Template**.



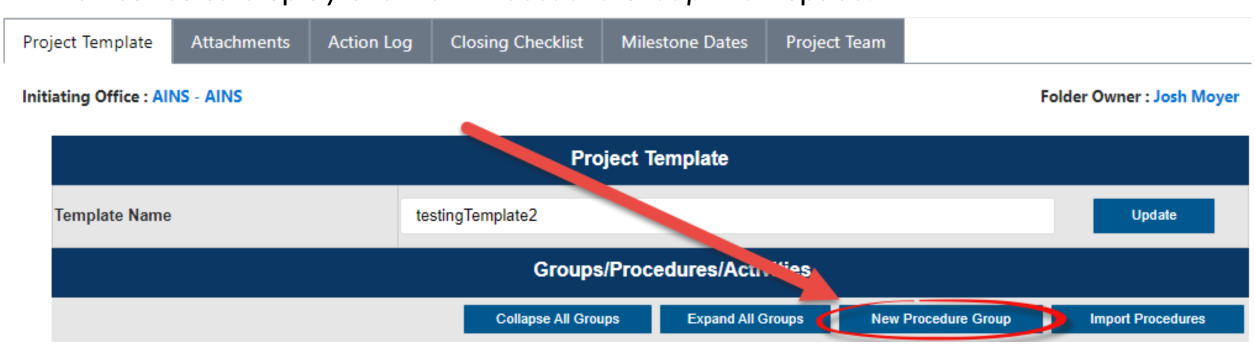
2. A blank project template form appears. Enter a **Template Name** in the field.
3. If desired, uncheck the **Active** checkbox to make the template inactive.
4. Click **Save**. The workspace refreshes and the *Project Template* page appears.



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

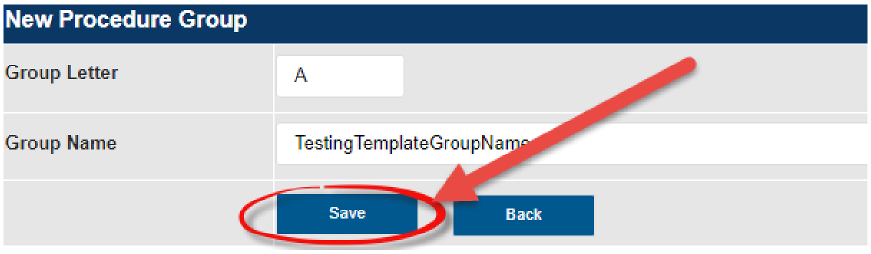


6. Select the **Preparer** role from the drop-down list. The User field appears.
7. Click the **User** lookup and select the current user profile.
8. Click **Add**. The pop-up window closes and the selected user appears in the *Project Team* tab as the Preparer.
9. Navigate to the *Project Template*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

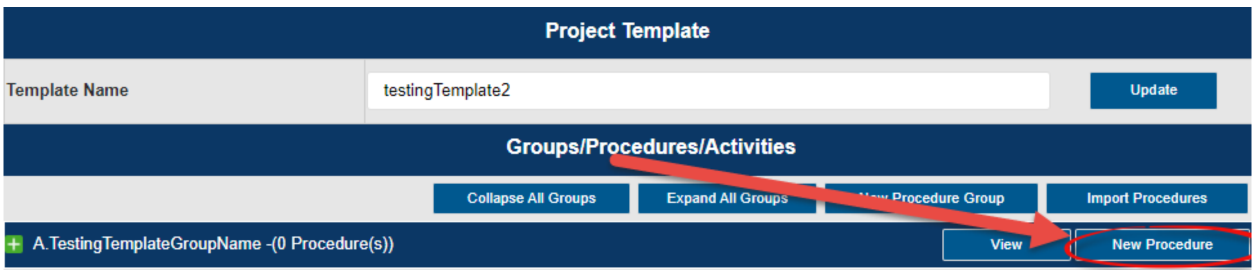


10. Enter the **Group Letter** in the field.

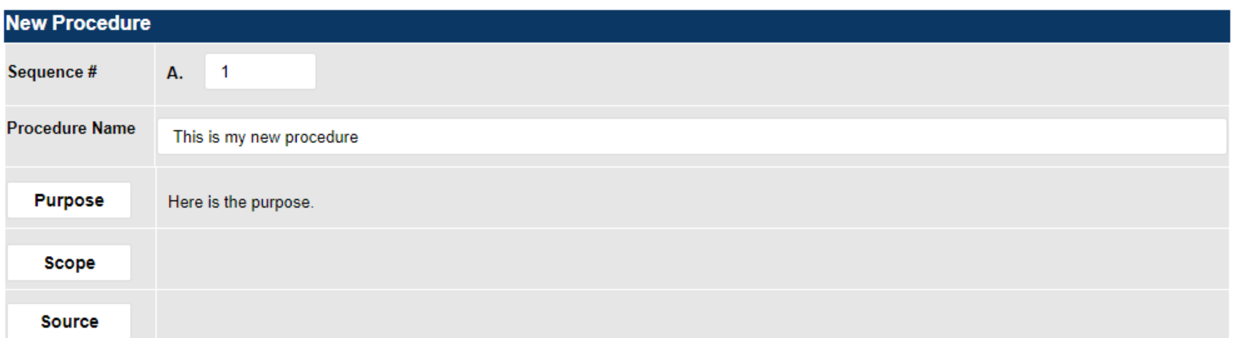
11. Enter the **Group Name** in the field.
12. Click **Save**.



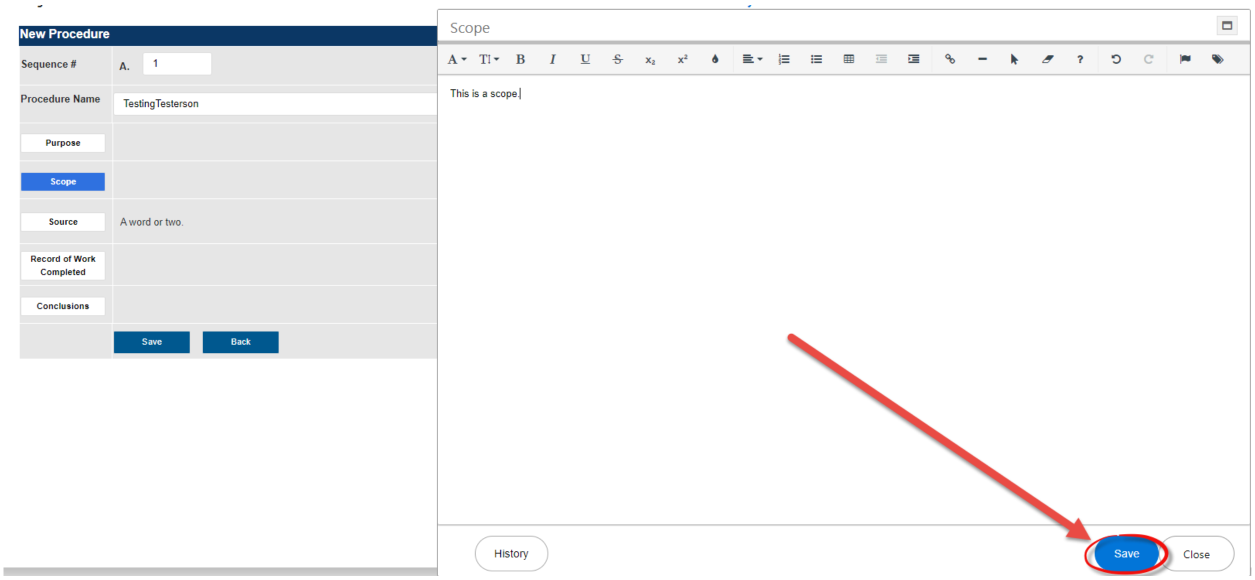
13. The *Project Template* workspace refreshes, displaying the newly created procedure in the *Groups/Procedures/Activities* workspace. Within the new *Procedure Group* row, click **New Procedure**.



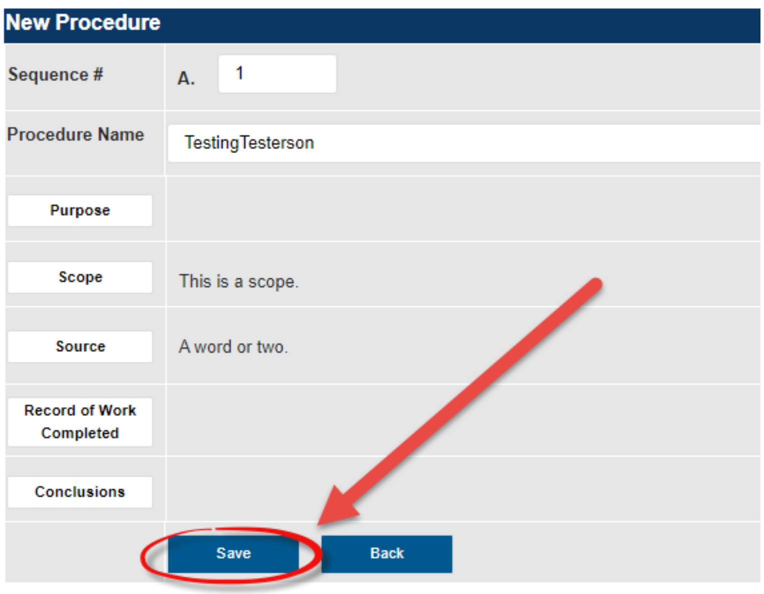
14. The *New Procedure* workspace appears. Enter the **Procedure Name** in the field.



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**.



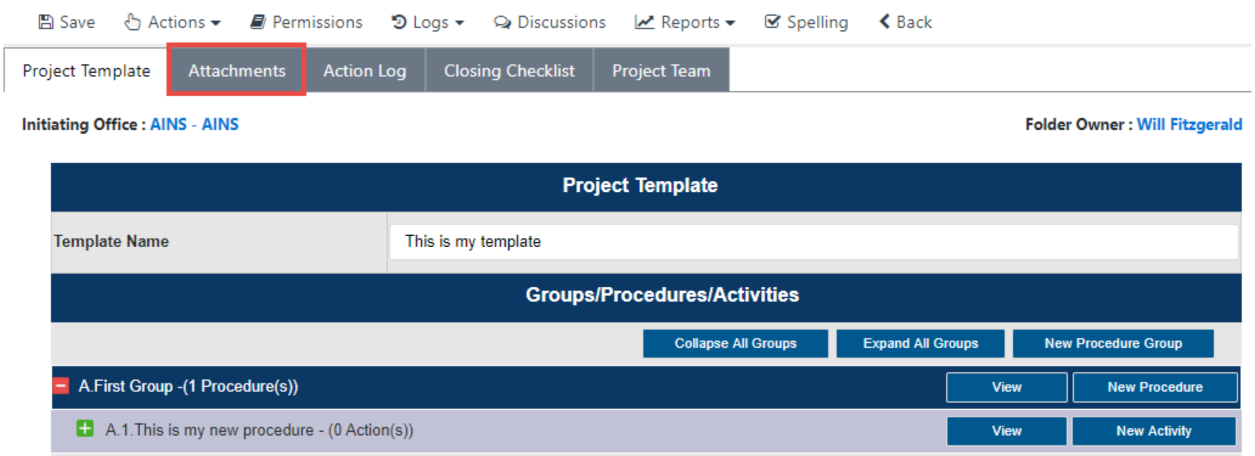
16. After completing the desired procedure elements, click **Save**.



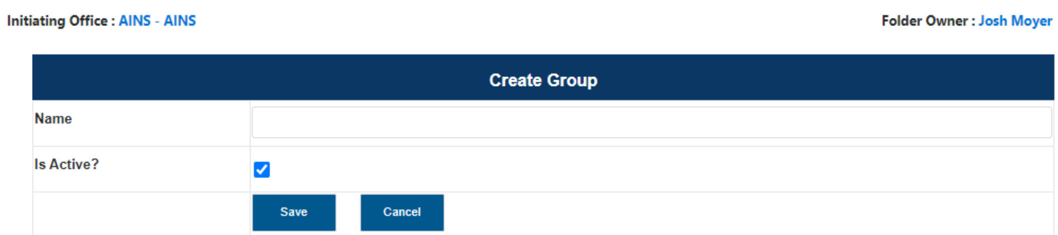
17. Repeat the steps above for all procedure groups and procedures in the template.

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

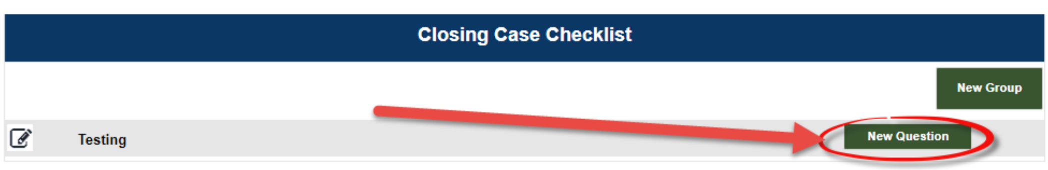
18. If applicable, navigate to the *Attachments* tab to add attachments to the procedure(s)/template.



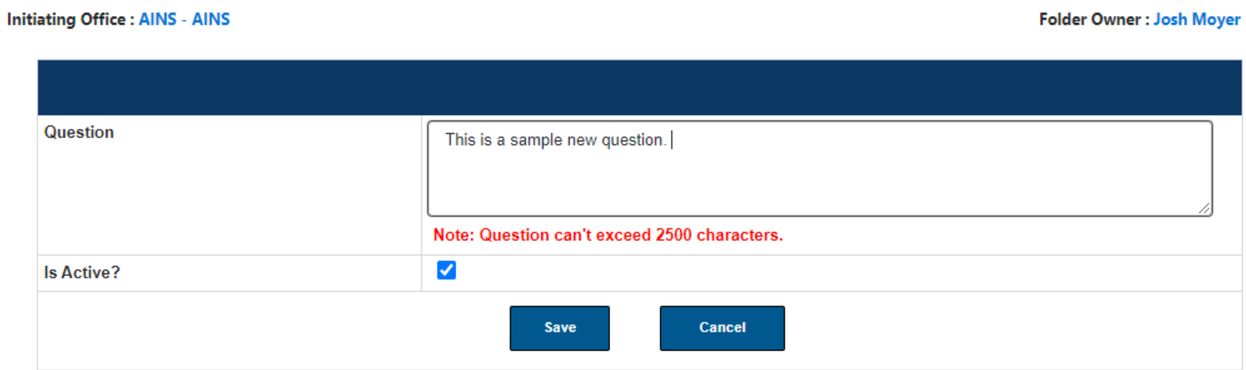
19. Navigate to the *Closing Checklist* tab to configure the closing questions for Projects using this template.
20. Click **New Group**. The workspace refreshes to display the *Create Group* workspace.



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.

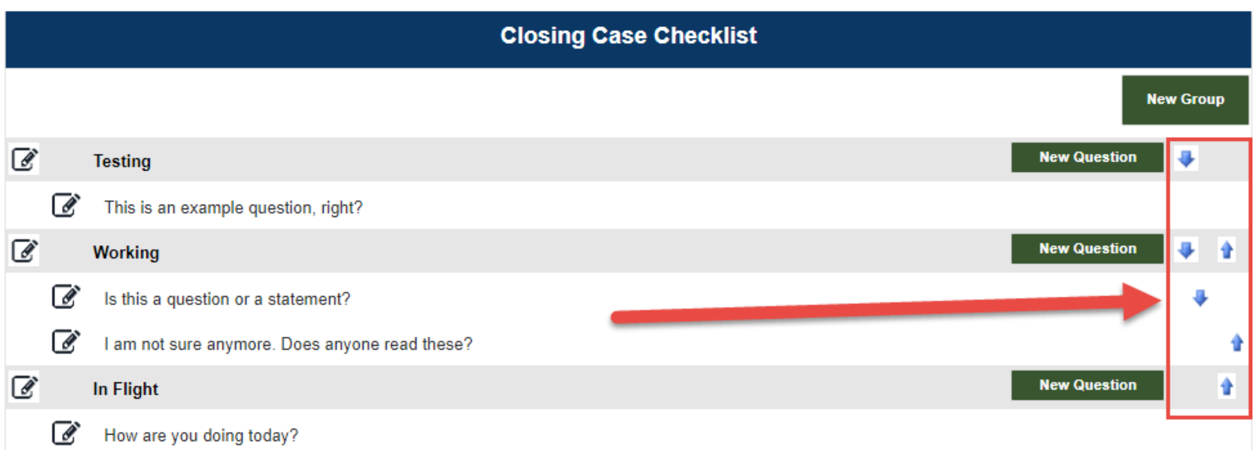


24. The tab refreshes to display the *New Question* workspace. Enter the **question** in the field.
25. If desired, uncheck the **Is Active?** Checkbox to make the question inactive. This checkbox is selected by default.

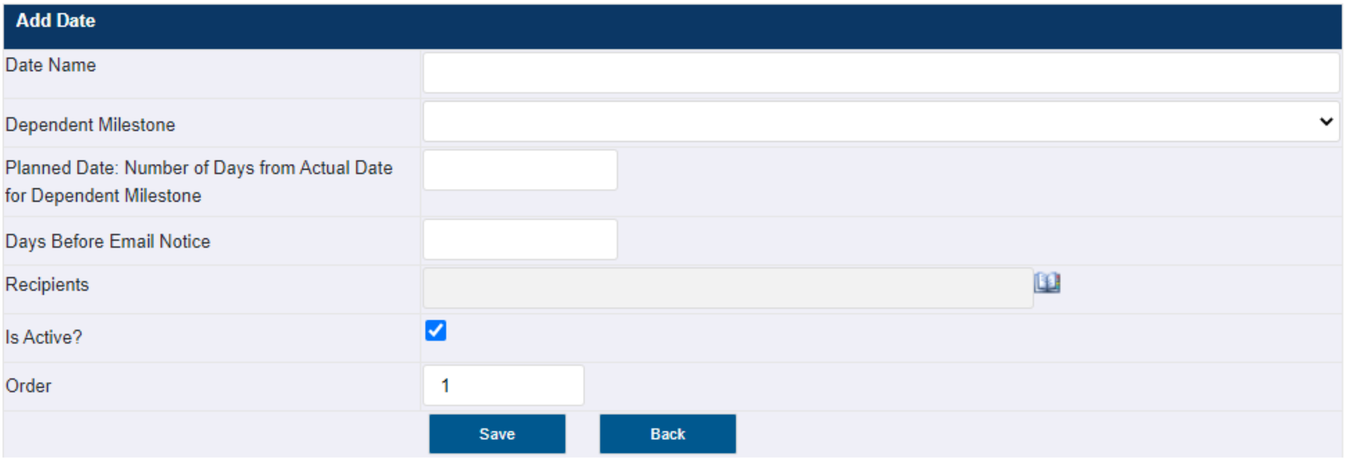


26. Click **Save**. The workspace refreshes and the newly created question appears in the *Closing Checklist* workspace.
27. Complete the above steps to add as many groups and questions as necessary to the Closing Checklist.

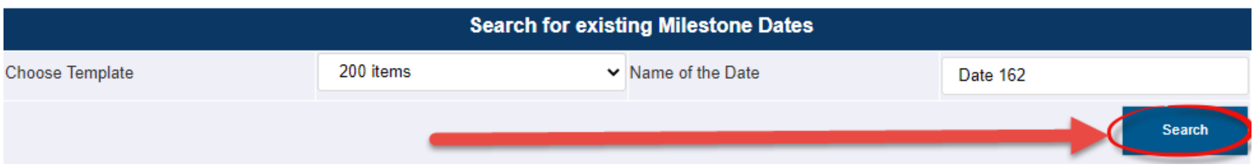
(!!) Note: After creating multiple case closing questions, you can use the arrow buttons to order how the Groups and Questions appear in the Closing Case Checklist tab.



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.



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**.

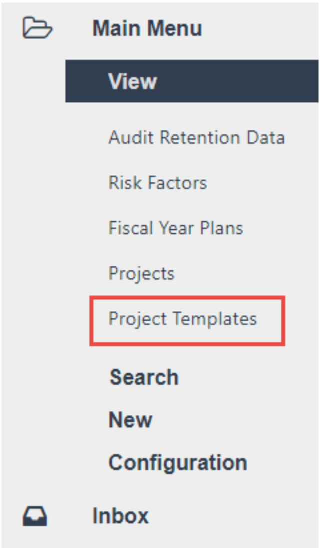


35. eCASE returns results within the *Milestone Date Search Results* section. Click the **checkbox** adjacent the desired date name and click **Add Milestone Dates**.
36. Navigate to the *Project Team* tab and use the **Add User** and/or **Add Group** buttons to add the desired **Users** and **Groups**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

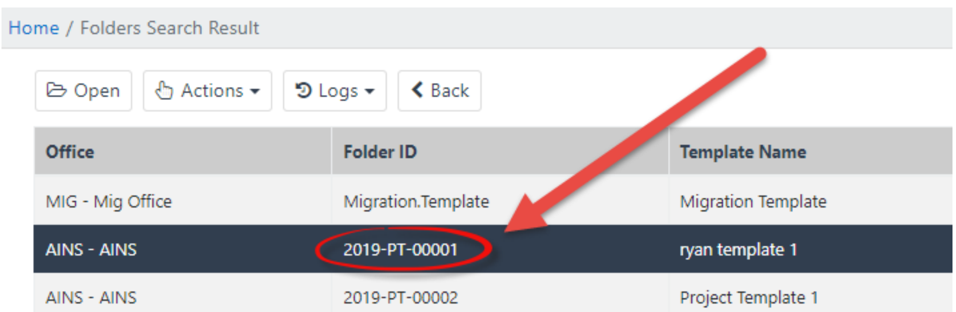
4.2 Edit Existing Templates

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. `



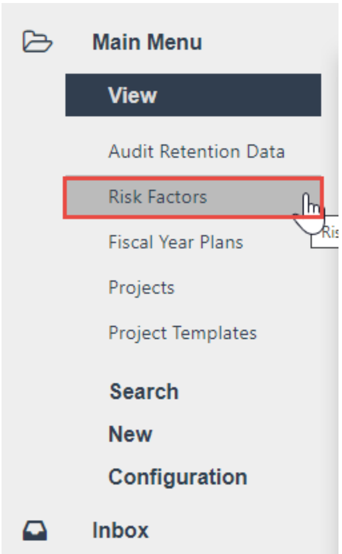
3. Click the corresponding **Folder ID** to open the template to modify.
4. The *Project Template* folder appears. Complete the desired modifications to the case folder.
5. Click **Save**.

(!!) 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.

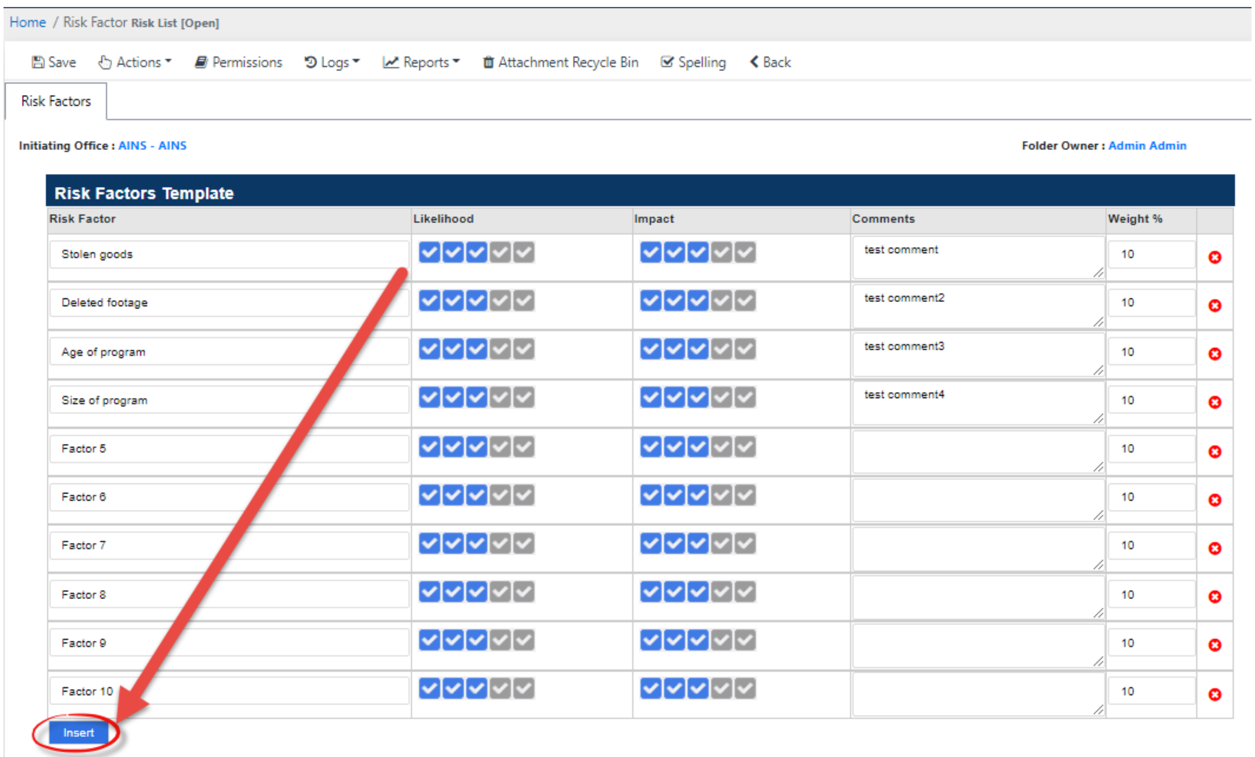
4.3 Risk Factors

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*.

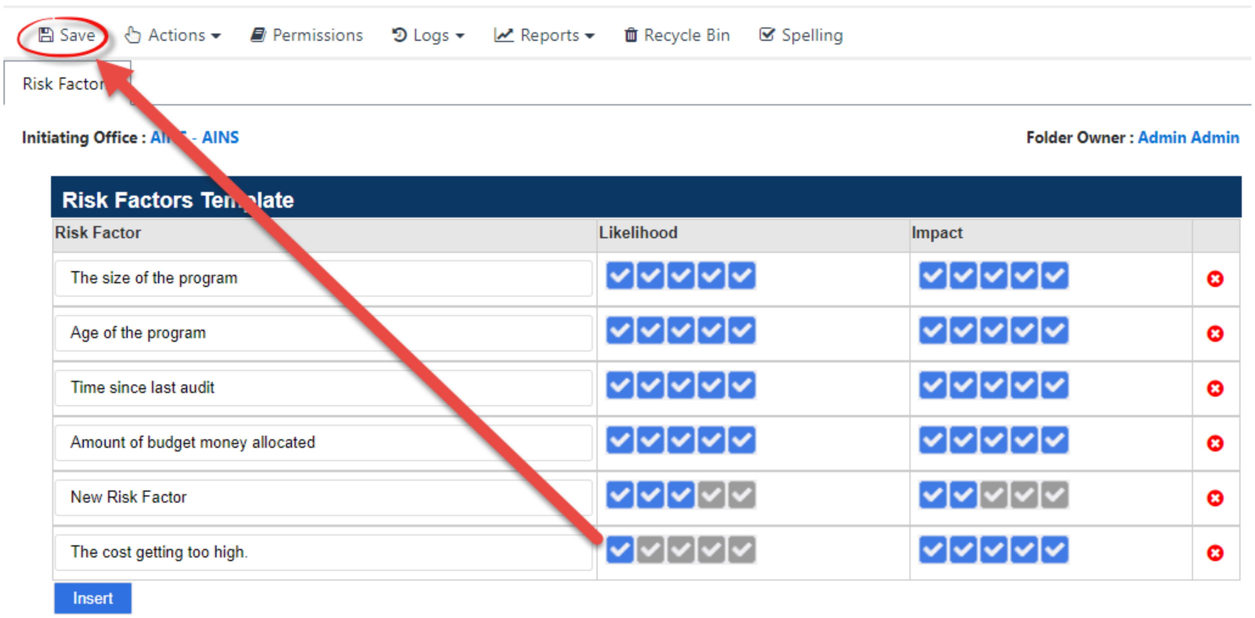
1. Navigate to **Main Menu > View > Risk Factors**.



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



(!!) 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.